

DEPARTMENT OF ENERGY (DOE) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period covered by the agency's appropriations.

Note: Refer to DOE and GRS 1.1 (Financial Management and Reporting Records) for related records and GRS 1.3 for all other budgeting records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
010	Budget Policy Records (Headquarters) Correspondence or subject files in formally organized budget office documenting <u>agency</u> policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for agency programs.	Policy and Procedures Records documenting agency policy and procedures governing budget administration and the process of developing those policies and procedures.	Permanent. Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0001
015	Note: Budget policy or correspondence records outside of headquarters, utilize GRS 1.3, item 050. Utilize GRS 1.3, item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal Year 2017 and forward.	Correspondence Correspondence relating to the development of policies and procedures for the budgeting process.	Permanent. Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority
020	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017 Budget formulation, estimates, justifications, and submission records, which include but are not limited to: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called “Green Books”)	Records at Headquarters	Permanent. Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0003
025	• briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation Note: Utilize GRS 1.3, Item 010 for Budget formulation, estimates, justification, and submission records for Fiscal Year 2017 and forward.	Project records at field offices/ sites (including contractors)	Temporary. Destroy 6 years after project completion.	DAA-0434-2021-0003-0004
030	Baseline Management Records generated to document facility project activities’, technical scope, project schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals.		Temporary. Destroy 10 years after project completion.	DAA-0434-2021-0003-0005
040	Project Control / Project Management Records Records that support the organizing, planning, and tracking of projects during the course of project execution, project performance reporting, records documenting assignments, progress and completion of projects.		Temporary. Destroy 10 years after project completion, closure or	DAA-0434-2021-0003-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Records include, but are not limited to: • fiscal year work plans • integrated planning, accountability, and reporting system (IPABS) • project assessment and reporting (PARS) • monthly project reviews (MPR) • quarterly project reviews (QPR) • project review files and associated corrective actions • critical decision package(s) and approvals • project execution plans (PEP) • integrated project team (IPT) charter • project acquisition strategy • tailoring strategy • risk management plan • initial and final project close out reports • earned value management system (EVMS) surveillance reports and corrective action plans • project status reports • correspondence Note: Specific project records may also be maintained within the Environmental Case File.	key performance parameters are met.	

GENERAL RECORDS SCHEDULE (GRS) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau- or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.

Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.

This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It *does* apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Records created and held by offices that prepare an agency's budget proposal for the White House			
010	Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Includes records such as: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	• language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.	Utilize DOE 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence files - Substantive Programs (prior to Fiscal Year 2017) or DOE 1.3, Item 020 for Agency Budget Policies, Estimates and Correspondence Files – Non-substantive Programs (prior to Fiscal Year 2017)	
020	Budget execution records. Records offices create and receive in the course of implementing and tracking an appropriation. Includes: • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records Exclusion: Formal budget reports are covered in items 030 and 031.	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0002
030	Budget reports.	Full fiscal-year reports.	Temporary. Destroy when 5 years old, but longer retention is DAA-GRS-2015-0006-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency’s proposed rate of expenditure, appropriations, obligations, apportionments and outlays.		authorized if required for business use.	
031			All other reports.	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.
Records any office creates and holds				
040	Budget preparation background records. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Records held in office responsible for preparing agency’s budget proposal to the White House.	Temporary. Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0005
041		Records held at all other offices.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006
050	Budget administration records. Records documenting administration of budget office responsibilities. Includes: - correspondence relating to routine administration, internal procedures, and other day-to-day matters - records monitoring expenditures under approved budget allocations - records of financial controls maintenance - spreadsheets and databases tracking income, expenditures, and trends		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

Item	Records Description	Disposition Instruction	Disposition Authority
	• work planning documentation • cost structure and accounting code lists • feeder and statistical reports • related correspondence		