

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

DOE Records Disposition Schedules (RDS)											
New DOE 1.2				DOE 1.2 (November 2020; DOE Transmittal 02)				Old Authorities			
Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 1.2	010	10 years	DAA-0434-2021-0002-0001	DOE 1.2	010	10 years	DAA-0434-2020-0007-0009	NEW	--	--	--
				DOE 1.2	060	5 years	DAA-0434-2020-0007-0006	Grant Files		3 years	N1-434-95-5, Item 2c
										5 years	N1-434-95-5, Item 2d
										Superseded/obsolete	N1-434-95-5, Item 2e
No change				DOE 1.2	020	10 years	DAA-0434-2020-0007-0002	ENV 1	h(1)	10 years	N1-434-98-28, Item 1h1
								ENV 1	h(2)(a)	10 years	N1-434-98-28, Item 1h(2)(a)
								ENV 1	h(2)(b)	10 years	N1-434-98-28, Item 1h(2)(b)
								ENV 1	h(2)(c)	10 years	N1-434-98-28, Item 1h(2)(c)
								ENV 1	h(2)(d)	10 years	N1-434-98-28, Item 1h(2)(d)
								ENV 1	h(2)(e)	10 years	N1-434-98-28, Item 1h(2)(e)
DOE 1.2	030	10 years	DAA-0434-2021-0002-0003	DOE 1.2	030	10 years	DAA-0434-2020-0007-0003	Grant Files		10 years	N1-434-95-5, Item 1a(1)
										Transfer to review case file	N1-434-95-5, Item 1b(1)
										Transfer project to review case file	N1-434-95-5, Item 1c(1)
										Transfer to project case file	N1-434-95-5, Item 1d(1)
										Transfer project deliverable	N1-434-95-5, Item 1e(1)
										10 years	N1-434-95-5, Item 1f(1)
										10 years	N1-434-95-5, Item 1f(2)
				DOE 1.2	080	10 years	DAA-0434-2020-0007-0008	Grant Files		10 years	N1-434-01-4, Item 1
DOE 1.2	040	5 years		DOE 1.2	040	5 years		Grant Files	3 years	N1-434-95-5, Item 1b(2)	

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Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
			DAA-0434-2021-0002-0004				DAA-0434-2020-0007-0004			3 years	N1-434-95-5, Item 1c(2)
										3 years	N1-434-95-5, Item 1d(2)
										5 years	N1-434-95-5, Item 1e(2)
				DOE 1.2	050	10 years	DAA-0434-2020-0007-0005	Grant Files	10 years	N1-434-95-5, item 2b	
									10 years	N1-434-95-5, item 2f(2)	
DOE 1.2	070	Permanent	DAA-0434-2021-0002-0005	DOE 1.2	070	Permanent	DAA-0434-2020-0007-0007	Grant Files	Permanent	N1-434-95-5, Item 2a(1)	
									Permanent	N1-434-95-5, Item 2f(1)(a)	
DOE Schedules Cross-Walked to the GRS											
GRS 1.2	020	10 years	DAA-GRS-2013-0008-0007					ADM 3	14.1	6 years, 3 months	N1-434-95-1, Item 1 (in part*)
								Boston Support Office – Grant Files		6 years, 3 months	N1-434-91-6, Item 1a(2) (in part*)
										6 years, 3 months	N1-434-91-6, Item 1b (in part*)
Rescinded								Grant Files		2 years or no longer needed	N1-434-95-5, Item 1a(2)
										No longer needed	N1-434-95-5, item 2a(2)
										No longer needed	N1-434-95-5, Item 2f(1)(b)

Epidemiological
Moratorium

* 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.

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General Record Schedules (GRS)

Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.

New GRS 1.2				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
GRS 1.2	010	3 years	DAA-GRS-2013-0008-0007	GRS 3	14	2 years	NC1-64-77-5 item 17b
Utilize DOE 1.2, Item 010 for Program records related to grants, cooperative agreements, CRADAs and work for others							
GRS 1.2	020	10 years	DAA-GRS-2013-0008-0001	New item			
Utilize DOE 1.2, Item 020 for CERCLA-funded Cooperative Agreement Records							
GRS 1.2	021	3 years	DAA-GRS-2013-0008-0006	GRS 3	13	3 years	NC1-GRS-81-2 item 14a
GRS 1.2	022	DOE Business Use: 1 year	DAA-GRS-2013-0008-0002	New item			
GRS 1.2	030	DOE Business Use: 1 year	DAA-GRS-2013-0008-0003	New item			
Utilize DOE 1.2, Item 070 for Cooperative Research and Development Agreement (CRADA) Licensing and Collaborative Agreement and Cost-Sharing Agreements that meet requirements for permanent retention							