

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

1. What is the purpose of DOE 1.2?

DOE 1.2 is written in the same format as GRS 1.2, which provides disposition authority for records created and received in the course of carrying out a DOE's Grant and Cooperative Agreement responsibilities that are not covered by GRS 1.2.

2. From whom may I request more information about this schedule?

Contact the DOE Records Disposition Schedule Technical Team at DOERM@hq.doe.gov with any questions about this schedule.

3. How does DOE 1.2 differ from the old DOE Administrative Schedule?

DOE has removed the retention instructions "but longer retention is authorized is required for business use", as DOE does not authorize longer retention. You must follow the retention listed.

Updated August 2024: 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.

There are a total of twenty-nine (29) schedule items from the DOE Administrative Schedules, Environmental and SF115's that did not have a GRS authority and rolled into DOE 1.2, Grant and Cooperative Agreement Records. Through careful review and consolidation of like items/retentions, the total schedule items were reduced to eight (8), one (1) of which is new, and one (1) schedule item cross walked to a GRS item. There are two (2) schedule items that are deviations from GRS items and three (3) schedule items have been rescinded. When schedule consolidation involved multiple retentions, the longer retention was applied.

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

Update August 2024: Updated the title, incorporated the Cooperative Research and Development Agreement (CRADA) Products, Services, Marketing and Promotional records, and updated the disposition instructions. Previously:

- DAA-0434-2020-0007-0009
- DAA-0434-2020-0007-0006

- N1-434-95-5, item 2c (Grant Files)
 - N1-434-96-5, item 2d (Grant Files)
 - N1-434-95-5, item 2e (Grant Files)
- Item 020 – Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Project) Records

Update August 2024: Removed the term “cut off” from the disposition instructions, no change to disposition authority. Previously:

- ENV 1h(1)
- ENV 1h(2)(a)
- ENV 1h(2)(b)
- ENV 1h(2)(c)
- ENV 1h(2)(d)
- ENV 1h(2)(e)

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

Update August 2024: Updated title, description, and disposition instructions. Previously:

- DAA-0434-2020-0007-0003
 - N1-434-95-5, item 1a(1) (Grant Files)
 - N1-434-95-5, item 1b(1) (Grant Files)
 - N1-434-95-5, item 1c(1) (Grant Files)
 - N1-434-95-5, item 1d(1) (Grant Files)
 - N1-434-95-5, item 1e(1) (Grant Files)
 - N1-434-95-5, item 1f(1) (Grant Files)
 - N1-434-95-5, item 1f(2) (Grant Files)
 - N1-434-95-5, item 1g (Grant Files)
- DAA-0434-2020-0007-0008
 - N1-434-01-4, item 1 (Grant Files)
- Item 040 – Technology Transfer Case Files – Terminated Prior to Formal Review Process or Denial

Update August 2024: 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:

- DAA-0434-2020-0007-0004
 - N1-434-95-5, item 1b(2) (Grant Files)
 - N1-434-95-5, item 1c(2) (Grant Files)
 - N1-434-95-5, item 1d(2) (Grant Files)
 - N1-434-95-5, item 1e(2) (Grant Files)
- DAA-0434-2020-0007-0005
 - N1-434-95-5, item 2b (Grant Files)
 - N1-434-95-5, item 2f(2) (Grant Files)
- Item 070 – Agreements - Cooperative Research and Development Agreement (CRADA) Collaborative, and Cost-Sharing

Update August 2024: Updated title, description, and disposition instructions. Previously:

- DAA-0434-2020-0007-0007
 - N1-434-95-5, item 2a(1) (Grant Files)
 - N1-434-95-5, item 2f(1)(a) (Grant Files)

4. Items Cross Walking to GRS 1.2:

- GRS 1.2, Item 020 – Grant and cooperative agreement case files – Successful applications

Three (3) DOE records disposition schedule item was crosswalked to GRS 1.2, item 020. Previously:

- ADM3.14.1 (in part)
- N1-434-91-6, item 1a(2) (Boston Support Office – Grant Files) (in part)
- N1-434-91-6, item 1b (Boston Support Office – Grant Files) (in part)

Note: 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.

5. What updates has DOE made to the GRS?

Update July 2026: DOE has removed the retention instructions “but longer retention is authorized is required for business use”, as DOE does not authorize longer retention. You must follow the retention listed.

- Item 010 – Grant and cooperative agreement program management records

Two notes were added to this schedule:

- Regarding the note on the item, see DOE 1.2, item 070
- Regarding Exclusion 1, utilize DOE 1.2, item 010

- Item 020 – Grant and cooperative agreement case files – successful applications

A note was added to utilize DOE 1.2, item 020 for CERCLA-Funded Cooperative Agreement Records.

- Item 022 – Grant and cooperative agreement case files – All other copies

DOE updated the retention to destroy when 1 year old.

- Item 030 – Final grant and cooperative agreement products or deliverables

DOE updated the retention to destroy when 1 year old. A note was also added regarding Note 2 to utilize DOE 1.2, item 070 for grant and cooperative agreements that warrant permanent retention.

6. Why are you removing items that were in the old DOE Administrative Schedule?

The following items are being rescinded, as they apply to copies held in other offices, which are reference copies as they are dispositioned to destroy when no longer needed for reference, thus, do not require a schedule for disposition:

- N1-434-95-5, item 1a(2)
- N1-434-95-5, item 2a(2)
- N1-434-95-5, item 2f(1)(b)