

## Frequently Asked Questions (FAQs) about DOE 1.2, Grant and Cooperative Agreement Records

### INTRODUCTION

#### 1. What is the purpose of DOE 1.2?

DOE 1.2 is written in the same format as GRS 1.2, which provides disposition authority for records created and received in the course of carrying out a DOE's Grant and Cooperative Agreement responsibilities that are not covered by GRS 1.2.

#### 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 1.2 differ from the old DOE Administrative Schedule?

There were a total of twenty-nine (29) schedule items from the DOE Administrative Schedules, Environmental and SF115's that did not have a GRS authority and rolled into DOE 1.2, Grant and Cooperative Agreement Records. Through careful review and consolidation of like items/retentions, the total schedule items were reduced to eight (8), one (1) of which is new and one (1) schedule item cross walked to a GRS item. There are two (2) schedule items that are deviations from GRS items and two (2) schedule items have been rescinded. When schedule consolidation involved multiple retentions, the longer retention was applied.

- Items 010 – Grant and Cooperative Agreement Program Administration Records

Item 010 –New schedule item created to address GRS 1.2, item 010 exclusion 1 for DOE Program Administration Records. (New Item)

**Note:** Deviation to GRS 1.2, item 010 (Exclusion 1) which excludes policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grants and cooperative agreement programs.

- Item 020 – Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Projects) Records

Consolidated six (6) schedules into one (1), which is an exception to GRS 1.2, item 020 based on DOE requiring EPA award official approval prior to destruction. (Previously ENV 1, item h(1); ENV 1, item h(2)(a); ENV 1, item h(2)(b); ENV 1, h(2)(c); ENV 1, item h(2)(d); ENV 1, item h(2)(e))

**Note:** Deviation to GRS 1.2, Item 020, as 40 CFR 35.6700 requires EPA award official approval prior to destruction for CERCLA funded cooperative agreements.

- Item 030 – Work for Others – Agreement/Contract for Services Case File – Approved by DOE

Consolidated eight (8) schedules into one (1), utilizing the longer retention of 10 years. (Previously N1-434-95-5 (Cooperative Research and Development Agreements), item 1a(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1b(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1c(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1d(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1e(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1f(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 1f(2); N1-434-95-5 (Cooperative Research and Development Agreements), item 1g)

- Item 040 – Work for Others – Agreement/Contract for Services Case File – Terminated Prior to Formal Review Process or Denial

Consolidated four (4) schedules into one (1), utilizing the longer retention of 5 years. (Previously N1-434-95-5 (Cooperative Research and Development Agreements), item 1b(2); N1-434-95-5 (Cooperative Research and Development Agreements), item 1c(2); N1-434-95-5 (Cooperative Research and Development Agreements), item 1d(2); N1-434-95-5 (Cooperative Research and Development Agreements), item 1e(2))

- Item 050 – Cooperative Research and Development Agreement (CRADA) / Cost-Sharing Project Case Files

Consolidated two (2) schedules into one (1). (Previously N1-434-95-5 (Cooperative Research and Development Agreements), item 2b; N1-434-95-5 (Cooperative Research and Development Agreements), item 2f(2))

- Item 060 – Cooperative Research and Development Agreement (CRADA) Products, Services, Marketing and Promotional Records

Consolidated three (3) schedules into one (1), utilizing the longer retention of 5 years. (Previously N1-434-95-5 (Cooperative Research and Development Agreements), item 2c; N1-434-95-5 (Cooperative Research and Development Agreements), item 2d; N1-434-95-5 (Cooperative Research and Development Agreements), item 2e)

- Item 070 – Cooperative Research and Development Agreement (CRADA) Licensing and Collaborative Agreement and Cost-Sharing Agreements

Consolidated two (2) schedules into one (1). (Previously N1-434-95-5 (Cooperative Research and Development Agreements), item 2a(1); N1-434-95-5 (Cooperative Research and Development Agreements), item 2f(1)(a))

**Note:** Deviation to GRS 1.2, item 030 (Note 2) requires an agency schedule for final product or deliverable of grant or cooperative agreement records with a permanent

retention.

- Item 080 – Technology Transfer Conflict of Interest – Annual Certification

No change. (Previously N1-434-01-04 (Work for Others), item 1)

#### 4. Items Cross Walking to GRS 1.2:

- Item 020, Grant and cooperative agreement case files.

Cross-walked three (3) schedules to GRS 1.2, item 020. (Previously ADM 3.14.1 (in part\*), N1-434-91-6, (Boston Support Office - Grant Files), item 1a(2) (in part\*) and N1-434-91-6, (Boston Support Office - Grant Files), item 1b (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 crosswalk in part to GRS 1.1, item 010 if financial records are segregated from the Case File.

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

The following items are being rescinded, as they apply to copies held in other offices, which are reference copies as they are dispositioned to destroy when no longer needed for reference, thus, do not require a schedule for disposition:

- N1-434-95-5 (Cooperative Research and Development Agreements), item 1a(2)
- N1-434-95-5 (Cooperative Research and Development Agreements), item 2f(1)(b)