

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-280-07-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/25/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items are active in full except BUD-701, 711, and 712.

BUD-701, -711, and -712 are active for records concerning 2016 and earlier agency budget submissions.

## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

DAA-GRS-2015-0006-0001 supersedes records concerning agency 2017 budget submissions and forward only in items BUD-701, -711, and -712.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		I FAVE RI ANK (NARA use only) JOB NUMBER <b>N1-280-07-4</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <b>1/10/07</b>	
1 FROM (Agency or establishment) FEDERAL MEDIATION AND CONCILIATION SERVICE		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION ADMIN SERVICES/INFORMATION SYSTEMS DEPT			
3 MINOR SUBDIVISION Budget and Finance Department			
4 NAME OF PERSON WITH WHOM TO CONFER DEAN BUNDY	5 TELEPHONE (202) 606-2157	DATE <b>4/17/00</b>	ARCHIVIST OF THE UNITED STATES <b>Allen W. ...</b>

6 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 on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested		
DATE 8 DEC 2003	SIGNATURE OF AGENCY REPRESENTATIVE <b>Dean Bundy</b>	TITLE RECORDS MANAGER

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Administrative Records of the FMCS Budget and Finance Department		

*LE 4/30/08 copies sent to agency, NWMD, NWMG, NWMA, NR, 9 NWCTC*

AUTHORIZED FOR LOCAL REPRODUCTION  
 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)  
 Prescribed by NARA  
 36 CFR 1228

## RETENTION SCHEDULE

700 Series

### RECORDS OF THE OFFICE OF BUDGET AND FINANCE

**These disposition instructions apply to all the described records regardless of physical media, except as noted.**

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File number

Title/description

#### **BUD-701**

##### *Official FMCS Budget Submission Published Annually*

The official FMCS Budget published annually for submission to Congress and OMB. Annual accumulation is negligible. Date range is 1992-current year. Volume on hand is less than 2 cubic feet. Arrangement is chronological.

(a) Official record copy of the annual publication

**Permanent.** Maintain as official record file by fiscal year in the Office of Budget and Finance. If paper, cut off at the end of the 5<sup>th</sup> fiscal year and transfer to offsite storage. Transfer to NARA 5 years after cut-off when newest records are 10 years old. If electronic, transfer in accordance to 36 CFR 1228.270, or in accordance with transfer standard in effect at the time of future transfer.

(b) Copies retained in the Office of Budget and Finance or elsewhere in the Agency for reference or informational purposes.

Temporary. Destroy when 5 years old or no longer needed for reference, whichever is earlier.

#### **BUD-702**

##### *Official Correspondence of the Director, Office of Budget and Finance*

Correspondence or subject files documenting Agency budget policy and procedures and reflecting policy decisions affecting expenditures for Agency programs.

(a) Record copies of correspondence and subject files that originate in the Office of the Director of Budget and Finance. Annual accumulation is less than 1 cubic foot per year. Date range is 1997-current year. Total volume is less than 4 cubic feet. Arrangement is chronological and alphabetical by subject.

**Permanent.** If paper, cut off files in 5 year blocks and transfer to off-site storage. Transfer to NARA five years after cut-off when the newest records are ten years old. If electronic, transfer in accordance to 36 CFR 1228.270, or in accordance with transfer standard in effect at the time of future transfer.

(b) Reference or convenience copies retained in the Office of Budget and Finance or in other Agency departments.

Temporary. Destroy when 3 years old.

**BUD-703** ~~General Correspondence Files~~

~~General correspondence, notes, internal memos, and related documents pertaining to routine internal administrative procedures of the Office of Budget and Finance.~~

~~Temporary. Destroy when 3 years old. (GRS 5.1)~~

**BUD-704** *Five-Year Strategic Plan/Annual Performance Plan*

Strategic and Performance Plans that set broad goals and performance objectives for the Agency. Annual accumulation is negligible. Date range is 1995-current year. Volume is less than 1 cubic foot. Arrangement is chronological.

**Permanent.** If paper, cut off files in 5 year blocks and transfer to off-site storage. Transfer to NARA five years after cut-off when the newest records are 10 years old. If electronic, transfer in accordance to 36 CFR 1228.270, or in accordance with transfer standard in effect at the time of future transfer.

