

## Request for Records Disposition Authority

Records Schedule Number           DAA-0434-2020-0008

Schedule Status                    Approved

  

Agency or Establishment           Department of Energy

Record Group / Scheduling Group   General Records of the Department of Energy

Records Schedule applies to       Agency-wide

Schedule Subject                   DOE Records Disposition Schedule 1.3: Budgeting Records

Internal agency concurrences will be provided   No

**Background Information**

There were a total of nine (9) budgeting record items from the DOE Administrative Schedules that did not have a GRS authority and rolled into DOE 1.3, Budgeting Records. There was one (1) authority that NARA rescinded, which caused DOE to create a new schedule item. Through careful review and consolidation of like items/retentions, the total schedule items were reduced to four (4) items. When schedule consolidation involved multiple retentions, the longer retention was applied.

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.

**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 Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-0434-2020-0008

Sequence Number	
1	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017) Disposition Authority Number: DAA-0434-2020-0008-0001
2	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017) Disposition Authority Number: DAA-0434-2020-0008-0002
3	Baseline Management Disposition Authority Number: DAA-0434-2020-0008-0003
4	Project Control / Project Management Files Disposition Authority Number: DAA-0434-2020-0008-0004

## Records Schedule Items

Sequence Number					
1	<p><b>Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)</b></p> <p>Disposition Authority Number      DAA-0434-2020-0008-0001</p> <p>Budget Policy Files. Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. Staffing and Budget Submission Files. Consisting of department-wide (or for substantive programs) staffing and budget submissions and related papers, markups, and congressional hearings reflecting all phases of the budget process from the budget call through the internal review process to the Office of Management and Budget and congressional submissions. Includes appeals, supplemental requests, rescissions and deferrals and executions. Records include, but are not limited to: estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs. Records documenting substantive programs. NOTE 1: Typically these would be for records generated/maintained at DOE Headquarters. NOTE 2: Utilize GRS 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal year 2017 and Forward.</p> <p>Final Disposition                                      Permanent</p> <p>Item Status    Active</p> <p>Is this item media neutral?                              Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?                              Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                              Yes</p> <table border="1" data-bbox="342 1514 1521 1619"> <thead> <tr> <th data-bbox="342 1514 937 1562">Manual Citation</th> <th data-bbox="937 1514 1521 1562">Manual Title</th> </tr> </thead> <tbody> <tr> <td data-bbox="342 1562 937 1619">DOE 1.3, Item 010</td> <td data-bbox="937 1562 1521 1619"></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation                              NC1-430-76-8 / 1/A/1 N1-434-98-8 / 4/1/A NC1-434-83-4 / 1</p> <p>Disposition Instruction</p> <p>Cutoff Instruction    Cut off at end of fiscal year or project completion. Transfer to NARA 25 years after cutoff.</p>	Manual Citation	Manual Title	DOE 1.3, Item 010	
Manual Citation	Manual Title				
DOE 1.3, Item 010					

Transfer Electronic Records to the National Archives for Pre-Accessioning      Transfer electronic records to the National Archives for pre-accessioning immediately after not applicable

Transfer to the National Archives for Accessioning      Transfer to the National Archives 25 year(s) after cutoff

**Additional Information**

First year of records accumulation      1981

End year of records accumulation      2017

What will be the date span of the initial transfer of records to the National Archives?      From 1981 To 1995

How frequently will your agency transfer these records to the National Archives?      Unknown  
Schedule requires transfer to NARA 25 years after cutoff.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	156 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)**

Disposition Authority Number      DAA-0434-2020-0008-0002

Budget Policy Files. Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs. Records documenting non-substantive programs. NOTE: Utilize GRS 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal year 2017 and forward.

