

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

*(See Instructions on Reverse)*

90

TO GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

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DATE RECEIVED AUG 12 1975	JOB NO NC - 90-76-1
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
9-17-75 (Date)	<i>James B. Woods</i> Archivist of the United States

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION  
Public Health Service

3. MINOR SUBDIVISION  
National Institutes of Health

4. NAME OF PERSON WITH WHOM TO CONFER  
Mrs. Betty Barnett

5. TEL EXT  
496-4606

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

8/6/75 Date      *Eugene J. Reed, Jr.* (Signature of Agency Representative)      Acting Dept. Records mgmt Officer (Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p align="center"><u>NIH Extramural Program</u></p> <p><u>GRANT FILES</u></p> <p>This section of the NIH Records Control Schedule covers individual case files and other records established in the administration of grants and awards authorized under the Public Health Service Act, P.L. 410, as amended. Each bureau, institute and division of NIH maintains its grant files and the Division of Research Grants has copies of parts of the files. The HEW Grants Administration Manual sets forth procedures for the administration of grants, and Chapter 1-12 describes the documents to be kept in the official folder. For purposes of records disposal the following definitions will apply:</p> <p><u>Termination or completion</u> - the date when all work under a grant is completed or the date when Federal assistance ends.</p> <p><u>Closeout</u> - the process by which NIH determines that all applicable administrative actions and all required work of the grant have been completed by the grantee and NIH.</p> <p>1. Files on all funded grants and awards, including research project grants, fellowships, training grants, general research support grants, program projects, center grants, demonstration grants, and similar types of grants and awards, except National Research Service Awards and construction grants.</p> <p align="right"><i>Copy to Agency NW 9-19-75 JS</i></p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1.	<p>a. The official files are individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit reports, close-out documents and other supporting and related papers maintained as an identifiable entity.</p> <p style="padding-left: 40px;">Destroy 6 years after the fiscal year in which the case is closed. Hold in BID inactive files 1 year. Transfer to the Federal Records Center with authorization to destroy after 5 years.</p> <p>b. Division of Research Grants and BID initial review records and copies of other records from the official files.</p> <p style="padding-left: 40px;">Destroy no later than 1 year after the relevant official file is closed by the BID.</p> <p>c. Progress reports which are not part of the official grant file.</p> <p style="padding-left: 20px;">(1) Copies maintained in an organized subject file.</p> <p style="padding-left: 40px;">Destroy when no longer needed.</p> <p style="padding-left: 20px;">(2) Copies filed by grant or award number.</p> <p style="padding-left: 40px;">Destroy no later than 1 year after the relevant official file is closed by the BID.</p>		
2.	<p>National research service awards to individuals or institutions.</p> <p>a. The official file should contain the total application, summary of review actions, award notices, progress reports, financial records, audit reports, payback records, close-out documents and other supporting and related papers maintained as an identifiable entity.</p> <p style="padding-left: 40px;">Destroy 10 years after the fiscal year in which the award file is closed. Hold in BID inactive file 1 year. Transfer to Federal Records Center with authorization to destroy after 9 years.</p>		

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3.	<p>b. Division of Research Grants and BID initial review records and copies of other records from the official files.</p> <p style="padding-left: 40px;">Destroy no later than 1 year after the relevant official file is closed by the BID.</p> <p>Files on all unfunded grants and awards, including disapproved, withdrawn and non-funded applications.</p> <p>a. Official case file containing the total application, summary of review actions and notification to the applicant that no award will be made.</p> <p style="padding-left: 40px;">Destroy 6 years after the fiscal year in which the applicant was notified that no award will be made or the application was withdrawn. Hold in BID in inactive file 1 year. Transfer to Federal Records Center with authorization to destroy in 5 years.</p> <p>b. Copies of records on unfunded grants and awards held by Division of Research Grants and other initial review groups.</p> <p style="padding-left: 40px;">Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.</p>		

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	<u>Certification of Approval</u>		
	Robert P. Akers, Ph.D. Policy & Procedures Officer Extramural Research & Training	<u>Robert P. Akers</u>	
	Carl A. Fretts, Director Division of Contracts & Grants	<u>Carl A. Fretts</u>	
	Betty M. Barnett, NIH Records Management Liaison Officer	<u>Betty M. Barnett</u>	
	<u>Concurrence by General Counsel</u>		
	Richard J. Riseberg Legal Advisor, NIH Public Health Division	<u>Richard J. Riseberg</u>	