**BUD-710** ~~Budget Background and Preparation Records~~

~~Cost statements, background data, justifications, correspondence, and supporting data provided by National Office Department Heads and Regional Directors in response to the annual Call for Estimates that begins the budget preparation and submission cycle. Includes copies of estimates and supporting documentation submitted to the Office of Budget and Finance, and copies retained by the submitting offices or departments for reference purposes. Also included is documentation accumulated in the Office of Budget and Finance, in addition to the departmental estimates that support the preparation and submission to OMB of the annual FMCS Budget Estimate.~~

~~Temporary. Destroy 1 year after the close of the fiscal year covered by the budget. (GRS 5.2)~~

**BUD-711***FMCS Annual Budget Estimate Prepared for Submission to OMB*

This document reflects the Director's objectives and decisions' regarding the Agency's funding needs. It is prepared in accordance with OMB A-11 and submitted each September to OMB.

(a) Copies to be retained for reference by the Office of Budget and Finance.

Temporary. Destroy 3 years after the close of the fiscal year for which the Estimate was prepared.

(b) Copies obtained by other departments to satisfy informational or reference requirements.

Temporary. Destroy 1 year after the close of the fiscal year budget cycle.

**BUD-712***Congressional Correspondence and Budget Hearing Files*

Correspondence with members of Congress or their staffs regarding the FMCS budget; annual budget estimates and supporting documentation presented to Congress as part of the budget submission and approval process; transcripts, notes, memoranda, and similar supporting documents of hearings before Senate and House Committees. Transcripts include testimony of Agency and Budget and Finance officials.

Temporary. Retain as active file until the end of the fiscal year. Cut off at the end of each fiscal year. Destroy 3 years after file cutoff.

**BUD-713***Budget Reports Files*

~~Periodic reports on budget and apportionment status submitted by the Office of Budget and Finance to higher authority, or submitted by other Agency departments to the Office of Budget and Finance.~~

~~(a) Annual (end of fiscal year) reports~~

~~Temporary. Destroy when 5 years old (GRS 5.3a)~~

~~(b) All other reports~~

~~Temporary. Destroy 3 years after the end of the fiscal year. (GRS 5.3b)~~

**BUD-714** ~~\_\_\_\_\_~~ *Budget Apportionment Files and Reports*

~~\_\_\_\_\_~~ Apportionment and reapportionment schedules that provide for quarterly obligations under each authorized apportionment. Includes Statements of Transaction, Reports on Budget Execution, and Operating Statements submitted monthly or quarterly to OMB.

~~\_\_\_\_\_~~ Temporary. Destroy 2 years after the close of the fiscal year. (GRS 5.4)

**BUD-715** *Special Analysis and Year-End Reports*

Special analysis reports compiled on specific topics as necessary and FMS 2108's and the Agency's adjusted trial balances that are electronically submitted to OMB.

Temporary. Destroy/delete 3 years after the close of the fiscal year reporting period.

**BUD-720** ~~\_\_\_\_\_~~ *Contract/Procurement Case Files*

~~\_\_\_\_\_~~ Case files include RFI/RFP and other preliminary types of documentation; requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers dealing with awards, administration, receipts, inspections, and payments for standard, routine procurements and contracts. Contracts and procurement case files may originate in the Office of Procurements, but they are transferred to the Office of Budget and Finance for validation, obligation of funds, and payment, and it is to the files in the Office of Budget and Finance that the retention guidance under item 720 applies.

~~\_\_\_\_\_~~ (a) Transactions that exceed the simplified acquisition threshold, and all construction contracts exceeding \$2,000.

~~\_\_\_\_\_~~ Temporary. Close contracts when final payments are made. Transfer closed contracts in fiscal year blocks to off-site storage. Destroy 6 years and 3 months after final payment. (GRS 3.3a (1) (a))

~~\_\_\_\_\_~~ (b) Transactions at or below the simplified acquisitions threshold, and construction contracts that do not exceed \$2,000.

Temporary. Destroy 3 years after final payment. (GRS 3.3a (1) (b))

**BUD-720-1** ~~Obligation Copies~~

~~Temporary. Destroy when funds are obligated. (GRS 3.3b)~~

**BUD-720-2** ~~Contract/Procurement Case Files Retained in the Office of Procurements~~

~~Copies of contract/procurement case files that are retained in the Office of Procurements after the files are transferred to the Office of Budget and Finance for action. Copies are retained for routine administrative or reference purposes.~~

~~Temporary. Destroy upon termination or completion. (GRS 3.3e)~~

**BUD-720-3** ~~Data Submitted to the Federal Procurement Data System (FPDS)~~

~~Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.~~

~~Temporary. Destroy or delete when 5 years old. (GRS 3.3d)~~

**BUD-720-2** *Copies of Contract/Procurement Files Retained by Other FMCS Offices or Departments*

Copies of contract case files or related documents retained for reference or informational purposes in Departmental offices other than Budget and Finance or Procurements.

Temporary. Destroy when final payment has been made, or when no longer needed for reference, whichever is earlier.

**BUD-721** ~~Telecommunications Installation or Change of Service Records~~

~~Records accumulated by the Office of Information Systems and Administrative Services to document service installation or changes for employees authorized to use telecommunications services and equipment.~~

~~Temporary. Destroy when 3 years old. (GRS 12.2b (2))~~

**BUD-721-1**

*Telecommunications Billing Records*

Annotated and certified telephone and telegraph billing records.

(a) Annotated and certified billing records submitted by Regional Offices or field managers through the Office of Information Systems and Administrative Services to the Office of Budget and Finance for final payment.

Temporary. Destroy when 3 years old.

(b) Billing records and receipts not submitted to the Office of Budget and Finance for payment, but that remain in local or regional offices for payment by field managers as authorized.

Temporary. Cut off files at the end of the fiscal year. Destroy 1 year after cutoff.

**BUD-730**

*FMCS Budget Accountability Records*

~~These records document the Agency's budget execution and accountability processes and include statements of transaction, statements of accountability, collection schedules and vouchers, disbursement schedules and vouchers, and all other schedules or vouchers or other accountable officers' accounts or documents, EXCLUSIVE of commercial passenger and freight transportation records and payroll records, required for site audit by GAO auditors.~~

~~Temporary. Retain on site until 2 years old or until GAO audit is complete, whichever is earlier, then transfer to off-site storage. Destroy 6 years and 3 months after the period covered by the accounts. (GRS 6.1a)~~

**BUD-730-1**

*Certificates Settlements Files*

~~(a) Copies of certificates and settlements of accounts of accountable officers, statements of differences, and related records.~~

~~Temporary. Destroy 2 years after date of settlement. (GRS 6.3a)~~

~~(b) Certificates covering period settlements.~~

~~Temporary. Destroy when subsequent certificate of settlement is received. (GRS 6.3b)~~



**BUD-731** ~~GAO Exemptions Files~~

~~GAO notices of exemptions, such as the SF 1100, formal or informal, and related correspondence.~~

~~Temporary. Destroy 1 year after exemption has been reported or cleared by GAO. (GRS 6.2)~~

**BUD-732** ~~General Fund Records~~

~~Records accumulated to document the availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit other than those covered under item 730.~~

~~Temporary. Destroy when 3 years old. (GRS 6.4)~~

**BUD-733** ~~Accounting Administration Files~~

~~Correspondence, reports, and other documents prepared or received by the Director of the Office of Budget and Finance or authorized Department staff members relating to voucher preparation, administrative audit, and other accounting and disbursing operations.~~

~~(a) Files used for workload and personnel management.~~

~~Temporary. Destroy when 2 years old. (GRS 6.5a)~~

~~(b) All other files.~~

~~Temporary. Destroy when 3 years old. (GRS 6.5b)~~

**BUD-740** ~~Expenditures and Accounting General Correspondence and Subject Files~~

~~Correspondence and related documents maintained in the Department of Budget and Finance pertaining to the internal and administrative operation of expenditures and accounting functions.~~

~~Temporary. Destroy when 2 years old. (GRS 7.1)~~

**BUD-741** ~~Accounts Ledgers~~  
~~Accounts ledgers that show debit and credit entries and reflect entries in summary.~~

~~Temporary. Retain on site for 2 years, and then transfer to off site storage. Destroy 6 years and 3 months after the close of the fiscal year involved. (GRS 7.2)~~

**BUD-742** ~~Reimbursable Files for Non-Appropriated Work (Mediation Services)~~  
~~Vouchers, correspondence, and other documents that accumulate to account for the status of reimbursable accounts for mediation services or other services provided by FMCS.~~

~~Temporary. Destroy 6 years and 3 months after the close of the fiscal year involved. (GRS 7.3)~~

**BUD-744** ~~Accounting, Posting, and Control Records~~  
~~Records that are subsidiary to the general and allotment ledgers, used as posting and control media.~~

~~(a) Original records~~

~~Temporary. Destroy when 3 years old. (GRS 7.4a)~~  
~~(b) Copies needed for reference or information~~

~~Temporary. Destroy when 2 years old. (GRS 7.4b)~~

**BUD-745** *Plant Account Records*  
Bills of Lading, shipping documentation, and other records pertaining to the shipment, receipt, and installation of equipment such as office furniture, fixtures, ADP and computer equipment and hardware, and related items.

Temporary. Destroy 1 year after equipment is registered in the plant account spreadsheet.

**BUD-745-1** *Plant Account Spreadsheet*  
~~Spreadsheet to retain current plant accounting data in the Office of Procurements.~~

~~\_\_\_\_\_ Temporary. Delete items from the spreadsheet 3 years after items are disposed of and removed from the plant account. (GRS 8.5)~~

**BUD-745-2** ~~\_\_\_\_\_ *Plant, Cost, and Stores General Correspondence*~~

~~\_\_\_\_\_ Temporary. Destroy when 3 years old. (GRS 8.1)~~

**BUD-745-3** ~~\_\_\_\_\_ *Stores Invoice Files*~~

~~\_\_\_\_\_ Temporary. Destroy when 3 years old. (GRS 8.2)~~

**BUD-745-4** ~~\_\_\_\_\_ *Stores Accounting Files*~~

~~\_\_\_\_\_ Temporary. Destroy when 3 years old. (GRS 8.3)~~

**BUD-745-5** ~~\_\_\_\_\_ *Stores Accounting Background Files*~~

~~\_\_\_\_\_ Working files used in accumulating stores accounting data.~~

~~\_\_\_\_\_ Temporary. Destroy when 2 years old. (GRS 8.4)~~

**BUD-747** ~~\_\_\_\_\_ *Facilities Management Correspondence Files*~~

~~\_\_\_\_\_ Correspondence of the FMCS Administrative Services and Information Systems Department relating to its own internal administration and operation, and related papers.~~

~~\_\_\_\_\_ Temporary. Destroy when 2 years old. (GRS 11.1)~~

**BUD-747-1** ~~\_\_\_\_\_ *FMCS Space Planning and Assignment Files*~~

~~\_\_\_\_\_ Copies of lease agreements, office floor plans, and similar records pertaining to the leasing arrangements, terms and conditions, physical layout, and other matters utilized in space planning and assignment.~~

~~\_\_\_\_\_ Temporary. Destroy 2 years after termination of assignment or when lease is cancelled, or when plans are superseded or obsolete. (GRS 11.2a)~~

**BUD-747-2** ~~(a) Correspondence with FMCS Field Offices and FMCS reports to GSA relating to space requirements, including SF 81, Request for Space, and related documents.~~

~~Temporary. Destroy when 2 years old. (GRS 11.2b (1))~~

~~(c) Additional copies and related working papers.~~

~~Temporary. Destroy when 1 year old. (GRS 11.2b (2))~~

**BUD-747-3** ~~*Directory Service Files*  
Correspondence, forms, and other records relating to the compilation of directory service listings~~

~~Temporary. Destroy 2 months after issuance of listing. (GRS 11.3)~~

**BUD-747-4** ~~*Credentials Files*~~

~~(a) Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property and visitor passes, and other identification credentials.~~

~~Temporary. Destroy credentials 3 months after return to issuing office. (GRS 11.4a)~~

