

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 Cut off when superseded or obsolete.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>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 applicable laws and regulations; and 	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>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 • monthly, quarterly and yearly status reports • technical data and studies 	<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"> • 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
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</p>	Temporary. Cut off at contract or agreement termination. Destroy 10 years after cutoff.	DAA-0434-2020-0007-0008

Item	Records Description	Disposition Instruction	Disposition Authority
	transfer activities, and to ensure that the technology transfer process is fairly applied in accordance with applicable laws, regulations and policies and procedures.		

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>Grant and cooperative agreement program management records. 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"> • background files <ul style="list-style-type: none"> ○ Program Announcements ○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices ○ Requests for Proposals • application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity) • application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity) 	<p>Temporary. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0008-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	<p>Note: 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>Exclusion 1: 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>Exclusion 2: 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>See DOE 1.2, Item 070 regarding "Note"</p> <p>Exclusion 1: Utilize DOE 1.2, Item 010 for Program records related to grants, cooperative agreements, CRADAS and work for others.</p>	
020	<p>Grant and cooperative agreement case files. 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"> • applications, forms, and budget documents • evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • 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 the State receives funding) 	<p>Successful applications.</p> <p>Note: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion: 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>Temporary. Destroy 10 years after final action is taken on file; but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0001</p>
021	<ul style="list-style-type: none"> • funding amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation 	<p>Unsuccessful applications.</p>	<p>Temporary. Destroy 3 years after final action is taken on file;</p>	<p>DAA-GRS-2013-0008-0006</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> summary reports and the like <p>Legal citation: 31 U.S.C. 3731(b), False Claims Act</p>	but longer retention is authorized if required for business use.	
022		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0002</p>
030	<p>Final grant and cooperative agreement products or deliverables. 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"> report, study, or publication conference paper and/or presentation book, journal article, or monograph training material, educational aid, or curriculum content plan, process, or analysis database or dataset audio, video, or still photography website content or other Internet component 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) software or computer code 	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0003</p>

**DOE Business Use:
 Destroy when 1 year old.**

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	<p>Note 1: 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>Note 2: 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 data-bbox="961 553 1570 683" style="border: 2px solid red; padding: 5px; text-align: center;"><p>Utilize DOE 1.2, Item 070 for grant and cooperative agreements that warrant permanent retention.</p></div>		