

## DEPARTMENT OF ENERGY (DOE) 1.1: Financial Management and Reporting Records

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	Records Description		Disposition Instruction	Disposition Authority
010	<b>Contractor Pension Case Files</b>	<b>Continuing Obligation</b>	<b>Temporary.</b> Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.	DAA-0434-2020-0006-0001
020	Pension plan case files for contractors that includes, but are not limited to: <ul style="list-style-type: none"> <li>• pension plans</li> <li>• modifications, and amendments</li> <li>• correspondence</li> <li>• reports</li> <li>• studies, and analyses</li> <li>• negotiations</li> <li>• DOE requirements for acceptance and modification</li> <li>• funding and cost data</li> <li>• industry pension plan comparability studies</li> </ul>	<b>No Continuing Obligation</b>	<b>Temporary.</b> Cut off annually in year contract completed or terminated. Destroy 6 years after cutoff.	DAA-0434-2020-0006-0002
<b>EPI</b>		Cases for which DOE has no continuing obligations for liability after contract completion or termination.		
030	<b>Casualty Insurance Case Files</b>		<b>Temporary.</b> Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.	DAA-0434-2020-0006-0003
	Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to: <ul style="list-style-type: none"> <li>• policies</li> <li>• endorsements</li> <li>• reports</li> <li>• correspondence</li> </ul>			

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>studies</li> <li>analyses</li> <li>actuarial data and computations</li> <li>Information showing premium adjustments, coverage, funding, billing and losses incurred</li> </ul> <p><b>Note:</b> Includes both 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.</p>		
040	<p><b>Unique Procurement Files</b></p> <p>Procurement files, including, but not limited to procurement and grant files that:</p> <ul style="list-style-type: none"> <li>document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs</li> <li>new technology on alternative energy sources or the innovative application of technology to reduce energy dependencies</li> </ul> <p><b>Note:</b> Exclusion to GRS 1.1, Item 010, which excludes procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.</p>	<p><b>Permanent.</b> Cut off at procurement completion or transaction completion. Transfer to NARA 25 years after cutoff.</p>	DAA-0434-2020-0006-0004
050	<p><b>Debarment <u>Investigation</u> Case Files</b></p> <p>Consists of documents relating to <u>investigations</u> of contractors or grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE.</p> <p>The case files include, but are not limited to:</p> <ul style="list-style-type: none"> <li>Inspector General reports</li> <li>attorney recommendations for action</li> <li>suspension notifications</li> <li>hearing transcripts</li> <li>briefs and motions</li> </ul>	<p><b>Temporary.</b> Cut off when case closed, the debarment period or voluntary exclusion period is closed, whichever is later. Destroy 6 years after cutoff.</p>	DAA-0434-2020-0006-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>final determinations and settlement agreements for debarment and for suspension cases</li> <li>other related records, including correspondence</li> </ul> <p><b>Note:</b> Exclusion to GRS 1.1, Items 070 and 071 as these do not cover investigation case files.</p> <p><b>Citations:</b>  <b>48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications</b>  48 CFR Subpart 9.4 <i>Debarment, Suspension, and Ineligibility</i>  <b>10 CFR 606 Government-wide Debarment and Suspension</b>  <b>48 CFR 909.403 Definitions</b></p>		
060	<p><b>Research Development, and Demonstration (RD&amp;D) Financial, Contractual and Procurement Records</b></p> <p>Contracts, Grants, Cooperative Agreements, and Technical Investment Agreements related to Research Development, and Demonstration (RD&amp;D) services. This applies to all RD&amp;D subawards and laboratory technology transfer agreements (e.g., Cooperative Research and Development Agreement (CRADAs), Strategic Partnership Project (SPPs), and Agreements for Commercializing Technology (ACTs). Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>contracts, agreements, and specifications</li> <li>purchase orders</li> <li>memoranda of agreement specifying a financial obligation</li> <li>solicitations/requests for bids, quotations, or proposals</li> <li>proposals, quotations, and bids (accepted and unsuccessful/rejected)</li> <li>invoices</li> <li>legal, financial, and budget records</li> <li>documentation of contractual requirements submitted by contractors such as progress reports and final technical reports</li> <li>correspondence and papers pertaining to award, administration, receipt, inspection of payment for goods and services in this list</li> <li>related service agreements and accompanying instructions, technical procedures, and study protocols</li> </ul>	<p><b>Temporary.</b> Destroy 20 years after final payment.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p><b>Note:</b> DOE defines final payment as final payment AND contract completion documentation to meet the FAR requirements for contract close-out.</p> </div>	DAA-GRS-2013-0003-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• copies of records documenting invention and patent contractual requirements and intellectual property provisions               <ul style="list-style-type: none"> <li>○ certifications, including Patent and Invention Certifications</li> <li>○ Patent Clearance Records</li> <li>○ Patent Responsibility Letters</li> </ul> </li> <li>• copies of records and waivers related to U.S. manufacturing requirements</li> </ul> <p><b>Note 1:</b> GRS 1.1, item 010 allows for longer retention for business use. RD&amp;D contracts and procurement records are needed for a longer period due to the nature of the contracts.</p> <p><b>Note 2:</b> Utilize DOE 1.1, item 040 for procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances that have permanent value.</p> <p><b>Note 3:</b> See DOE 1.1 FAQs regarding contract clauses used in RD&amp;D contracts. The list of current DOE Intellectual Property Provisions are available at <a href="https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards">https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards</a>.</p> <p><b>Note 4:</b> There are likely records created, maintained, or utilized by multiple organizations and may contain many records in common, but are retained to document different business functions. Therefore, some of the records that may be filed within the contract file, may also need to be retained under a different schedule. Examples include, but are not limited to, intellectual property, patent, and invention records.</p>		