

## 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 in the course of 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](mailto:DOERM@hq.doe.gov) with questions about this schedule.

#### 3. How does DOE 1.3 differ from the old DOE Administrative Schedule?

There were a total of eleven (11) schedule items from the DOE Administrative Schedules that did not have a GRS authority and rolled into DOE 1.3, Budgeting Records Through careful review and consolidation of like items/retentions, the total schedule items were reduced to four (4) items, with one (1) new item and two (2) schedule items rescinded. When schedule consolidation involved multiple retentions, the longer retention was applied.

- Item 010 – Agency Budget Policies, Estimates and Correspondence Files – Substantive Programs (Prior to fiscal year 2017)

Consolidated three (3) schedules into one (1) for records prior to fiscal year 2017. Utilize GRS 1.3, item 010 for records after 2017.

Previously:

- ADM 5.1a – Budget Policy Files
- ADM 5.4.1a – Budget Office Estimates, Justifications and Correspondence, a. records documenting substantive programs
- NC1-434-83-4 - Budget Records, item 1 – Staffing and Budget Submission Files

**Note:** Deviation to GRS 1.3, item 010, which only applies to agencies that submit their budget requests via Office of Management and Budget (OMB). Prior to fiscal year 2017 DOE did not submit budget request via OMB (see note 2 on schedule).

- Item 020 – Agency Budget Policies, Estimates and Correspondence Files – Non-Substantive Programs (Prior to fiscal year 2017)

No change, other than only records prior to 2017 are scheduled/maintained under this item. Utilize GRS 1.3, item 020 for records after fiscal year 2017.

Previously:

- ADM 5.4.1b – Budget Office Estimates, Justifications and Correspondence, b. records that document non-substantive programs

**Note:** Deviation to GRS 1.3, item 010, which only applies to agencies that submit their budget requests via Office of Management and Budget (OMB). Prior to fiscal year 2017 DOE did not submit budget request via OMB (see note 2 on schedule).

- Item 030 – Baseline Management

Consolidated four (4) schedules items into one (1) and updated the disposition instructions to allow cut off at fiscal year or at project completion.

Previously:

- ADM 16.1.4a - Baseline Management, a. development of baselines and all supporting documentation
- ADM 16.1.4b - Baseline Management, b. baseline change proposals, approvals, and supporting documentation
- N1-434-98-1 - Uranium Mill Tailings Remedial Action (UMTRA) Project
  - item 15a (in part) - Project Control Files, a. documents which provide project level planning and performance
  - item 15b (in part) – Project Control Files, b. documents which provide contractor-level planning and performance

**Note:** N1-434-98-1 (Uranium Mill Tailings Remedial Action (UMTRA) Project), items 15a and 15b are project control files, the baseline records cross walk to DOE 1.3, item 030. See item 040 for the project control records.

- Item 040 – Project Control / Project Management Files

Consolidated three (3) schedule items into one (1).

Previously:

- ADM 16.5 - Project Control Files
- N1-434-98-1 - Uranium Mill Tailings Remedial Action (UMTRA) Project
  - item 15a (in part) - Project Control Files, a. documents which provide project level planning and performance
  - 15b (in part) – Project Control Files, b. documents which provide contractor-level planning and performance

**Note 1:** ADM 16.5 had a GRS authority of NC1-64-77-8, Item 7, which NARA rescinded. DOE currently has records at Federal Record Centers, as well as at the sites under this schedule and continues to utilize ADM 16.5. A new schedule item has been added to replace the rescinded item, with an increased retention of 10

years after project completion.

**Note 2:** N1-434-98-1 (Uranium Mill Tailings Remedial Action (UMTRA) Project), items 15a and 15b are project control files, the project control records cross walk to DOE 1.3, item 040. See item 030 for the baseline records.

#### 4. Why are you removing items that were in the old DOE Administrative Schedule?

The following DOE schedule items have been rescinded, as they are no longer utilized by the Agency:

- ADM 5.6a - Priorities and Allocation Records - a. Records on use of DO, DX and ACM rating authority
- ADM 5.6b - Priorities and Allocation Records - b. Requirements studies