~~(c) Receipts, listings, indexes, and accountable records.~~

~~Temporary. Destroy after all listed credentials are accounted for. (GRS 11.4b)~~

**BUD-747-5** ~~*Building and Equipment Service Files*  
Requests for building and equipment maintenance services, excluding fiscal copies.~~

~~Temporary. Destroy 3 months after work is performed or requisition is canceled. (GRS 11.5)~~

**BUD-748** *Copies of GSA OPAC Billing information for FMCS Facilities and Office Spaces*  
GSA is the agent for FMCS facilities management. Copies of billing information for FMCS office spaces are received from GSA retained

for information and convenience in the Office of Information Systems and Administration Services.

Retain for 1 fiscal year plus the first and last month's accumulation from the previous fiscal year. Destroy at the end of the current fiscal year.

**BUD-750** ~~Commercial Freight and Passenger Transportation Files~~

~~(a) Original vouchers and supporting documents that cover commercial freight and passenger transportation charges of settled fiscal accounts. Include FMCS forms AB-6, AB-15 and 16, and SF 1038, and other control documents.~~

~~Temporary. Retain on site for 2 years. Transfer to off-site storage. Destroy 6 years after the period of the account. (GRS 9.1a)~~

~~(b) Records covering payment for commercial freight and passenger transportation charges for which~~

- ~~(1) Notice of overcharge has been or is expected to be issued.~~
- ~~(2) Deduction or collection action has been taken.~~
- ~~(3) The voucher contains inbound transit shipments.~~
- ~~(4) Parent voucher has print of paid supplemental bill.~~
- ~~(5) The voucher has been involved in litigation.~~
- ~~(6) Any other circumstance or condition arises that prevents the settling of the account, requiring the voucher to be retained beyond the retention period.~~

~~Temporary. Retain on site for 2 years. Transfer to off-site storage. Destroy when 10 years old. (GRS 9.1b)~~

**BUD-751** ~~Commercial Passenger Transportation Vouchers and Transportation Requests (Issuing Office Copies)~~

~~(a) Commercial passenger transportation vouchers (SF 1113A), travel vouchers (SF 1012), transportation requests (SF 1169), travel authorizations (FMCS form AB-4 and 5), and related records.~~

~~Temporary. Retain on site for 2 years, and then transfer to off-site storage. Destroy 6 years and 3 months after the period covered by the account. (GRS 6.1a)~~

~~(c) Obligation copies of commercial transportation vouchers~~

~~Temporary. Destroy when funds are obligated. (GRS 9.1d)~~

~~(d) Unused ticket redemption forms such as SF 1170~~

~~Temporary. Destroy 3 years after the year in which travel is completed. (GRS 9.1e)~~

**BUD-752** ~~*Lost or Damaged Shipments Records*~~

~~Correspondence, reports, and similar records relating to the administration of the Government Losses in Shipments Act.~~

~~Temporary. Retain on site for 2 years, and then transfer to off-site storage. Destroy when 6 years old. (GRS 9.2)~~

**BUD-753** ~~*Noncommercial Reimbursable Travel Records*~~

~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and other supporting records of official travel by officers, employees, dependents, and others approved by law to travel.~~

~~(a) Office copies.~~

~~Temporary. Retain on site until 2 years old, then transfer to off-site storage. Destroy when 6 years old. (GRS 9.3a)~~

~~(b) Obligation copies~~

~~Temporary. Destroy when funds are obligated. (GRS 9.3b)~~

**BUD-754** ~~*Travel and Transportation Administrative Files*~~

~~(a) Routine administrative files and general correspondence, forms, and related records relating to noncommercial and commercial travel not described elsewhere in this schedule.~~

~~Temporary. Destroy when 2 years old. (GRS 9.4a)~~

~~(b) Records documenting the issue or receipt of accountable documents.~~

~~Temporary. Destroy 1 year after all entries are cleared. (GRS 9.4b)~~

**BUD-760** ~~*Electronic Mail and Word Processing System Copies*~~

~~Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping~~

~~copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.~~

~~—— a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

~~———— Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

~~b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~———— Destroy/delete when dissemination, revision, or updating is completed. (GRS 20.13, 14)~~