

## DEPARTMENT OF ENERGY (DOE) 1.2: Grant, Cooperative Agreement and Technology Transfer 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 Technology Transfer records, such as Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs). Technology Transfer is performed by DOE or DOE contractor personnel for Federal, State, and local government entities, non-Government/non-profit entities, universities and privately held corporations. This work may not be funded by DOE but is authorized by and administered by DOE.

**Note:** Refer to GRS 1.2 for all other Grant and Cooperative Agreement records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Program Administration Records for Grants, Cooperative Agreements, and Technology Transfer Records</b></p> <p>Policy records documenting the legal establishment, goals, objectives, development, and program implementation for modification and termination of grants, cooperative agreements, and technology transfers records (e.g., Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs)), cost sharing agreements and work for others programs.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"><li>• program policies, plans and procedures</li><li>• program correspondence</li><li>• marketing research records including, but not limited to:<ul style="list-style-type: none"><li>○ written questionnaires</li><li>○ phone survey reports</li><li>○ financial and product trend analysis</li></ul></li></ul>	<p><b>Temporary.</b> Destroy 10 years after superseded or obsolete.</p>	<p>DAA-0434-2021-0002-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>○ products, services, marketing, and promotional records (newsletters, brochures, catalogs, pamphlets)</li> <li>○ conference contact lists</li> <li>○ articles and photos published in national trade journals and magazines</li> <li>○ customer/consumer referrals</li> <li>○ client, media, and public mailing listss</li> </ul> <p><b>Note:</b> GRS 1.2, item 010 excludes policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs.</p> <p><b>Exclusion:</b> Excludes executed agreements for Grants, Cooperative Agreements and Technology Transfers, see item 070.</p>		
020	<p><b>Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Projects) Records</b></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"> <li>• Stuff property records, procurement, and time and attendance records and supporting documentation</li> <li>• compliance documentation pertaining to statutes and regulations that apply to the project</li> <li>• site-specific technical hours spent to complete each pre-remedial product</li> <li>• records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(1)(1) and 31.42(e)</li> <li>• 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</li> </ul>	<p><b>Temporary.</b> Destroy 10 years after submission of the final financial status report and obtain written approval from the EPA award official prior to destruction.</p> <p><b>Note:</b> If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten-year period, the</p>	DAA-0434-2020-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	<p><b>Note:</b> 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><b>Citations:</b></p> <p><b>40 CFR <i>Protection of Environment</i>:</b></p> <ul style="list-style-type: none"><li>• 40 CFR 35.6700 <i>Project Records</i></li><li>• 40 CFR 35.6705 <i>Records retention</i></li><li>• 40 CFR 31.36(l)(1)</li><li>• 40 CFR 31.42(e)</li></ul>		records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.	
030	Technology Transfer Case Files <ul style="list-style-type: none"><li>• Records from initiation to completion, or termination, including contract length, provisions, articles, clauses for agreement(s) executed by DOE, contractor, and the requesting Federal, State, local, domestic, or private organization. Case file includes, but is not limited to: proposals, including the joint work statement</li></ul>	Approved by DOE.	Temporary. Destroy 10 years after termination of agreement.	DAA-0434-2021-0002-0003
040	<ul style="list-style-type: none"><li>• project planning and justification</li><li>• start-up reports</li><li>• subcontract agreements signed between contractor and subcontractor to perform a specific work scope</li><li>• informal or formal pre-decisional review</li><li>• performance records documenting financial status, billing reports, project reviews and approvals</li></ul>	Terminated prior to formal review process or denial.	Temporary. Destroy 5 years after termination or denial.	DAA-0434-2021-0002-0004

	<ul style="list-style-type: none"> <li>• capability statements; informal or formal, preliminary, or pre-decisional planning documents written reviews and correspondence</li> <li>• statements of work</li> <li>• budget estimates</li> <li>• resource requirements</li> <li>• verification of compliance to applicable requirements</li> <li>• requesting agency or entity information regarding use of DOE facilities and/or contractors</li> <li>• verification of adherence to applicable laws and regulations</li> <li>• statements of no direct competition with domestic or private sector parties</li> <li>• work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation</li> <li>• deliverables</li> <li>• correspondence</li> <li>• monthly financial status</li> <li>• billing reports</li> <li>• status reports</li> <li>• technical data and studies</li> <li>• meeting minutes</li> <li>• implementing policies and procedures</li> <li>• non-disclosure agreements</li> <li>• presentation materials</li> </ul>			
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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• conflict of interest records</li> <li>• property, equipment, or system records, including disposition</li> </ul> <p><b>Note:</b> Utilize DOE 1.1, item 060, which requires a longer retention for Technology transfer records related to Research, Development and Demonstration (RD&amp;D).</p>		
070	<p><b>Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing</b></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"> <li>• subcontract agreements signed between contractor and subcontractors to perform a specific work scope,</li> <li>• statement of work</li> <li>• all deliverables, such as the final technical report</li> </ul> <p><b>Note 1:</b> Deviation to GRS 1.2, item 030 (Note 2, which includes projects that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances), requires a permanent retention.</p> <p><b>Note 2:</b> A copy of CRADA Final reports must be sent to the DOE Office of Scientific and Technical Information (OSTI) upon completion or termination of the CRADA.</p>	<p><b>Permanent.</b> Transfer to NARA 25 years after completion or termination of agreement.</p>	<p>DAA-0434-2021-0002-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<b>Exclusion:</b> Excludes policy records documenting the legal establishment, goals, objectives, and development of DOE grants, cooperative agreements and technology transfer programs records, see item 010.		

## 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></p> <p>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> <li>• application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)</li> </ul>	<p><b>Temporary.</b></p> <p>Destroy 3 years after final action is taken on the file, <del>but longer retention is authorized if required for business use.</del></p>	DAA-GRS-2013-0008-0007

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	<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>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><b>Grant and cooperative agreement case files.</b></p> <p>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 the State receives funding)</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></p> <p>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	<p>regulations in effect with respect to the period for which 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> </ul>	<p><b>Unsuccessful applications.</b></p>	<p><b>Temporary.</b></p> <p>Destroy 3 years after final action is taken on file, but longer retention is authorized if</p> <p>DAA-GRS-2013-0008-0006</p>



Item	Records Title/Description		Disposition Instruction	Disposition Authority
022	<ul style="list-style-type: none"> <li>summary reports and the like</li> </ul> <p><b>Legal citation:</b> 31 U.S.C. 3731(b), False Claims Act</p>		<del>required for business use.</del>	
		<b>All other copies.</b> Copies used for administrative or reference purposes.	<p><b>Temporary.</b> <del>Destroy when business use ceases.</del></p> <p><b>DOE Business Use:</b> <b>Destroy when 1 year old.</b></p>	DAA-GRS-2013-0008-0002
030	<p><b>Final grant and cooperative agreement products or deliverables.</b> 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>Temporary.</b> <del>Destroy when business use ceases.</del></p> <p><b>DOE Business Use:</b> <b>Destroy when 1 year old.</b></p>	DAA-GRS-2013-0008-0003

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<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>Utilize DOE 1.2, Item 070 for grant and cooperative agreements that warrant permanent retention.</div>		