

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-048-10-2</i>	
10 NATIONAL ARCHIVLS & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received <i>10/9/09</i>	
FROM (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Budget		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request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10	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 N/A			
4 NAME OF PERSON WITH WHOM TO CONFER John Peter Langsdorf	4 TELEPHONE NUMBER 202-513-0804	DATE <i>Sept 10</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
5 AGENCY INFORMATION 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 <u>5</u> page(s) are not needed now 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  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE September 28, 2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Ray A. McInerney</i>		TITLE Office of the Secretary Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	7201 – Administrative Files (2 sub-items) 7202 – Budget Report Files (2 sub-items) 7203 – Budget Apportionment Files 7204 – Budget Technical Guidance 7205 – Budget Publications and Public Releases (2 sub-items) 7206 – Budget Formulation Files 7207 – Budget Presentation Files (2 sub-items) 7208 – Budget Execution Files 7209 – Congressional Correspondence Files 7210 – Budget Program Files (Subject Files) 7211 – Budget Significant Event Files 7212 – IT Capital Investment Files 7213 – Appropriations/Congressional Travel 7214 – Payment in Lieu of Taxes payments (PILT) (2 sub-items) 7251 – Budget Electronic System  [See Attached List of Record Description and Requested Disposition Authority ]	GRS (see attached) GRS (see attached) GRS 5-4 N/A N/A N/A N/A N/A N/A N/A N/A N/A <del>GRS 27-3</del> N/A N/A N/A	

# SF 115 Supplementary Cover Sheet

## Summary:

This action establishes a new Office of the Secretary disposition schedule entitled:

### **“7200 Office of Budget (POB)”**

This schedule includes four items (some with sub-items) previously scheduled in the GRS and eleven items which are not otherwise covered by an existing schedule or by the GRS. The previously unscheduled items are:

- 7204 – Budget Technical Guidance
- 7205 – Budget Publications and Public Releases (2 sub-items)
- 7206 – Budget Formulation Files
- 7207 – Budget Presentation Files (2 sub-items)
- 7208 – Budget Execution Files
- 7209 – Congressional Correspondence Files
- 7210 – Budget Program Files (Subject Files)
- 7211 – Budget Significant Event Files
- 7213 – Appropriations/Congressional Travel
- 7214 – Payment in Lieu of Taxes payments (PILT) (2 sub-items)
- 7251 – Budget Electronic System

The contact for this office is: Kai Newby, (202) 208-4825, Kai\_Newby@ios.doi.gov

Clarification of terms referenced in the dispositions:

- (a) The term **“Fiscal Year”** refers to any yearly accounting period, regardless of its relationship to a calendar year. The fiscal year for the federal government begins on October 1 of each year and ends on September 30 of the following year; it is designated by the calendar year in which it ends.
- (b) The term **“Budget Year”** refers to the fiscal year for which the budget is being considered, that is, with respect to a session of Congress, the fiscal year of the government that starts on October 1 of the calendar year in which that session of Congress begins.
- (c) The term **“Current Year”** refers to the fiscal year immediately preceding the budget year under consideration.

## Reason for submission:

- (1) This action provides for the disposition of permanent and temporary records maintained in the Office of Budget that have been previously unscheduled.
- (2) This action incorporates the numbering pattern for the Office of the Secretary’s new records schedule.

## Office of Budget (POB) Schedule

### 7200 Office of Budget (POB)

POB is responsible for directing and coordinating the development, presentation, execution and control of the budget of the Department of the Interior through the individual budget offices of its major bureaus and offices.

#### ~~7201 – Administrative Files~~

GRS 5/1+2

~~**7201.1 Budget Correspondence.** Correspondence files pertaining to routine administration, internal procedures and other matters not covered elsewhere in the schedule, excluding files related to agency policy and procedures.~~

~~Disposition: Temporary. Cut off at end of current year. Destroy 2 years after cut-off. (GRS 5-1)~~

~~**7201.2 Budget Background Files.** Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules and originating offices' copies of reports submitted to budget offices.~~

~~Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off. (GRS 5-2)~~

#### ~~7202 – Budget Report Files.~~ Periodic reports on the status of appropriation accounts and apportionment.

GRS 5/3a+3b

~~**7202.1 Budget Annual Reports.** End of fiscal year reports maintained by the budget office.~~

~~Disposition: Temporary. Cut off at end of fiscal year. Destroy 5 years after cut-off. (GRS 5-3a)~~

~~**7202.2 Budget Report Files-Other.** Budget reports other than annual reports.~~

~~Disposition: Temporary. Cut off at end of fiscal year. Destroy 3 years after cut-off. (GRS 5-3b)~~

#### ~~7203 – Budget Apportionment Files.~~ Apportionment and re-apportionment schedules, proposing quarterly obligations under each authorized appropriation.

GRS 5/4

~~Disposition: Temporary. Cut off at end of fiscal year. Destroy 4 years after cut-off. (GRS 5-4)~~

**7204 – Budget Technical Guidance.** Files pertaining to Technical Budget Guidance, Effect Statement Guidance, and Capability Statement Guidance for budget development and exercises throughout the year, excluding Policy guidance on budget development.

