

Frequently Asked Questions (FAQs) about DOE 1.2, Grant, Cooperative Agreement and Technology Transfer Records

1. What changes have been made to DOE 1.2 since it was originally published?

Updated the title of the schedule to Grant, Cooperative Agreement and Technology Transfer Records and the description to address the change from Work for Others to Strategic Partnership Project (SPP) and additional records like Agreement for Commercialization Technology (ACT) and Technology transfer records. Additional consolidations were made and 'cut off' was removed from the disposition instructions.

- Item 010 – Program Administration Records for Grants, Cooperative Agreements and Technology Transfers

Updated the title, incorporated the Cooperative Research and Development Agreement (CRADA) Products, Services, Marketing and Promotional records, and updated the disposition instructions. Previously:

New DOE 1.2 (DAA-0434-2021-0002)				Prior Approved DOE 1.2 (DAA-0434-2020-0007)				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										Superseded/obsolete	N1-434-95-5, Item 2e

- Item 020 – Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Project) Records

Removed the term "cut off" from the disposition instructions, no change to disposition authority. Previously:

DOE 1.2 (November 2020, DOE Transmittal 02)				Old Authorities			
Schedule No.	Item No.	Retention	Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 1.2	020	10 years	DAA-0434-2020-0007-0002	ENV 1		h(1)	10 years
				ENV 1		h(2)(a)	10 years
				ENV 1		h(2)(b)	10 years
				ENV 1		h(2)(c)	10 years
				ENV 1		h(2)(d)	10 years
				ENV 1		h(2)(e)	10 years

Note: 40 CFR 35.6700 requires EPA award official approval prior to destruction for CERCLA funded cooperative agreements. 40 CFR 35.6704 states, “The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official and must obtain written approval from the EPA award official before destroying any records. 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 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.”

- Item 030 – Technology Transfer Case Files – Approved by DOE

Updated title, description, and disposition instructions. Previously:

New DOE 1.2 (DAA-0434-2021-0002)				Prior Approved DOE 1.2 (DAA-0434-2020-0007)				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	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)
										Transfer title	N1-434-95-5, Item 1g
				DOE 1.2	080	10 years	DAA-0434-2020-0007-0008	Grant Files		10 years	N1-434-01-4, Item 1

- Item 040 – Technology Transfer Case Files – Terminated Prior to Formal Review Process or Denial

Updated title, description, disposition instructions and incorporated Cooperative Research and Development Agreements (CRADAs) / Cost Sharing Project Case files and Technology Transfer Conflict of Interest – Annual Certification records. Previously:

New DOE 1.2 (DAA-0434-2021-0002)				Prior Approved DOE 1.2 (DAA-0434-2020-0007)				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	040	Permanent	DAA-0434-2021-0003-0003	DOE 1.2	040	5 years	DAA-0434-2020-0007-0004	Grant Files		3 years	N1-434-95-5, Item 1b(2)
										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)

- Item 070 – Agreements - Cooperative Research and Development Agreement (CRADA) Collaborative, and Cost-Sharing

Updated title, description, and disposition instructions. Previously:

New DOE 1.2 (DAA-0434-2021-0002)				Prior Approved DOE 1.2 (DAA-0434-2020-0007)				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	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)

2. Who may I contact to request more information about this schedule?

You may contact the DOE Records Disposition Schedule Technical Team at DOERM@hq.doe.gov with questions about this schedule.