

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-330-98-3
1. FROM (Agency or establishment) Department of Defense		DATE RECEIVED	7-27-98
2. MAJOR SUBDIVISION Office of the Secretary of Defense		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION WHS, C&D, Directives and Records (Records Section)		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Jesse McNeal	5. TELEPHONE (703) 695-0970	DATE	ARCHIVIST OF THE UNITED STATES
		11-16-98	<i>John W. Carl</i>

**6. 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 on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE 11/7/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>H. D. Neeley</i> H. D. Neeley	TITLE OSD Records Administrator
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	915-01 Research Protocols and Grants  See attached	N1-330-91-2, Item	915-01a

1. 915-01 Research Protocols and Grants.

These files contain the official copy of the protocol or grant describing the nature of the proposed research, methodology involved, project aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Files are arranged by investigator's name and Research Administration control number. Files may be maintained in the following status categories -

1. Pending - Waiting approval/disapproval and action by grantor.
2. Active - Currently in an approved/funded status having all stages of review.
3. Historical - Consist of disapproved, unfunded, and withdrawn applications and include total application, summary of review actions, and notification that no award will be made. Also consist of previously active grants which have expired or terminated.

Funded Grants and Awards Case Files. These files consist of individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit records, close-out documents and other supporting and related papers maintained as an identifiable entity. They include research project grants, fellowships, training grants, and similar types of grants and awards.

Unfunded Grants or Awards. These files consist of disapproved, withdrawn and non-funded grant applications and include the total application, summary of review actions, and notification that no award will be made. (WUSU09)

Disposition: a. COFF on close-out or expiration date of an awarded protocol/grant; hold in Current Files Area (CFA) for 1 year after COFF, RET to WNRC 1 year after COFF, destroy 6 years and 3 months after COFF. NOTE: Those projects deemed to have historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with a cure of a disease, a major scientific discovery, a major health program or other event generating great media, public or historical interest. Notify the NARA so that an analysis and appraisal of these projects can be conducted and appropriate disposition authorized.

915-01a Electronic versions of records created by the electronic mail and word processing applications.

Disposition. Delete when file copy is generated or when no longer needed for reference or updating.

Note to appraiser: This revision to 915-01 is to bring the records management procedures for grant records in line with the normal processing grant records in the government including NIH and HHS. The change requests reducing the period the files are held in the Current Files Area from 8 years to 1 year after COFF. The funded grant and award case files are seldom referred to after 1 year from COFF. Grant records are the equivalent of contracting records. They contain the same information as a contract and therefore should be maintained for 6 years and 3 months after COFF.