

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2020-0007

Schedule Status Approved

Agency or Establishment Department of Energy

Record Group / Scheduling Group General Records of the Department of Energy

Records Schedule applies to Agency-wide

Schedule Subject DOE Records Disposition Schedule 1.2: Grant and Cooperative Agreement Records

Internal agency concurrences will be provided No

Background Information

There were a total of thirty-one (31) schedule items from 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 nine (9); one (1) of which is new and one (1) cross walked to a GRS item. There are two items that are deviations from GRS items. When schedule consolidation involved multiple retentions, the longer retention was applied.

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 Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	1	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0434-2020-0007

Sequence Number	
1	Grant and Cooperative Agreement Program Administration Records Disposition Authority Number: DAA-0434-2020-0007-0009
2	CERCLA-Funded Cooperative Agreements (Superfund Projects) Records Disposition Authority Number: DAA-0434-2020-0007-0002
3	Work for Others – Agreement/Contract for Services Case File
3.1	Work for Others - Agreement/Contract for Services Case Files - Approved by the Department of Energy Disposition Authority Number: DAA-0434-2020-0007-0003
3.2	Terminated prior to formal review process or denial. Disposition Authority Number: DAA-0434-2020-0007-0004
4	Cooperative Research and Development Agreement (CRADAS) / Cost-Sharing Project Case Files Disposition Authority Number: DAA-0434-2020-0007-0005
5	Cooperative Research and Development Agreement (CRADAS) Product, Services, Marketing and Promotional Records Disposition Authority Number: DAA-0434-2020-0007-0006
6	Cooperative Research and Development Agreement (CRADAS) Licensing and Collaborative Agreement and Cost-Sharing Agreements Disposition Authority Number: DAA-0434-2020-0007-0007
7	Technology Transfer Conflict of Interest – Annual Certification Disposition Authority Number: DAA-0434-2020-0007-0008

Records Schedule Items

Sequence Number	
1	<p>Grant and Cooperative Agreement Program Administration Records</p> <p>Disposition Authority Number DAA-0434-2020-0007-0009</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>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off when superseded or obsolete.</p> <p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>CERCLA-Funded Cooperative Agreements (Superfund Projects) Records</p> <p>Disposition Authority Number DAA-0434-2020-0007-0002</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: • 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, 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</p>

program regulations or the cooperative agreement. NOTE 1: Issues arising from litigation, claim, negotiation, audit, cost recovery NOTE 2: EPA awards official approval prior to destruction. Citations: 40 CFR Protection of Environment: • 40 CFR 35.6700 Project Records • 40 CFR 35.6705 Records retention • 40 CFR 31.36(I)(1) • 40 CFR 31.42(e)

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 1.2, Item 020	

GRS or Superseded Authority Citation
 N1-434-98-28 / 1/H/1
 N1-434-98-28 / 1/H/2/A
 N1-434-98-28 / 1/H/2/B
 N1-434-98-28 / 1/H/2/C
 N1-434-98-28 / 1/H/2/D
 N1-434-98-28 / 1/H/2/E

Disposition Instruction

Cutoff Instruction . 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.

Retention Period Destroy 10 years after cutoff. NOTE: Written approval must be obtained from the EPA award official before destroying any records (40 CFR 35.6700).

Additional Information

GAO Approval Not Required

Work for Others – Agreement/Contract for Services Case File 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-

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decisional, formal review, project review and approval, project performance and project deliverables records. Records include, but are not limited to: • 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 statements no direct competition with domestic or private sector parties. • 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.

3.1

Work for Others - Agreement/Contract for Services Case Files - Approved by the Department of Energy

Disposition Authority Number DAA-0434-2020-0007-0003

Agreement executed by DOE, contractor and 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. 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 statements no direct competition with domestic or private sector parties. 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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 1.2, Item 030	

GRS or Superseded Authority Citation
N1-434-95-5 / 1/A/1
N1-434-95-5 / 1/B/1
N1-434-95-5 / 1/C/1
N1-434-95-5 / 1/D/1
N1-434-95-5 / 1/E/1
N1-434-95-5 / 1/F/1
N1-434-95-5 / 1/F/2
N1-434-95-5 / 1/G

Disposition Instruction

Cutoff Instruction **Cut off at termination of agreement. Destroy 10 years after cutoff.**

Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Terminated prior to formal review process or denial.

Disposition Authority Number **DAA-0434-2020-0007-0004**

Records of agreements for work to be performed by DOE contractors that was terminated during the review process or prior to completion of the project.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 1.2, Item 040	

3.2

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GRS or Superseded Authority Citation
N1-434-95-5 / 1/B/2
N1-434-95-5 / 1/C/2
N1-434-95-5 / 1/D/2
N1-434-95-5 / 1/E/2

Disposition Instruction

Cutoff Instruction Cut off after termination or denial. Destroy 5 years after cutoff.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

Cooperative Research and Development Agreement (CRADAS) / Cost-Sharing Project Case Files

Disposition Authority Number DAA-0434-2020-0007-0005

CRADA projects from initiation to completion, or termination. Records include, but are not limited to: • Proposals • Project planning and justification • Start-up reports and correspondence • Budgetary documentation • Monthly, quarterly and yearly status reports • Technical data and studies • Partnership meeting minutes • Implementing policies and procedures • Non-disclosure agreements • Presentation materials

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 1.2, Item 050	

GRS or Superseded Authority Citation
N1-434-95-5 / 2/B
N1-434-95-5 / 2/F/2

Disposition Instruction

Cutoff Instruction Cut off at project completion or termination. Destroy 10 years after cutoff.

