

Request for Records Disposition Authority

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| Records Schedule Number | DAA-GRS-2013-0008 |
| Schedule Status | Modified Approved Version |
| Agency or Establishment | General Records Schedules (National Archives and Records Administration) |
| Record Group / Scheduling Group | General Records Schedules |
| Records Schedule applies to | Government-wide |
| Schedule Subject | GRS 1.2 Grant and Cooperative Agreement Records |
| Internal agency concurrences will be provided | No |

Background Information

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application packages, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, General Financial Management Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support

or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 5 | 0 | 5 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0008

| Sequence Number | |
|-----------------|--|
| 1 | Grant and Cooperative Agreement Program Management Records Disposition Authority Number: DAA-GRS-2013-0008-0007 |
| 2 | Grant and Cooperative Agreement Case Files |
| 2.1 | Successful applications Disposition Authority Number: DAA-GRS-2013-0008-0001 |
| 2.2 | Unsuccessful applications Disposition Authority Number: DAA-GRS-2013-0008-0006 |
| 2.3 | All other copies Disposition Authority Number: DAA-GRS-2013-0008-0002 |
| 3 | Final Grant and Cooperative Agreement Products or Deliverables Disposition Authority Number: DAA-GRS-2013-0008-0003 |

Records Schedule Items

| Sequence Number | | | | | |
|--------------------------|--|-----------------|--------------|--------------------------|--|
| 1 | <p>Grant and Cooperative Agreement Program Management Records</p> <p>Disposition Authority Number DAA-GRS-2013-0008-0007</p> <p>Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as: • Background files o Program Announcements o Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices o Requests for Proposals • Application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity) • Application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity) • Management and tracking systems, electronic or manual, used to coordinate various aspects of an agency’s grant and cooperative agreement program(s), such as: o Application receipt, review, award, and related activities o Communication, workflow management, and document routing o Post-award and closeout activities o Data mining, trend analysis, and reporting</p> <p>NOTES: (1) If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records. EXCLUSIONS: (1) Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. (2) Records related to financial transactions stemming from activities of agency grants and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Manual Citation</th> <th style="text-align: left;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 1.2, item 010</td> <td></td> </tr> </tbody> </table> | Manual Citation | Manual Title | GRS 1.2, item 010 | |
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| GRS 1.2, item 010 | | | | | |

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|------------|---|--|
| | <p>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p> | <p>GRS 3 item 14 (NC1-64-77-5 item 17b)</p> <p>Destroy 3 year(s) after final action is taken on file, but longer retention is authorized if required for business use.</p> <p>Not Required</p> |
| <p>2</p> | <p>Grant and Cooperative Agreement Case Files</p> <p>Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Applications, forms, and budget documents • Evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • State plans, if any (submissions from States that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding) • Amendment requests and actions, if any • Periodic and final performance reports (progress, narrative, financial) • Audit reports and/or other monitoring or oversight documentation • Summary reports and the like | |
| <p>2.1</p> | <p>Successful applications</p> <p>Disposition Authority Number</p> <p>Official record of successful applicant case files held in the office of record.</p> <p>NOTES: (1) If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records. EXCLUSIONS: (1) Records related to financial transactions stemming from activities of agency grants and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p> | <p>DAA-GRS-2013-0008-0001</p> <p>Temporary</p> <p>Active</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> |
| | <p>Manual Citation</p> | <p>Manual Title</p> |

2.2

| | |
|---|--|
| GRS 1.2, item 020 | |
| Disposition Instruction | |
| Retention Period | Destroy 10 year(s) after final action is taken on file, but longer retention is authorized if required for business use. |
| Additional Information | |
| GAO Approval | Not Required |
| Unsuccessful applications | |
| Disposition Authority Number | DAA-GRS-2013-0008-0006 |
| Official record of unsuccessful applicant case files held in the office of record. | |
| 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 |

2.3

| Manual Citation | Manual Title |
|---|---|
| GRS 1.2, item 021 | |
| GRS or Superseded Authority Citation | GRS 3 item 13 (NC1-GRS-81-2 item 14a) |
| Disposition Instruction | |
| Retention Period | Destroy 3 year(s) after final action is taken on file, but longer retention is authorized if required for business use. |
| Additional Information | |
| GAO Approval | Not Required |
| All other copies | |
| Disposition Authority Number | DAA-GRS-2013-0008-0002 |
| Copies used for administrative or reference purposes. | |

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

| Manual Citation | Manual Title |
|-------------------|--------------|
| GRS 1.2, item 022 | |

Disposition Instruction

Retention Period Destroy when business use ceases.

Additional Information

GAO Approval Not Required

Final Grant and Cooperative Agreement Products or Deliverables

Disposition Authority Number DAA-GRS-2013-0008-0003

The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a: • Report, study, or publication • Conference paper and/or presentation • Book, journal article, or monograph • Training material, educational aid, or curriculum content • Plan, process, or analysis • Database or dataset • Audio, video, or still photography • Website content or other Internet component • Documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype) • Software or computer code NOTES: (1) Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes. (2) If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records or apply an existing schedule.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in

3

electronic format(s) other than e-mail and word processing?

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

| Manual Citation | Manual Title |
|-------------------|--------------|
| GRS 1.2, item 030 | |

Disposition Instruction

Retention Period **Destroy when business use ceases.**

Additional Information

GAO Approval **Not Required**

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 |
|------------|------------------------|------------------|---|--|
| 07/16/2013 | Return to Submitter | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 08/26/2013 | Certify | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 05/21/2014 | Submit for Concurrence | Andrea Riley | Supervisory Records Specialist | National Archives and Records Administration - Records Management Services |
| 06/10/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 06/11/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 06/12/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |