

Frequently Asked Questions (FAQs) about DOE 1.3, Budgeting Records

INTRODUCTION

1. What is the purpose of DOE 1.3?

DOE 1.3 is written in the same format as GRS 1.3, which provides disposition authority for records created and received while carrying out DOE’s Budgeting responsibilities that are not covered by GRS 1.3.

2. From whom may I request more information about this schedule?

You may contact the DOE Records Disposition Schedule Technical Team at DOERM@hq.doe.gov with questions about this schedule.

3. How does the updated DOE 1.3 differ from the previously approved version?

Segregated two previous items (DAA-0434-2020-0008-0001 and DAA-0434-2020-0008-0002) into four (4) individual items to better describe the records, allow for disposition instructions to be interpreted in an electronic records management system, updated titles, descriptions, and removed “cut off” from the disposition instructions.

- Item 010 and 015 – Budget Policy Records (Headquarters)

Split the Budget Policy Records into two items; Policy and Procedures and Correspondence, to ensure disposition instructions can be interpreted in an electronic records management system. This item is for “agency” policy and procedures and correspondence; utilize GRS 1.3, item 050 for all budget policy or correspondence records. The following table shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

| New DOE 1.3 (DAA-0434-2021-0003) | | | | Prior Approved DOE 1.3 (DAA-0434-2020-0008) | | | | Old Authorities | | | |
|-------------------------------------|----------|-----------|-------------------------|--|----------|-----------|-----------------------------------|--------------------------------------|----------|-----------|--------------------------|
| Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority |
| DOE 1.3 | 010 | Permanent | DAA-0434-2021-0003-0001 | DOE 1.3 | 010 | Permanent | DAA-0434-2020-0008-0001 (in part) | ADM 5 | 1a | Permanent | NC1-430-76-8, Item 1a(1) |
| | | | | | | | | ADM 5 | 4.1a | Permanent | N1-434-98-8, Item 4.1a |
| | | | | | | | | Staffing and Budget Submission Files | | Permanent | NC1-434-83-4, Item 1 |
| DOE 1.3 | 015 | 6 years | DAA-0434-2021-0003-0002 | DOE 1.3 | 010 | Permanent | DAA-0434-2020-0008-0001 (in part) | ADM 5 | 1a | Permanent | NC1-430-76-8, Item 1a(1) |
| | | | | | | | | ADM 5 | 4.1a | Permanent | N1-434-98-8, Item 4.1a |
| | | | | | | | | Staffing and Budget Submission Files | | Permanent | NC1-434-83-4, Item 1 |

- Item 020 and 025 – Budget formulation, estimates, justification, and submission

records, (Prior to fiscal year 2017)

Split Budget formulation, estimates, justification, and submission records (prior to fiscal year 2017) into two items; Records at Headquarters and Project records at field offices/sites (including contractors). Updated disposition instructions to just cover those budget records that must be retained until project completion, as any records prior to 2017 should not exist. For budget records after 2017, utilize GRS 1.3, item 010. The following table shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

| New DOE 1.3 (DAA-0434-2021-0003) | | | | Prior Approved DOE 1.3 (DAA-0434-2020-0008) | | | | Old Authorities | | | |
|-------------------------------------|----------|-----------|-------------------------|--|----------|-----------|-----------------------------------|--------------------------------------|----------|-----------|--------------------------|
| Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority |
| DOE 1.3 | 020 | Permanent | DAA-0434-2021-0003-0003 | DOE 1.3 | 010 | Permanent | DAA-0434-2020-0008-0001 (in part) | ADM 5 | 1a | Permanent | NC1-430-76-8, Item 1a(1) |
| | | | | | | | | ADM 5 | 4.1a | Permanent | N1-434-98-8, Item 4.1a |
| | | | | | | | | Staffing and Budget Submission Files | | Permanent | NC1-434-83-4, Item 1 |
| DOE 1.3 | 025 | 6 years | DAA-0434-2021-0003-0004 | DOE 1.3 | 020 | 6 years | DAA-0434-2020-0008-0002 | ADM 5 | 4.1a | Permanent | N1-434-98-8, Item 4.1a |

- Item 030 – Baseline Management

Updated disposition instructions by removing the term “cutoff”. The following table shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

| New DOE 1.3 (DAA-0434-2021-0003) | | | | Prior Approved DOE 1.3 (DAA-0434-2020-0008) | | | | Old Authorities | | | |
|-------------------------------------|----------|-----------|-------------------------|--|----------|-----------|-------------------------|---|----------|-----------|---------------------------------|
| Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority |
| DOE 1.3 | 030 | 10 years | DAA-0434-2021-0003-0005 | DOE 1.3 | 030 | 10 years | DAA-0434-2020-0008-0003 | ADM 16 | 1.4a | 10 years | N1-434-98-19, Item 1.4a |
| | | | | | | | | ADM 16 | 1.4b | 10 years | N1-434-98-19, Item 1.4b |
| | | | | | | | | Uranium Mill Tailings Remedial Action (UMTRA) Project | | 3 years | N1-434-98-1, Item 15a (in part) |
| | | | | | | | | | | 1 year | N1-434-98-1, Item 15b (in part) |

- Item 040 – Project Control / Project Management Files

Updated disposition instructions by removing the term “cutoff” and added two bullet items (project status reports and correspondence) to the records description. The following table shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

| New DOE 1.3 (DAA-0434-2021-0003) | | | | Prior Approved DOE 1.3 (DAA-0434-2020-0008) | | | | Old Authorities | | | |
|-------------------------------------|----------|-----------|-------------------------|--|----------|-----------|-------------------------|---|----------|-----------|---|
| Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority | Schedule No. | Item No. | Retention | Disposition Authority |
| DOE 1.3 | 040 | 10 years | DAA-0434-2021-0003-0006 | DOE 1.3 | 040 | 10 years | DAA-0434-2020-0008-0004 | ADM 16 | 5 | 1 year | NC1-64-77-8, Item 4b Rescinded by NARA Transmittal 29 |
| | | | | | | | | Uranium Mill Tailings Remedial Action (UMTRA) Project | | 3 years | N1-434-98-1, Item 15a (in part) |
| | | | | | | | | | | 1 year | N1-434-98-1, Item 15b (in part) |