

Schedule 5 - Budget Preparation, Presentation, and Apportionment Records

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Introduction

Budget and apportionment records include the various files accumulated in the course of formulating the budget for submission to the Office of Management and Budget (OMB) and Congress; in defending requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the Bureau of Land Management (BLM) by OMB, usually in quarterly portions, and the BLM must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the BLM, its own controls over the funds are in expenditure accounting records (Schedule 7), and in detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6). Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before an agency may apply the disposition instructions.

Budget records are normally created at all levels of the BLM. They show proposals from all operating levels as well as the BLM-wide and DOI-wide coordinating work done by formally organized budget offices. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the Bureau then forwarded to the Department budget officer.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB.. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the BLM requests and immediately related supporting documents. The narrative presents the policies and the programs of the BLM which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the BLM operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular programs, and figures based on the cost of various type of service operations, such as personnel and payroll activities.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by the BLM in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

| Item | Record Series Description | Disposition Authority |
|------|---|--|
| 1 | <p>BUDGET CORRESPONDENCE FILES [1670/1690]. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. Confidentiality: Nonpublic record category 3. Location: All. Exclusions: Files relating to the BLM policy and procedure maintained in formally organized budget offices.</p> | <p>TEMPORARY. Destroy when 2 years old. GRS 5/1.</p> |

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|------|--|--|
| 2 | BUDGET BACKGROUND FILES [1670-1690]. Cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices. Confidentiality: Non-public record category 3. Location: All. Exclusions: BLM budget estimates, justifications, and annual work plans (AWP) (Schedule 5/12). | TEMPORARY. Destroy 1 year after the close of the fiscal year covered by the budget. GRS 5/2. |
| 3 | BUDGET REPORTS FILES [1682, 1690]. Periodic reports on the status of appropriation accounts and apportionment. Forms: SF-133, 225; BLM 1681-6. Confidentiality: Non-public record category 3. | |
| | a. Budget Annual Reports. End of FY reports maintained by Headquarters Budget Office. Location: WO. | TEMPORARY. Destroy when 5 years old. GRS 5/3a. |
| | b. Budget Reports - Other. Location: All. | TEMPORARY. Destroy 3 years after the end of the fiscal year. GRS 5/3b. |
| 4 | BUDGET APPORTIONMENT FILES [1690]. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. Forms: SF-132. Confidentiality: Non-public record category 3. Location: All. | TEMPORARY. Destroy 2 years after the close of the fiscal year. GRS 5/4. |
| 5-10 | Reserved | |
| 11 | BUDGET POLICY FILES [1670]. Correspondence and subject files maintained by Headquarters Budget Office, documenting the BLM policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for the BLM programs. Note: record copies of budget directives are maintained by Headquarters Directives Office. Confidentiality: Non-public record category 3. Location: WO. | TEMPORARY. Cutoff EOFY. Transfer to FRC 4 years after cutoff. FRC destroys 8 years after cutoff. NARA Job NC1-49-85-2, 5/1. |
| 12 | BUDGET ESTIMATES, JUSTIFICATIONS, AND ANNUAL WORK PLAN FILES [1670- 1680]. Includes ADP and telecommunications 5-year procurement plans. Forms: BLM 1680-13; 1681-2, 3, 3a, 5. Confidentiality: Non-public record category 3. | |
| | a. Budget Estimates and Justifications Consolidated Files. Maintained by Headquarters Budget Office. Consists of appropriation language sheets, narrative statements, annual work plans, and related schedules and data. Location: WO. | PERMANENT. Cutoff EOFY for which planned. Transfer to FRC 3 years after cutoff. FRC transfers to NARA in 5-year blocks when most recent records are 12 years old (e.g., transfer 1980-1984 in 1997). BLM NARA Job NC1-49-85-2, 5/2a. |
| | b. Budget Estimates and Justifications Files -Originating Office Submissions. | |

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|--------------|---|--|--|
| | (1) | Budget Estimates and Justifications Files - Headquarters Office Copies. Other than the Headquarters Budget Office official collection (item a). Location: WO. | TEMPORARY. Cutoff EOFY covered by the budget. Destroy 3 years after cutoff. BLM NARA Job: NC1-49-85-2, 5/2b(1). |
| | (2) | Budget Estimates and Justifications Files - Field Office Copies. Location: AFO. | TEMPORARY. Cutoff EOFY covered by budget. Transfer to FRC 3 years after cutoff. FRC destroys 10 years after cutoff. BLM NARA Job NC1-49-85-2, 5/2b(2). |
| 13-20 | Reserved | | |
| 21 | 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. | TEMPORARY. Destroy/Delete within 180 days after the recordkeeping copy has been produced. GRS 5/5a. |
| | b. | Copies Used for Dissemination, Revision, or Updating. That are maintained in addition to the recordkeeping copy. | TEMPORARY. Destroy/Delete when dissemination, revision, or updating is completed. GRS 5/5b. |

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