

Request for Records Disposition Authority

Records Schedule Number	DAA-GRS-2015-0006
Schedule Status	Modified Approved Version
Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record Group / Scheduling Group	General Records Schedules
Records Schedule applies to	Government-wide
Schedule Subject	GRS 1.3 Budgeting Records
Internal agency concurrences will be provided	No
Background Information	<p>Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.</p> <p>Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau- or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.</p> <p>Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.</p> <p>This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It does apply to OMB's and Treasury's own agency</p>

and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Item Count

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

GAO Approval

0001, 0002, 0003, 0004, 0005, 0006, 0007

Outline of Records Schedule Items for DAA-GRS-2015-0006

Sequence Number	
1	Records created and held by offices that prepare an agency's budget proposal for the White House
1.1	Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Disposition Authority Number: DAA-GRS-2015-0006-0001
1.2	Budget execution records. Disposition Authority Number: DAA-GRS-2015-0006-0002
1.3	Budget reports.
1.3.1	Full fiscal-year reports. Disposition Authority Number: DAA-GRS-2015-0006-0003
1.3.2	All other reports. Disposition Authority Number: DAA-GRS-2015-0006-0004
2	Records any office creates and holds
2.1	Budget preparation background records.
2.1.1	Records held in office responsible for preparing agency's budget proposal to the White House. Disposition Authority Number: DAA-GRS-2015-0006-0005
2.1.2	Records held at all other offices. Disposition Authority Number: DAA-GRS-2015-0006-0006
2.2	Budget administration records. Disposition Authority Number: DAA-GRS-2015-0006-0007

Records Schedule Items

Sequence Number					
1	<p>Records created and held by offices that prepare an agency’s budget proposal for the White House</p>				
1.1	<p>Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.</p> <p>Disposition Authority Number DAA-GRS-2015-0006-0001</p> <p>Includes records such as: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called “Green Books”) • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.</p> <p>Final Disposition Temporary</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> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 1.3, item 010</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 6 year(s) after close of fiscal year, but longer retention is authorized if required for business use.</p> <p>Additional Information</p>	Manual Citation	Manual Title	GRS 1.3, item 010	
Manual Citation	Manual Title				
GRS 1.3, item 010					

1.2

GAO Approval **Required and Received**

Budget execution records.

Disposition Authority Number **DAA-GRS-2015-0006-0002**

Records offices create and receive in the course of implementing and tracking an appropriation. Includes: • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records Exclusion: Formal budget reports are covered in items 030 and 031.

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**

Manual Citation	Manual Title
GRS 1.3, item 020	

GRS or Superseded Authority Citation **GRS 5, 1952, item 6 (GRS 5, item 4)**

Disposition Instruction

Retention Period **Destroy 6 year(s) after close of fiscal year, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Required and Received**

1.3

Budget reports.

Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.

1.3.1

Full fiscal-year reports.

Disposition Authority Number **DAA-GRS-2015-0006-0003**

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

Manual Citation	Manual Title
GRS 1.3, item 030	

GRS or Superseded Authority Citation GRS 5, 1952, item 5a (GRS 5, item 3a)

Disposition Instruction

Retention Period Destroy when 5 years old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Required and Received

1.3.2

All other reports.

Disposition Authority Number DAA-GRS-2015-0006-0004

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

Manual Citation	Manual Title
GRS 1.3, item 031	

GRS or Superseded Authority Citation NC-64-75-2 item 5b (GRS 5, item 3b)

	<p>Disposition Instruction</p> <p>Retention Period Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Required and Received</p> <p>2 Records any office creates and holds</p> <p>2.1 Budget preparation background records. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.</p> <p>2.1.1 Records held in office responsible for preparing agency's budget proposal to the White House.</p> <p>Disposition Authority Number DAA-GRS-2015-0006-0005</p> <p>Final Disposition Temporary</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> <table border="1" data-bbox="345 1356 1526 1461"> <thead> <tr> <th data-bbox="345 1356 937 1404">Manual Citation</th> <th data-bbox="937 1356 1526 1404">Manual Title</th> </tr> </thead> <tbody> <tr> <td data-bbox="345 1404 937 1461">GRS 1.3, item 040</td> <td data-bbox="937 1404 1526 1461"></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 2 year(s) after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Required and Received</p>	Manual Citation	Manual Title	GRS 1.3, item 040	
Manual Citation	Manual Title				
GRS 1.3, item 040					

2.1.2

Records held at all other offices.

Disposition Authority Number **DAA-GRS-2015-0006-0006**

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**

Manual Citation	Manual Title
GRS 1.3, item 041	

GRS or Superseded Authority Citation **NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)**

Disposition Instruction

Retention Period **Destroy when 2 years old, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Required and Received**

2.2

Budget administration records.

Disposition Authority Number **DAA-GRS-2015-0006-0007**

Records documenting administration of budget office responsibilities. Includes:
 • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation • cost structure and accounting code lists • feeder and statistical reports • related correspondence

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?

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

Manual Citation	Manual Title
GRS 1.3, item 050	

GRS or Superseded Authority Citation **GRS 5, 1952, item 1 (GRS 5, item 1)
GRS 5, 1952, item 3 (GRS 5, item 1)**

Disposition Instruction

Retention Period **Destroy when 3 years old, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Required and Received**

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
09/03/2015	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/02/2017	Submit for Concurrence	Katherene Kim	Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/07/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/07/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/08/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Revision 1. "Carryover requests" added as a bullet in item 0002 (GRS 1.3, item 020).
GRW, January 16, 2018.