

Request for Records Disposition Authority

Records Schedule Number DAA-0269-2016-0004

Schedule Status Approved

Agency or Establishment General Services Administration

Record Group / Scheduling Group General Records of the General Services Administration

Records Schedule applies to Agency-wide

Schedule Subject Budget, Finance, and Contractor Management Program Records
(269.3)

Internal agency concurrences will
be provided No

Background Information This record group is concerned with record series created and referenced in compiling, tracking, and reporting on the development of GSA's annual budget and the case files created with regard to contractor suspension and debarments. Unlike the GRS schedule 5 on Budgeting, these records are kept longer for historical and business reference purposes. These record types address recordkeeping needs described in the OMB Circular A-11; Preparation, Submission, and Execution of the Budget (June 2015), Section 31.8.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	3	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0269-2016-0004

Sequence Number	
1	269.3 Budget, Finance, and Contractor Management Records
1.1	269.3/010 – Budget Estimates and Justifications Disposition Authority Number: DAA-0269-2016-0004-0001
1.2	269.3/020 – Budget Digests Disposition Authority Number: DAA-0269-2016-0004-0002
1.3	269.3/030 – Accounting Reports Disposition Authority Number: DAA-0269-2016-0004-0003
1.4	269.3/041 – Contractor Suspension and Debarment Case File Records Disposition Authority Number: DAA-0269-2016-0004-0004

Records Schedule Items

Sequence Number

1 269.3 Budget, Finance, and Contractor Management Records

1.1 269.3/010 – Budget Estimates and Justifications

Disposition Authority Number DAA-0269-2016-0004-0001

Record copies of documents accumulated or created in preparing, reviewing, and coordinating the annual and supplemental budget estimates, forecasts, budget guidelines, published estimates, allowance letters, and justifications.

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? No

GRS or Superseded Authority Citation NC1-269-76-002 / 14A10/a

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year after publication.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1949 To 2000

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	
Paper		
Microform		

Hardcopy or Analog Special Media		
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1.2

269.3/020 – Budget Digests

Disposition Authority Number **DAA-0269-2016-0004-0002**

Documents reflecting, in digest form, a comprehensive history of appropriations; programs; obligations, expenditures, workload, performance, cost, and employment data, and similar information about annual and supplemental budgets. Budget digests are updated annually by page changes.

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? **No**

GRS or Superseded Authority Citation **NC1-269-76-002 / 14A60**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year for all changes made that year. Preserve an annual digest of the changes.**

Transfer to the National Archives for Accessioning **Transfer annual digest to NARA 15 years after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1949 To 2000**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	
Paper		
Microform		

Hardcopy or Analog Special Media		
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1.3

269.3/030 – Accounting Reports

Disposition Authority Number **DAA-0269-2016-0004-0003**

Financial and statistical reports received, reviewed, summarized, and maintained by the agency-wide office responsible for submitting budgets and reporting on obligations and expenditures. This combined annual report is the record copy.

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? **No**

GRS or Superseded Authority Citation **NC1-269-77-001 / 16A25/b/1**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year after publication of the report.**

Transfer to the National Archives for Accessioning **Transfer to NARA 15 years after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1949 To 2000**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	
Paper		
Microform		

Hardcopy or Analog Special Media		
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1.4

269.3/041 – Contractor Suspension and Debarment Case File Records

Disposition Authority Number **DAA-0269-2016-0004-0004**

Information relating to investigation of (1) contractors and potential contractors for suspension or debarment from contracting with the Federal government and/or for exclusion from acting as individual sureties, and (2) participants for suspension or debarment from participating in certain types of Federal financial and non-financial assistance and benefits. Included are case files that generally contain a copy of the investigative report, indictments and/or convictions, feeder reports and resource material supporting the findings, other court documents, other documentation of the contractor's actual or alleged wrongdoing, incorporation papers, suspension or debarment notices (including those received from other Federal agencies), and other related correspondence and records. Also included are System for Award Management (SAM) exclusion listings.

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? **No**

GRS or Superseded Authority Citation **N1-269-87-002 / 70A38/a
N1-269-87-002 / 70A38/b
NC1-137-77-001 / 60B10/a
NC1-137-77-001 / 60B10/b
NC1-352-81-001 / 55I45
NC1-352-81-002 / 27B45
NC1-137-77-3 / 61B35
NC1-137-77-3 / 61B50**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year following decision on debarment or suspension.**

Retention Period **Destroy 6 years 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
04/13/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
10/25/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/01/2016	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
11/02/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
08/11/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/14/2017	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
08/14/2017	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
08/28/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/28/2017	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
08/29/2017	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer -

				Office of Policy and Compliance
01/31/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/22/2018	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
02/22/2018	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
02/23/2018	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/23/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/23/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/26/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist