

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-412-85-09

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 4/7/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 3A4, All other versions of the budget

Item 3B2, All other versions of the budget

Item 5, Resource Requirements Reports

Item 7, Allowance Books

Item 8, Report on Budget Execution.

Item 9, Miscellaneous Financial and Budget Reports

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 1, 2, 4 and 6 were not approved.

DAA-GRS-2015-0006-0002 supersedes item 3B1.

N1-412-09-001 supersedes item 3A1, 3A2, 3A3.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Environmental Protection Agency

2. MAJOR SUBDIVISION

Budget Division

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Thomas Tasker

5. TEL. EXT.

382-5911

LEAVE BLANK

JOB NO

NCL-412-85-9

DATE RECEIVED

1-3-85

NOTIFICATION TO AGENCY

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

2-26-87
Date

Frank S. Bink
Archivist of the United States

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 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

| C. DATE | D. SIGNATURE OF AGENCY REPRESENTATIVE | E. TITLE |
|----------|---------------------------------------|-----------------------------------|
| 12/21/87 | <i>Thomas Tasker</i> Thomas Tasker | Agency Records Management Officer |

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|-------------|--|---------------------------------|------------------|
| 1 - 9 | Budget Operations Records Control Schedule is being revised to make it consistent with the Program's current operations. The revision of this Schedule is part of a major review and update of the EPA Records Control Schedules. Attached is a copy of the revised Budget Operations Records Control Schedule. | Appendix B Schedule 23 | |

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

| TITLE OF SCHEDULE | | COVERAGE OF SCHEDULE | |
|---------------------------|--|--|--|
| BUDGET OPERATIONS RECORDS | | AGENCYWIDE | |
| ITEM NO. | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION | |
| 1. | EPA Initial Agency Budget File, 1971-1972. A historical file of the first EPA budget. Records show funds and personnel transferred to EPA from Interior, HSW, 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 FRC. Keep in FRC for 20 years, then offer to the National Archives.</p> | |
| 2. | Apportionment and Allotment Books. 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 36 CFR, Part 1230. | <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> Retain 1 year. Keep in office current plus 1 additional year, 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 in accordance with 41 CFR 101-11.503.</p> <p>36 CFR 1230</p> | |
| 3. | Resources Management Information System (RMIS). Creates, tracks, modifies, and analyzes the current budget, composes budget allocations, and performs historical trend analysis of the EPA budget. | | |
| | a. Budget Planning File. Represents various versions of the budget historical process from the initial draft through the final approved budget. | | |
| | 1) Initial in-house budget (OMB REQ TAPE) | | |
| | 2) Budget as sent to Congress (PRES. BUDGET TAPE) | | |
| | 3) Final Approved Budget (FINAL OPCON TAPE) | | |
| | 4) All other versions of the budget. | <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Transfer a tape copy of these files with the appropriate documentation to NARA two-months after the end of the budget year.</p> <p><u>Retention:</u> See disposition below.</p> <p><u>Disposition:</u> Destroy when no longer needed for analysis or to document budget office activities.</p> | |

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

BUDGET OPERATIONS RECORDS

AGENCYWIDE

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

b. Budget Execution File. Identifies spending for each budget item at specific intervals.

1) Year-end reports.

Retention: Permanent.

Disposition: Transfer ^ato tape copy with appropriate documentation to NARA two-months after the end of the budget year.

2) All other versions.

Retention: See disposition below.

Disposition: Destroy when no longer needed for analysis or to document budget office activities.

4. Change Request Books. 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 memorandum initiating the request, change request/notification forms, evaluation forms, and other supporting papers.

Retention: Retain 1 year.

Disposition: ~~Keep in office current plus~~ 1 additional fiscal year, then destroy.

5. Resource Requirements Reports. Computer produced reports showing the status of the Agency budget by allowance holders. Report shows 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.).

Retention: See disposition below.

Disposition: Destroy outdated Reports when revised reports are received.

6. Budget Hearing Files. Include 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 as program plans, etc.

Retention: Retain 1 year.

Disposition: Break file at end of year. Keep in office for 1 year, then destroy.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

| TITLE OF SCHEDULE | | COVERAGE OF SCHEDULE |
|---------------------------|---|--|
| BUDGET OPERATIONS RECORDS | | AGENCYWIDE |
| ITEM NO. | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 7. | <u>Allowance 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 recipient, whether new obligation, contract authority, or prior year funds, and other information. may also include supporting papers. | <p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain 5 years.</p> <p>b. <u>Microfiche Copies.</u> See disposition below.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Break file at end of year. Keep in office for 2 years, then transfer to the FRC. Destroy when 5 years old.</p> <p>b. <u>Microfiche Copies.</u> Destroy when no longer needed.</p> |
| 8. | <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><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Keep file at end of year. Keep in office for 2 years, then destroy.</p> |
| 9. | <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 system reports, priceouts on pay raises, travel limitations reports, GAO submissions, research and development reports, and others. | <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Review files annually, keeping records of continuing administrative or reference value and disposing of other materials.</p> |

RECORDS MANAGEMENT MANUAL