

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0003

Status: APPROVED
Date Approved: 07/10/2024

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	Budgeting Records
Additional Schedule Information	<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 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?	No- The records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 3

Number of Permanent disposition items: 3

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0434-2021-0003

Item #	Title	Disposition
0001	Budget Policy Records (Headquarters) : Policy and Procedures	Permanent
0002	Budget Policy Records (Headquarters) : Correspondence	Permanent
0003	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017 : Records at Headquarters	Permanent
0004	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017 : Project records at field offices/sites (including contractors)	Temporary
0005	Baseline Management	Temporary
0006	Project Control / Project Management Records	Temporary

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Records Schedule Items

Group Title	Budget Policy Records (Headquarters)	
Group Description	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. DOE will utilize GRS 1.3, item 010 Agency Budget Policies, Estimates and Correspondence for budget records created from fiscal year 2017 forward.	
	Note: Budget policy or correspondence records outside of headquarters, utilize GRS 1.3, item 050.	
DAA-0434-2021-0003-0001	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Policy and Procedures	
Item Description	Records documenting agency policy and procedures governing budget administration and the process of developing those policies and procedures.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.3, item 010	
Manual Title	Budget Policy Records (Headquarters) - Policy and Procedures	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0008-0001	Yes	Supersedes that part of DAA-0434-2020-0008-0001 dealing with policy and development of policy.
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Cutoff Instructions	Cut off at end of Fiscal year.	

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Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff	
ADDITIONAL INFORMATION		
Current Records Format	Paper-based textual records: 156 cubic feet between DOE items 010 015 020 and 025	
Approximate first year of records covered by this authority	1981	
End year of records covered by this authority	Year: 2016	
Date span of the initial transfer	From: --/--/1981 To: --/--/----	
Frequency of transfer	1	
Are any of the records covered by this item subject to a FOIA exemption?	No	
DAA-0434-2021-0003-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Correspondence	
Item Description	Correspondence relating to the development of policies and procedures for the budgeting process.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.3, item 015	
Manual Title	Budget Records (Headquarters) - Correspondence	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0008-0001	Yes	Supersedes that part of DAA-0434-2020-0008-0001 dealing with budget related correspondence.
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Cutoff Instructions	Cut off at end of Fiscal year.	
Are there multiple instructions for this item?	No	

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Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff
ADDITIONAL INFORMATION	
Current Records Format	Paper-based textual records:156 cubic feet between DOE items 010 015 020 and 025 ; Textual data:unknown
Approximate first year of records covered by this authority	1981
End year of records covered by this authority	Year: 2016
Date span of the initial transfer	From: --/--/1981 To: --/--/----
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No

Group Title	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017
Group Description	<p>Budget formulation, estimates, justifications, and submission records, which Include but are not limited to:</p> <ul style="list-style-type: none"> • 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 • 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 <p>Note: Utilize GRS 1.3, Item 010 for Budget formulation, estimates, justification, and submission records for Fiscal Year 2017 and forward.</p>

DAA-0434-2021-0003-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Records at Headquarters
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	

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Agency Code	DOE 1.3, item 020	
Manual Title	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017 - Records at Headquarters	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0008-0001	Yes	Supersedes that part of DAA-0434-2020-0008-0001 dealing with execution of the budget process including review, appeal, supplemental requests and submission.
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Cutoff Instructions	Cut off at end of Fiscal year.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff	
ADDITIONAL INFORMATION		
Current Records Format	Paper-based textual records:156 cubic feet between DOE items 010 015 and 020 ; Textual data:unknown	
Approximate first year of records covered by this authority	1981	
Date span of the initial transfer	From: --/--/1981 To: --/--/----	
Frequency of transfer	1	
Are any of the records covered by this item subject to a FOIA exemption?	No	
DAA-0434-2021-0003-0004	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Project records at field offices/sites (including contractors)	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.3, item 025	
Manual Title	Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017 - Records at field offices (including Contractors)	

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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
DAA-0434-2020-0008-0002	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off after project completion.
Retention Period	Destroy 6 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0003-0005	STATUS: Active
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?	No
MANUAL CITATION	
Agency Code	DOE 1.3, item 030
Manual Title	Baseline Management
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
DAA-0434-2020-0008-0003	No
Is this item a deviation from the GRS?	No

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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off after project completion
Retention Period	Destroy 10 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0003-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Project Control / Project Management Records
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 (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 <p>Note: Specific project records may also be maintained within the Environmental Case File</p>

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Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	DOE 1.3, item 040
Manual Title	Project Control / Project Management Records
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0434-2020-0008-0004	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off after project completion, closure or key performance parameters are met
Retention Period	Destroy 10 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Accept	Data Migration	08/02/2021
Approve	Colleen Shogan	07/10/2024

DEPARTMENT OF ENERGY (DOE) 1.3: Budgeting Records

DOE Records Disposition Schedules (RDS)											
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	N1-434-98-8, Item 4.1a
								Staffing and Budget Submission Files		Permanent	NC1-434-83-4, Item 1
DOE 1.3	015	Permanent	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	N1-434-98-8, Item 4.1a
								Staffing and Budget Submission Files		Permanent	NC1-434-83-4, Item 1
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	4.1b	6 years	N1-434-98-8, Item 4.1b
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)
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 Rescinded by NARA Transmittal 29
								Uranium Mill Tailings Remedial		3 years	N1-434-98-1, Item 15a (in part)

DOE Records Disposition Schedules (RDS)											
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
								Action (UMTRA) Project		1 year	N1-434-98-1, Item 15b (in part)
Rescinded								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 (GRS)							
Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.							
New GRS 1.3				Old Authorities			
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	GRS 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
Utilize DOE 1.3, Item 010 and 015 for Budget Policy Records (Headquarters) and DOE 1.3, items 020 and 025 for Budget formulation, estimates, justifications, and submission records prior to fiscal year 2017.							
GRS 1.3	020	6 years	DAA-GRS-2015-0006-0002	GRS 5	4	2 years	GRS 5, 1952, item 6
GRS 1.3	030	5 years	DAA-GRS-2015-0006-0003	GRS 5	3a	5 years	GRS 5, 1952, item 5a
GRS 1.3	031	3 years	DAA-GRS-2015-0006-0004	GRS 5	3b	3 years	NC-64-75-2 item 5b
GRS 1.3	040	2 years	DAA-GRS-2015-0006-0005	GRS 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
GRS 1.3	041	2 years	DAA-GRS-2015-0006-0006	GRS 5	2 (in part)	1 year	NC1-GRS-81-13 item 2
GRS 1.3	050	3 years	DAA-GRS-2015-0006-0007	GRS 5	1	2 years	GRS 5, 1952, items 1 and 3 NC1-430-76-8, item 1a(1) (ADM 5.1a) is a deviation from the GRS (ADM 5.1a; permanent).
Rescinded				GRS 16	5	1	NC1-64-77-8, item 4b
				See DOE 1.3, item 040, which replaced GRS 16.5 (ADM 16.5)			