

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2015-0008
Schedule Status Modified Approved Version

Agency or Establishment National Nuclear Security Administration
Record Group / Scheduling Group General Records of the Department of Energy
Records Schedule applies to Major Subdivision
Major Subdivision Naval Nuclear Propulsion Program (NNPP)
Schedule Subject Financial and Procurement Records
Internal agency concurrences will be provided No

Background Information Records listed in the Financial and Procurement schedule document financial and procurement functions that support the program’s mission. These functions include accounting, purchasing, contract administration, asset valuation, and preparation and maintenance of the budget and payroll. The records include, but are not limited to, data entry forms; receipts; ledgers; planning documents; spreadsheets; tax forms; worksheets; and financial inventories, statements, and reports.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	1	10	0

GAO Approval

Outline of Records Schedule Items for DAA-0434-2015-0008

Sequence Number	
1	Posting and Control Disposition Authority Number: DAA-0434-2015-0008-0001
2	Vendors (Non-Purchase Order) Disposition Authority Number: DAA-0434-2015-0008-0002
3	Federal Budget Disposition Authority Number: DAA-0434-2015-0008-0004
4	Payroll transactions Disposition Authority Number: DAA-0434-2015-0008-0005
5	Other Procurement, Navy (OPN) / Shipbuilding and Conversion, Navy (SCN) Costs Disposition Authority Number: DAA-0434-2015-0008-0006
6	Payroll Records Disposition Authority Number: DAA-0434-2015-0008-0007
7	Payroll Deductions Disposition Authority Number: DAA-0434-2015-0008-0008
8	Contract Audits Disposition Authority Number: DAA-0434-2015-0008-0009
9	Prime Contracts Disposition Authority Number: DAA-0434-2015-0008-0011
10	Employee Pay Record Disposition Authority Number: DAA-0434-2015-0008-0012
11	First Prime Contracts Disposition Authority Number: DAA-0434-2015-0008-0013

Records Schedule Items

Sequence Number					
1	<p>Posting and Control</p> <p>Disposition Authority Number DAA-0434-2015-0008-0001</p> <p>Records used to post, change, and control entries to other financial records, including the General Ledger and Payroll. Examples include charge number origination forms, federal tax reports, payroll change files, salary continuance payments, and special rate vouchers.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">3-01-02</td> <td></td> </tr> </tbody> </table> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff: End of fiscal or calendar year.</p> <p>Retention Period Destroy 3 year(s) after end of fiscal or calendar year.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	3-01-02	
Manual Citation	Manual Title				
3-01-02					
2	<p>Vendors (Non-Purchase Order)</p> <p>Disposition Authority Number DAA-0434-2015-0008-0002</p> <p>Files on vendors not directly tied to a purchase order, including contract pricing references, correspondence with the vendor, market research, and supplier and purchase information. May include information about a company's ownership and any foreign influence that may pose a risk to national security.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>				

Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
3-01-04	

Disposition Instruction

Cutoff Instruction **Cutoff: End of fiscal or calendar year.**
 Retention Period **Destroy 3 year(s) after end of fiscal or calendar year.**

Additional Information

GAO Approval **Not Required**

Federal Budget

Disposition Authority Number **DAA-0434-2015-0008-0004**

Created by budget and financial offices during the development of Federal budget requests and to report on expenditures at the close of the fiscal year. Records include Active Ship Hardware (ASH) reports, budget confirmations and estimates, contract fee proposals, Fund Work Outlines (FWOs), funding authorization letters, technical/budget plans, and uncosted obligations reports.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
3-02-03	

GRS or Superseded Authority Citation **GRS 5, dated 1952, item 5/A**

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Disposition Instruction

Cutoff Instruction Cutoff: End of fiscal or calendar year.
Retention Period Destroy 7 year(s) after end of fiscal or calendar year.

Additional Information

GAO Approval Not Required

Payroll transactions

Disposition Authority Number DAA-0434-2015-0008-0005

Source records that support and are used to generate the cumulative payroll. Examples include employer wage and tax statements, employer reports of Federal tax withheld (W-3s), overtime authorizations, and time and attendance records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
3-02-03	

GRS or Superseded Authority Citation N1-GRS-92-4 / 7; N1-GRS-92-4 / 8; N1-GRS-92-4 / 13/B; N1-GRS-92-4 / 13/C

Disposition Instruction

Cutoff Instruction Cutoff: End of fiscal or calendar year.
Retention Period Destroy 7 year(s) after end of fiscal or calendar year.