Final Disposition      Temporary

Item Status      Active

Is this item media neutral?      Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 1.3, Item 020	

GRS or Superseded Authority Citation **N1-434-98-8, Item 4.1b**

**Disposition Instruction**

Cutoff Instruction **Cut off at end of fiscal year or project completion. Destroy 6 years after cutoff.**

Retention Period **Destroy 6 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

**Baseline Management**

Disposition Authority Number **DAA-0434-2020-0008-0003**

**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.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 1.3, Item 030	

GRS or Superseded Authority Citation **N1-434-98-19 / 1/4/A  
N1-434-98-19 / 1/4/B**

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N1-434-98-1 / 15 /A  
N1-434-98-1 / 15 /B

**Disposition Instruction**

Cutoff Instruction                      Cut off at end of the project. Destroy 10 years after cutoff.

Retention Period                         Destroy 10 year(s) after cutoff

**Additional Information**

GAO Approval                              Not Required

**Project Control / Project Management Files**

Disposition Authority Number         DAA-0434-2020-0008-0004

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. 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 (MPS) • 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 NOTE: Specific project records may also be maintained within the Environmental Case File.

Final Disposition                         Temporary

Item Status                                 Active

Is this item media neutral?             Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?         Yes

Do any of the records covered by this item exist as structured electronic data?                             Yes

Manual Citation	Manual Title
DOE 1.3, Item 040	

GRS or Superseded Authority Citation         N1-434-98-1 / 15/A  
N1-434-98-1 / 15/B

**Disposition Instruction**

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Cutoff Instruction	Cut off at project completion, closure or key performance parameters have been met. Destroy 10 years after cutoff.
Retention Period	Destroy 10 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
12/17/2019	Certify	Maria Levesque	Departmental Records Officer	OCIO - Records Management
01/11/2021	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/29/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/29/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/01/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist



### Budgeting Records

DOE Records Disposition Schedules							
New DOE 1.3				Old DOE			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 1.3	010	Permanent	DAA-0434-2020-0008-0001	ADM 5	1a	Permanent	NC1-430-76-8, Item 1a(1)
				ADM 5	4.1a	Permanent	N1-434-98-8, Item 4.1a
				--	--	Permanent	NC1-434-83-4, Item 1
DOE 1.3	020	6 years	DAA-0434-2020-0008-0002	ADM 5	4.1b	6 years	N1-434-98-8, Item 4.1b
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
				--	--	3 years	N1-434-98-1, Item 15a (in part)
				--	--	1 year	N1-434-98-1, Item 15b (in part)
DOE 1.3	040	10 years	DAA-0434-2020-0008-0004	ADM 16	5	1 year	NC1-64-77-8, Item 4b Rescinded by NARA
				--	--	3 years	N1-434-98-1, Item 15a (in part)
				--	--	1 year	N1-434-98-1, Item 15b (in part)
<b>Rescind</b>				--	--	No longer needed	N1-434-98-8, Item 5
				ADM 5	6a	3 years	II-NNA-340, item 1
				ADM 5	6B	5 years (HQ) 2 years (Field)	II-NNA-340, item 2

Epidemiological  
Moratorium

General Record Schedules Items							
New GRS 1.3				Old DOE / GRS			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
GRS 1.3	010	6 years	DAA-GRS-2015-0006-0001	ADM 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
GRS 1.3	020	6 years	DAA-GRS-2015-0006-0002	ADM 5	4	2 years	GRS 5, 1952, item 6
GRS 1.3	030	5 years	DAA-GRS-2015-0006-0003	ADM 5	3a	5 years	GRS 5, 1952, item 5a
GRS 1.3	031	3 years	DAA-GRS-2015-0006-0004	ADM 5	3b	3 years	NC-64-75-2 item 5b
GRS 1.3	040	2 years	DAA-GRS-2015-0006-0005	ADM 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
GRS 1.3	041	2 years	DAA-GRS-2015-0006-0006	ADM 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
GRS 1.3	050	3 years	DAA-GRS-2015-0006-0007	ADM 5	1	2 years	GRS 5, 1952, items 1 and 3