

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0008

Status: INACTIVE
Date Approved: 02/01/2021

General Information

Agency or Establishment	Department of Energy
Record/Scheduling Group	0434 - General Records of the Department of Energy
Records Schedule Applies To	Agency-wide
Schedule Subject	DOE Records Disposition Schedule 1.3: Budgeting Records
Additional Schedule Information	<p>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 There was one (1) authority that NARA rescinded, which caused DOE to create a new schedule item.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.</p> <p>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.</p> <p>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.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 4
Number of Temporary disposition items: 3
Number of Permanent disposition items: 1
Number of Items with Disposition Not Approved: 0
Number of Inactive disposition items: 4

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

Item #	Title	Disposition
0001	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)	Permanent
0002	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)	Temporary
0003	Baseline Management	Temporary
0004	Project Control / Project Management Files	Temporary

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Records Schedule Items

DAA-0434-2020-0008-0001	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)
Item Description	<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.</p> <p>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.</p> <p>NOTE 1: Typically these would be for records generated/maintained at DOE Headquarters.</p> <p>NOTE 2: Utilize GRS 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal year 2017 and Forward.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.3, Item 010
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?

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N1-434-98-8 / 4/1/A	No
NC1-430-76-8 / 1/A/1	No
NC1-434-83-4 / 1	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. DAA-0434-2021-0003-0001 Supersedes that part of DAA-0434-2020-0008-0001 dealing with policy and development of policy on 07/26/2024.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at end of fiscal year or project completion. Transfer to NARA 25 years after cutoff.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	1981
End year of records covered by this authority	Year: 2017
Date span of the initial transfer	From: --/--/1981 To: --/--/1995
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0434-2020-0008-0002	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)
Item Description	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.

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Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.3, Item 020
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
N1-434-98-8, Item 4.1b	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0003-0004 on 07/10/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: 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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0434-2020-0008-0003	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Baseline Management
Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.3, Item 030
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-434-98-1 / 15 /A	No
N1-434-98-1 / 15 /B	No
N1-434-98-19 / 1/4/A	No
N1-434-98-19 / 1/4/B	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0003-0005 on 07/10/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of the project. Destroy 10 years after cutoff.
Retention Period	Destroy 10 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0434-2020-0008-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Project Control / Project Management Files

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Item Description	<p>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.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • 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 <p>NOTE: Specific project records may also be maintained within the Environmental Case File.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.3, Item 040
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-434-98-1 / 15/A	No
N1-434-98-1 / 15/B	No
Is this item a deviation from the GRS?	No

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DISPOSITION INSTRUCTION

DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0003-0006 on 07/10/2024.

Final Disposition	Temporary
Cutoff Instructions	Other: 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

Are any of the records covered by this item national security classified?

GAO Approval Required No

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Signatory Information

Action	User	Date
Accept	Data Migration	12/20/2019
Approve	David Ferriero	02/01/2021