

## 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.

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

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

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

- Item 010 – Contractor Pension Case Files– Continuing Obligation

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

- DAA-0434-2020-0006-0001
  - ADM 3.3.1a

- Item 020 – Contractor Pension Case Files – No Continuing Obligation

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

- DAA-0434-0434-2020-0006-0002
  - ADM3.3.1b

**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:

- DAA-0434-2020-0006-0003
  - ADM 3.3.2a
  - ADM 3.3.2b

- Item 040 – Unique Procurement Files

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

- DAA-0434-2020-0006-0004
  - ADM 5.7
  - N1-434-91-6, item 1a(1) (Boston Support Office – Grant Files)

**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:

- DAA-0434-2020-0006-0005
  - ADM 3.14.2a

**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:

- N1-434-96-9, item 1b(2) (Research and Development Records)
- N1-434-96-9, item 1b(3) (Research and Development Records\_

**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. 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.

Six (6) DOE records disposition schedule items have been crosswalked to GRS 1.1, item

010. Previously:

- ADM 3.14.1 (in part)
- N1-434-91-6, item 1a(2) (Boston Support Office – Grant Files) (in part)
- N1-434-91-6, item 1b (Boston Support Office – Grant Files) (in part)
- N1-434-97-2, item 1a1 (Canceled Checks Issued by Contractors)
- N1-434-98-1, item 16a (Uranium Mills Tailings Remedial Action (UMTRA) Project)
- N1-434-98-1, item 16b (Uranium Mills Tailings Remedial Action (UMTRA) Project)
- N1-434-81-1, item 20a(1) (Uranium Mills Tailings Remedial Action (UMTRA) Project) (in part)
- N1-434-98-1, item 20a(2) (Uranium Mills Tailings Remedial Action (UMTRA) Project) (in part)

Note: 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 crosswalk to GRS 1.1, item 010 if the financial records are segregated from the Grant/Cooperative Agreement Case Files.

Note 2: 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:

- N1-434-92-4, item 20e (Las Vegas Contractor Schedule 1)

## 5. What updates has DOE made to the GRS?

UPDATE (July 2026) - DOE has removed the retention instructions “but longer retention is authorized is required for business use,” as DOE does not authorize longer retention. You must follow the retention listed.

- 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.

- Item 012 – Bids and proposals neither solicited nor accepted

DOE updated the retention to 1 year to reflect business needs of the DOE.

- Item 050 – Construction contractors’ payroll files

Item superseded by DOE 2.4, item 010 (Employee Payroll Records for Each Pay Period).

- Item 070 – Vendor and bidder information – Records of suspensions and debarments for violations of the Drug-Free Workplace Act

A note was added to use DOE 1.1, item 050 for Debarment Investigation Case files (specific cases).

- Item 071 – Vendor and bidder information – Records of all other suspensions and debarments and all approved vendors and bidders

A note was added to use DOE 1.1, item 050 for Debarment Investigation Case files (specific cases).

#### **6. 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:

- ADM 3.14.2b