Additional Information

GAO Approval Not Required

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Other Procurement, Navy (OPN) / Shipbuilding and Conversion, Navy (SCN) Costs

Disposition Authority Number DAA-0434-2015-0008-0006

Files pertaining to costs covered under a dedicated funding stream. Records include earned value management reports, financial impact notices, and contract cost reports.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
3-03-01	

Disposition Instruction

Cutoff Instruction Cutoff: End of fiscal or calendar year.

Retention Period Destroy 15 year(s) after end of fiscal or calendar year.

Additional Information

GAO Approval Not Required

Payroll Records

Disposition Authority Number DAA-0434-2015-0008-0007

Cumulative payroll reports listing individual salaries, deductions/elections for benefits, Social Security, and time worked by employees. Records are also used to support employee retirements, such as designation of beneficiaries and vesting information.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

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Manual Citation	Manual Title
3-04-01	

GRS or Superseded Authority Citation N1-GRS-92-4 / 1/B

Disposition Instruction

Cutoff Instruction Cutoff: End of fiscal year.

Retention Period Destroy 100 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Payroll Deductions

Disposition Authority Number DAA-0434-2015-0008-0008

Deductions from payroll documented and organized by individual employee but not required for long-term retention. Records include bus pass deductions, direct deposit sign-up forms, employee withholding allowance certificates (W-4s and state equivalents), and savings plan election forms.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
3-06-01	

GRS or Superseded Authority Citation N1-GRS-92-4 / 13/A; N1-GRS-92-4 / 15/A; N1-GRS-92-4 / 15/B; N1-GRS-92-4 / 16; N1-GRS-92-4 / 17; N1-GRS-92-4 / 18; N1-GRS-92-4 / 23/A

Disposition Instruction

Cutoff Instruction Cutoff: When superseded or obsolete, or separation of employee.

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Retention Period Destroy 5 year(s) after record is superseded or obsolete, or separation of employee.

Additional Information

GAO Approval Not Required

Contract Audits

Disposition Authority Number DAA-0434-2015-0008-0009

Pertain to audits performed by the Naval Reactors Laboratory Field Office (NRLFO) Audit Division of costs which have been incurred or the appraisal of a contractor's operations and procedures which either contribute to, or have an impact on, costs to a specific government contract.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
3-07-01	

Disposition Instruction

Cutoff Instruction Cutoff: Final payment on relevant contract.

Retention Period Destroy 7 year(s) after final payment on relevant contract.

Additional Information

GAO Approval Not Required

Prime Contracts

Disposition Authority Number DAA-0434-2015-0008-0011

Prime contracts files, excluding the first contracts with General Electric and Westinghouse. The first contracts are covered elsewhere in the schedule.

Final Disposition Temporary

Item Status Active

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Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
3-08-01	

Disposition Instruction

Cutoff Instruction **Cutoff: Close of contract.**
 Retention Period **Destroy 20 year(s) after close of contract.**

Additional Information

GAO Approval **Not Required**

Employee Pay Record

Disposition Authority Number **DAA-0434-2015-0008-0012**

Records of salary or wages paid, organized by individual employee. Includes change in salary authorizations.

Final Disposition **Temporary**
 Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
3-09-01	

Disposition Instruction

Cutoff Instruction **Cutoff: Separation of employee.**
 Retention Period **Destroy 80 year(s) after separation of employee.**

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Additional Information

GAO Approval Not Required

First Prime Contracts

Disposition Authority Number DAA-0434-2015-0008-0013

Contracts documenting the initiation and development of the program, including first contracts between Federal government agencies and General Electric and Westinghouse authorizing projects to design Navy reactors and begin site construction.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
3-10-01	

Disposition Instruction

Cutoff Instruction Cutoff: When no longer needed for business purposes.

Transfer to the National Archives for Accessioning Transfer to the National Archives 80 year(s) after no longer needed for business purposes.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1946 To 1968

How frequently will your agency transfer these records to the National Archives? Unknown Estimate this will be a one-time transfer to the National Archives.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	5 Cubic feet	

Microform		
Hardcopy or Analog Special Media		

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
10/23/2015	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
02/18/2016	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/25/2016	Submit For Certification	Juliet Dimond	Records Officer	NNSA - NA30
03/02/2016	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
04/06/2017	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/24/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist