

## Request for Records Disposition Authority

Records Schedule Number DAA-0443-2019-0008

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 Official Case Files of Applications and Awards, Appeals, and Litigation Records for Grants, Cooperative Agreements, and Other Transaction Activities

Internal agency concurrences will be provided No

Background Information Extramural research records relate to extramural grant, cooperative agreement and other transaction activities. These records span the award lifecycle and include, but are not limited to, applications, submission plans, program announcements, peer review decision documents, budget and data collections, award notifications, post-award reports, etc. Extramural program files document grant, cooperative agreement and other transaction 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.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

## Outline of Records Schedule Items for DAA-0443-2019-0008

Sequence Number	
1	Official Case Files of Applications and Awards, Appeals, and Litigation Records for Grants, Cooperative Agreements, and Other Transaction Activities Disposition Authority Number: DAA-0443-2019-0008-0001

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1516 453"><b>Official Case Files of Applications and Awards, Appeals, and Litigation Records for Grants, Cooperative Agreements, and Other Transaction Activities</b></p> <p data-bbox="345 474 1154 506">Disposition Authority Number      <b>DAA-0443-2019-0008-0001</b></p> <p data-bbox="345 527 1516 905">Official case files of funded and unfunded grants and cooperative agreements, award applications, and appeals and litigation records. Records also include those supporting other transaction awards and activities. 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). This schedule item deviates from GRS 1.2 Items 020 and 021, which does not include other transaction records, in order to co-mingle all records in a case file that is stored in the same system.</p> <p data-bbox="345 926 919 957">Final Disposition      <b>Temporary</b></p> <p data-bbox="345 978 850 1010">Item Status      <b>Active</b></p> <p data-bbox="345 1031 818 1062">Is this item media neutral?      <b>Yes</b></p> <p data-bbox="345 1083 818 1209">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="345 1230 818 1314">Do any of the records covered by this item exist as structured electronic data?      <b>Yes</b></p> <p data-bbox="345 1335 1154 1398">GRS or Superseded Authority Citation      <b>DAA-0443-2013-0004-0002</b></p> <p data-bbox="345 1440 659 1472"><b>Disposition Instruction</b></p> <p data-bbox="345 1493 1516 1650">Cutoff Instruction      <b>Cut off annually following completion of final award-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceedings concluded).</b></p> <p data-bbox="345 1671 1187 1703">Retention Period      <b>Destroy 30 year(s) after cutoff</b></p> <p data-bbox="345 1745 656 1776"><b>Additional Information</b></p> <p data-bbox="345 1797 951 1829">GAO Approval      <b>Not Required</b></p>

## 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
07/23/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
07/30/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/14/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
08/29/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
04/09/2020	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
04/14/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/15/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/04/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist