

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0412-2013-0020**  
Schedule Status                      **Approved**

Agency or Establishment              **Environmental Protection Agency**  
Record Group / Scheduling Group      **Records of the Environmental Protection Agency**  
Records Schedule applies to              **Agency-wide**  
Schedule Subject                      **Financial Management**

Internal agency concurrences will be provided      **No**

Background Information              **This schedule covers records of activities related to use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. Includes records related to: accounting for assets, liabilities, fund balances, revenues and expenses associated with the maintenance of federal funds and expenditure of federal appropriations (salaries and expenses, operation and maintenance, procurement, working capital, trust funds, etc.), in accordance with applicable federal standards; management of the federal budget process including the development of plans and programs, budgets, and performance outputs and outcomes as well as financing federal programs and operations through appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms; disbursements of federal funds, via a variety of mechanisms, to federal and private individuals, federal agencies, state, local and international governments, and the private sector to effect payment for goods and services, or distribute entitlements, benefits, grants, subsidies, loans, or claims.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-0412-2013-0020

Sequence Number	
1	Financial Management
1.1	Budget records Disposition Authority Number: DAA-0412-2013-0020-0001
1.2	Accounting and appropriation allotment records Disposition Authority Number: DAA-0412-2013-0020-0002
1.3	Payroll support Disposition Authority Number: DAA-0412-2013-0020-0003
1.4	Payroll records not covered elsewhere Disposition Authority Number: DAA-0412-2013-0020-0004

## Records Schedule Items

Sequence Number					
1	<b>Financial Management</b>				
1.1	<p><b>Budget records</b></p> <p>Disposition Authority Number      <b>DAA-0412-2013-0020-0001</b></p> <p>Includes, but is not limited to: apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation; 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 apportionment language sheets, narrative statements, copies of transcripts of congressional budget hearings, and related documents; and reports generated and received throughout the budget process, including copies of the annual budget, as well as periodic reports on the status of appropriation accounts and apportionment and documents authorizing new or revised budget allowances to programs (excludes the record copy of the annual budget submitted to the Administrator, the Office of Management and Budget (OMB), and the President which is permanent and covered by schedule 299, item c(1)).</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>EPA 1005 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>GRS 5/3a GRS 5/3b GRS 5/4 GRS 5/2</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Close at end of fiscal year covered by the budget or when no longer needed for current agency business.</b></p>	Manual Citation	Manual Title	EPA 1005 item a	
Manual Citation	Manual Title				
EPA 1005 item a					

1.2

Retention Period Destroy 5 year(s) after file closure.

Additional Information

GAO Approval Not Required

Accounting and appropriation allotment records

Disposition Authority Number DAA-0412-2013-0020-0002

Includes, but is not limited to: accountable officers' files maintained by the Agency for site audit by the Government Accountability Office (GAO) auditors, consisting of statements of transactions, statements of accountability, collection schedules and vouchers, disbursement schedules and vouchers, and all other schedules and vouchers, or documents used as schedules or vouchers (excludes commercial freight charges for services for fiscal accounts that are not settled and payroll records covered by other items in this schedule); appropriation allotment files, showing status of obligations and allotments under each authorized appropriation; external accounting reports as required by government-wide regulations; and general accounting ledgers, showing debit and credit entries, and reflecting expenditures in summary.

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
EPA 1005 item b	

GRS or Superseded Authority Citation  
GRS 7/3  
EPA 9/1a  
GRS 6/1a  
N1-412-07-69/5  
GRS 3/6b

Disposition Instruction

Cutoff Instruction Close when end of fiscal year has occurred, or when fiscal year close-out activities are concluded, or when period covered by the account has ended.

Retention Period Destroy 10 year(s) after file closure.

1.3

**Additional Information**

GAO Approval Not Required

**Payroll support**

Disposition Authority Number DAA-0412-2013-0020-0003

Includes employee status reports for employee's statement data, prepared biweekly, quarterly, and annually.

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
EPA 1005 item c	

GRS or Superseded Authority Citation N1-412-07-69/2a

**Disposition Instruction**

Cutoff Instruction Close at end of pay cycle.

Retention Period Destroy 56 year(s) after file closure.

**Additional Information**

GAO Approval Not Required

**Payroll records not covered elsewhere**

Disposition Authority Number DAA-0412-2013-0020-0004

Includes, but is not limited to: Combined Federal Campaign and other allotment authorizations, such as union dues and savings; leave application files, if employee has not electronically submitted their time card of equivalent; payroll control consisting of worksheets, reconciliation reports, redistribution of disbursement between appropriations, and related records; and payroll system reports, including error reports, ticklers, system operation reports, reports and data used for workload and/or personnel management purposes.

Final Disposition Temporary

1.4

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
EPA 1005 item d	

GRS or Superseded Authority Citation  
 GRS 2/6b  
 GRS 2/15a(1)  
 GRS 2/15a(2)  
 N1-412-07-69/3a  
 GRS 2/22a  
 GRS 2/22b  
 GRS 2/22c

Disposition Instruction

Cutoff Instruction Close after GAO audit or when 3 years old, whichever is sooner.

Retention Period Destroy immediately after file closure.

