

## GENERAL RECORDS SCHEDULE (GRS) 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible 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 GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government’s direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p><b>Grant and cooperative agreement program management records.</b>                      Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> <li>• background files                             <ul style="list-style-type: none"> <li>○ Program Announcements</li> <li>○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices</li> <li>○ Requests for Proposals</li> </ul> </li> <li>• application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)</li> </ul>	<p><b>Temporary.</b>                      Destroy 3 years after final action is taken on the file, <del>but</del> longer retention is authorized if</p>	<p>DAA-GRS-2013-0008-0007</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> <li>application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)</li> </ul> <p><b>Note:</b> If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>Exclusion 1:</b> Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p><b>Exclusion 2:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p><del>required for business use.</del></p> <div style="border: 2px solid red; padding: 5px;"> <p><b>See DOE 1.2, Item 070 regarding "Note"</b></p> <p><b>Exclusion 1: Utilize DOE 1.2, Item 010 for Program records related to grants, cooperative agreements, CRADAS and work for others.</b></p> </div>		
020	<p><b>Grant and cooperative agreement case files.</b>          Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>applications, forms, and budget documents</li> <li>evaluation reports, panelist comments, review ratings or scores</li> <li>Notice of Grant Award or equivalent and grant terms and conditions</li> <li>state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which</li> </ul>	<p><b>Successful applications.</b></p> <p><b>Note:</b> If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>Exclusion:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p><b>Temporary.</b>  <del>Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</del></p>	DAA-GRS-2013-0008-0001

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Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p>the State receives funding)</p> <ul style="list-style-type: none"> <li>• funding amendment requests and actions, if any</li> <li>• periodic and final performance reports (progress, narrative, financial)</li> <li>• audit reports and/or other monitoring or oversight documentation</li> <li>• summary reports and the like</li> </ul> <p><b>Legal citation:</b> 31 U.S.C. 3731(b), False Claims Act</p>	<div style="border: 2px solid red; padding: 5px; text-align: center;"> <b>Utilize DOE 1.2, Item 020 for CERCLA-Funded Cooperative Agreement Records.</b> </div>	
021		<p><b>Unsuccessful applications.</b></p>	<p><b>Temporary.</b>          Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.</p> <p>DAA-GRS-2013-0008-0006</p>
022		<p><b>All other copies.</b> Copies used for administrative or reference purposes.</p>	<p><b>Temporary.</b>  <del>Destroy when business use ceases.</del></p> <p>DAA-GRS-2013-0008-0002</p> <div style="border: 2px solid red; padding: 5px; text-align: center;"> <b>DOE Business Use:            Destroy when 1 year old.</b> </div>
030	<p><b>Final grant and cooperative agreement products or deliverables.</b></p>	<p><b>Temporary.</b>  <del>Destroy when</del></p>	<p>DAA-GRS-2013-0008-0003</p>

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Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p>The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:</p> <ul style="list-style-type: none"> <li>• report, study, or publication</li> <li>• conference paper and/or presentation</li> <li>• book, journal article, or monograph</li> <li>• training material, educational aid, or curriculum content</li> <li>• plan, process, or analysis</li> <li>• database or dataset</li> <li>• audio, video, or still photography</li> <li>• website content or other Internet component</li> <li>• documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)</li> <li>• software or computer code</li> </ul> <p><b>Note 1:</b> Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p><b>Note 2:</b> If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p> <div style="border: 1px solid red; padding: 5px; margin-top: 20px; width: fit-content;"> <p><b>Utilize DOE 1.2, Item 070 for grant and cooperative agreements that warrant permanent retention.</b></p> </div>	<p><del>business use</del> <del>excludes:</del></p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p><b>DOE Business Use:                  Destroy when 1 year old.</b></p> </div>	

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