

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
10 NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-434-98-8	DATE RECEIVED 3-30-98
1. FROM (Agency or establishment) Department of Energy Washington, DC 20585		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Department-wide		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Mary Ann Wallace	5. TELEPHONE 301 903 4353	DATE 11-5-99	ARCHIVIST OF THE UNITED STATES K. W. Paul

6. 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 on the attached 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 3/25/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Mary Ann Wallace</i> Mary Ann Wallace	TITLE Team Leader, Records Mgt.
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Administrative Schedule <u>5</u> , based upon GRS <u>5</u> ; See Attachment.		

DEPARTMENT OF ENERGY2

ADMINISTRATIVE SCHEDULE 52

BUDGET PREPARATION, PRESENTATION,
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DEPARTMENT OF ENERGY

ADMINISTRATIVE SCHEDULE 5:

BUDGET PREPARATION, PRESENTATION,
AND APPORTIONMENT RECORDS

Budget and apportionment records include the various files accumulated in the course of formulating the budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available by OMB. The Department indicates and justifies regularly with OMB the proposed rate of expenditure. After the funds have been made available, the controls over the funds are in expenditure accounting records (AM Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (AM Schedule 6).

Budget records are normally created at all organizational levels. They include proposals from operating levels as well as the Departmentwide coordinating work done by budget offices. The records consist of detailed work papers and budgetary statements developed by operating units, the more significant budget statements and related papers representing consolidated submissions prepared to forward to the budget officers, and the records at the highest level pertaining to the budget submission for the Department.

Although OMB prescribes the format and procedures for Federal agencies, there are various internal reports and papers which support the budget and are used in its preparation. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the Departmental request and the immediately related supporting documents. The narrative presents the policies and the programs of the Department which the budget request is to support. In addition to the summaries, the budget submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the Department operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular Departmental programs, and figures based on the cost of various type of service operations, such as personnel and payroll activities.

~~All records described in this schedule are authorized for disposal in both hard copy and electronic formats.~~

~~1. Budget Correspondence Files. (GRS 5, item 1)~~

Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

Destroy when 2 years old.

2. **Budget Background Records.** (GRS 5, item 2)

Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

Destroy 1 year after the close of the fiscal year covered by the budget.

3. **Budget Reports Files.** (GRS 5, item 3)

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

Destroy when 5 years old.

b. All other reports.

Destroy 3 years after the end of the fiscal year.

4. **Budget Apportionment Files.** (GRS 5, item 4)

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

~~Destroy 2 years after the close of the fiscal year.~~

4.1 **Budget Office Estimates, Justifications, and Correspondence (or Subject Files).**

Estimates, justifications, and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

Cut off at end of fiscal year. ~~Possibly Permanent. Prepare Standard Form 258 for~~
~~offer to NARA after 10 years.~~ AFTER CUTOFF.

Transfer

4.1b. Records that document non-substantive programs.

Cut-off at end of fiscal year. Destroy when 6 years old.

5. ~~4.1c~~ Electronic Mail, Word Processing and Other Office Automation Applications

Electronic version of records created by electronic mail, word processing and other automation applications.

Delete when file copy is generated or when no longer needed for reference or updating.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date : October 6, 1999

Reply to
Attn of : John B. Ellis, NWML

Subject : Appraisal of records covered by Job No. N1-434-98-8

To : NR, NWMD, NWMWA

The job, submitted by the Department of Energy (DOE), seeks disposition authority for Budget Preparation, Presentation and Apportionment Records not covered by General Records Schedule 5.

The records consist of justifications, estimates, summary statements, correspondence and other supporting data related to program expenditures. These files document DOE adherence to budget apportionment procedures and interaction with the Office of Management and Budget and the U.S. Congress. Item 4.1A covers funding of substantive programs related to energy research, environmental management and science and technology initiatives. Because these files and associated electronic record copies chronicle the decision and budget formulation processes at the agency's highest levels, they have been proposed for permanent retention. This disposition will ensure availability of these records for research on Federal funding of energy, science and nuclear related research. Item 4.1B documents non-substantive programs and are proposed for disposal 6 years after cut off. This proposed retention period should satisfy agency reference and financial audit needs. All associated record copies created by electronic mail and word processing applications will be deleted when file copies have been generated or when no longer needed for reference or updating.

I recommend approval of this schedule, as submitted, as it provides for the preservation of records that have continuing research value and the orderly disposal of those lacking such value.

A handwritten signature in cursive script that reads "John B. Ellis".

John B. Ellis
Life Cycle Management Division