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Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

Cooperative Research and Development Agreement (CRADAS) Product, Services, Marketing and Promotional Records

Disposition Authority Number DAA-0434-2020-0007-0006

- Marketing research records including written questionnaires, phone survey reports, financial and product trend analysis and other related record.
- Product, services marketing, and promotional records including newsletters, brochures, catalogs, pamphlets, conference contact lists, posters, articles-and photos published n national trade journals and magazines, customer/consumer referrals.
- Client, media or public mailing lists.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 1.2, Item 060	

GRS or Superseded Authority Citation N1-434-95-5 / 2/C
N1-434-95-5 / 2/D
N1-434-95-5 / 2/E

Disposition Instruction

Cutoff Instruction Cut off annually. Destroy 5 years after cutoff.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

Cooperative Research and Development Agreement (CRADAS) Licensing and Collaborative Agreement and Cost-Sharing Agreements

Disposition Authority Number DAA-0434-2020-0007-0007

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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: • intellectual property rights • retention and protection of sensitive information resulting from research • contractual components such as contract length provisions, articles, and clauses

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 1.2, Item 070	

GRS or Superseded Authority Citation N1-434-95-5 / 2/A/1
N1-434-95-5 / 2/F/1/A

Disposition Instruction

Cutoff Instruction Cut off at termination of agreement.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after not applicable

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff

Additional Information

First year of records accumulation 1971

What will be the date span of the initial transfer of records to the National Archives? From 1971 To 1995

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		

Paper	576 Cubic feet	11 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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Technology Transfer Conflict of Interest – Annual Certification

Disposition Authority Number **DAA-0434-2020-0007-0008**

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 transfer activities, and to ensure that the technology transfer process is fairly applied in accordance with applicable laws, regulations and policies and procedures.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 1.2, Item 080	

GRS or Superseded Authority Citation **N1-434-01-4 / 1**

Disposition Instruction

Cutoff Instruction **Cut off at contract or agreement termination. Destroy 10 years after cutoff.**

Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/17/2019	Certify	Maria Levesque	Departmental Records Officer	OCIO - Records Management
09/24/2020	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/06/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/09/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Grant and Cooperative Agreement Records

DOE Records Disposition Schedules							
New DOE 1.2				Old DOE			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
Grants							
DOE 1.2	010	10 years	DAA-0434-2020-0007-0001 (Deviation from DAA-GRS-2013-0008-0007)	NEW	--	--	--
Cooperative Agreements							
DOE 1.2	020	10 years	DAA-0434-2020-0007-0008 (Deviation from DAA-GRS-2013-0008-0001)	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)
Work for Others							
DOE 1.2	030	10 years	DAA-0434-2020-0007-0002	--	--	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	040	5 years	DAA-0434-2020-0007-0003	--	--	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-0434-2020-0007-0004	--	--	10 years	N1-434-95-5, Item 2b
				--	--	10 years	N1-434-95-5, Item 2f(2)
DOE 1.2	060	5 years	DAA-0434-2020-0007-0005	--	--	3 years	N1-434-95-5, Item 2c
				--	--	5 years	N1-434-95-5, Item 2d
				--	--	Superseded/ obsolete	N1-434-95-5, Item 2e
DOE 1.2	070	Permanent	DAA-0434-2020-0007-0006 (Deviation from DAA-GRS-2013-0008-0003)	--	--	Permanent	N1-434-95-5, Item 2a(1)
				--	--	Permanent	N1-434-95-5, Item 2f(1)(a)
DOE 1.2	080	10 years	DAA-0434-2020-0007-0007	--	--	10 years	N1-434-01-4, Item 1

Grant and Cooperative Agreement Records

DOE Records Disposition Schedules							
New DOE 1.2				Old DOE			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
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
Rescind				--	--	2 years or no longer needed	N1-434-95-5, Item 1a(2)
				--	--	No longer needed	N1-434-95-5, Item 2f(1)(b)
				--	--	180 days	N1-434-01-4, Item 3a
				--	--	After dissemination, revision, updating	N1-434-01-4, Item 3b

Epidemiological
Moratorium

General Record Schedules Items							
New GRS 1.2				Old DOE / GRS			
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	ADM 3	14	2 years	NC1-64-77-5 item 17b
Note: 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			
GRS 1.2	021	3 years	DAA-GRS-2013-0008-0006	ADM 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			