

**REQUEST AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED	JOB NO.
SEP 23 1976	
NC 1 - 412-76-16	
NOTIFICATION TO AGENCY	
<p>In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10</p>	
<p>4-7-77 <i>James E. O'Neill</i> Date <i>acting</i> Archivist of the United States</p>	

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Environmental Protection Agency
2. MAJOR SUBDIVISION
Office of Planning and Management
3. MINOR SUBDIVISION
Office of Resources Management - Budget Operations Div
4. NAME OF PERSON WITH WHOM TO CONFER
David O. Stephens
5. TEL. EXT.
755-0830
6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

SEP 20 1976

Harold R. [Signature]

Chief, Adm. Mgmt. Branch

(Date)

(Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1-10	<p>Proposed retention periods and disposition instructions with item descriptions are attached for Budget Operations Records.</p> <p>Note: Mr. Larry Herrmann of the General Accounting Office has advised us that GAO approval is not required for these records.</p>		

Sent to agency, NNIB and NEW - 4/11/77

14 items

<p style="text-align: center;">ENVIRONMENTAL PROTECTION AGENCY</p> <p>APPENDIX B</p> <p>RECORDS CONTROL SCHEDULES GENERAL RECORDS</p>	<p>MANUAL</p> <p>RECORDS MANAGEMENT</p>
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BUDGET OPERATIONS RECORDS

These records relate to the functions of formulating the Agency budget for submission to the Office of Management and Budget and to the Congress, and of controlling the uses and expenditures of the funds by Agency allowance holders to insure that they are sufficient to meet Agency obligations for the budget cycle period.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>EPA Initial Agency Budget File, 1971-1972.</u> A historical file of the first EPA budget. Records show funds and personnel transferred to EPA from Interior, HEW, Agriculture and other Federal agencies.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Keep in office for 7 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p>
2.	<u>Apportionment and Allotment Books.</u> Record copies of documents showing the status of appropriation/allotments. Records consist of Apportionment and Reapplication Schedule (SF-132) showing budgetary resource application, Records of Allowances and Allotments, Allotment Notice, Treasury Warrant, and other related records. Also includes microfiche copies produced in accordance with 41 CFR 101-11.504 and maintained in accordance	<p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain 1 year.</p> <p>b. <u>Microfiche Copies.</u> Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office current plus 1 additional year, then destroy after receipt of</p>

TN
ORIGINATOR:

MANUAL	CHAPTER NUMBER APPENDIX B
RECORDS MANAGEMENT	CHAPTER TITLE RECORDS CONTROL SCHEDULE GENERAL RECORDS

Item	Name and Description of Record/File	Retention Period and Disposition
	with 41 CFR 101-11.505.	microfiche copies.
3.	<u>Change Request Books.</u> Includes record copies of forms used to request and authorize changes in previously approved budget allowance for Agency programs and projects. Records consist of correspondence and memorandums initiating the request, change request/notification forms, evaluation forms, and other supporting papers.	<p><u>Retention:</u></p> <p>b. <u>Microfiche Copies.</u> Keep in office for 10 years, then offer to the National Archives in accordance with 41 CFR 101-11.503.</p> <p>a. <u>Paper Records.</u> Retain 1 year.</p> <p>b. <u>Microfilm Copies.</u> Retain 4 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office current plus 1 additional fiscal year, then destroy after receipt of microfilm copies.</p> <p>b. <u>Microfilm Copies.</u> Keep in office current plus 4 additional fiscal years, then destroy.</p>
4.	<u>Resource Requirements Reports.</u> Computer produced reports showing the status of the Agency budget by allowance holders. Report shows	<p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain 5 years.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES
GENERAL RECORDS

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	changes in the budget at various stages of congressional and White House approval, and by several breakdowns (i.e. quarterly, annual, by appropriation authorization etc.) Also includes COM generated microfiche copies, produced in accordance with 41 CFR 101-11.504 and maintained in accordance with 41 CFR 101-11.505.	<p>b. <u>Microfiche Copies.</u> Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office current plus 5 additional fiscal years, then destroy after receipt of microfiche copies.</p> <p>b. <u>Microfiche Copies.</u> Keep in office for 10 years, then offer to the National Archives as provided by 41 CFR 101-11.503.</p>
5.	<u>Budget Hearing Files.</u> Includes transcripts of hearings before Senate and House Budget Committees. Used to justify and support EPA budget before Congress. Transcripts show testimony of Agency program and management officials. Also includes supporting documents such as program plans, etc.	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Keep in office current plus 1 additional fiscal year, then destroy.</p>
6.	<u>Allowances Books.</u> Record copies of documents used to authorize new or revised budget allowances to Agency programs. Records consist of Advice of Allowance (EPA Form 2430-1) showing allowance	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Keep in office current plus 3 additional fiscal years, then destroy.</p>

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7.	<p>recipient, whether new obligations, contract authority, or prior year funds, and other information. May also include supporting papers.</p> <p><u>Report on Budget Execution.</u> Reference copies of report (SF-133) prepared by Financial Management Office and submitted to Congress and Office of Management and Budget. Report used as basis for budget submission. Shows budgetary resources, relation of obligations to disbursements, and other information.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Keep in office current plus 5 additional fiscal years, then destroy.</p>
8.	<p><u>Miscellaneous Financial and Budget Reports.</u> A collection of various financial and budget reports. Included are spend-out outlay reports, federal aid to states Treasury report, budget information systems reports, priceouts on pay raises, travel limitations reports, GAO submissions, research and development reports, and others.</p>	<p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Review files annually every year, keeping records of continuing administrative or reference value and disposing of other materials.</p>
9.	<p><u>Budget Preparation Files.</u> Includes records used to prepare the EPA budget for printing.</p> <p>a. <u>Budget Worksheets.</u></p>	<p><u>Retention:</u> Retain 7 years.</p>

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10.	<p><u>Other Backup Records.</u> Includes correspondence, memos, and other records used in budget preparation.</p> <p><u>Program Management Files.</u> Contains records pertaining to all phases of the administration and management of the budget operations program. Records consist of correspondence and reports relative to policy and programs procedures, interagency activity, Governmentwide budgetary procedures, and other related reports and correspondence.</p>	<p><u>Disposition:</u> Keep in office current plus 1 additional fiscal year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.</p> <p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Keep in office current plus 1 additional fiscal year, then destroy.</p> <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file each year. Keep in office for 3 years, then destroy.</p>