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
08/07/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/20/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/20/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
08/20/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
10/22/2013	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
10/24/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/24/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/25/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

**402 – Financial Management**

The use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. Includes records related to: accounting for assets, liabilities, fund balances, revenues and expenses associated with the maintenance of federal funds and expenditure of federal appropriations (salaries and expenses, operation and maintenance, procurement, working capital, trust funds, etc.), in accordance with applicable federal standards; management of the federal budget process including the development of plans and programs, budgets, and performance outputs and outcomes as well as financing federal programs and operations through appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms; disbursements of federal funds, via a variety of mechanisms, to federal and private individuals, federal agencies, state, local and international governments, and the private sector to effect payment for goods and services, or distribute entitlements, benefits, grants, subsidies, loans, or claims.

<b>Previous Schedule</b>	<b>Previous Title</b>	<b>Previous Retention</b>	<b>New Schedule</b>
040a GRS 5/3a	Budget reports – Annual report	Close inactive records at end of fiscal year. Destroy 5 years after file closure.	1005a
040b GRS 5/3b	Budget reports – All other reports	Close inactive records at end of fiscal year. Destroy 3 years after file closure.	1005a
043a GRS 7/3	Appropriation allotment files – Record copy	Destroy 6 years and 3 months after the close of the fiscal year involved.	1005b
121a GRS 9/1a	Transportation and freight – Original vouchers and support documents – Commercial freight charges of settled fiscal accounts	Close file after the period of the fiscal account. Destroy 6 years after file closure.	1005b
121b GRS 9/1b	Transportation and freight – Other payment records – Commercial freight charges for services	Close file at end of year. Destroy 10 years after file closure.	1005g
276a(1) GRS 2/7	Time and attendance source records - Source records maintained by Payroll Management and Outreach Staff (PMOS)	Destroy after GAO audit or when 6 years old, whichever is sooner.	1005f
278a GRS 6/1a	Accountable officers' files – Site audit records as listed in guidance, or their equivalents	Destroy 6 years and 3 months after period covered by the account.	1005b
278b GRS 6/1b	Accountable officers' files – Memorandum copies of accountable officers' returns	Destroy when 1 year old.	1005h
279a(1) GRS 2/6a	Leave records – Leave application files – If employee initials time card or equivalent	Destroy at end of following pay period.	1005f
279a(2) GRS 2/6b	Leave records – Leave application files – If employee has not initialed time card or equivalent	Destroy after GAO audit or when 3 years old, whichever is sooner.	1005d

Crosswalk for schedule 1005  
August 20, 2013

<b>Previous Schedule</b>	<b>Previous Title</b>	<b>Previous Retention</b>	<b>New Schedule</b>
279b(1) GRS 2/9a	Leave records – Leave record prepared upon transfer or separation	File on right side of Official Personnel Folder. Follow instructions in EPA 553 – Official Personnel Folders (OPF) – Civilian or EPA 554 – Agency Personnel Folders – Public Health Service Commissioned Corps Personnel.	1005 guidance
280a N1-412-07-69/2a	Payroll support – Record copy	Close inactive records at end of pay cycle. Destroy 56 years after file closure.	1005c
281a(1) GRS 2/15a(1)	Combined Federal Campaign and other allotment authorizations – Authorization for individual allotment to the Combined Federal Campaign	Destroy after GAO audit or when 3 years old, whichever is sooner.	1005d
281a(2) GRS 2/15a(2)	Combined Federal Campaign and other allotment authorizations – Other authorizations, such as union dues and savings	Destroy after GAO audit or when 3 years old, whichever is sooner.	1005d
282a N1-412-07-69/3a	Payroll control – Record copy	Close inactive records at end of year. Destroy 3 years after file closure or audit by GAO, whichever is earlier.	1005d
283a GRS 2/1b	Individual Employee Pay Record – Record copy	Close after employee leaves the Agency. Transfer to the National Personnel Records Center. Destroy when 56 years old.	1005e
284a GRS 2/22a	Payroll system reports – Error reports, ticklers, system operation reports	Destroy when related actions are completed or when no longer needed, not to exceed 2 years.	1005d
284b GRS 2/22b	Payroll system reports – Reports and data used for agency workload and/or personnel management purposes	Destroy when 2 years old.	1005d
284c GRS 2/22c	Payroll system reports – Reports providing fiscal information on agency payroll	Destroy after GAO audit or when 3 years old, whichever is sooner.	1005d
289a N1-412-07-69/5	External accounting reports as required by government-wide regulations – record copy	Close inactive records when reports are completed. Destroy 3 years after file closure.	1005b
535b GRS 3/6b	Public printer files – Accounting copy of requisition	Destroy 3 years after period covered by related account.	1005b
589a GRS 5/4	Budget apportionment files – Record copy	Destroy 2 years after the close of the fiscal year.	1005a

Crosswalk for schedule 1005  
August 20, 2013

<b>Previous Schedule</b>	<b>Previous Title</b>	<b>Previous Retention</b>	<b>New Schedule</b>
591a GRS 5/2	Budget background records - Record copy	Destroy 1 year after the close of the fiscal year covered by the budget.	1005a