

## Frequently Asked Questions (FAQs) about DOE 1.1, Financial Management and Reporting Records

### INTRODUCTION

#### 1. What is the purpose of DOE 1.1?

DOE 1.1 is written in the same format as GRS 1.1, which provides disposition authority for records created and received in the course of carrying out a DOE's financial management and reporting responsibilities that are not covered by GRS 1.1.

#### 2. From whom may I request more information about this schedule?

You may contact the DOE Records Disposition Schedule Technical Team at [DOERM@hq.doe.gov](mailto:DOERM@hq.doe.gov) with questions about this schedule.

#### 3. How does DOE 1.1 differ from the old DOE Administrative Schedule?

There are a total of nineteen (19) schedule items from the DOE Administrative Schedules 3, 4, 6, 7 and 9 that were consolidated into six (6) DOE schedule items, nine (9) schedules were cross walked to GRS schedule items (five (5) (in part)) and one (1) schedule item has been rescinded.

- Items 010 and 020 – Contractor Pension Case Files

Item 010 – removed language related to cost-type contracts. Previously:

| Schedule No. | Item No. | Retention | Disposition Authority  |
|--------------|----------|-----------|------------------------|
| ADM 3        | 3.1a     | 80 years  | N1-434-98-6, Item 3.1a |

Item 020 – removed language related to cost-type contracts. (Previously ADM 3.3.1.b, currently under the epidemiological moratorium, which will be lifted **once all schedules are approved.**)

| Schedule No. | Item No. | Retention         | Disposition Authority  |
|--------------|----------|-------------------|------------------------|
| ADM 3        | 3.1b     | 6 years, 3 months | N1-434-98-6, Item 3.1b |

- Item 030 – Casualty Insurance

Consolidated two (2) schedules into one (1), utilizing the longer retention of 80 years, and removed language related to cost-type contracts. Previously:

| Schedule No. | Item No. | Retention         | Disposition Authority  |
|--------------|----------|-------------------|------------------------|
| 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 |

- Item 040 – Unique Procurement Files

Consolidated two (2) schedule items related to unique procurements and updated the cut off language for clarity. Previously:

| Schedule No.          | Item No. | Retention | Disposition Authority   |
|-----------------------|----------|-----------|-------------------------|
| ADM 5                 | 7        | Permanent | NC1-430-77-8, Item 1    |
| Boston Support Office |          | Permanent | N1-434-91-6, Item 1a(1) |

- Item 050 – Debarment Investigation Case Files

No Change except from 6 years 3 months to 6 years. Previously:

| Schedule No. | Item No. | Retention         | Disposition Authority |
|--------------|----------|-------------------|-----------------------|
| ADM 3        | 14.2a    | 6 years, 3 months | N1-434-05-01, Item a  |

**Note:** Exclusion to GRS 1.1, items 070 and 071, as these do not cover investigation case files.

- Item 060 – Research and Development (R&D) Financial, Contractual and Procurement Records

Consolidated two (2) schedule items into one (1), utilizing a GRS authority. Previously:

| Schedule No.             | Item No. | Retention | Disposition Authority   |
|--------------------------|----------|-----------|-------------------------|
| Research and Development |          | 10 years  | N1-434-96-9, Item 1b(2) |
|                          |          | 10 years  | N1-434-96-9, Item 1b(3) |

**UPDATE (October 2021):** Title and description were updated to better describe the records and the retention increased from 10 years to 20 years.

#### 4. Items Cross Walking to GRS 1.1:

- Item 010 – Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting – Official Record Held in the Office of Record

Consolidated six (6) schedule items with GRS 1.1, item 010. Previously:

| Schedule No.          | Item No. | Retention         | Disposition Authority              |
|-----------------------|----------|-------------------|------------------------------------|
| ADM 3                 | 14.1     | 6 years, 3 months | N1-434-95-1, Item 1 (in part*)     |
| Boston Support Office |          | 6 years, 3 months | N1-434-91-6, Item 1a(2) (in part*) |

|   |                   |                                    |
|---|-------------------|------------------------------------|
|   | 6 years, 3 months | N1-434-91-6, Item 1b (in part*)    |
| Canceled Checks Issued by Contractors                 | 6 years, 3 months | N1-434-97-2, Item 1a1              |
| Uranium Mill Tailings Remedial Action (UMTRA) Project | 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) |

\* ADM 3.14.1, N1-434-91-6, (Boston Support Office - Grant Files), item 1a(2) and N1-434-91-6, (Boston Support Office - Grant Files), item 1b are all in part. These only cross walk to GRS 1.1, item 010 if the financial records are segregated from the Grant/Cooperative Agreement Case Files.

\*\* N1-434-98-1 (Uranium Mill Tailings Remedial Action (UMTRA) Project), item 20a(1) and N1-434-98-1 (Uranium Mill Tailings Remedial Action (UMTRA) Project), item 20a(2) are subcontractor procurement records, all but the Davis-Bacon payroll records crosswalk to GRS 1.1, item 010. See DOE 2.4, item 010 for the Davis-Bacon payroll and employee time records.

- Item 011 – Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting – All Other Copies

Consolidated one (1) schedule item with GRS 1.1, item 011. Previously:

| Schedule No.                         | Item No. | Retention | Disposition Authority |
|--------------------------------------|----------|-----------|-----------------------|
| Nevada Contractor Records Schedule 1 |          | 1 year    | N1-434-92-4, Item 20e |

#### 5. Why are you removing items that were in the old DOE Administrative Schedule?

The following item is being rescinded, as it applies to extra copies, which are non-records and do not require a schedule for disposition:

| Schedule No. | Item No. | Retention         | Disposition Authority |
|--------------|----------|-------------------|-----------------------|
| ADM 3        | 14.2a    | 6 years, 3 months | N1-434-05-01, Item a  |