## **INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE**

Schedule Number: N1-443-03-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

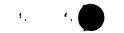
Explanation / Description:

N1-443-03-001/1/A, 1/B/1, and 1/B/2 superseded by DAA-GRS-2013-0008-0001, DAA-GRS-2013-0008-0002, and DAA-GRS-2013-0008-0006 N1-443-03-001/3 superseded by DAA-GRS-2013-0008-0007 N1-443-03-001/4/A and 4/B superseded by DAA-GRS-2017-0003-0002

Date Reported: 09/26/2022

## INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

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	15 2003 A. Prentice Barnes, Sr.			HHS Records Manager			
7. Item No.	8. DESCRIPTION OF ITEM AND	PROPOSED DISPOSITION			DR SUPERSEDED	10. ACTION TAKEN (NARA USE ONLY)	
Records and Awa Unfunde change t either el These ite as follow Patric Procur	al is requested to revise/m Control Schedule, section and Applications, Official ed Grant and Award Appli- o these sections will allow ectronic or in paper forma- ems will appear in the NII ws: <u>Mun M. Mantoan</u> , Attor rement, Fiscal and mation Law Branch	n 4000-B-1: Funded C Files and section 400 ications, Official Files w the official grant file at. H Records Control Sc	Grant 0-C-1: 5. The e to be				





NIH Records Schedule N1-443-03-1

1. <u>Official Case Files of Funded Grant and Award Applications</u>: (Supersedes N1-443-92-2). 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. National Research Service Award files should include payback records. These records are subject to the Privacy Act.

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.

Disposition: TEMPORARY. (See Note below)

- a. Electronic Files. Cut off at end of FY of closeout. Delete 6 years after cut off.
- b. Paper Files:
  - (1) If copies to electronic images, destroy upon verification of the electronic image.
  - (2) If not copied to another medium, cut off at the end of FY of closeout and place in inactive file. Transfer to the Federal Records Center 1 year after cut off. Destroy 6 years after cut off.

NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth herein, 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, which generates significant media, public, or historic interest.

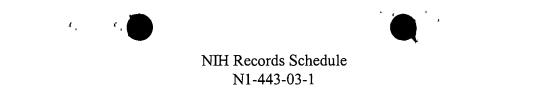
In the event that records of this type are in electronic format and are scheduled for permanent retention in the National Archives, the records must be will be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.

 Official Files of Unfunded Grant and Award Applications. (GRS 3, Item 13, supercedes N1-90-7-2). The official file for unfunded 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.

## Disposition: TEMPORARY.

a. Electronic Files. Cut off at end of FY in which notification occurs that no award will be made or when the application is withdrawn. Delete 3 years after

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cut off.

b. Paper Files:

- (1) If copies to electronic images, destroy upon verification of the electronic image.
- (2) If not copied to another medium, 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 cut off.
- 3. <u>Application Tracking System</u>. 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 an a grant.

DISPOSITION: **TEMPORARY.** Update as necessary. Delete with related records or when no longer needed for administrative or reference purposes.

4. Electronic Mail and Word Processing System Copies

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

DISPOSITION: **TEMPORARY.** Delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

DISPOSITION: **TEMPORARY.** Delete when dissemination, revision, or updating is complete