

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment) Department of Health and Human Services	
2. MAJOR SUBDIVISION Public Health Service	
3. MINOR SUBDIVISION National Institutes of Health	
4. NAME OF PERSON WITH WHOM TO CONFER Johanna O. Bonnelycke	5. TELEPHONE (301) 443-2055

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JOB NUMBER NI-443-92-2
DATE RECEIVED 8-10-92
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
DATE <i>for</i> ARCHIVIST OF THE UNITED STATES 10/3/92 <i>James M. Moore</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 8 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,

is not required; is attached; or has been requested.

DATE 8/4/92	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes</i> A Prentice Barnes	TITLE DHHS Records Management Officer
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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 GRS OR SUPERSEDED JOB CITATION	10.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 amend the NIH Records Control Schedule (HHS, B-361), PART 3, FUNDING OF RESEARCH AND TRAINING, 4000 GRANTS AND AWARDS, Items 4000-A-1-b and 4000-D-1 that pertain to Construction Grants. In addition, minor editorial changes will to be made to the 4000 series for clarity. The present disposition of NIH Construction Grants and Information Files (4000-A-1-b and 4000-D-1) provides for destruction of these records 15 years after close-out. In order to comply with new regulations 42 CFR Part 52b, and NIH Policy that states "The facility constructed with Federal grant funds (including the required matching funds) awarded under this part shall be used for the originally authorized purpose for 20 years or for the useful life of the facility, whichever is less," Therefore, in order to ensure that these records are available for the duration of the grant, the disposition needs to be extended five additional years.</p> <p>[NOTE: Numbers and Letters under 8. are formatted to conform to the NIH Records Control Schedule (B-361). Text in italicize, indicates that a change has been made for clarity.]</p> <p><i>sent to AGENCY 10/30/92</i> <i>MW</i></p>		

Copy sent to NCF 11/3/92

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
PART 3	<u>FUNDING OF RESEARCH AND TRAINING</u>		
	<p>Records related to the operations of the NIH Extramural Program and the financing of research contracts.</p> <p>EXCLUDED from this section are</p> <ul style="list-style-type: none"> (1) Accounting records, including GAO copies of contracts (see section 1900); (2) Budget records (see section 2100); (3) Products of extramural research such as experimental data, reports, publications, etc. (See sections 3000-G through K for products of research contracts). 		
4000	<u>Grants and Awards</u>		
A.	<u>General Information</u>	NCI-90-77-2	(36)
4000-A-1	<p><u>General Program Information Files</u> 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.</p> <ul style="list-style-type: none"> a. All grants and awards except construction grants and <i>similar grants</i>. <p><u>Disposition:</u> 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.</p> <ul style="list-style-type: none"> b. Construction and <i>similar grants</i>. <p><u>Disposition:</u> 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.</p>		
4000-A-2	<p><u>Information for Management, Planning, Analysis and Coordination (IMPAC)</u>. This is a central extramural data system administered by the Division of Research Grants, NIH, which includes Health Resources and Services Administration, Food and Drug Administration, Center for Disease Control, and Alcohol, Drug Abuse and Mental Health Administration. It contains initial review group actions, council actions, awarding unit</p>		

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	<p>actions, and her 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.</p> <p><u>Disposition:</u> Destroy when no longer needed for administrative purposes.</p>		
4000-A-3	<p><u>Computer Retrieval of Information on Scientific Projects (CRISP):</u> This is a computer system containing information about the scientific and fiscal aspects of research contracts and grants supported by NIH and other fiscal aspects of research contracts and grants supported by NIH and other Public Health Service agencies. It serves as a scientific data base 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.</p> <p><u>Disposition:</u> Destroy all files when no longer needed for administrative purposes.</p>		
4000-A-4	<p><u>Research, Research Training, Fellowships and Construction Applications and Awards:</u> These magnetic tapes contain information by ICD (institute, center, division) which is extracted from the IMPAC System for individual ICD 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.</p> <p><u>Disposition:</u> Destroy magnetic tapes when superseded or no longer needed for reference.</p>		
4000-A-5	<p><u>Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.</u></p> <p><u>Disposition:</u> Destroy when 2 years old.</p>		

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	<p>4000-A-6 Grant Control Files: Indexes, registers, logs, and other records relating to control of assigning numbers or identifying projects applications and grants.</p> <p>Disposition: Destroy when superseded or obsolete.</p> <p>B. <u>Case Files: Funded Grant and Award Applications</u></p> <p><u>Grants Case Files</u> - Each institute, center, and division maintains its grant files, and the Division of Research Grants has copies of parts of the files. 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 complete, the date when Federal assistance ends, or the date when the competitive segment ends.</p> <p><u>Competitive Segment</u>- The initial project period recommended for support (1-5 years) or each extension of the prior project resulting from the award of a competing continuation grant.</p> <p><u>Closeout</u> - the process by which it is determined that all applicable administrative actions and all required work of the grant have been completed by the grantee and NIH.</p> <p><u>Files of all funded grants and awards</u>, include research project grants, fellowships, training grants, general research support grants, program projects, center grants, demonstration grants, National Research Service Awards and similar types of grants and awards, except construction and similar grants.</p>		
4000-B-1	<p><u>Official Files</u>: Individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit records, close-out documents and other supporting and related papers maintained as an identifiable entity. National Research Service Award files should include payback records. <i>These records are subject to the Privacy Act.</i></p> <p><i>When records in this series have been microfilmed in accordance with the standards set forth in 36 CFR 1230, the microform may be retained in accordance with the instructions in (b) below, and originals from which the microfilm was made may be destroyed in accordance with (a).</i></p>		

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	<p>a. Original full-sized copies of records which have been microfilmed, when the microfilming has been done in accordance with the standards set forth in 36 CFR 1230.</p> <p><u>Disposition:</u> Destroy originals when microfilm copies have been examined and shown to be acceptable.</p> <p>b. Original records which have <u>not</u> been microfilmed and/or microfilm or microfiche masters produced in accordance with the standards set forth in 36 CFR 1230.</p> <p><u>Disposition:</u> 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 6 years after close-out.</p> <p>[NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual 1743, <u>Keeping and Destroying Records</u>, 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.]</p>		
	<p>4000-B-2 Initial Review Files of the Division of Research Grants and ICD initial review records and copies of the records from the official files.</p> <p><u>Disposition:</u> Destroy when no longer needed.</p>		
	<p>4000-B-3 <u>Progress reports</u> which are not part of the official grant file.</p> <p>a. copies maintained in an organized subject file.</p> <p><u>Disposition:</u> Destroy when no longer needed.</p> <p>b. Copies filed by grant or award number.</p> <p><u>Disposition:</u> Destroy no later than 1 year after the relevant official file is closed by the ICD.</p>		
	<p>4000-B-4 NPSA Payback Files established to document fulfillment of payback requirements for awards made under the</p>		

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	<p>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.</p> <p><u>Disposition:</u> Close file when all payback requirements have been fulfilled or formally waived. Transfer files closed in one fiscal year to Federal Records Center one year later. Destroy 6 years after close of files.</p>		
C.	<p><u>Case files: Unfunded Grant and Award Applications</u></p> <p>(See section 4000-B for description of files and disposition terms.)</p> <p>This section covers applications which are not recommended for further consideration, withdrawn and non-funded.</p> <p>4000-C-1 Official case file containing the total application summary of review actions and notification to the applicant that no award will be made.</p> <p><u>Disposition:</u> Place in inactive file when the applicant is notified that no award will be made or when the application is withdrawn. Destroy 3 years after notification or withdrawal.</p> <p>4000-C-2 <u>Initial Review Files</u> and copies of other records on unfunded applications held by Division of Research Grants and other initial review groups.</p> <p><u>Disposition:</u> Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.</p>		
D.	<p><u>Construction and Similar Grants.</u></p> <p>4000-D-1 <u>Official case file containing total application, summary of review actions, award notices, terms and conditions of award, financial status report, close-out documents and other related papers maintained as an identifiable entity.</u></p>	NCI-90-77-2 (37c(1))	

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	<p>Disposition: Place in inactive file on close-out of grant. Transfer each fiscal year file to Federal Records Center after 2 years in inactive file. Destroy 20 years after close-out. [NOTE: Close-out of grant should occur following occupancy of constructed or expanded space.]</p>		
	<p>4000-D-2 Other copies.</p> <p>Disposition: Destroy when no longer needed for administrative reference and no later than 3 years after the official file is closed.</p>		
	<p>E. Appeals and Litigations</p>		
	<p>4000-E-1 <u>Grants Appeal Case Files</u> containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions and documentation of final decision.</p> <p>a. <u>Official Case file.</u></p> <p>Disposition: Destroy 6 years after calendar year in which case is closed.</p> <p>b. <u>Other copies.</u></p> <p>Disposition: Destroy 2 years after calendar year in which case is closed.</p>		
	<p>4000-E-2 <u>Grants Litigation Case Files</u>, consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.</p> <p>a. <u>Official Case file.</u></p> <p>Disposition: Destroy 6 years after calendar year in which case is closed.</p> <p>b. <u>Other copies.</u></p> <p>Disposition: Destroy 2 years after calendar year in which case is closed.</p>		

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7.
ITEM
NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR
SUPERSEDED
JOB
CITATION

10. ACTION
TAKEN
(NARS USE
ONLY)

J F Donald
Director, Office of Extramural Research

7/2/92
DATE

Susan M. O'Brien
NIH Records Management Officer

7/8/92
DATE