

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-104-99-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/25/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item 1A, FINAL ANNUAL BUDGET (FINANCIAL PLAN) SUBMISSION: CONGRESSIONAL is active for records concerning 2016 and earlier agency budget submissions.

All other program items are active.

## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

DAA-GRS-2015-0006-0001 supersedes Item 1A for records concerning agency 2017 budget submissions and forward.

DAA-GRS-2016-0016-0002 supersedes Items 1B, 2C, 3B, 4B, 5B, 6C, 7C, and 8B.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-104-99-2</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>August 18, 1999</i>	
1. FROM (Agency or establishment)  Department of the Treasury		NOTIFICATION TO AGENCY  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION  United States Mint			
3. MINOR SUBDIVISION  Office of Management Services			
4. NAME OF PERSON WITH WHOM TO CONFER  George F. Bamford	5. TELEPHONE <i>202-874-5972</i> <i>354-7737</i>	DATE <i>9-21-00</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
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 <u>4</u> 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,  <input checked="" type="checkbox"/> <i>9/2/99</i> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested.			
DATE <i>8/12/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE George F. Bamford <i>George F. Bamford</i>	TITLE Records Management Officer	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	United States Mint Financial Planning and Analysis Records (See Attached)  <i>Pen + Ink charges made per concurrence of Mint R.O. George Bamford. 4/18/00 M. Donovan. NWMDC</i>		

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	GRS OR SUPERSEDED JOB CITATION	ACTION TAKEN (NARA USE ONLY)
<b>FINANCIAL PLANNING AND ANALYSIS RECORDS</b> Consists of Budgeting (Financial Planning), Apportionment records at the Bureau level (Field Offices will use GRS for these records). Also included are various cost analysis and projection studies both at the Bureau and Field Office levels.			
1.	<b>FINAL ANNUAL BUDGET (FINANCIAL PLAN) SUBMISSION: CONGRESSIONAL</b>  Final Annual Budget Submission to Congress, detailing the U.S. Mint's Fiscal Year proposed budget. Also includes any budget approvals and other related documentation.  d. <b>OFFICIAL FILE:</b> Disposition: <b>PERMANENT</b> . Cutoff at the end of the Fiscal Year in which the Budget was submitted. Send to the Federal Records Center 5 years after cutoff. Send to NARA 20 years after cutoff.  b. <b>ELECTRONIC VERSION</b> of records created in Word Processing, E-mail and Spreadsheet Applications: Destroy when File Copy is generated, and when no longer needed for reference and updating.	U.S. MINT SCHEDULE NC1-104-80-2 ITEM #18	
2.	<b>BUDGET (FINANCIAL PLAN) SUBMISSIONS: NON-CONGRESSIONAL</b>  a. <b>Annual Budget (Financial Plan) Submission to the Department of Treasury</b> , detailing the U.S. Mint's Fiscal Year proposed budget.  b. <b>Annual Budget (Financial Plan) Submission to the Office of Management and Budget (OMB)</b> , detailing the U.S. Mint's Fiscal Year proposed budget.  <b>OFFICIAL FILE:</b> Disposition: <b>TEMPORARY</b> . Cutoff at the end of the Fiscal Year in which the Budget was submitted. Send to the Federal Records Center 5 years after cutoff. Destroy <del>15</del> <sup>20</sup> years after cutoff.  c. <b>ELECTRONIC VERSION</b> of Records created in Word Processing, E-mail and Spreadsheet Applications may be deleted after file copy is generated, and when they are no longer needed for reference or updating.	U.S. MINT SCHEDULE NC1-104-80-2 ITEM #18	
3.	<b>BUDGET SUBMISSION WORKING PAPERS.</b> Working papers that document the development of the U.S. Mint's Annual Budget (Financial Plan) Proposal. The papers include, but are not limited to: Budget Submissions from U.S. Mint Offices from the "Annual Budget Call"; Draft approvals of Budgets; Background documentation for the Department of Treasury, Office of Management and Budget (OMB) and Congressional Budget Submissions – including input and changes; Correspondence and E-mails detailing the decisions which determine the outcome of the Final Budget Submission.  d. Disposition: <b>TEMPORARY</b> . Cut off at the end of the Fiscal Year in which the Budget was submitted. Send to the Records Center 5 years after cutoff. Destroy <del>15</del> <sup>20</sup> years after cutoff.  b. Electronic versions of records created in Word Processing, E-mail and Spreadsheet Applications may be deleted after file copy is generated and when they are no longer needed for reference or updating.	U.S. MINT SCHEDULE NC1-104-80-2 ITEM #18	

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4.	<p><b>BUDGET APPORTIONMENT RECORDS</b></p> <p>Records maintained by the Financial Planning Analysis and Review Office, documenting how the Mint is allocating and spending it's appropriated, non-appropriated and revolving funds, based upon OMB's Annual Budget Apportionment. Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- Annual Financial Statements for individual Mint Offices (Headquarters and Field) documenting allocation of funds. Includes any related correspondence regarding how funds were allocated, the status of fund obligations and spending for individual offices.</li> <li>- Monthly and Annual Allocation of Funds Reports from various Mint Automated Information Systems. Reports include summaries of the status of allocated funds by object class, obligations to date, and balance of funds on hand.</li> <li>- Financial Reports prepared by the Financial Analysis and Review Division, analyzing and tracking the allocation of Mint Funds.</li> </ul> <p>d. Disposition: TEMPORARY. Cut off Records at the end of the Fiscal Year. Send to the Records Center 3 years after cutoff. Destroy 6 years and 3 months after cutoff.</p> <p>b. Electronic versions of records created in Word Processing, E-mail and Spreadsheet Applications may be deleted after file copy is generated and when they are no longer needed for reference and updating.</p>		
5.	<p><b>CONGRESSIONAL BUDGET HEARING/INQUIRY RECORDS</b></p> <p>Briefing Books, Questions and Answers, and Correspondence prepared for official presentation at U.S. Mint Congressional Budget Hearings, or in response to Congressional Inquiries into Budget related issues.</p> <p>d. Disposition: <del>PERMANENT</del> <sup>TEMPORARY</sup> Cut off at the end of the Fiscal Year in which Budget was submitted. Send to the Records Center 5 years after cutoff. <del>Send to NARA 20 years after cutoff: [IN 5 YEAR BLOCKS]</del> DESTROY WHEN NEWEST RECORD IN SHIPMENT IS 30 YEARS OLD.</p> <p>b. Electronic versions of records created in Word Processing, E-mail and Spreadsheet Applications may be deleted after file copy is generated and when they are no longer needed for reference and updating.</p>	US MINT SCHEDULE NC1-104-80-2 ITEM #18	

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6.	<p><b>COST PROJECTION ANALYSES/REPORTS FOR MINT PRODUCTS</b> (Numismatic/Commemorative Coin and Medal Programs, Jewelry, and other Mint Products).</p> <p>Cost reports prepared by the Office of Finance detailing cost analysis and projections for U.S. Mint product programs. They may include pricing estimates, sales projection reports, profit and loss analyses and other analyses/reports prepared to forecast product related information.</p> <p>a. <b>FINAL REPORTS/ANALYSES.</b> Disposition: <b>PERMANENT.</b> File by fiscal year, by program. Cut off at the end of the fiscal year. Send to the Records Center in 5 year blocks when newest record is 3 years old. Transfer to National Archives in five year blocks with newest record being 20 years old.</p> <p>b. <b>BACKGROUND INPUT DATA.</b> <del>Background input data prepared in support of Final Reports/Analyses.</del> Disposition: <b>TEMPORARY (GRS 8-6b).</b> Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</p> <p>c. <b>ELECTRONIC VERSIONS:</b> Electronic versions of records created in word processing, e-mail or other desktop applications may be deleted after record copy is generated and when they are no longer needed for reference or updating.</p>		
7.	<p><b>COST ANALYSIS BENCHMARK STUDIES.</b></p> <p>Studies conducted by the Office of Finance in which alternative methods of Business Operations are analyzed from a cost benefit perspective. Studies take into account the potential cost of operations, and the time frame needed for the Mint to break even or make a profit. (Examples of studies may be the opening of a die shop at a Mint facility, the opening of a sales area, etc.)</p> <p>a. <b>STUDIES RESULTING IN CHANGES IN OPERATIONS/POLICIES.</b> Benchmark Cost Studies that lead to a direct change in Mint Policy/Operation based upon favorable projected costs or operational considerations.</p> <p>Disposition: <b>PERMANENT.</b> Cut off at the end of the fiscal year in which study is completed. Send to Records Center in five year blocks when newest record is three years old. Transfer to National Archives in five year blocks with newest record being 20 years old.</p> <p>b. <b>STUDIES NOT RESULTING IN CHANGES IN OPERATIONS/POLICIES</b></p> <p>Disposition: <b>TEMPORARY.</b> Cut off at end of fiscal year. Destroy 3 years after cut-off.</p> <p>c. <b>ELECTRONIC VERSION</b> of studies created in word processing, e-mail and spreadsheet applications may be deleted after file copy has been generated and when they are no longer needed for reference or updating.</p>		

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8.	<p><b>FINANCIAL PLANNING AND ANALYSES GENERAL CORRESPONDENCE FILES.</b> Consists of subjective general correspondence maintained at the Bureau level. Records include items that refer to financial planning/budgeting and analysis/procedures in general which would not be suitable for file in a specific case file.</p> <p>a. Disposition: TEMPORARY. Cut off at the end of the fiscal year. Maintain in office area and destroy three years after cutoff.</p> <p>b. Electronic versions of records created in word-processing, e-mail or spreadsheet applications may be deleted after file copy is generated and when they are no longer needed for updating or reference.</p>		