

3.5 GRANTS MANAGEMENT

The activities associated with the administration of grants received by state agencies and grants given out by the agency including the re-granting of federal grant monies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 23002 Rev. 1	<p>Grants Issued by Agency – Applications (Denied)</p> <p>Records relating to grant applications that were denied by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Grant evaluation summaries; • Letters of denial; • Related correspondence/communications. 	<p>Retain for 1 year after grant application denied</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
GS 23001 Rev. 1	<p>Grants Issued by Agency – Applications (Successful)</p> <p>Records relating to grants administered and/or issued by state agencies, including continuous grants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Announcement parameters, applications, evaluation summaries; • Notification of grant awards, project status, fiscal reports; • Grant monitoring, audit reports; • Modifications and amendment requests; • Progress and compliance reports prepared and submitted by the grantee; • Related correspondence/communications. <p>Excludes final deliverables/reports received covered by:</p> <ul style="list-style-type: none"> • <i>State Publications (DAN GS 15008);</i> • <i>Studies (Major) – Final Reports (Unpublished).</i> 	<p>Retain for 6 years after end of funding period/grant cycle <i>and</i> completion of all grant requirements <u>for that cycle</u></p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

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GS 23003 Rev. 1	<p>Grants Issued by Agency – Program Administration</p> <p>Records relating to the agency’s administration of grant and other financial assistance programs (such as loans, scholarships, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Fiscal reports; • Auditing reports; • Related correspondence/communications. <p>Excludes records covered by <i>Advertising and Promotion (DAN GS 05006)</i>.</p>	<p>Retain for 6 years after end of funding period/grant cycle <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 23004 Rev. 1	<p>Grants Received by Agency</p> <p>Records relating to grant projects and funds received and expended by state agencies, including any continuous grants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for Proposals (RFPs), agency application; • Notifications of grant awards, fiscal reports and supporting documentation; • Grant monitoring, audit reports, compliance reports; • Time keeping/time and effort reports and supporting documentation (if required); • Modification requests, progress and status reports; • Related correspondence/communications. <p>Excludes final deliverables/reports covered by:</p> <ul style="list-style-type: none"> • <i>State Publications (DAN GS 15008);</i> • <i>Studies (Major) – Final Reports (Unpublished) (DAN GS 10016).</i> <p><i>Note: If federal retention requirements are shorter than 6 years, the records must still be retained for the minimum 6 years after end of grant period/cycle to satisfy state requirements.</i></p>	<p>Retain for 6 years after end of funding period/grant cycle <i>and</i> completion of all grant requirements <u>for that cycle</u> (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
GS 23006 Rev. 0	<p>Grants Received by Agency – Unsuccessful Applications</p> <p>Records relating to unsuccessful grant applications made by the state agency to grant-issuing entities.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM