

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0007

Status: APPROVED  
Date Approved: 11/09/2020

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## General Information

Agency or Establishment	Department of Energy
Record/Scheduling Group	0434 - 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
Additional Schedule Information	<p>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.</p> <p>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.</p> <p>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.</p> <p>NOTE: Refer to GRS 1.2 for all other Grant, Cooperative Agreement or Work for Others records not addressed in this schedule.</p>

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Is There a Classified Version of This Schedule?	No
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Is consultation and coordination with Tribal Governments required?	Predate requirement
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## Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 7

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 4

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

Item #	Title	Disposition
0009	Grant and Cooperative Agreement Program Administration Records	Temporary
0002	CERCLA-Funded Cooperative Agreements (Superfund Projects) Records	Temporary
0003	Work for Others – Agreement : Contract for Services Case File : Work for Others - Agreement/Contract for Services Case Files - Approved by the Department of Energy	Temporary
0004	Work for Others – Agreement : Contract for Services Case File : Terminated prior to formal review process or denial.	Temporary
0005	Cooperative Research and Development Agreement (CRADAS) / Cost-Sharing Project Case Files	Temporary
0006	Cooperative Research and Development Agreement (CRADAS) Product, Services, Marketing and Promotional Records	Temporary
0007	Cooperative Research and Development Agreement (CRADAS) Licensing and Collaborative Agreement and Cost-Sharing Agreements	Permanent
0008	Technology Transfer Conflict of Interest – Annual Certification	Temporary

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Records Schedule Items

DAA-0434-2020-0007-0009		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Grant and Cooperative Agreement Program Administration Records	
Item Description	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	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0002-0001 on 07/10/2024.</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off when superseded or obsolete.	
Retention Period	Destroy 10 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0434-2020-0007-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	CERCLA-Funded Cooperative Agreements (Superfund Projects) Records	

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Item Description	<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>• Property records, procurement, 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, 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>NOTE 1: Issues arising from litigation, claim, negotiation, audit, cost recovery</p> <p>NOTE 2: EPA awards official approval prior to destruction.</p> <p>Citations: 40 CFR Protection of Environment:</p> <ul style="list-style-type: none"><li>• 40 CFR 35.6700 Project Records</li><li>• 40 CFR 35.6705 Records retention</li><li>• 40 CFR 31.36(I)(1)</li><li>• 40 CFR 31.42(e)</li></ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.2, Item 020
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	

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Superseded Item	Item Superseded in Part?	Explanation
N1-434-98-28 / 1/H/1	No	
N1-434-98-28 / 1/H/2/A	No	
N1-434-98-28 / 1/H/2/B	No	
N1-434-98-28 / 1/H/2/C	No	
N1-434-98-28 / 1/H/2/D	No	
N1-434-98-28 / 1/H/2/E	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: . 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	Other: 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		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

Group Title	Work for Others – Agreement : Contract for Services Case File
Group Description	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-decisional, formal review, project review and approval, project performance and project deliverables records.
	Records include, but are not limited to:

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		<ul style="list-style-type: none"> <li>• Capability statements; informal, preliminary, or pre-decisional planning documents and correspondence.</li> </ul>
		<ul style="list-style-type: none"> <li>• Formal, written reviews submitted after pre-decisional case is accepted by DOE.</li> </ul>
		<ul style="list-style-type: none"> <li>• 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.</li> </ul>
		<ul style="list-style-type: none"> <li>• Work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation.</li> </ul>
		<ul style="list-style-type: none"> <li>• 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.</li> </ul>
		<ul style="list-style-type: none"> <li>• Project deliverables.</li> </ul>
		<ul style="list-style-type: none"> <li>• Property, equipment, or system records, including disposition.</li> </ul>
DAA-0434-2020-0007-0003		STATUS: Active
ITEM GENERAL INFORMATION		
	Item Title	Work for Others - Agreement/Contract for Services Case Files - Approved by the Department of Energy
	Item Description	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.



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	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.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	DOE 1.2, Item 030	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-95-5 / 1/A/1	No	
N1-434-95-5 / 1/B/1	No	
N1-434-95-5 / 1/C/1	No	
N1-434-95-5 / 1/D/1	No	
N1-434-95-5 / 1/E/1	No	
N1-434-95-5 / 1/F/1	No	
N1-434-95-5 / 1/F/2	No	
N1-434-95-5 / 1/G	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at termination of agreement. Destroy 10 years after cutoff.	
Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-0434-2020-0007-0004		STATUS: Active
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Terminated prior to formal review process or denial.	

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Item Description	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.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	DOE 1.2, Item 040	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-95-5 / 1/B/2	No	
N1-434-95-5 / 1/C/2	No	
N1-434-95-5 / 1/D/2	No	
N1-434-95-5 / 1/E/2	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off after termination or denial. Destroy 5 years after cutoff.	
Retention Period	Destroy 5 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0434-2020-0007-0005	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Cooperative Research and Development Agreement (CRADAS) / Cost-Sharing Project Case Files

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Item Description	CRADA projects from initiation to completion, or termination. Records include, but are not limited to:	
	<ul style="list-style-type: none"><li>• Proposals</li><li>• Project planning and justification</li><li>• Start-up reports and correspondence</li><li>• Budgetary documentation</li><li>• Monthly, quarterly and yearly status reports</li><li>• Technical data and studies</li><li>• Partnership meeting minutes</li><li>• Implementing policies and procedures</li><li>• Non-disclosure agreements</li><li>• Presentation materials</li></ul>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	DOE 1.2, Item 050	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-95-5 / 2/B	No	
N1-434-95-5 / 2/F/2	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at project completion or termination. Destroy 10 years after cutoff.	
Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0434-2020-0007-0006	STATUS: INACTIVE - NOT FOR USE
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<b>ITEM GENERAL INFORMATION</b>		
Item Title	Cooperative Research and Development Agreement (CRADAS) Product, Services, Marketing and Promotional Records	
Item Description	<ul style="list-style-type: none"><li>Marketing research records including written questionnaires, phone survey reports, financial and product trend analysis and other related record.</li><li>Product, services marking, 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.</li><li>Client, media or public mailing lists.</li></ul>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	DOE 1.2, Item 060	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-95-5 / 2/C	No	
N1-434-95-5 / 2/D	No	
N1-434-95-5 / 2/E	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0002-0001 on 07/10/2024.</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually. Destroy 5 years after cutoff.	
Retention Period	Destroy 5 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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**STATUS: INACTIVE - NOT FOR  
USE**

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<b>ITEM GENERAL INFORMATION</b>		
Item Title	Cooperative Research and Development Agreement (CRADAS) Licensing and Collaborative Agreement and Cost-Sharing Agreements	
Item Description	<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>intellectual property rights</li> <li>retention and protection of sensitive information resulting from research</li> <li>contractual components such as contract length provisions, articles, and clauses</li> </ul>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	DOE 1.2, Item 070	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-95-5 / 2/A/1	No	
N1-434-95-5 / 2/F/1/A	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0002-0005 on 07/10/2024.</b>		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off at termination of agreement.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Approximate first year of records covered by this authority	1971	

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End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/1971 To: --/--/1995
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0434-2020-0007-0008		STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION			
Item Title	Technology Transfer Conflict of Interest – Annual Certification		
Item Description	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.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	DOE 1.2, Item 080		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-434-01-4 / 1	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0434-2021-0002-0003 on 07/10/2024.			
Final Disposition	Temporary		
Cutoff Instructions	Other: Cut off at contract or agreement termination. Destroy 10 years after cutoff.		
Retention Period	Destroy 10 year(s) after cutoff		
ADDITIONAL INFORMATION			

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Signatory Information

Action	User	Date
Accept	Data Migration	12/13/2019
Approve	David Ferriero	11/09/2020