Disposition: Temporary. Cut off at end of current year. Destroy 10 years after cut-off.

**7205 – Budget Publications and Public Releases**

**7205.1 Permanent.** Green Books for each DOI component and the Budget in Brief, press conference documents, briefing books for press conferences, for hearings, Effect Statements, similar documents used in presentation of the President's budget requests to Congress.

Disposition: Permanent. Cut off at end of budget year. Transfer to NARA in 5 year blocks after a retention of 20 years.

**7205.2 Temporary.** Drafts of Green Books for all bureaus, specified budget documents, , capability statements, hearing record development, question and answers, inserts, transcripts, testimonies, Congressional action seminars, State and Congressional Reports, supplemental for Congress, maintenance and construction 5 year plans, and similar documents used in presentation of the President's budget requests to Congress.

Disposition: Temporary. Cut off at end of budget year. Destroy 5 years after cut-off.

**7206 – Budget Formulation Files.** Budget formulation guidance, briefing materials, the Secretary's decisions, and formal submissions, including: OMB's submission, bureau submissions to the Department, and to OMB, OMB's pass back, appeals, final settlement numbers.

Disposition: Temporary. Cut off at end of budget year. Destroy 5 years after cut-off.

**7207 – Budget Presentation Files.** Records associated with development of formal budget requests to the Department, OMB and Congress of the senior executives in POB. These include Director/Deputy Director Budget formulation records and budget files of similar nature.

**7207.1 High Level Officials.** Files belonging to the Director, Deputy Director, and Division Chief of Budget and Program Review (BPR).

Disposition: Temporary. Cut off at end of budget year. Destroy 8 years after cut-off.

**7207.2 Other Office Staff.** Files belonging to the Chief, Deputy Chief, and Budget Analysts.

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off.

**7208 – Budget Execution Files.** Records directing bureau and office budget execution, such as quarterly programming reports to Congress, continuing resolution guidance, calculations, apportionments and impact statements, and DS 520s. Also included are files pertaining to Reimbursable Support Agreements (RSAs), projections, Workman's Compensation, and FEAR (whistleblowing).

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

**7209 – Congressional Correspondence Files.** Copies of incoming and outgoing congressional correspondence of a substantive nature, reflecting policy issues and program functions, but excluding transmittal of documents to appropriations committee staff.

Disposition: Temporary. Cut off at end of current year. Destroy 5 years after cut-off.

**7210 – Budget Program Files (Subject Files).** Documents that are program specific in nature generated by other offices or bureaus. These include documents associated with PART evaluations, reprogramming requests requiring congressional approval, reorganizations, bureau specific issues, and budget administration team files on specific IT investments. They are maintained to enhance program knowledge and assist in response to enquiries.

Also included are files pertaining to budget technical, process, system or management issues that have broader budgetary or management policy implications. These include budget formulation and execution line of business, Financial and Business Management System (FBMS), and Appropriation Language issues.

Disposition: Temporary. Cut off when program is initiated, or if not initiated, when it is cancelled. Destroy 8 years after cut-off or when no longer needed, whichever is later.

**7211 – Budget Significant Event Files.** Subject files that involve a significant budgetary event that has an immediate impact upon the budget (such as a national emergency, natural disaster, etc.), for which a special stipulation of funds is required. Some files may start out as program files or budget and management policy files, but the subject matter and/or task evolves to a significant nature, warranting placement in this item. Files include budgeting scoring/laws and government shut down guidance.

Disposition: Temporary. Cut off at end of budget year when final funds are assigned in response to the event. Destroy 10 years after cut-off or when no longer needed, whichever is later.

**7212 – IT Capital Investment Files.** Records maintained by office related to the decision-making process needed to approve and/or authorize funding for IT Capital Investments. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Disposition: Temporary. Cut off at end of budget year. Destroy 7 years after cut-off. ~~(GRS-27-3)~~

**7213 – Appropriations/Congressional Travel.** Documents that pertain to travel of Appropriations committee staff coordinated and/or funded by the Office of Budget.

Disposition: Temporary. Cut off when elected officials are no longer in office. For committee staff, cut-off when no longer on Appropriations committee. Destroy 2 years after cut-off.

**7214 – Payment in Lieu of Taxes (PILT) Files.** Compensation for county governments whose jurisdiction contains tax-exempt federal lands.

**7214.1 Annual Payment Book.**

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 6 years after cut off or when no longer needed for agency business, whichever is later.

**7214.2 Supporting Documents.** Records used to generate Payment In Lieu of Taxes for various programs.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 6 years after cut-off.

**7251 – Budget Electronic System.** These files incorporate the Budget Electronic System, which provides automation support for the budget formulation and execution processes of the Office of the Secretary. The system supports the development of budget estimates, allocation of resources by fund, program and office and assists in tracking resource use. The outcome of the process is the Office of the Secretary Green Book, also known as the President's Budget.

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.