

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-434-98-008

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/24/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 4a - 4b remain active for records dated 2016 and previous only.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 4a, 4b

Superseded by DAA-GRS-2015-0006-0001

* Superseded for records dated 2017 and forward only

Item 5

Superseded by DAA-GRS-2016-0016-0002

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
10 NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NRA) WASHINGTON, DC 20408		JOB NUMBER 01-434-98-8	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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 John 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 ENERGY 2

ADMINISTRATIVE SCHEDULE 5 2

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.