

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0001

Status: APPROVED
Date Approved: 05/09/2024

General Information

Agency or Establishment	Department of Energy
Record/Scheduling Group	0434 - General Records of the Department of Energy
Records Schedule Applies To	Agency-wide
Schedule Subject	Department of Energy (DOE) 1.1: Financial Management and Reporting Records
Additional Schedule Information	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.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No- The records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 4

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0434-2021-0001

Item #	Title	Disposition
0001	Contractor Pension Case Files : Continuing Obligation	Temporary
0002	Contractor Pension Case Files : No Continuing Obligation	Temporary
0003	Debarment Investigation Case Files	Temporary
0004	Casualty Insurance Case Files	Temporary
0005	Unique Procurement Files	Permanent

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Records Schedule Items

Group Title	Contractor Pension Case Files	
Group Description	Pension plan case files for contractors that includes, but are not limited to: <ul style="list-style-type: none"> • pension plans • modifications, and amendments • correspondence • reports • studies, and analyses • negotiations • DOE requirements for acceptance and modification • funding and cost data • industry pension plan comparability studies 	
DAA-0434-2021-0001-0001	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Continuing Obligation	
Item Description	Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.1, item 010	
Manual Title	Contractor Pension Case Files - Continuing Obligation	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0006-0001	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 80 years after contract completion/ termination.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
DAA-0434-2021-0001-0002 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	No Continuing Obligation
Item Description	Cases for which DOE has no continuing obligations for liability after contract completion or termination.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	DOE 1.1, item 020
Manual Title	Contractor Pension Case Files - No Continuing Obligation
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0434-2020-0006-0002	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy 6 years after contract completion/ termination.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0001-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Debarment Investigation Case Files

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Item Description	<p>Consists of documents relating to investigations 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"> • Inspector General reports • attorney recommendations for action • suspension notifications • hearing transcripts • briefs and motions • final determinations and settlement agreements for debarment and for suspension cases • other related records, including correspondence <p>Citations: 48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications 48 CFR Subpart 9.4 Debarment, Suspension, and Ineligibility 10 CFR 606 Government-wide Debarment and Suspension 48 CFR 909.403 Definitions</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.1, item 050	
Manual Title	Debarment Investigation Case Files	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0006-0005	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 6 years after case closed, the debarment period or voluntary exclusion period is closed, whichever is later.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0001-0004	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Casualty Insurance Case Files	
Item Description	<p>Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to:</p> <ul style="list-style-type: none"> • policies • endorsements • reports • correspondence • studies • analyses • actuarial data and computations • Information showing premium adjustments, coverage, funding, billing, and losses incurred <p>Note: 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>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.1, item 030	
Manual Title	Casualty Insurance Case Files	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0006-0003	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	

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Retention Period	Other: Destroy 80 years after contract completion/ termination.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0001-0005	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Unique Procurement Files
Item Description	Procurement files, including, but not limited to procurement and grant files that: <ul style="list-style-type: none"> • document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs • new technology on alternative energy sources or the innovative application of technology to reduce energy dependencies
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	DOE 1.1, item 040
Manual Title	Unique Procurement Files
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0434-2020-0006-0004	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	There is no cutoff instruction
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 25 year(s) after contract completion
ADDITIONAL INFORMATION	

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Current Records Format	Paper-based textual records:150 cubic feet
Approximate first year of records covered by this authority	1977
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/1977 To: --/--/1995
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No

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Signatory Information

Action	User	Date
Accept	Data Migration	08/02/2021
Approve	Colleen Shogan	05/09/2024

DEPARTMENT OF ENERGY (DOE) - Records Disposition Schedule (RDS)

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	<p>Contractor Pension Case Files</p> <p>Pension plan case files for contractors that includes, but are not limited to:</p> <ul style="list-style-type: none"> • pension plans 	<p>Continuing Obligation</p> <p>Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.</p>	<p>Temporary. Destroy 80 years after contract completion/termination.</p>	<p>DAA-0434-2021-0001-0001</p>
020	<ul style="list-style-type: none"> • modifications, and amendments • correspondence • reports • studies, and analyses • negotiations • DOE requirements for acceptance and modification • funding and cost data • industry pension plan comparability studies 	<p>No Continuing Obligation</p> <p>Cases for which DOE has no continuing obligations for liability after contract completion or termination.</p>	<p>Temporary. Destroy 6 years after contract completion/termination.</p>	<p>DAA-0434-2021-0001-0002</p>
EPI				
030	<p>Casualty Insurance Case Files</p> <p>Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to:</p> <ul style="list-style-type: none"> • policies • endorsements 		<p>Temporary. Destroy 80 years after contract completion/termination.</p>	<p>DAA-0434-2021-0001-0003</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • reports • correspondence • studies • analyses • actuarial data and computations • Information showing premium adjustments, coverage, funding, billing, and losses incurred <p>Note: 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>Unique Procurement Files</p> <p>Procurement files, including, but not limited to procurement and grant files that:</p> <ul style="list-style-type: none"> • document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs • new technology on alternative energy sources or the innovative application of technology to reduce energy dependencies <p>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 may have permanent value.</p>	<p>Permanent. Transfer to NARA 25 years after contract completion/termination.</p>	DAA-0434-2021-0001-0004
050	<p>Debarment <u>Investigation</u> Case Files</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"> • Inspector General reports • attorney recommendations for action • suspension notifications 	<p>Temporary. Destroy 6 years after case closed, the debarment period or voluntary exclusion period is closed, whichever is later.</p>	DAA-0434-2021-0001-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • hearing transcripts • briefs and motions • final determinations and settlement agreements for debarment and for suspension cases • other related records, including correspondence <p>Note: Exclusion to GRS 1.1, Items 070 and 071 as these do not cover investigation case files.</p> <p>Citations: 48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications 48 CFR Subpart 9.4 <i>Debarment, Suspension, and Ineligibility</i> 10 CFR 606 Government-wide Debarment and Suspension 48 CFR 909.403 Definitions</p>		
060	<p>Research Development, and Demonstration (RD&D) Financial, Contractual and Procurement Records</p> <p>Contracts, Grants, Cooperative Agreements, and Technical Investment Agreements related to Research Development, and Demonstration (RD&D) services. This applies to all RD&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"> • contracts, agreements, and specifications • purchase orders • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations, or proposals • proposals, quotations, and bids (accepted and unsuccessful/rejected) • invoices • legal, financial, and budget records • documentation of contractual requirements submitted by contractors such as progress reports and final technical reports • correspondence and papers pertaining to award, administration, receipt, inspection of payment for goods and services in this list 	<p>Temporary. Destroy 20 years after final payment.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Note: 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"> • related service agreements and accompanying instructions, technical procedures, and study protocols • copies of records documenting invention and patent contractual requirements and intellectual property provisions <ul style="list-style-type: none"> ○ certifications, including Patent and Invention Certifications ○ Patent Clearance Records ○ Patent Responsibility Letters • copies of records and waivers related to U.S. manufacturing requirements <p>Note 1: GRS 1.1, item 010 allows for longer retention for business use. RD&D contracts and procurement records are needed for a longer period due to the nature of the contracts.</p> <p>Note 2: 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>Note 3: See DOE 1.1 FAQs regarding contract clauses used in RD&D contracts. The list of current DOE Intellectual Property Provisions are available at https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards.</p> <p>Note 4: 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>		