

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-443-03-1</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>4/18/02</i>	
1. FROM (Agency or establishment)  Department of Health and Human Services		NOTIFICATION TO AGENCY  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION  National Institutes of Health			
3. MINOR SUBDIVISION  Office of the Director, Office of Extramural Research			
4. NAME OF PERSON WITH WHOM TO CONFER  Peggy Sanders	5. TELEPHONE  301-496-2833	DATE <i>2-3-04</i>	ARCHIVIST OF THE UNITED STATES <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 <u>4</u> 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,  <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>APR 15 2003</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.	TITLE HHS Records Manager	

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Approval is requested to revise/modify/update the 1743 NIH Records Control Schedule, section 4000-B-1: Funded Grant and Award Applications, Official Files and section 4000-C-1: Unfunded Grant and Award Applications, Official Files. The change to these sections will allow the official grant file to be either electronic or in paper format.</p> <p>These items will appear in the NIH Records Control Schedule as follows:</p> <p><i>Patricia M. Mantoan</i> Patricia M. Mantoan, Attorney Procurement, Fiscal and Information Law Branch</p> <p><i>4/14/2003</i> Date</p> <p><i>cc Agency, NAWMA, NWCRC</i></p>		

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1. Official Case Files of Funded Grant and Award Applications: (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.*

2. 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**. GRS

- 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. 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 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.

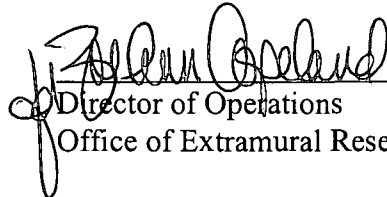
DISPOSITION: **TEMPORARY**. Delete within 180 days after the recordkeeping copy has been produced.

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

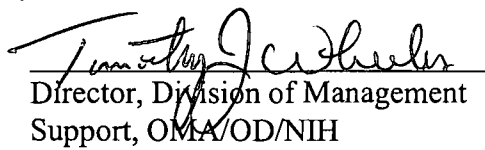
DISPOSITION: **TEMPORARY**. Delete when dissemination, revision, or updating is complete

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NIH Clearances:

  
\_\_\_\_\_  
Director of Operations  
Office of Extramural Research, NIH

3/31/03  
Date

  
\_\_\_\_\_  
Director, Division of Management  
Support, OMA/OD/NIH

3/21/03  
Date

  
\_\_\_\_\_  
NIH Records Management Officer

3/14/03  
Date

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4000 Grants and Awards

4000-B Case Files: Funded Grant and Award Applications

4000-B-1 Official Files: The official grant file may consist of records in electronic format, 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. Electronic files should be treated in terms of maintenance in the same manner as paper files.  
**These records are subject to the Privacy Act.**

Offices that convert paper files to electronic images should destroy the paper file after verification that the electronic image of the file is complete and accurate.

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.

a. Electronic Image (record keeping copy)

Disposition: Retain for 6 years after closeout, then delete/destroy.

b. Electronic Mail and Word Processing System Copies

(1) Copies that have no further value after the record keeping copy is made. Includes copies maintained by individuals, 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 record keeping copy.

Disposition: Delete within 180 days after the record keeping copy has been produced.

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(2) Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Disposition: Delete when dissemination, revision, or updating is complete.

c. Maintenance

Electronic Records should be maintained on site for the life of the record. For this purpose, the term "on site" may be construed to mean on a file server logically linked to the cognizant office, with the files containing the electronic records being under the administrative control of the cognizant organization. The Official who maintains the record needs to be responsible for the viability of the record. The record must be able to be produced upon request.

d. Paper Copy (record keeping copy if paper files are not converted to electronic image):

Disposition: Place in inactive file on closeout of grant. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy 6 years after closeout.

[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 which document events of historical importance should be brought to the attention of the NIH Records Officer. 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.]

4000-C Case Files/ Unfunded Grant and Award Applications

4000-C-1 Official Files: The official file for unfunded applications also may consist of records in electronic format, paper format, or a combination of both. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents. Offices that convert paper applications/files to electronic images should destroy the paper application/file after verification that the electronic image of the application/file is complete and accurate.

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a. Electronic Image (record keeping copy)

Disposition: Delete/Destroy 3 years after notification that no award will be made or when the application is withdrawn.

b. Electronic Mail and Word Processing System Copies

(1) Copies that have no further value after the record keeping copy is made. Includes copies maintained by individuals, 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 record keeping copy.

Disposition: Delete within 180 days after the record keeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Disposition: Delete when dissemination, revision, or updating is complete.

c. Maintenance

Electronic Records should be maintained on site for the life of the record. For this purpose, the term "on site" may be construed to mean on a file server logically linked to the cognizant office, with the files containing the electronic records being under the administrative control of the cognizant organization. The Official who maintains the record needs to be responsible for the viability of the record. The record must be able to be produced upon request.

d. Paper Copy (record keeping copy if paper files are not converted to electronic image):