

Request for Records Disposition Authority

Records Schedule Number DAA-0220-2014-0004

Schedule Status Returned Without Action

Agency or Establishment Recovery Accountability and Transparency Board

Record Group / Scheduling Group Records of Temporary Committees, Commissions, and Boards

Records Schedule Applies to Agency-wide

Schedule Subject Budget and Finance Records

Internal agency concurrences will be provided No

Background Information Budget and financial documents and supporting artifacts.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	8

GAO Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0220-2014-0004

Sequence Number	
1	Budget Formulation Disposition Authority Number: DAA-0220-2014-0004-0001
2	Budget Plans Disposition Authority Number: DAA-0220-2014-0004-0002
3	Status of Funds Disposition Authority Number: DAA-0220-2014-0004-0003
4	Over the Counter Purchases Disposition Authority Number: DAA-0220-2014-0004-0004
5	Postage and Delivery Fees and other Communication Records Disposition Authority Number: DAA-0220-2014-0004-0005
6	Bills of Collection Disposition Authority Number: DAA-0220-2014-0004-0006
7	Tax Exemption Files Disposition Authority Number: DAA-0220-2014-0004-0007
8	Accountable Officers' Accounts Records Disposition Authority Number: DAA-0220-2014-0004-0008

Retained Without Action

Records Schedule Items

Sequence Number	
1	<p data-bbox="389 433 662 470">Budget Formulation</p> <p data-bbox="389 487 1169 523">Disposition Authority Number DAA-0220-2014-0004-0001</p> <p data-bbox="389 541 1488 756">Material related to the formulation and justification of budget requests. This includes Budget Background Records, which consists of 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.</p> <p data-bbox="389 774 943 810">Final Disposition Temporary</p> <p data-bbox="389 827 943 864">Item Status Withdrawn</p> <p data-bbox="389 881 852 918">Is this item media neutral? Yes</p> <p data-bbox="389 935 835 1058">Do any of the records covered by this item currently exist in electronic format(s) other than mail and word processing? No</p> <p data-bbox="389 1090 695 1127">Disposition Instruction</p> <p data-bbox="389 1144 1235 1181">Cutoff Instruction Cut off files at end of fiscal year.</p> <p data-bbox="389 1198 1524 1645">Retention Period Destroy upon termination of Commission. *In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 5, Item 2 Budget Background Records - 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.</p> <p data-bbox="389 1677 695 1714">Additional Information</p> <p data-bbox="389 1731 979 1767">GAO Approval Not Required</p>
2	<p data-bbox="389 1791 579 1828">Budget Plans</p> <p data-bbox="389 1845 1177 1882">Disposition Authority Number DAA-0220-2014-0004-0002</p> <p data-bbox="389 1899 1488 1936">Material on the planned use of funds, apportionment schedules, allocations, etc.</p>

Required Without Action

Final Disposition	Temporary
Item Status	Withdrawn
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?	No
Disposition Instruction	
Cutoff Instruction	Cut off files at end of fiscal year.
Retention Period	Delete/destroy upon termination of the commission. *In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 5, Item 4 Budget Apportionment Files - Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. Destroy 2 years after the close of the fiscal year.
Additional Information	
GAO Approval	Not Required
Status of Funds	
Disposition Authority Number	DAA-0220-2014-0004-0003
Material related to the status of RATB's obligations and expenditures.	
Final Disposition	Temporary
Item Status	Withdrawn
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?	No
Disposition Instruction	
Cutoff Instruction	Cut off files at end of fiscal year.
Retention Period	Delete/destroy upon termination of the commission. *In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 7, Items 1-4 Expenditure Accounting General Correspondence and Subject Files - Correspondence or subject files maintained by operating units responsible for

Returned Without Action

3

expenditures accounting, pertaining to their internal operations and administration. Destroy when 2 years old. General Accounting Ledgers - General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary. Destroy 6 years and 3 months after the close of the fiscal year involved. Appropriation Allotment Files - Allotment records showing status of obligations and allotments under each authorized appropriation. Destroy 6 years and 3 months after the close of the fiscal year involved or by the sunset date, whichever is later. Expenditure Accounting Posting and Control Files - Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule. a. Original records. Destroy when 3 years old. b. Copies. Destroy when 2 years old.

Returned Without Action

Additional Information

GAO Approval Not Required

Over the Counter Purchases

Disposition Authority Number DAA-0220-2014-0004-0004

Material related to over the counter purchase orders, including required reports.

Final Disposition Temporary

Item Status Withdrawn

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? No

Disposition Instruction

Cutoff Instruction Cut off files at end of fiscal year.

Retention Period Delete/destroy upon termination of the commission. *Note: It may be considered that some files within this series are considered permanent and therefore kept for Audit purposes. **In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 5, Item 1 Correspondence files in formally organized budget office's 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.

Additional Information

GAO Approval Not Required

5

Postage and Delivery Fees and other Communication Records

Disposition Authority Number DAA-0220-2014-0004-0005

Material on use and costs of postage and special services delivery (overnight mail), to include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

Final Disposition Temporary

Item Status Withdrawn

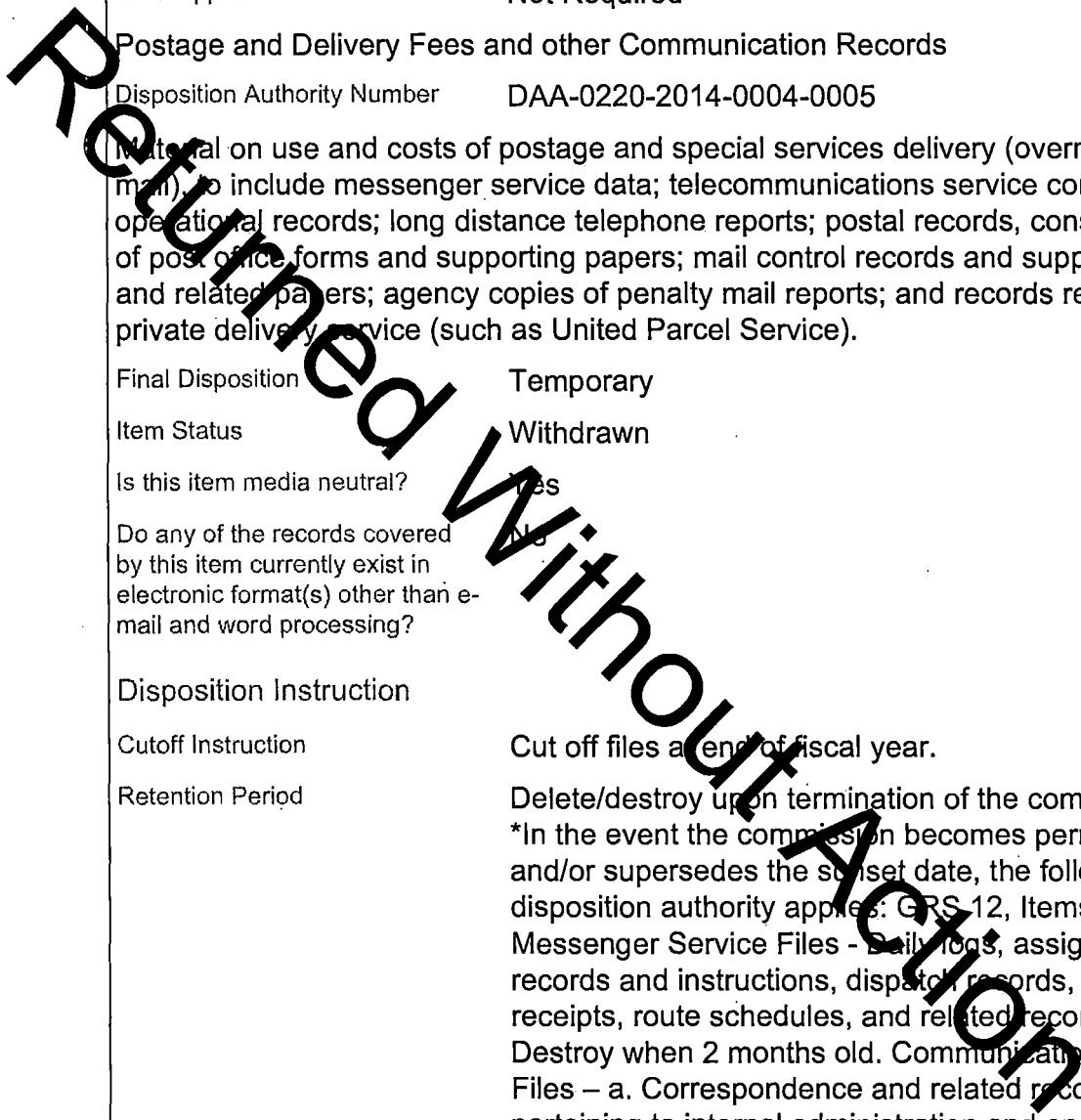
Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off files at end of fiscal year.

