

Department of Energy (DOE) 1.1: Financial Management and Reporting Records Crosswalk

DOE Records Disposition Schedules (RDS)											
New DOE 1.1				DOE 1.1 (October 2020; DOE Transmittal 01)				Old Authorities			
Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 1.1	010	80 years	DAA-0434-2021-0001-0001	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-0434-2021-0001-0002	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
Remains under EPI Moratorium until DOE lifts the hold.											
DOE 1.1	030	80 years	DAA-0434-2021-0001-0004	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-0434-2021-0001-0005	DOE 1.1	040	Permanent	DAA-0434-2020-0006-0004	ADM 5	7	Permanent	NC1-430-77-8, Item 1
								Boston Support Office – Grant Files		Permanent	N1-434-91-6, Item 1a(1)
DOE 1.1	050	6 years	DAA-0434-2021-0001-0003	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 (in part)
DOE 1.1	060	20 years	DAA-GRS-2013-0003-0001					Research and Development Records		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 (in part*)
								Boston Support Office – Grant Files		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)
GRS 1.1	011	DOE Business Use: 1 year	DAA-GRS-2013-0003-0002					Las Vegas Contractor Schedule 1		1 year	N1-434-92-4, Item 20e
Rescinded								ADM 3	14.2b	No longer needed	N1-434-05-01, Item b

* 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.

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 1.1				Old Authorities			
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	GRS 3	2	2 years	NC1-64-77-5, item 3
				GRS 6	5a	2 years	NC1-64-77-11, item 5a
				GRS 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
GRS 1.1	010	6 years	DAA-GRS-2013-0003-0001	GRS 9	4a	2 years	N1-GRS-91-3, item 4a
				GRS 3	3a1a	6 years, 3 months	N1-GRS-95-4 item 3a1a
				GRS 3	3a1b	3 years	N1-GRS-95-4 item 3a1b
				GRS 3	3a2a	6 years, 3 months	N1-GRS-95-4 item 3a2a
				GRS 3	3a2b	3 years	N1-GRS-95-4 item 3a2b
				GRS 3	5a	With related contract (see item 3)	NC1-GRS-81-2 item 6a
				GRS 3	5b1	1 year after award or payment	NC1-GRS-86-2 item 6b1
				GRS 3	5b2a	When related contract is completed	NC1-GRS-86-2 item 6b2a
				GRS 3	5b2b	With related contract (see item 3)	NC1-GRS-86-2 item 6b2b
				GRS 3	5c1	5 years	NC1-GRS-81-2 item 6c1
				GRS 3	5c2	Return to bidder	NC1-GRS-81-2 item 6c2
				GRS 3	6a	3 years	NC1-64-77-5 item 7a
				GRS 3	6b	3 years	NC1-64-77-5 item 7b
				GRS 3	7	1 year	NC1-64-77-5 item 8
				GRS 3	10	3 years	NC1-64-77-5 item 11
				GRS 3	12	3 years	NC1-64-77-5 item 13
				GRS 4	3a	6 years	N1-GRS-87-11, item 6a
				GRS 4	3b	3 years	N1-GRS-87-11, item 6b
				GRS 6	1a	6 years, 3 months	N1-GRS-91-3 item 6/1a
				GRS 6	3a	2 years	GRS 6, 1952, item 3a

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Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				GRS 6	3b	Receipt of subsequent certificate	GRS 6, 1952, item 3b
				GRS 6	4	3 years	NC1-74-105, item 5
				GRS 6	7	3 years or GAO audit	NC1-64-77-11, item 7
				GRS 6	8	3 years or GAO audit	NC1-64-77-11, 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
				GRS 9	1a	6 years	N1-GRS-91-3, item 1a
				GRS 9	1b	10 years	N1-GRS-91-3, item 1b
				GRS 9	1c	6 years	N1-GRS-91-3, item 1c
				GRS 9	1d	When funds are obligated	N1-GRS-91-3, item 1d
				GRS 9	1e	3 years	N1-GRS-98-2, item 8
				GRS 9	3a	6 years	N1-GRS-91-3, item 3a
GRS 1.1	011	When business use ceases. DOE Business Use: 1 year	DAA-GRS-2013-0003-0002	GRS 3	3c	Upon termination	NC1-64-77-5 item 4c
				GRS 6	1b	1 year	N1-GRS-86-3, item 1b
				GRS 9	3b	When funds are obligated	N1-GRS-91-3, item 3b
				GRS 12	2d1	1 year	NC1-64-77-9 item 2d1
				New item			
GRS 1.1	012	No longer needed for business 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	6 years	DAA-GRS-2013-0003-0001, bullet*
			NARA Rescinded – Transmittal 30	GRS 1.1	011	When business use ceases	DAA-GRS-2013-0003-0002, bullet*
				ADM 3	3d	5 years	N1-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
				GRS 8	7a	3 years	NC-64-75-2, item 8a

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GRS 1.1	050	3 years	DAA-GRS-2013-0003-0003	GRS 3	11	3 years	NC1-64-77-5 item 12
Utilize DOE 2.4, Item 010 for Employee Payroll Records.							
GRS 1.1	060	1 year	DAA-GRS-2016-0001-0003	GRS 3	15b	1 year	N1-GRS-87-9 item 19b
GRS 1.1	070	5 years	DAA-GRS-2016-0001-0004	GRS 3	5d	Superseded or obsolete	NC1-GRS-81-2 item 6d
GRS 1.1	071	3 years	DAA-GRS-2016-0001-0005				
GRS 1.1, items 070 and 071 (above) only cover records related to suspension and debarments. They do not cover Debarment Investigations. Utilize DOE 1.1, item 050 for Debarment Investigations.							
GRS 1.1	080	7 years	DAA-GRS-2017-0005-0001	GRS 6	10a	6 years, 3 months	N1-GRS-87-13, item 1a
				GRS 6	10b1	6 years, 3 months	N1-GRS-87-13, item 1b1
				GRS 6	10b2a	10 years, 3 months	N1-GRS-87-13, item 1b2a
				GRS 6	10b2b	3 months after right to collect ends	N1-GRS-87-13, item 1b2b
				GRS 6	10b3	6 years, 3 months	N1-GRS-87-13, item 1b3
				GRS 6	10c	6 years, 3 months	N1-GRS-87-13, item 1c
				GRS 6	11a	6 years, 3 months	N1-GRS-88-1, item 11a
				GRS 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
GRS 1.1	090	Card holder Separation	DAA-GRS-2018-0003-0001	New Item			
GRS 1.1	100	3 years	DAA-GRS-2018-0003-0002	New Item (ADM 3.17 rescinded (GRS transmittal 29); picked up by GRS 1.1, item 100 (GRS transmittal 30))			
Rescinded				GRS 3	3b	When funds obligated	Nc1-64-77-5, item 4b
				GRS 3	15a	6 years, 3 months	N1-GRS-87-9, item 19a
				GRS 3	16	Superseded/ obsolete	N1-GRS-98-2, item 7
				ADM 6	2	1 year	GRS 6, 1952, item 2
				ADM 6	6a1	15 years	NC1-64-77-11, item 6a1
				ADM 6	6a2	15 years	NC1-64-77, item 6a2
				ADM 6	6b	When inactive	NC1-64-77-11, item 6b
				ADM 8	7b1	6 months	GRS 8, 1952, item 8b1
				ADM 8	7b2	6 months	GRS 8, 1952, item 8b2
ADM 8	7b3	1 year	GRS 8, 1952, item 8b3				