

## 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](mailto: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	NC1-434-98-8, 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	NC1-434-98-8, 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 <b>Rescinded by NARA Transmittal 29</b>
								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)