

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2020-0006

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 Records Disposition Schedule 1.1: Financial Management and Reporting Records

Internal agency concurrences will be provided No

Background Information There were a total of sixteen (16) schedule items from DOE Administrative Schedules 3, 4, 6, 7 and 9 that were rolled into six (6) DOE schedule items, four (4) to GRS schedule items and three (3) items have been rescinded.

This schedule encompasses financial management and reporting records documenting the procurement of goods and services, bill paying, debt collection, accounting for financial transactions, monitoring agencies' net worth, pension, and insurance.

NOTE: Refer to GRS 1.1 for all other Financial Management and Reporting 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0434-2020-0006

Sequence Number	
1	Contractor Pension Case Files
1.1	Continuing Obligation Disposition Authority Number: DAA-0434-2020-0006-0001
1.2	No Continuing Obligation Disposition Authority Number: DAA-0434-2020-0006-0002
2	Casualty Insurance Case Files Disposition Authority Number: DAA-0434-2020-0006-0003
3	Unique Procurement Files Disposition Authority Number: DAA-0434-2020-0006-0004
4	Debarment Investigation Case Files Disposition Authority Number: DAA-0434-2020-0006-0005

Records Schedule Items

Sequence Number					
1	<p>Contractor Pension Case Files Pension plan case files that include, but are not limited to: • pension plans, • modifications, and amendments; • correspondence, • reports, • studies, and analyses; • negotiations; • DOE requirements for acceptance and modification; • funding and cost data; and • industry pension plan comparability studies.</p>				
1.1	<p>Continuing Obligation Disposition Authority Number DAA-0434-2020-0006-0001</p> <p>Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.</p> <p>Final Disposition Temporary</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="345 1226 1526 1331"> <tr> <th data-bbox="345 1226 938 1274">Manual Citation</th><th data-bbox="938 1226 1526 1274">Manual Title</th></tr> <tr> <td data-bbox="345 1274 938 1331">DOE 1.1, Item 010</td><td data-bbox="938 1274 1526 1331"></td></tr> </table> <p>GRS or Superseded Authority Citation N1-434-98-6 / 3/1/A</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.</p> <p>Retention Period Destroy 80 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	DOE 1.1, Item 010	
Manual Citation	Manual Title				
DOE 1.1, Item 010					
1.2	<p>No Continuing Obligation Disposition Authority Number DAA-0434-2020-0006-0002</p>				

Case for which DOE has no continuing obligations for liability after contract completion or termination.

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 1.1, Item 020	

GRS or Superseded Authority Citation N1-434-98-6 / 3/1/B

Disposition Instruction

Cutoff Instruction Cut off annually in year contract completed or terminated. Destroy 6 years after cutoff.

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

Casualty Insurance Case Files

Disposition Authority Number DAA-0434-2020-0006-0003

Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to: • policies, • endorsements, • reports, • correspondence, • studies, • analyses, • actuarial data and computations; and • Information showing premium adjustments, coverage, funding, billing and losses incurred. NOTE: Cases assigned to or administered by DOE upon contract completion or termination and cases for which DOE has no obligation or liability after contract completion or termination.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in Yes

3

electronic format(s) other than e-mail and word processing?

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

Manual Citation	Manual Title
DOE 1.1, Item 030	

GRS or Superseded Authority Citation **N1-434-98-6 / 3/2/A**
N1-434-98-6 / 3/2/B

Disposition Instruction

Cutoff Instruction **Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.**

Retention Period **Destroy 80 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Unique Procurement Files

Disposition Authority Number **DAA-0434-2020-0006-0004**

Procurement files, including, but not limited to procurement and grant files that:

- document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs
- new technology on alternative energy sources or to the innovative application of technology to reduce energy dependencies .

Final Disposition **Permanent**

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 1.1, Item 040	

GRS or Superseded Authority Citation **NC1-430-77-8 / 1**
N1-434-91-6 / 1/A/1

Disposition Instruction

Cutoff Instruction	Cut off at procurement completion or transaction completion.
Transfer to Inactive Storage	Transfer to NARA 25 years after cutoff.
Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after cutoff
Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff

Additional Information

First year of records accumulation	1977
What will be the date span of the initial transfer of records to the National Archives?	From 1977 To 1995
How frequently will your agency transfer these records to the National Archives?	Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	150 Cubic feet	3.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Debarment Investigation Case Files

Disposition Authority Number **DAA-0434-2020-0006-0005**

Consists of documents relating to investigations of Contractors or Grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE. The case files include, but are not limited to: • Inspector General reports • Attorney recommendations for action • Suspension notifications • Hearing transcripts • Briefs and motions • Final determinations and settlement agreements for debarment and for suspension cases • Other related records
Exclusion: Excludes documentation of approved, suspended and debarred vendors and bidder records not related to an "investigation". Utilize GRS 1.1, Items 070 and 071 for Vendor and Bidder Information. Citations: 48 CFR Federal

Acquisition Regulations System, Part 9 Contractor Qualifications • 48 CFR Subpart 9.4 Debarment, Suspension, and Ineligibility 10 CFR 606 Government-wide Debarment and Suspension 48 CFR 909.403 Definitions

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 1.1, Item 050	

GRS or Superseded Authority Citation N1-434-05-01 / A

Disposition Instruction

Cutoff Instruction Cut off when case closed, the debarment period or voluntary exclusion period is closed, whichever is later. Destroy 6 years after cutoff.

