

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2015-0006

Status: APPROVED
Date Approved: 08/08/2017
Last Modified: 11/03/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	GRS 1.3 Budgeting Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <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>

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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 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.

Is There a Classified Version of This Schedule?

No

Is consultation and coordination with Tribal Governments required?

Predate requirement

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Item Count

Total number of disposition items: 7

Number of Temporary disposition items: 7

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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

Item #	Title	Disposition
0001	Records created and held by offices that prepare an agency's budget proposal for the White House : Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.	Temporary
0002	Records created and held by offices that prepare an agency's budget proposal for the White House : Budget execution records.	Temporary
0003	Records created and held by offices that prepare an agency's budget proposal for the White House : Budget reports. : Full fiscal-year reports.	Temporary
0004	Records created and held by offices that prepare an agency's budget proposal for the White House : Budget reports. : All other reports.	Temporary
0005	Records any office creates and holds : Budget preparation background records. : Records held in office responsible for preparing agency's budget proposal to the White House.	Temporary
0006	Records any office creates and holds : Budget preparation background records. : Records held at all other offices.	Temporary
0007	Records any office creates and holds : Budget administration records.	Temporary

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Records Schedule Items

Group Title	Records created and held by offices that prepare an agency’s budget proposal for the White House	
DAA-GRS-2015-0006-0001	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.	
Item Description	<p>Includes records such as:</p> <ul style="list-style-type: none">• 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 <p>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>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 1.3, item 010	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)	Yes	NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 6 year(s) after close of fiscal year, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	Requested and Received
DAA-GRS-2015-0006-0002 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Budget execution records.
Item Description	<p>Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none">• 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 <p>Exclusion: Formal budget reports are covered in items 030 and 031.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.3, item 020
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	

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Superseded Item	Item Superseded in Part?	Explanation
GRS 5, 1952, item 6 (GRS 5, item 4)	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Destroy 6 year(s) after close of fiscal year, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	Requested and Received	

Group Title	Records created and held by offices that prepare an agency's budget proposal for the White House : Budget reports.	
Group Description	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.	
DAA-GRS-2015-0006-0003		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Full fiscal-year reports.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 1.3, item 030	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
GRS 5, 1952, item 5a (GRS 5, item 3a)	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	

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Retention Period	Other: Destroy when 5 years old, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	Requested and Received
DAA-GRS-2015-0006-0004	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	All other reports.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.3, item 031
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded Explanation in Part?
NC-64-75-2 item 5b (GRS 5, item 3b)	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when 3 years old, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	Requested and Received

Group Title	Records any office creates and holds : Budget preparation background records.
Group Description	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.

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DAA-GRS-2015-0006-0005		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Records held in office responsible for preparing agency's budget proposal to the White House.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	GRS 1.3, item 040		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)	Yes	NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)	
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
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.		
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?			
GAO Approval Required	Requested and Received		
DAA-GRS-2015-0006-0006		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Records held at all other offices.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	GRS 1.3, item 041		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		

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Superseded Item	Item Superseded in Part?	Explanation
NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)	Yes	NC1-GRS-81-13 item 2, in part (GRS 5, item 2, in part)
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy when 2 years old, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	Requested and Received	

Group Title	Records any office creates and holds
DAA-GRS-2015-0006-0007	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Budget administration records.
Item Description	<p>Records documenting administration of budget office responsibilities. Includes:</p> <ul style="list-style-type: none"> 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
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.3, item 050
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes

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Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
GRS 5, 1952, item 1 (GRS 5, item 1)	No
GRS 5, 1952, item 3 (GRS 5, item 1)	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when 3 years old, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
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GAO Approval Required	Requested and Received

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Signatory Information

Action	User	Date
Approve	David Ferriero	08/08/2017