

DEPARTMENT OF ENERGY (DOE) 1.2: Grant and Cooperative Agreement Records

This schedule covers records created for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by DOE or GRS 1.1, Financial Management and Reporting Records.

This schedule also covers work for others performed by DOE contractor personnel for Federal, State and local government entities, non-Government/non-profit entities, universities and privately-held corporations. This work is not directly funded by DOE, but is authorized by and administered by DOE. As well as, Cooperative Research and Development Agreements (CRADAs) and Cost Sharing Agreements. CRADAs provide industry access to commercially valuable technology in a variety of disciplines. Intellectual property rights to inventions developed as a result of CRADA research maybe shared with the industry partner.

Note: Refer to GRS 1.2 for all other Grant, Cooperative Agreement or Work for Others records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Grants			
010	<p>Grant and Cooperative Agreement Program Administration Records</p> <p>Policy records documenting the establishment, goals, objectives, development, implementation, modification and termination of grants, cooperative agreement, Cooperative Research and Development Agreements (CRADAs), cost sharing agreements and work for others programs.</p> <p>Note: Exclusion to GRS 1.2, item 010</p>	<p>Temporary. Cut off when superseded or obsolete. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0009</p>
Cooperative Agreements			

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Projects) Records</p> <p>Complete site-specific files and project records containing documentation of costs incurred, site specific costs to be tracked by site, activity, and operative unit, and systems which provide sufficient documentation for cost recovery purposes if the requirements are the same. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • property records, procurement, time and attendance records and supporting documentation • compliance documentation pertaining to statutes and regulations that apply to the project • site-specific technical hours spent to complete each pre-remedial product • records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(1)(1) and 31.42(e) • financial and programmatic records, supporting documentation, including correspondence, statistical records, and other records which are required by 40 CFR 35.6700, program regulations, or the cooperative agreement, or are otherwise reasonably considered as pertinent to program regulations or the cooperative agreement <p>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.</p> <p>Citations:</p> <p>40 CFR Protection of Environment:</p> <ul style="list-style-type: none"> • 40 CFR 35.6700 <i>Project Records</i> • 40 CFR 35.6705 <i>Records retention</i> • 40 CFR 31.36(l)(1) • 40 CFR 31.42(e) 	<p>Temporary. Cut off after submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery, or other actions, whichever is later. Destroy 10 years after cutoff.</p> <p>Note: Written approval must be obtained from the EPA award official before destroying any records (40 CFR 35.6700)</p>	DAA-0434-2020-0007-0002

Item	Records Description	Disposition Instruction	Disposition Authority	
Work for Others				
030	<p>Work for Others – Agreement/Contract for Services Case File</p> <p>Agreement executed by DOE, contractor and the requesting Federal, State, local, domestic or private organization. Agreements stipulate contract length, provisions, articles, clauses, and other related matters. Files would include subcontract agreements signed between contractor and subcontractors to perform a specific work scope in support of the larger contract. Case file includes pre-decisional, formal review, project review and approval, project performance and project deliverables records.</p>	Approved by DOE.	Temporary. Cut off at termination of agreement. Destroy 10 years after cutoff.	DAA-0434-2020-0007-0003
040	<p>Agreement executed by DOE, contractor and the requesting Federal, State, local, domestic or private organization. Agreements stipulate contract length, provisions, articles, clauses, and other related matters. Files would include subcontract agreements signed between contractor and subcontractors to perform a specific work scope in support of the larger contract. Case file includes pre-decisional, formal review, project review and approval, project performance and project deliverables records.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • capability statements; informal, preliminary, or pre-decisional planning documents and correspondence • formal, written reviews submitted after pre-decisional case is accepted by DOE • work statements, budget estimates, resource requirements, verification of compliance to applicable requirements, requesting agency or entity information regarding use of DOE facilities and/or contractors, verification of adherence to 	Terminated prior to formal review process or denial.	Temporary. Cut off after termination or denial. Destroy 5 years after cutoff.	DAA-0434-2020-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>applicable laws and regulations; and statements no direct competition with domestic or private sector parties</p> <ul style="list-style-type: none"> • work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation • performance records that include such deliverables as correspondence, monthly financial status and billing reports, monthly and quarterly status reports, written notification of cost overruns and requests for supplemental funding, and other related documentation • project deliverables • property, equipment, or system records, including disposition 		
Cooperative Research and Development Agreements (CRADAs) and Cost-Sharing Agreements			
050	<p>Cooperative Research and Development Agreements (CRADAs) / Cost-Sharing Project Case Files</p> <p>CRADA projects from initiation to completion, or termination. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • proposals • project planning and justification • start-up reports and correspondence • budgetary documentation 	<p>Temporary. Cut off at project completion or termination. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • monthly, quarterly and yearly status reports • technical data and studies • partnership meeting minutes • implementing policies and procedures • non-disclosure agreements • presentation materials 		
060	<p>Cooperative Research and Development Agreement (CRADA) Products, Services, Marketing and Promotional Records</p> <ul style="list-style-type: none"> • marketing research records including written questionnaires, phone survey reports, financial and product trend analysis and other related record • products, services, marketing, and promotional records including newsletters, brochures, catalogs, pamphlets, conference contact lists, posters, articles-and photos published in national trade journals and magazines, customer/consumer referrals • client, media or public mailing lists 	Temporary. Cut off annually. Destroy 5 years after cutoff.	DAA-0434-2020-0007-0006
070	<p>Cooperative Research and Development Agreement (CRADA) Licensing and Collaborative Agreement and Cost-Sharing Agreements</p> <p>Agreements executed by a DOE contractor and an industry partner, following approval by DOE. Contract agreement stipulates financial resources allocated by industry partner for the furtherance of specific research programs on behalf of the industry partner. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • intellectual property rights • retention and protection of sensitive information resulting from research • contractual components such as contract length provisions, articles, and clauses <p>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.</p>	Permanent. Cut off at termination of agreement. Offer to NARA 25 years after cutoff.	DAA-0434-2020-0007-0007

Item	Records Description	Disposition Instruction	Disposition Authority
080	<p>Technology Transfer Conflict of Interest – Annual Certification</p> <p>Technology Transfer Conflict of Interest Records are records created and maintained for the purpose of identifying and avoiding employee, consultant, and organizational conflicts of interest in technology transfer activities, and to ensure that the technology transfer process is fairly applied in accordance with applicable laws, regulations and policies and procedures.</p>	<p>Temporary. Cut off at contract or agreement termination. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0008</p>