

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2021-0002

Status: APPROVED  
Date Approved: 07/10/2024

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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   | 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   |

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## 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

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

| <b>Item #</b> | <b>Title</b>  | <b>Disposition</b> |
|---------------|---|--------------------|
| 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          |

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Records Schedule Items

|                                 |  |                       |
|---------------------------------|--|-----------------------|
| <b>DAA-0434-2021-0002-0001</b>  |  | <b>STATUS: Active</b> |
| <b>ITEM GENERAL INFORMATION</b> |  |                       |
| 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"> <li>• program policies, plans and procedures</li> <li>• program correspondence</li> <li>• marketing research records including, but not limited to:                             <ul style="list-style-type: none"> <li>o written questionnaires</li> <li>o phone survey reports</li> <li>o financial and product trend analysis</li> <li>o products, services, marketing, and promotional records (newsletters, brochures, catalogs, pamphlets)</li> <li>o conference contact lists</li> <li>o articles and photos published in national trade journals and magazines</li> <li>o customer/consumer referrals</li> <li>o client, media, and public mailing lists</li> </ul> </li> </ul> |                       |
| Is this item media neutral?     | Yes  |                       |
| Is this item a Big Bucket?      | No   |                       |
| <b>MANUAL CITATION</b>          |  |                       |
| Agency Code                     | DOE 1.2, item 010  |                       |
| Manual Title                    | Program Administration Records for Grants, Cooperative Agreements, and Technology Transfer Records   |                       |

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| <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   |
| 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. |
| <b>DISPOSITION INSTRUCTION</b>  |  |
| Final Disposition   | Temporary  |
| Retention Period  | Other: Destroy 10 years after superseded or obsolete.  |
| <b>ADDITIONAL INFORMATION</b>   |  |
| Are any of the records covered by this item national security classified? | No   |
| GAO Approval Required   | No   |

|                          |  |
|--------------------------|--|
| <b>Group Title</b>       | Technology Transfer Case Files   |
| <b>Group Description</b> | <ul style="list-style-type: none"> <li>• 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</li> <li>• project planning and justification</li> <li>• start-up reports</li> <li>• subcontract agreements signed between contractor and subcontractor to perform a specific work scope</li> <li>• informal or formal pre-decisional review</li> <li>• performance records documenting financial status, billing reports, project reviews and approvals</li> </ul> |

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|--|---|
|  | <ul style="list-style-type: none"> <li>• capability statements; informal or formal, preliminary, or pre-decisional planning documents written reviews and correspondence</li> </ul>                             |
|  | <ul style="list-style-type: none"> <li>• statements of work</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• budget estimates</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• resource requirements</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>• verification of compliance to applicable requirements</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>• requesting agency or entity information regarding use of DOE facilities and/or contractors</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• verification of adherence to applicable laws and regulations</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• statements of 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>• deliverables</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• correspondence</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• monthly financial status</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• billing reports</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>• status reports</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• technical data and studies</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• meeting minutes</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>• implementing policies and procedures</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• non-disclosure agreements</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>• presentation materials</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• conflict of interest records</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• property, equipment, or system records, including disposition</li> </ul>   |
|  | <p>Note: Utilize DOE 1.1, item 060, which requires a longer retention for Technology transfer records related to Research, Development and Demonstration (RD&amp;D).</p>  |

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 |

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| <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 |
| DAA-0434-2020-0007-0003   | No   |             |
| DAA-0434-2020-0007-0008   | No   |             |
| Is this item a deviation from the GRS?                                    | No   |             |
| <b>DISPOSITION INSTRUCTION</b>  |  |             |
| Final Disposition   | Temporary  |             |
| Retention Period  | Other: Destroy 10 years after termination of agreement.                              |             |
| <b>ADDITIONAL INFORMATION</b>   |  |             |
| Are any of the records covered by this item national security classified? | No   |             |
| GAO Approval Required   | No   |             |
| DAA-0434-2021-0002-0004   | <b>STATUS: Active</b>  |             |
| <b>ITEM GENERAL INFORMATION</b>   |  |             |
| 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   |             |
| <b>MANUAL CITATION</b>  |  |             |
| Agency Code   | DOE 1.2, item 040  |             |
| Manual Title  | Technology Transfer Case Files - Terminated prior to formal review process or denial |             |
| <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 |
| DAA-0434-2020-0007-0004   | No   |             |
| DAA-0434-2020-0007-0005   | No   |             |
| Is this item a deviation from the GRS?                                    | No   |             |
| <b>DISPOSITION INSTRUCTION</b>  |  |             |
| Final Disposition   | Temporary  |             |

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

|   |  |
|---|--|
| DAA-0434-2021-0002-0005   | STATUS: Active   |
| <b>ITEM GENERAL INFORMATION</b>                                     |  |
| 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"> <li>• subcontract agreements signed between contractor and subcontractors to perform a specific work scope,</li> <li>• statement of work</li> <li>• all deliverables, such as the final technical report</li> </ul> |
| Is this item media neutral?   | Yes  |
| Is this item a Big Bucket?  | No   |
| <b>MANUAL CITATION</b>  |  |
| Agency Code   | DOE 1.2, item 070  |
| Manual Title  | Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing   |
| <b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b> |  |
| Does this item supersede existing disposition authorities?          | Yes  |
|   | Superseded Items   |
| Superseded Item   | Item Superseded    Explanation<br>in Part?   |
| 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  |  |



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| 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. |
| <b>DISPOSITION INSTRUCTION</b>   |   |
| 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.  |
| <b>ADDITIONAL INFORMATION</b>  |   |
| 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  |

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Signatory Information

| <b>Action</b> | <b>User</b>    | <b>Date</b> |
|---------------|----------------|-------------|
| Accept        | Data Migration | 08/02/2021  |
| Approve       | Colleen Shogan | 07/10/2024  |