Retention Period Delete/destroy upon termination of the commission. *In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 12, Items 1-7 Messenger Service Files - Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records. Destroy when 2 months old. Communication General Files - a. Correspondence and related records pertaining to internal administration and operation. Destroy when 2 years old. b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters. Destroy when 3 years old. c. Telecommunications statistical reports including cost and volume data. Destroy when 1 year old. d. Telecommunications voucher files.



Returned Without Action

a. Reference copies of vouchers, bills, invoices, and related records. Destroy when 1 fiscal year old. b. Records relating to installation, change, removal, and servicing of equipment. Destroy 1 year after audit or when 3 years old, whichever is sooner. d. Copies of agreements with background data and other records relating to agreements for telecommunications services. Destroy 2 years after expiration or cancellation of agreement.

Telecommunications Operational Files – a. Message registers, logs, performance reports, daily load reports, and related and similar records. Destroy when 6 months old. b. Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14; Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office. Destroy when 2 months old. Telephone Use (Call Detail) Records - Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records. Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. [NOTE: Records for those numbers associated with e-mail transmission may be deleted or destroyed as indicated above if the agency has ensured that the transmission data that is necessary for the intelligibility of the e-mail is preserved elsewhere. Post Office and Private Mail Company Records - Post Office and private mail company forms and supporting papers, exclusive of records held by the

Returned Without Action

United States Postal Service. a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts. Destroy when 1 year old. b. Application for registration and certification of declared value mail. Destroy when 1 year old. c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail. Destroy when 1 year old. Mail and Delivery Service Control Files – a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files. Destroy when 1 year old. b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds). Destroy when 6 months old. c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). Destroy when 6 months old. d. Statistical reports and data relating to handling of mail and volume of work performed. Destroy when 1 year old. e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail. Destroy when 1 year old. f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service. Destroy when 6 months old. g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations. Destroy when 1 year old or when superseded or obsolete, whichever is applicable. h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals. Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. Metered Mail Files - Official metered mail reports and all related papers. Destroy when 6 years old. Postal Irregularities File - Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail. Destroy 3 years after completion of investigation.

6

Additional Information

GAO Approval Not Required

Bills of Collection

Disposition Authority Number DAA-0220-2014-0004-0006

Materials on bills sent to collect money due to RATB.

Final Disposition Temporary

Item Status Withdrawn

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? No

Disposition Instructions

Cutoff Instruction Cut off files at end of fiscal year.

Retention Period Delete/destroy upon termination of the commission.
*Note: It may be considered that some files within this series are considered permanent and therefore kept for Audit purposes. **In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 5, Item 3 Budget Reports Files - Periodic reports on the status of collection and appropriation accounts and apportionment. a. Annual report (end of fiscal year). Destroy when 5 years old. c. All other reports. Destroy 3 years after the end of the fiscal year.

Additional Information

GAO Approval Not Required

7

Tax Exemption Files

Disposition Authority Number DAA-0220-2014-0004-0007

Materials related to tax exemption certificates and related papers

Final Disposition Temporary

Item Status Withdrawn

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? No

Returned Without Action

Disposition Instruction

Cutoff Instruction

Cut off files at end of fiscal year.

Retention Period

Delete/destroy upon termination of the commission.
*Note: It may be considered that some files within this series are considered permanent and therefore kept for Audit purposes. **In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 3, Item 12 Tax Exemption Files – Tax exemption certificates and related papers. Destroy 3 years after period covered by related account.

Additional Information

GAO Approval

Not Required

Accountable Officers' Accounts Records

Disposition Authority Number

DAA-0220-2014-0004-0008

Materials related to accountable officers' returns, including record copies of all records concerned with the accounting for, availability, and status of public funds.

Final Disposition

Temporary

Item Status

Withdrawn

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?

No

Disposition Instruction

Cutoff Instruction

Cut off files at end of fiscal year.

Retention Period

Delete/destroy upon termination of the commission.
*Note: It may be considered that some files within this series are considered permanent and therefore kept for Audit purposes. **In the event the commission becomes permanent and/or supersedes the sunset date, the following disposition authority applies: GRS 6, Items 1 - 11 Accountable Officers' Files -
a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other

Returned Without Action

8

Returned Without Action

schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule. Destroy 6 years and 3 months after period covered by account. b. Memorandum copies of accountable officers' returns including statements of transactions and accountability, and supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2. Destroy when 1 year old. 2. GAO Exceptions Files. GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence. Destroy 1 year after exception has been reported as cleared by GAO. 3. Certificates Settlement Files. Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records. a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements. Destroy 7 years after date of settlement. c. Certificates covering periodic settlements. Destroy when subsequent certificate of settlement is received. 4. General Fund Files. Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule. Destroy when 3 years old. 5. Accounting Administrative Files. Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. a. Files used for workload and personnel management purposes.

Returned Without Action

Destroy when 2 years old. b. All other files. Destroy when 3 years old. 6. Federal Personnel Surety Bond Files. a. Official copies of bond and attached powers of attorney. (1) Bonds purchased before January 1, 1956. Destroy 15 years after bond becomes inactive. (2) Bonds purchased after December 31, 1955. Destroy 15 years after end of bond premium period. b. Other bond files including other copies of bonds and related documents. Destroy when bond becomes inactive or after the end of the bond premium period. 7. Gasoline Sales Tickets. Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline. Destroy after GAO audit or when 3 years old, whichever is sooner. 8. Telephone Toll Tickets. Originals and copies of toll tickets filed in support of telephone toll call payments. Destroy after GAO audit or when 3 years old, whichever is sooner. 9. Telegrams. Originals and copies of telegrams filed in support of telegraph bills. Destroy after GAO audit or when 3 years old, whichever is sooner. 10. Administrative Claims Files. a. Claims against the United States subject to 28 U.S.C. 2401. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below. Destroy when 6 years, 3 months old. b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1). Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below. (1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. Destroy when 6 years, 3 months old. (2) Claims for which collection action has been terminated under 4 CFR Part 104. (a) Claims for which the Government's right to collect was not extended. Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued. (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action. Destroy 3 months after the end of the extended period. (3)

Claims that the agency administratively determines are not owed to the United States after collection action was initiated. Destroy when 6 years, 3 months old. c. Claims files that are affected by a court order or that are subject to litigation proceedings. Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. 11. Waiver of Claims Files. Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records. a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount). Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved. b. Denied waivers. Destroy with related claims files in accordance with items 10b and 10c of this schedule.

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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
03/27/2014	Certify	Veda Woods	CISO Deputy CIO	Recovery Accountability and Transparency Board - Information Assurance Office
10/02/2014	Return Without Action	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services

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