

## 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?

Contact the DOE Records Disposition Schedule Technical Team at [DOERM@hq.doe.gov](mailto:DOERM@hq.doe.gov) with any questions about this schedule.

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

Update August 2024: 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.

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the total schedule items were reduced to four (4) items, with one (1) new item and two (2) schedule items rescinded.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– Budget Policy Records (Headquarters) – Policy and Procedures

Update August 2024: 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 shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0001 (in part)
  - ADM 5.1a (in part)
  - ADM 5.4.1a (in part)
  - NC1-434-83-4, item 1 (Staffing and Budget Submission Files) (in part)

- Item 015 – Budget Policy Records (Headquarters) – Correspondence

Update August 2024: 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 shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0001 (in part)
  - ADM 5.1a (in part)
  - ADM 5.4.1a (in part)
  - NC1-434-83-4, item 1 (Staffing and Budget Submission Files) (in part)
- Item 020– Budget formulation, estimates, justification, and submission records, (Prior to fiscal year 2017) – Records at Headquarters

Updated August 2024: 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 shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0001 (in part)
  - ADM 5.1a (in part)
  - ADM 5.4.1a (in part)
  - NC1-434-83-4, item 1 (Staffing and Budget Submission Files) (in part)
- Item 025– Budget formulation, estimates, justification, and submission records, (Prior to fiscal year 2017) – Project records at field offices/sites (including contractors)

Updated August 2024: 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 shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0002
  - ADM 5.4.1b
- Item 030 – Baseline Management

Updated August 2024: Updated disposition instructions by removing the term “cutoff.” The following shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0003
  - ADM 16.1.4a
  - ADM 16.1.4b
  - N1-434-98-1, item 15a (Uranium Mill Tailings Remedial Action (UMTRA) Project) (in part)
  - N1-434-98-1, item 15b (Uranium Mill Tailings Remedial Action (UMTRA) Project) (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

Update August 2024: Updated disposition instructions by removing the term “cutoff” and added two bullet items (project status reports and correspondence) to the records description. The following shows the old authorities, prior approved DOE 1.3 authorities and the new DOE 1.3 authorities. Previously:

- DAA-0434-2020-0008-0004
  - ADM 16.5 (rescinded by NARA Transmittal 29)
  - N1-434-98-1, item 15a (Uranium Mill Tailings Remedial Action (UMTRA) Project) (in part)
  - N1-434-98-1, item 15b (Uranium Mill Tailings Remedial Action (UMTRA) Project) (in part)

#### 4. Items Cross Walking to GRS 1.3:

No DOE RDS items crosswalk to GRS 1.3.

#### 5. What updates has DOE made to the GRS?

**Update July 2026:** DOE has removed the retention instructions “but longer retention is authorized is required for business use,” as DOE does not authorize longer retention. You must follow the retention listed.

- Item 010 – Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.

A note was added to utilize DOE 1.3, item 010/015 for Budget Policy Records (Headquarters) or DOE 1.3, item 020/025 for Budget formulation, estimates, justification, and submission records, prior to fiscal year 2017.

#### 6. 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
- ADM 5.6b