Retention Period Destroy 6 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
12/13/2019	Certify	Maria Levesque	Departmental Records Officer	OCIO - Records Management
09/24/2020	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/06/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/15/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/15/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Financial Management and Reporting Records

DOE Records Disposition Schedules							
New DOE 1.1				Old DOE			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 1.1	010	80 years	DAA-0434-2020-0006-0001	ADM 3	3.1a	80 years	N1-434-98-6, Item 3.1a
DOE 1.1	020	6 years	DAA-0434-2020-0006-0002	ADM 3	3.1b	6 years, 3 months	N1-434-98-6, Item 3.1b
DOE 1.1	030	80 years	DAA-0434-2020-0006-0003	ADM 3	3.2a	80 years	N1-434-98-6, Item 3.2a
				ADM 3	3.2b	6 years, 3 months	N1-434-98-6, Item 3.2b
DOE 1.1	040	Permanent	DAA-0434-2020-0006-0004	ADM 5	7	Permanent	NC1-430-77-8, Item 1
				--	--	Permanent	N1-434-91-6, Item 1a(1)
DOE 1.1	050	6 years	DAA-0434-2020-0006-0005	ADM 3	14.2a	6 years, 3 months	N1-434-05-01, Item a
DOE 1.1	060	10 years	DAA-0434-2020-0006-0006	--	--	10 years	N1-434-96-9, Item 1b(2)
				--	--	10 years	N1-434-96-9, Item 1b(3)
GRS 1.1	010	6 years	DAA-GRS-2013-0003-0001	ADM 3	14.1	6 years, 3 months	N1-434-95-1, Item 1
				--	--	6 years, 3 months	N1-434-91-6, Item 1a(2)
				--	--	6 years, 3 months	N1-434-91-6, Item 1b
				--	--	6 years, 3 months	N1-434-97-2, Item 1a1
				--	--	6 years 3 months	N1-434-98-1, Item 16a
				--	--	3 years	N1-434-98-1, Item 16b
				--	--	6 years 3 months	N1-434-98-1, item 20a(1) (in part)
				--	--	3 years	N1-434-98-1, item 20a(2) (in part)
GRS 1.1	011	DOE Business Use: 1 year	DAA-GRS-2013-0003-0002	--	--	1 year	N1-434-92-4, Item 20c
Rescinded				ADM 3	14.2b	No longer needed	N1-434-05-01, Item b
				ADM 3	14.2c(1)	180 after recordkeeping copy produced	N1-434-05-01, Item c(1)
				ADM 3	14.2c(2)	After dissemination, revision or updating	N1-434-05-01, Item c(2)

Epidemiological
Moratorium

General Record Schedules Items							
New GRS 1.1				Old DOE / GRS			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
GRS 1.1	001	3 years	DAA-GRS-2016-0013-0001	ADM 3	2	2 years	NC1-64-77-5, item 3

Financial Management and Reporting Records

General Record Schedules Items							
New GRS 1.1				Old DOE / GRS			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				ADM 6	5a	2 years	NC1-64-77-11, item 5a
				ADM 6	5b	3 years	NC1-64-77-11, item 5b
				GRS 7	1	2 years	GRS 7, 1952, item 1
				GRS 8	1	2 years	GRS 8, 1952, item 1
				ADM 9	4a	2 years	NI-GRS-91-3, item 4a
GRS 1.1	010	6 years	DAA-GRS-2013-0003-0001	ADM 9	4a	2 years	NI-GRS-91-3, item 4a
				ADM 3	3a1a	6 years, 3 months	NI-GRS-95-4 item 3a1a
				ADM 3	3a1b	3 years	NI-GRS-95-4 item 3a1b
				ADM 3	3a2a	6 years, 3 months	NI-GRS-95-4 item 3a2a
				ADM 3	3a2b	3 years	NI-GRS-95-4 item 3a2b
				ADM 3	5a	With related contract (see item 3)	NC1-GRS-81-2 item 6a
				ADM 3	5b1	1 year after award or payment	NC1-GRS-81-2 item 6b1
				ADM 3	5b2a	When related contract is completed	NC1-GRS-81-2 item 6b2a
				ADM 3	5b2b	With related contract (see item 3)	NC1-GRS-81-2 item 6b2b
				ADM 3	5c1	5 years	NC1-GRS-81-2 item 6c1
				ADM 3	5c2	Return to bidder	NC1-GRS-81-2 item 6c2
				ADM 3	6a	3 years	NC1-64-77-5 item 7a
				ADM 3	6b	3 years	NC1-64-77-5 item 7b
				ADM 3	7	1 year	NC1-64-77-5 item 8
				ADM 3	10	3 years	NC1-64-77-5 item 11
				ADM 3	12	3 years	NC1-64-77-5 item 13
				ADM 4	3a	6 years	NI-GRS-87-11, item 6a
				ADM 4	3b	3 years	NI-GRS-87-11, item 6b
				ADM 6	1a	6 years, 3 months	NI-GRS-91-3
				ADM 6	3a	2 years	GRS 6, 1952, item 3a
				ADM 6	3b	Receipt of subsequent certificate	GRS 6, 1952, item 3b
				ADM 6	4	3 years	NC174-105, item 5
				ADM 6	7	3 years or GAO audit	NC-64-77-11, item 7

Financial Management and Reporting Records

General Record Schedules Items							
New GRS 1.1				Old DOE / GRS			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				ADM 6	8	3 years or GAO audit	NC-64-77-11, item 8
				GRS 7	2	6 years, 3 months	NC1-GRS-83-5, item 1
				GRS 7	3	6 years, 3 months	NC1-GRS-83-5, item 2
				GRS 7	4a	3 years	NC-64-75-2, item 4a
				GRS 7	4b	2 years	NC-64-75-2, item 4b
				ADM 9	1a	6 years	NI-GRS-91-3, item 1a
				ADM 9	1b	10 years	NI-GRS-91-3, item 1b
				ADM 9	1c	6 years	NI-GRS-91-3, item 1c
				ADM 9	1d	When funds are obligated	NI-GRS-91-3, item 1e
				ADM 9	1e	3 years	NI-GRS-98-2, item 8
				ADM 9	3a	6 years	NI-GRS-91-3, item 3a
GRS 1.1	011	DOE Business Use: 1 year	DAA-GRS-2013-0003-0002	ADM 3	3c	Upon termination	NC1-64-77-5 item 4c
				ADM 6	1b	1 year	NI-GRS-86-3, item 1b
				ADM 9	3b	When funds are obligated	NI-GRS-91-3, item 3b
				ADM 12	2d1	1 year	NC1-64-77-9 item 2d1
GRS 1.1	012	DOE Business Use: Immediately	DAA-GRS-2016-0001-0001	New item			
GRS 1.1	013	6 years	DAA-GRS-2016-0001-0002	GRS 1.1	010 bullet*	6 years	DAA-GRS-2013-0003-0001, bullet*
				GRS 1.1	011 bullet*	When business use ceases	DAA-GRS-2013-0003-0002, bullet*
				ADM 3	3d	5 years	NI-GRS-87-8 item 4d
GRS 1.1	020	2 years	DAA-GRS-2013-0003-0011	New item			
GRS 1.1	030	2 years	DAA-GRS-2013-0003-0004	New item			
GRS 1.1	040	3 years	DAA-GRS-2013-0003-0012	GRS 8	2	3 years	NC-64-75-2, item 3
				GRS 8	3	3 years	NC-64-75-2, item 4
				GRS 8	4	2 years	GRS 8, 1952, item 5
				GRS 8	5	3 years	GRS 8, 1952, item 6
				GRS 8	6a	3 years	NC-64-75-2, item 7a
				GRS 8	6b	3 years	NC-64-75-2, item 7b

Financial Management and Reporting Records

General Record Schedules Items							
New GRS 1.1				Old DOE / GRS			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				GRS 8	7a	3 years	NC-64-75-2, item 8a
GRS 1.1	050	3 years	DAA-GRS-2013-0003-0003	ADM 3	11	3 years	NC1-64-77-5 item 12
Note: Utilize DOE 2.4, Item 010 for Employee Payroll Records							
GRS 1.1	070	5 years	DAA-GRS-2016-0001-0004	ADM 3	5d	Superseded or obsolete	NC1-GRS-81-2 item 6d
GRS 1.1	071	3 years	DAA-GRS-2016-0001-0005				
Note: Utilize DOE 1.1, Item 050 for Debarment Investigations							
GRS 1.1	080	7 years	DAA-GRS-2017-0005-0001	ADM 6	10a	6 years, 3 months	N1-GRS-87-13, item 1a
				ADM 6	10b1	6 years, 3 months	N1-GRS-87-13, item 1b1
				ADM 6	10b2a	10 years, 3 months	N1-GRS-87-13, item 1b2a
				ADM 6	10b2b	3 months after right to collect ends	N1-GRS-87-13, item 1b2b
				ADM 6	10b3	6 years, 3 months	N1-GRS-87-13, item 1b3
				ADM 6	10c	6 years, 3 months	N1-GRS-87-13, item 1c
				ADM 6	11a	6 years, 3 months	N1-GRS-88-1, item 11a
				ADM 6	11b	6 years, 3 months --or- 10 years, 3 months --or- 3 months after right to litigate ends	N1-GRS-88-1, item 11b