

Request for Records Disposition Authority

Records Schedule Number **DAA-0425-2017-0003**
Schedule Status **Approved**

Agency or Establishment **Financial Management Service**
Record Group / Scheduling Group **Records of the Financial Management Service**
Records Schedule applies to **Major Subdivision**
Major Subdivision **Fiscal Accounting**
Schedule Subject **Bureau of Fiscal Service - Fiscal Accounting Records**
Internal agency concurrences will be provided **No**

Background Information **The Department of the Treasury (Treasury) Bureau of Fiscal Service (Fiscal Service) has the critical responsibility of maintaining the federal government's set of accounts and serving as the repository of information about the financial position of the United States government. Fiscal Service closely monitors the government's monetary assets and abilities at all times through its oversight of central accounting and reporting systems. Fiscal Service's oversight responsibilities include assisting federal agencies with adopting uniform accounting and reporting standards and systems and assuming the continuous exchange of financial information between federal agencies, the Executive Branch Office of Management and Budget (OMB) and other financial institutions.**

This records schedule covers paper and electronic records in fiscal accounting offices for past and current programs, and information in past and current systems. This schedule is designed to be flexible enough to cover any new programs established by Fiscal Service to support the fiscal accounting business in, and any successor systems implemented by Fiscal Service to contain the types of information described below. This schedule authorizes the disposition of the record keeping copy in any media (media neutral), to enable Fiscal Service to manage records based on information content, not format.

Policy records set forth the rules and procedures governing accounting and reporting standards and systems, and provide guidance to agencies and the public.

Federal program agency operations records are submitted to Fiscal Service by, or on behalf of, other federal agencies, or maintained by Fiscal Service at the agency level of detail, for fiscal accounting

and financial reporting. Treasury program operations records contain accounting information on programs unique to Fiscal Service or Treasury and accounting information consolidated by Fiscal Service for Fiscal Accounting and financial reporting. Other items on this schedule cover significant reports produced by Fiscal Accounting, and the records used to manage and operate the Fiscal Accounting business line and its accounting and financial reporting systems.

This schedule excludes records concerning either Individual Indian Moneys (IIM) or Indian Tribal Trust Funds. Under current Department of the Treasury policy, all documents, data, and tangible things containing information that relates to IIM and Tribal Trust Funds and assets are to be preserved until further notice, in compliance with the preservation obligations set forth in the Federal Rules of Civil Procedure and various court orders pertaining to the retention of such documents, data, and tangible things.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	2	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0425-2017-0003

Sequence Number	
1	Policy Directives Disposition Authority Number: DAA-0425-2017-0003-0001
2	Routine Policy Records Disposition Authority Number: DAA-0425-2017-0003-0002
3	Federal Program Agency Operations Records Disposition Authority Number: DAA-0425-2017-0003-0003
4	Treasury Program Operations Records Disposition Authority Number: DAA-0425-2017-0003-0004
5	Significant Consolidated Reports Disposition Authority Number: DAA-0425-2017-0003-0005
6	Fiscal Accounting Program Management Records Disposition Authority Number: DAA-0425-2017-0003-0006
7	Treasury Appropriation Warrant and Warrant Journal Vouchers Disposition Authority Number: DAA-0425-2017-0003-0007
8	Treasury Announcements Case Files Disposition Authority Number: DAA-0425-2017-0003-0008
9	Program Management Subject Records Disposition Authority Number: DAA-0425-2017-0003-0009

Records Schedule Items

Sequence Number	
1	<p>Policy Directives</p> <p>Disposition Authority Number DAA-0425-2017-0003-0001</p> <p>The recordkeeping copy of all policy directives. Policy directives for federal agencies, Federal Reserve Banks, financial institutions and the public, including transmittal letters and supporting materials on the development and publication of policies to include announcements that convey reporting requirements or procedures to be used during extraordinary events. Fiscal accounting policy directives include, but are not limited to, the Treasury Financial Manual (TFM), Treasury's official publication for financial accounting and reporting on all receipts and disbursements of the Federal Government; Treasury Financial Manual supplements such as Federal Account Symbols and Titles (FAST Book), Fund Balance with Treasury Reconciliation Procedure, a Supplement to Treasury Financial Manuals (TFM) 2-5100, and United States Standard General Ledger (Uniform Chart of Accounts) and policy directives/supporting materials published on the Fiscal Service internet sites.</p> <p>Final Disposition Permanent</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> <p>GRS or Superseded Authority Citation N1-425-09-003 / 1/A</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off when superseded, terminated, or abolished.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 1999</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1999 To 2002</p>

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	400 MB	50 MB
Paper	200 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Routine Policy Records

Disposition Authority Number **DAA-0425-2017-0003-0002**

Work sheets, guidance, and announcements for federal agencies, Federal Reserve Banks, financial institutions, and the public includes supporting materials on the development and publication of work sheets and guidance, announcements that convey information covering a temporary period of time or one-time events, such as dates for reporting requirements, fact sheets, and frequently asked questions (FAQs) or similar lists of anticipated questions and answers, such as those published on Fiscal Service internet sites.

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**

GRS or Superseded Authority Citation **N1-425-09-003 / 1/B**

Disposition Instruction

Cutoff Instruction **Cut off when revised, superseded or canceled.**

Retention Period **Delete / destroy 15 years after Cut off.**

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Additional Information

GAO Approval Not Required

Federal Program Agency Operations Records

Disposition Authority Number DAA-0425-2017-0003-0003

Information submitted to Fiscal Service by, or on behalf of other federal agencies or maintained by Fiscal Service at the agency level of detail for Fiscal Accounting and financial reporting.

