

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 while carrying out DOE's financial management and reporting responsibilities that are not covered by GRS 1.1.

UPDATE (October 2024) – see 4. What changes were made to 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 with questions about this schedule.

3. What changes were made to DOE 1.1?

- Items 010 and 020 – Contractor Pension Case Files

Item 010 – Continuing Obligation

Updated disposition instructions to remove cut off language for more flexibility.
Previously:

New DOE 1.1 (DAA-0434-2021-0001)				Prior Approved DOE 1.1 (DAA-0434-2020-0006)				Old Authorities			
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

Item 020 – No Continuing Obligation

Updated disposition instructions to remove cut off language for more flexibility.
Previously:

New DOE 1.1 (DAA-0434-2021-0001)				Prior Approved DOE 1.1 (DAA-0434-2020-0006)				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	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

Note: Remains under EPI Moratorium until DOE lifts the hold.

- Item 030 – Casualty Insurance

Updated disposition instructions to remove cut off language for more flexibility.

Previously:

New DOE 1.1 (DAA-0434-2021-0001)				Prior Approved DOE 1.1 (DAA-0434-2020-0006)				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	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

- Item 040 – Unique Procurement Files

Updated disposition instructions to remove cut off language for more flexibility.

Previously:

New DOE 1.1 (DAA-0434-2021-0001)				Prior Approved DOE 1.1 (DAA-0434-2020-0006)				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	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)

Note: 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 that may have a permanent value.

- Item 050 – Debarment Investigation Case Files

Updated disposition instructions to remove cut off language for more flexibility.

Previously:

New DOE 1.1 (DAA-0434-2021-0001)				Prior Approved DOE 1.1 (DAA-0434-2020-0006)				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	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)

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

Updated schedule language and increased retention to 20 years to cover the types of records managed in the RD&D Financial, Contractual and Procurement records.

Previously:

New DOE 1.1 (DAA-GRS-0003-0001)				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	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)

Note 1: 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.

Note 2: Utilize DOE 20.6 Research and Development Records for project case files.

4. What changes were made 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

UPDATE (October 2024) – Updated note related to defining final payment, specifying difference between contracts, financial, and accounting records.

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

UPDATE (October 2024) – Updated DOE Business Use and defined final action for contracts, financial, and accounting records.