

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 with questions about this schedule.

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

There are 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the total schedule items were reduced to four (4) items, with one (1) new item and two (2) schedule items rescinded.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:

Schedule No.	Item No.	Retention	Disposition Authority
ADM 5	1a	Permanent	NC1-430-76-8, Item 1a(1)
ADM 5	4.1a	Permanent	N1-434-98-8, Item 4.1a
Budget Records		Permanent	NC1-434-83-4, Item 1

- 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:

Schedule No.	Item No.	Retention	Disposition Authority
ADM 5	4.1b	6 years	N1-434-98-8, Item 4.1b

- 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:

Schedule No.	Item No.	Retention	Disposition Authority
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)

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). 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. 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. Previously:

Schedule No.	Item No.	Retention	Disposition Authority
ADM 16	5	1 year	NC1-64-77-8, Item 4b Rescinded by NARA
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)

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:

Schedule No.	Item No.	Retention	Disposition Authority
ADM 5	6a	3 years	II-NNA-340, item 1
ADM 5	6b	5 years (HQ) 2 years (Field)	II-NNA-340, item 2