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

GRS or Superseded Authority Citation N1-425-09-003 / 2

Disposition Instruction

Cutoff Instruction Cut off at end of fiscal year.

Retention Period Delete/destroy 7 years after Cut off.

Additional Information

GAO Approval Not Required

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Treasury Program Operations Records

Disposition Authority Number DAA-0425-2017-0003-0004

Contains accounting information on programs unique to Fiscal Service or Treasury and accounting information consolidated by Fiscal Service for fiscal accounting and financial reporting. Records include, but are not limited to, cash forecasting and balance information used to manage Treasury's daily cash position, information used to produce financial statements and notes, and information used to update and maintain Treasury financial reports. Included are development files and low-level consolidation documents used in compiling and formulating financial and accounting 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**
GRS or Superseded Authority Citation **N1-425-09-003 / 3
N1-425-09-003 / 4/B**

Disposition Instruction

Cutoff Instruction **Cut off at end of fiscal year.**
Retention Period **Delete/destroy 7 years after Cut off.**

Additional Information

GAO Approval **Not Required**

Significant Consolidated Reports

Disposition Authority Number **DAA-0425-2017-0003-0005**

Recordkeeping copy of significant reports such as the Combined Statement of Receipts, Outlays, and Balances of the United States Government; Financial Report of the United States Government; Quarterly Treasury Bulletins (for ex. contains a mix of narrative, tables, and charts related to Treasury issues, Federal financial operations, international statistics, and financial commitments of the U.S. Government); Treasury Statements, and significant information on the financial status of the government that does not appear in other Treasury reports such as substantial edits, information, or data that documents the decision-making process in the production and finalization of reports.

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? **Yes**

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

GRS or Superseded Authority Citation **N1-425-09-003 / 4/A**

Disposition Instruction

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Cutoff Instruction **Cutoff at the end of the fiscal year.**
 Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after Cutoff.**

Additional Information

First year of records accumulation **1996**
 What will be the date span of the initial transfer of records to the National Archives? **From 1996 To 2002**
 How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	500 MB	50 MB
Paper	30 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Fiscal Accounting Program Management Records

Disposition Authority Number **DAA-0425-2017-0003-0006**

Correspondence, reports, and other records accumulated in managing and carrying out assigned functions. These records document program or project management functions, internal procedures, initiatives, planning, management controls, performance measurement, and other program or project-related issues. These records may include, but are not limited to, memorandums of understanding, interagency agreements, service level agreements, fiscal agency agreements, financial agency agreements, records used to document performance criteria for services, roles and responsibilities, non-disclosure agreements, and the business owner copy of contracts.

Final Disposition **Temporary**
 Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in **Yes**

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-425-09-003 / 5/A
	Disposition Instruction	
	Cutoff Instruction	Cut off when program is terminated or when a particular record is superseded by a new version.
	Retention Period	Delete / destroy 7 years after Cut off.
	Additional Information	
	GAO Approval	Not Required
7	Treasury Appropriation Warrant and Warrant Journal Vouchers	
	Disposition Authority Number	DAA-0425-2017-0003-0007
	The Treasury Appropriation Warrant is a document that establishes by symbol, the individual amounts appropriated to federal agencies by Congress. Warrants record appropriations on the books of Treasury and the agency for which the appropriation is made. Warrant Journal Vouchers document adjustments for transactions on a daily, monthly, quarterly, and annual basis.	
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of fiscal year when the appropriation warrant is created.
	Retention Period	Delete/destroy 7 years after Cut off.
	Additional Information	
	GAO Approval	Not Required
8	Treasury Announcements Case Files	

Disposition Authority Number DAA-0425-2017-0003-0008

Treasury announcements are used to assign, amend, change, and discontinue Treasury Account Symbols (TAS). Case files include a copy of the Treasury Accounts (TA) related correspondence and supporting documentation.

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year when case file is created.

Retention Period Delete / destroy 7 years after Cut off.

Additional Information

GAO Approval Not Required

Program Management Subject Records

Disposition Authority Number DAA-0425-2017-0003-0009

Subject files pertaining to a specific aspect of the program. These records may include, but are not limited to, analyses of specific issues, correspondence with federal agencies, or other program participants, and interim 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

GRS or Superseded Authority Citation N1-425-09-003 / 5/B

Disposition Instruction

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Cutoff Instruction	Cut off files at the end of the fiscal year.
Retention Period	Destroy 7 year(s) after Cutoff
Additional Information	
GAO Approval	Not Required

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
03/16/2017	Certify	Brenda Alexander	Manager	ISS - DBI
10/20/2017	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/09/2018	Submit For Certification	Milton Guevara	Records Management Specialist	Treasury Department - Bureau of The Fiscal Service
01/09/2018	Certify	Brenda Alexander	Manager	ISS - DBI
01/18/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
03/07/2018	Submit For Certification	Milton Guevara	Records Management Specialist	Treasury Department - Bureau of The Fiscal Service
03/07/2018	Certify	Brenda Alexander	Manager	ISS - DBI
05/08/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/24/2018	Submit For Certification	Milton Guevara	Records Management Specialist	Treasury Department - Bureau of The Fiscal Service
05/30/2018	Certify	Brenda Alexander	Manager	ISS - DBI
08/22/2018	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services

08/29/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/29/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/30/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist