

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2013-0004
Schedule Status Approved

Agency or Establishment National Institutes of Health
Record Group / Scheduling Group Records of the National Institutes of Health
Records Schedule applies to Agency-wide
Schedule Subject NIH Extramural Records
Internal agency concurrences will be provided No

Background Information The NIH extramural records retention schedules were updated to reflect the needs of the extramural community, reduce the administrative burden associated with managing extramural records, and achieve compliance with NARA mandates and guidelines.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

0001, 0002, 0003, 0004

Outline of Records Schedule Items for DAA-0443-2013-0004

Sequence Number	
1	NIH Extramural Records
1.1	Official case files of construction, renovation, endowment and similar grants Disposition Authority Number: DAA-0443-2013-0004-0001
1.2	Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records Disposition Authority Number: DAA-0443-2013-0004-0002
1.3	Animal welfare assurance files Disposition Authority Number: DAA-0443-2013-0004-0003
1.4	Extramural program and grants management oversight records Disposition Authority Number: DAA-0443-2013-0004-0004

Records Schedule Items

Sequence Number											
1	<p>NIH Extramural Records</p> <p>Extramural research records relate to extramural grant and cooperative agreement activities. These records span the grant lifecycle and include, but are not limited to, grant applications, submission plans, program announcements, peer review decision documents, budget and data collections, award notifications, post-award reports, etc. Extramural program files document grant and cooperative agreement management activities of the agency, ensuring that all awards are made in accordance with applicable statutes, regulations, and policies, and provide the initial scientific and technical merit review of those research and training applications assigned to the agency extramural responsible officials. This records schedule is designed to cover all NIH extramural records, as such, all extramural records must be evaluated and assigned to one of the following four schedule items, which are listed in order from longest to shortest retention period. - Item 0001 – Official case files of construction, renovation, endowment and similar grants; - Item 0002 – Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records; - Item 0003 – Animal welfare assurance files; - Item 0004 – Extramural program and grants management oversight records.</p>										
1.1	<p>Official case files of construction, renovation, endowment and similar grants</p> <p>Disposition Authority Number DAA-0443-2013-0004-0001</p> <p>Official case files of construction, renovation, endowment and similar grants. These records include, but are not limited to, pertaining to the total application, progress reports, site visits, summary of review actions, award notices, terms and conditions of award, financial status reports, close-out documents, and other related papers maintained as an identifiable entity to be used in monitoring the use of supported space throughout the usage obligation. NIH must maintain a interest in research facilities constructed with grant funds in accordance with 42 U.S. Code § 283k - Biomedical and behavioral research facilities.</p> <table border="0"> <tr> <td>Final Disposition</td> <td>Temporary</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> </table>	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes
Final Disposition	Temporary										
Item Status	Active										
Is this item media neutral?	Yes										
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes										
Do any of the records covered by this item exist as structured electronic data?	Yes										

1.2	GRS or Superseded Authority Citation	DAA-GRS-2013-0008-0001 DAA-GRS-2013-0008-0003
	Disposition Instruction	
	Cutoff Instruction	Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., project period ended).
	Retention Period	Destroy 20 year(s) after cutoff.
	Additional Information	
	GAO Approval	Required and Received
	Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	
	Disposition Authority Number	DAA-0443-2013-0004-0002
	Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records. These records include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, appeal documents, legal opinions and litigation documents, closeout documents, and all other related significant and supporting documents that pertain only to the particular grant and grant owner(s).	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	DAA-GRS-2013-0008-0001 DAA-GRS-2013-0008-0006 DAA-GRS-2013-0008-0003	
Disposition Instruction		
Cutoff Instruction	Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded).	
Retention Period	Destroy 10 year(s) after cutoff.	

1.3

Additional Information

GAO Approval Required and Received

Animal welfare assurance files

Disposition Authority Number DAA-0443-2013-0004-0003

Animal welfare assurance files. These records assure compliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals in the conduct of projects, grants, and contracts supported by the Department of Health and Human Services (DHHS). Records include, but are not limited to, grant or contract applications, assurance files and applicable revisions of amendments, related correspondence and negotiations, inquiries and complaints of violations, compliance oversight investigations, and site visit reports. The retention requirements for these records are in accordance with the Animal Welfare Act - 9 CFR 2.35.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation DAA-GRS-2013-0008-0007

Disposition Instruction

Cutoff Instruction Cut off annually following closing of the case file.

Retention Period Destroy 4 year(s) after cutoff.

Additional Information

GAO Approval Required and Received

1.4

Extramural program and grants management oversight records

Disposition Authority Number DAA-0443-2013-0004-0004

Extramural program and grants management oversight records. These records are generated during the administration and execution of extramural program activities. This schedule item is intended to capture all extramural program and grants management records that are not part of an official case file (Items 0001 or 0002) or animal welfare assurance file (Item 0003). These records support the operations, compliance, reporting, and oversight functions of the NIH

Extramural Program and the financing of research endeavors with the purpose of ensuring scientific integrity and public accountability of the NIH extramural research portfolio. Extramural program and grants management oversight records are consolidated under one common temporary retention item. These records include, but are not limited to, the following extramural functions and operations: - Grant award administration; - Stakeholder liaison; - Human subjects protection; - Intellectual property; - Peer review; - Data management and reporting; - Research integrity; and - Communication and outreach.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	DAA-GRS-2013-0008-0007
Disposition Instruction	
Cutoff Instruction	Cut off annually.
Retention Period	Destroy 3 year(s) after cutoff.
Additional Information	
GAO Approval	Required and Received

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/03/2013	Certify	Kimberly Johnson	Records Officer	OMA - DMS
06/12/2014	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/01/2014	Submit For Certification	Kimberly Johnson	Records Officer	OMA - DMS
08/11/2014	Certify	Kimberly Johnson	Records Officer	OMA - DMS
08/18/2014	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/27/2014	Submit For Certification	Kimberly Johnson	Records Officer	OMA - DMS
10/27/2014	Certify	Kimberly Johnson	Records Officer	OMA - DMS
01/27/2015	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
01/28/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/29/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/30/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	A. General Information	4000 A 1	b	General Program Information Files	Construction and similar grants maintained by the grants management officers. Included are the program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators, and compilation of application ratings.	T	Place in inactive file at the close of each award cycle or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 20 years after close-out or audit resolution.	N1 443-92-2	1992	Extramural	DAA-0443-2013-0004-0001 Official case files of construction, renovation, endowment and similar grants	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., project period ended). Destroy 20 years after cutoff.
4000	D. Construction and Similar Grants	4000 D 1		Official case file	Containing total application, summary of review actions, award notices, terms and conditions of award, financial status report, closeout documents, and other related papers maintained as an identifiable entity.	T	Place in inactive file on closeout of grant. Transfer each fiscal year file to Federal Records Center after 2 years in inactive file. Destroy 20 years after closeout. [NOTE: Closeout of grant should occur following occupancy of constructed or expanded space.]	N1-443-92-2	1992	Extramural	DAA-0443-2013-0004-0001 Official case files of construction, renovation, endowment and similar grants	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., project period ended). Destroy 20 years after cutoff.
1100	J. Relationships with Other Organizations, Agencies, and Governments	1100 J 3	a	Special Foreign Currency Program (P.L. 480) files	The official case file for each foreign program containing the signed agreement, award documents, a copy of each published document, and final reports or project summaries documenting all NIH P.L. 480 projects in the biomedical sciences.	T	Transfer to Federal Records Center 3 years after fiscal year in which project is terminated. Destroy 3 years after termination.	NC1-90-77-2 Item 53a	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
2300	320 Staff Fellowship Programs	2300 320 7	a	International Research Fellowships and Fogarty Scholars in Residence Case Files	Accepted applications for awards made under the NIH Extramural Program, including applications, review actions, award notices, financial records, close out documents, and audit reports, if any.	T	Place in inactive file when case is closed. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after close of case.	NC1-90-77-2 Item 59	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
2300	320 Staff Fellowship Programs	2300 320 7	b	International Research Fellowships and Fogarty Scholars in Residence Case Files	Rejected applications for awards made under the NIH Extramural Program, including applications, review actions, award notices, financial records, close out documents, and audit reports, if any.	T	Destroy 5 years after rejection.	NC1-90-77-2 Item 59	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	A. General Information	4000 A 1	a	General Program Information Files	All grants and awards except construction grants and similar grants maintained by the grants management officers. Included are the program announcements, program management procedures, terms and conditions, instructions to evaluations, lists of evaluators, and compilation of application ratings.	T	Place in inactive file at the close of each award cycle or resolution of audit findings. Destroy 10 years after close-out or audit resolution.	NC1-90-77-2 Item 36a	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	A. General Information	4000 A 6		Grant Control Files	Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects applications and grants.	T	Destroy when superseded or obsolete.	GRS 23 Item 8	GRS	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	B. Case Files	4000 B 1	a	Official Case Files of Funded Grant and Award Applications	<p>Electronic files - The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy Act.</p> <p>Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.</p>	T	<p>Cut off at end of FY of closeout. Delete 6 years after cutoff.</p> <p>NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest.</p> <p>In the event that records of this type are in electronic format and are scheduled for permanent retention in the National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.</p>	N1-443-03-01, a	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	B. Case Files	4000 B 1	b1	Official Case Files of Funded Grant and Award Applications	<p>Paper files - If copied to electronic images.</p> <p>The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy Act.</p> <p>Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.</p>	T	<p>Destroy upon verification of the electronic image.</p> <p>NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest.</p> <p>In the event that records of this type are in electronic format and are scheduled for permanent retention in the National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.</p>	N1-443-03-01	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	<p>TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded).</p> <p>Destroy 10 years after cutoff.</p>
4000	B. Case Files	4000 B 1	b2	Official Case Files of Funded Grant and Award Applications	<p>Paper copies - If not copied to another medium.</p> <p>The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy Act.</p> <p>Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.</p>	T	<p>Cut off at the end of FY of closeout and place in inactive file. Transfer to the Federal Records Center 1 year after cutoff. Destroy 6 years after cutoff.</p> <p>NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest.</p> <p>In the event that records of this type are in electronic format and are scheduled for permanent retention in the National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.</p>	N1-443-03-01	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	<p>TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded).</p> <p>Destroy 10 years after cutoff.</p>

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	B. Case Files	4000 B 4		NRSA Payback Files	Established to document fulfillment of payback requirements for awards made under the National Research Service Award, when the official grant files for such awards are closed out following termination of support. These files include activation notices, appointment forms, signed payback agreements, termination notices, annual payback activities certification forms, and related documents and correspondence.	T	Close file when all payback requirements have been fulfilled or formally waived. Transfer files closed in one fiscal year to Federal Records Center 1 year later. Destroy 6 years after close of files.	NC1-443-84-1, Item 3	1984	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 1	1	Official Files of Unfunded Grant and Award Applications	Also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents. Application Tracking System. Applications are tracked in database that includes input information such as award number, awardees, associated action dates, and are used solely to document the status of a grant.	T	Update as necessary. Delete with related records or when no longer needed for administrative or reference purposes.	N1-443-03-1 Item 3	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	E. Appeals and Litigations	4000 E 1	a	Grants Appeal Case Files	Official case file containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions, and documentation of final decision.	T	Destroy 6 years after calendar year in which case is closed.	NC1-90-77-2 Item 34	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	E. Appeals and Litigations	4000 E 2	a	Grants Litigation Case Files	Official Case file consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.	T	Destroy 6 years after calendar year in which case is closed.	NC1-90-77-2 Item 35	1977	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	E. Appeals and Litigations	4000 E 3		ALERT System Records	Concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts. Located in any component of PHS outside of ORI.	T	Destroy, or return to the Office of Research Integrity as soon as the purpose for which the copy was provided is satisfied. Do not file with grant or contract files.	NC1-443-84-1 Item 1a	1984	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	F. NHGRI Case Files	4000 F 1		NHGRI Funded Case Files	Description not required.	T	Place in inactive file on close-out of grant. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy when 30 years old.	N1-443-03-01	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	F. NHGRI Case Files	4000 F 2		NHGRI Unfunded Case Files	Description not required.	T	Place in inactive file when applicant is notified that no award will be made or when the application is withdrawn. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy 15 years after notification or withdrawal.	N1-443-95-1	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	F. NHGRI Case Files	4000 F 3		Grants and Awards-NHGRI Case Files	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	NC 1-90-79- 7	2003	Extramural	DAA-0443-2013-0004-0002 Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records	TEMPORARY. Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.
4000	A. General Information	4000 A 5		Correspondence and/or subject files	Relating to routine operations and daily activities in administration of the grant program.	T	Destroy when 2 years old	DAA-GRS-2013-0008-0007	GRS	Extramural	DAA-0443-2013-0004-0003 Animal welfare assurance files	TEMPORARY. Cut off annually following closing of the case file. Destroy 4 years after cutoff.
1100	J. Relationships with Other Organizations, Agencies, and Governments	1100 J 3	b	Special Foreign Currency Program (P.L. 480) files	Progress reports, correspondence, statistical data, and copies of payment records documenting all NIH P.L. 480 projects in the biomedical sciences.	T	Destroy 3 years after fiscal year in which project is terminated. Earlier disposal is authorized for all but payment records.	NC1-90-77-2 Item 53a1	1977	Extramural	DAA-0443-2013-004-004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	A. General Information	4000 A 2		Information for Management, Planning, Analysis, and Coordination (IMPAC)	This is a central extramural data system administered by the Office of Policy for Extramural Research Administration (OPERA), NIH, which includes Office of Assistant Secretary of Health, Substance Abuse and Mental Health Services Administration, Agency for Health Care Policy and Research, Food and Drug Administration, and Center for Disease Control and Prevention. It contains initial review group actions, council actions, awarding unit actions, and other individual grant information taken from applications, awards, and other grant and contract records. The data is used for preparing publications, listings, and tabulations; administrative purposes such as fiscal operations, budgeting, and program planning; public information and responses to inquiries; and research analysis.	T	Destroy when no longer needed for administrative purposes.	NC1-90-77-2 Item 76	1977	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	A. General Information	4000 A 3		Computer Retrieval of Information on Scientific Projects (CRISP)	This is a computer system containing information about the scientific and fiscal aspects of research contracts and grants supported by NIH and other Public Health Service agencies. It serves as a scientific database from which reports to all levels of management can be prepared and where scientists and administrators of science programs can obtain answers to a wide range of inquiries. It contains scientific descriptors, project identification, title, initial review group, principal investigator, fiscal year and award amounts taken from awarded grant applications and progress reports, negotiated contracts and progress reports, and intramural annual reports and individual project descriptions.	T	Destroy all files when no longer needed for administrative purposes.	NC1-90-77-2 Item 77	1977	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	A. General Information	4000 A 4		Research, Research Training, Fellowships, and Construction Applications and Awards	These magnetic tapes contain information by IC (institute, center) which is extracted from the IMPAC System for individual IC use in administering the grants program and for responding to information requests. Included are grant applications and review history, awards, financial records, progress reports, and correspondence, which are obtained from the applicant, outside reviewers, and internal staff.	T	Destroy magnetic tapes when superseded or no longer needed for reference.	NC1-90-77-2 Item 78	1977	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	B. Case Files	4000 B 3	a	Progress reports	Copies maintained in an organized subject file which are not part of the official grant file.	T	Destroy when no longer needed.	NC1-90-77-2 Item 37a3a	1977	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	B. Case Files	4000 B 3	b	Progress reports	Copies filed by grant or award number which are not part of the official grant file.	T	Destroy no later than 1 year after the relevant official file is closed by the IC.	NC1-90-77-2 Item 37a3b	1977	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 1	a	Official Files of Unfunded Grant and Award Applications	Electronic files - also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.	T	Cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Delete 3 years after cutoff.	DAA-GRS-2013-0008-0006	GRS	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 1	b2	Official Files of Unfunded Grant and Award Applications	Paper files if not copied to another medium - also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.	T	Cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Destroy 3 years after cutoff.	DAA-GRS-2013-0008-0007	GRS	Extramural	DAA-0443-2013-0004-0004 Extramural program and grants management oversight records	TEMPORARY. Cut off annually. Destroy 3 years after cutoff.
4000	A. General Information	4000 A 7		Grants and Awards - General Information	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	GRS 20 Item 13	GRS	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	B. Case Files	4000 B 2		Initial Review Files	Of the Center for Scientific Review and IC initial review records and copies of the records from the official files.	T	Destroy when no longer needed.	NC1-90-77-2 Item 37a2	1977	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	B. Case Files	4000 B 5		Grants and Awards - Funded Grant and Award Applications	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	GRS 20 Item 13	GRS	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 1	b1	Official Files of Unfunded Grant and Award Applications	Paper files if copied to electronic images - also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.	T	Destroy upon verification of the electronic image.	DAA-GRS-2013-0008-0006	GRS	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 2		Initial Review Files	And copies of other records on unfunded applications held by Division of Research Grants and other initial review groups.	T	Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.	NC1-90-77-2 Item 37b(2)	1977	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	C. Case files: Unfunded Grant and Award Applications	4000 C 3		Grants and Awards - Unfunded Grants and Award Applications	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	N1-443-03-1 Item 4a	2003	Extramural	Transitory records and non-record materials	Destroy when no longer needed.

Section	Sub-Section	Item	Sub-Item	Title	Description	Disposition	Instructions	NARA Job	Year	Proposed Grouping	Proposed Schedule Item	Proposed Disposition
4000	D. Construction and Similar Grants	4000 D 2		Other copies	Description not required.	T	Destroy when no longer needed for administrative reference and no later than 3 years after the official file is closed.	NC1-90-77-2 Item 37c(2)	1977	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	D. Construction and Similar Grants	4000 D 3		Grants and Awards - Construction and Similar Grants	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	GRS 20 Item 13	GRS	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	E. Appeals and Litigations	4000 E 1	b	Grants Appeal Case Files	Other copies containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions, and documentation of final decision.	T	Destroy 2 years after calendar year in which case is closed.	NC1-90-77-2 Item 34	1977	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	E. Appeals and Litigations	4000 E 2	b	Grants Litigation Case Files	Other copies consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.	T	Destroy 2 years after calendar year in which case is closed.	NC1-90-77-2 Item 35	1977	Extramural	Transitory records and non-record materials	Destroy when no longer needed.
4000	E. Appeals and Litigations	4000 E 4		Grants and Awards - Appeals and Litigation	Electronic copies created on electronic mail and word processing systems.	T	Delete when file copy is generated or when referencing or updating is completed.	GRS 20 Item 13	GRS	Extramural	Transitory records and non-record materials	Destroy when no longer needed.