

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

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	Grant, Cooperative Agreement and Technology Transfer Records
Additional Schedule Information	<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 Technology Transfer records, such as Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs). Technology Transfer is performed by DOE or DOE contractor personnel for Federal, State, and local government entities, non-Government/non-profit entities, universities and privately held corporations. This work may not be funded by DOE but is authorized by and administered by DOE.</p> <p>Note: Refer to GRS 1.2 for all other Grant and Cooperative Agreement records not addressed in this schedule.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No - the records covered by this schedule do not implicate Tribal interests

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Item Count

Total number of disposition items: 4

Number of Temporary disposition items: 3

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Outline of Records Schedule Items for DAA-0434-2021-0002

Item #	Title	Disposition
0001	Program Administration Records for Grants, Cooperative Agreements, and Technology Transfers	Temporary
0003	Technology Transfer Case Files : Technology Transfer Case Files - Approved by DOE	Temporary
0004	Technology Transfer Case Files : Technology Transfer Case Files - Terminated prior to formal review process or denial	Temporary
0005	Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing	Permanent

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Records Schedule Items

DAA-0434-2021-0002-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Program Administration Records for Grants, Cooperative Agreements, and Technology Transfers	
Item Description	<p>Program Administration Records for Grants, and Cooperative Agreements, and Technology Transfers Records Program Administration Records</p> <p>Policy records documenting the legal establishment, goals, objectives, development, and program implementation for , modification and termination of grants, cooperative agreements, and technology transfers records (e.g., Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs)) Cooperative Research and Development Agreements (CRADAs), cost sharing agreements and work for others programs. Records include, but are not limited to:</p> <ul style="list-style-type: none">• program policies, plans and procedures• program correspondence• marketing research records including, but not limited to:<ul style="list-style-type: none">o written questionnaireso phone survey reportso financial and product trend analysiso products, services, marketing, and promotional records (newsletters, brochures, catalogs, pamphlets)o conference contact listso articles and photos published in national trade journals and magazineso customer/consumer referralso client, media, and public mailing lists	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.2, item 010	
Manual Title	Program Administration Records for Grants, Cooperative Agreements, and Technology Transfer Records	

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0007-0006	No	
DAA-0434-2020-0007-0009	No	
Is this item a deviation from the GRS?	Yes	
GRS Disposition Authority List		
Disposition Authority	Title	
DAA-GRS-2013-0008-0007		
Justification for GRS Deviation	In this item DOE is combining their policy records with their program management records (the latter being covered by the GRS), so it is a deviation from the GRS.	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 10 years after superseded or obsolete.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

Group Title	Technology Transfer Case Files
Group Description	<ul style="list-style-type: none">• Records from initiation to completion, or termination, including contract length, provisions, articles, clauses for agreement(s) executed by DOE, contractor, and the requesting Federal, State, local, domestic, or private organization. Case file includes, but is not limited to: proposals, including the joint work statement• project planning and justification• start-up reports• subcontract agreements signed between contractor and subcontractor to perform a specific work scope• informal or formal pre-decisional review• performance records documenting financial status, billing reports, project reviews and approvals

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

	<ul style="list-style-type: none">• capability statements; informal or formal, preliminary, or pre-decisional planning documents written reviews and correspondence
	<ul style="list-style-type: none">• statements of work
	<ul style="list-style-type: none">• budget estimates
	<ul style="list-style-type: none">• resource requirements
	<ul style="list-style-type: none">• verification of compliance to applicable requirements
	<ul style="list-style-type: none">• requesting agency or entity information regarding use of DOE facilities and/or contractors
	<ul style="list-style-type: none">• verification of adherence to applicable laws and regulations
	<ul style="list-style-type: none">• statements of no direct competition with domestic or private sector parties
	<ul style="list-style-type: none">• work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation
	<ul style="list-style-type: none">• deliverables
	<ul style="list-style-type: none">• correspondence
	<ul style="list-style-type: none">• monthly financial status
	<ul style="list-style-type: none">• billing reports
	<ul style="list-style-type: none">• status reports
	<ul style="list-style-type: none">• technical data and studies
	<ul style="list-style-type: none">• meeting minutes
	<ul style="list-style-type: none">• implementing policies and procedures
	<ul style="list-style-type: none">• non-disclosure agreements
	<ul style="list-style-type: none">• presentation materials
	<ul style="list-style-type: none">• conflict of interest records
	<ul style="list-style-type: none">• property, equipment, or system records, including disposition
	Note: Utilize DOE 1.1, item 060, which requires a longer retention for Technology transfer records related to Research, Development and Demonstration (RD&D).
DAA-0434-2021-0002-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Technology Transfer Case Files - Approved by DOE
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	DOE 1.2, item 030
Manual Title	Technology Transfer Case Files - Approved by DOE

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0007-0003	No	
DAA-0434-2020-0007-0008	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 10 years after termination of agreement.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
DAA-0434-2021-0002-0004 STATUS: Active		
ITEM GENERAL INFORMATION		
Item Title	Technology Transfer Case Files - Terminated prior to formal review process or denial	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	DOE 1.2, item 040	
Manual Title	Technology Transfer Case Files - Terminated prior to formal review process or denial	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0434-2020-0007-0004	No	
DAA-0434-2020-0007-0005	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Retention Period	Other: Destroy 5 years after termination or denial.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2021-0002-0005		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing		
Item Description	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: <ul style="list-style-type: none">• subcontract agreements signed between contractor and subcontractors to perform a specific work scope,• statement of work• all deliverables, such as the final technical report		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	No		
MANUAL CITATION			
Agency Code	DOE 1.2, item 070		
Manual Title	Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
DAA-0434-2020-0007-0007	No		
Is this item a deviation from the GRS?	Yes		
GRS Disposition Authority List			
Disposition Authority	Title		
DAA-GRS-2013-0008-0003			

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Justification for GRS Deviation	This item is permanent whereas DAA-GRS-2013-0008-0003 (GRS 1.2, item 030) is temporary. In addition, this item covers the final deliverables of a cooperative agreement. If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 25 year(s) after completion or termination of agreement.
ADDITIONAL INFORMATION	
Current Records Format	Paper-based textual records
Approximate first year of records covered by this authority	1971
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?	No

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED
Date Approved: 07/10/2024

Signatory Information

Action	User	Date
Approve	Colleen Shogan	07/10/2024