

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-307-88-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/5/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 11. General Counsel Contract Files.

Item 12. Any other Grant or Contract reference file

Item 13. Direction and Administration of Grant and Contract Programs

Item 14.b.2 Proposal and award data dating after FY 1989.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 1-3 were not appraised, as they were covered by the GRS.

Item 4 was not appraised as it was covered by the GRS, but was later shown as superseded by N1-307-97-001 item 1.

Item 5a was superseded by GRS 1.2, item 020 (DAA-GRS-2013-0008-0001) in 2017 by mutual consent of NARA and NSF.

Item 5b was non-record reference material.

Item 6 was superseded by GRS 1.1 item 010 (DAA-GRS-2013-0003-0001).

Items 7-10 were not appraised.

Item 14.a. was superseded by the GRS 5.2 item 020 (DAA-GRS-2022-0009-0002)

Item 14.b.1. records were transferred to the National Archives. <https://catalog.archives.gov/id/631184>

Item 14.b.3. was superseded by the GRS 3.1 item 050 (DAA-GRS-2013-0005-0002)

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO

N1-307-88-2

TO **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

8-15-88

1 FROM *(Agency or establishment)*

National Science Foundation

NOTIFICATION TO AGENCY

2 MAJOR SUBDIVISION

3 MINOR SUBDIVISION

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4 NAME OF PERSON WITH WHOM TO CONFER

Don Wilkins

5 TELEPHONE EXT

357-7414

DATE

11/2/89

ARCHIVIST OF THE UNITED STATES



6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 7-22-88	C SIGNATURE OF AGENCY REPRESENTATIVE <i>James D. Wilkins</i> James D. Wilkins	D TITLE Property & Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p><u>GRANT AND CONTRACT RECORDS</u></p> <p>Records created and maintained to administer granting of Government funds for the promotion of basic research, science information, science education, and other purposes. Included are internal records and reports, copies of certain fiscal records, individual case files of all proposals received, grant and contract awardee case files, published research findings, and finding aids to the various groups of records.</p> <p>Records relating to claims by or against the United States Government must be held until the claim is settled or adjusted by the General Accounting Office.</p> <p>1. Closed Official Contract Files Maintained by the Division of Grants and Contracts. These are the official transaction files concerning Foundation contracts made in connection with the various programs it administers. These are considered by the General Accounting Office to be GAO records.</p>		

Copies sent to agency, NCF, NNT, NNY 11/8/89

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Disposition: As prescribed by GRS 3, Item 4. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

A. Procurement or purchase organization copy, and related papers.

A. (1) Transactions of more than \$10,000 and all construction contracts exceeding \$2,000, dated subsequent to July 26, 1974.

Destroy 6 years and 3 months after final payment.

B. (2) Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,000 or less dated prior to July 26, 1974.

Destroy 3 years after final payment.

2. Grant Control Files. Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects, applications and grants.

Disposition: As prescribed by GRS 3, Item 16.

Destroy when superseded or obsolete.

3. Completed Grant Case Files Maintained by the Division of Grants and Contracts. Copies of documents maintained in the Grants and Contracts Division folders which are duplicated in the Official Folders maintained by the Program Offices.

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Disposition: Transfer to the Federal Records Center 3 years close of case. Destroy 10 years after close of case.

4. Closed Grant Case Files Maintained by the Division of Financial Management. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. When operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These are records that document only money received and money paid out or deposited, in the course of operation of the agency.

Disposition: As prescribed by GRS 6, Item 1a.

Destroy 6 years and 3 months after period of the account.

5. Grant and Contract Records - Program Offices.

Materials created and maintained to administer the granting of Government funds for the promotion of basic research, science information and science education. Included are internal records and reports, copies of certain fiscal records, individual case files of all proposals received, grant and contract awardee case files, published research findings, and finding aids to the various groups of records.

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Records relating to claims by or against the United States Government must be held until claim is settled or adjusted by the General Accounting Office.

A. Completed Proposal Case Files

Created and maintained by program offices in a separate file in numerical or alphabetical order, by FY. Basic document is the formal proposal received. The files include but are not restricted to correspondence, notes to the file, and reviewer evaluation reports. These include but are not limited to:

Basic research projects in the Biological, Behavioral and Social Sciences.

Basic research projects in the Astronomical, Atmospheric, Earth and Ocean Sciences.

Basic research projects in the Mathematical and Physical Sciences.

Basic research projects in Engineering.

Science Education.

Computer and Information Science and Engineering.

Disposition: Permanent. Transfer to FRC 2 years after close of case file. Transfer to the National Archives in 5 year blocks 10 years after close of case file.

Volume: approximately 6,000 cubic feet. Annual accumulation: approximately 175 cubic feet.

B. Extra Copies of Program Office Grant and Contract Records

Disposition: Destroy when no longer needed.

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6. Program Office Travel Grant and Contract Records

Created and maintained by program offices in a separate file in numerical or alphabetical order by fiscal year. Case files relate to NSF funding for individual travel to professional conferences, lectures, and study tours. As with the research grants, the basic document is the formal proposal. Other records include correspondence, reviewer evaluations, and internal processing forms.

Disposition: Send to FRC 2 years after close of case file.
Destroy 10 years after close of case file.

Item No.	Description of Item	Sample or Job No.	Action Taken
	<p><u>Disposition:</u> Transfer to FRC 2 years after close of case; destroy 10 years after close of case.</p>		
K.	<p><u>All Other Completed Grant and Contract Case Files.</u></p> <p>All other completed grant and contract project case files maintained by program offices (including International Travel Grants to individuals and Educational Grants to institutions and organizations) and not itemized above.</p> <p><u>Disposition:</u> Transfer to FRC 2 years after close of case; destroy 10 years after close of case.</p>		
7.	<p><u>Program Management.</u></p>		
A.	<p><u>Policy and Program Planning.</u></p> <p>Case files dealing with the providing of information needed by the Foundation for policy and program planning purposes.</p> <p>(1) Studies and surveys on scientific research and development expenditures, and manpower, in the four sectors of the economy - colleges and universities, other non-profit organizations, the Federal Government, and industry.</p> <p>(2) Studies and surveys to promote the development of an effective national scientific information system.</p> <p>(3) Studies and surveys to develop policies and plan programs for education in the sciences.</p>		

Item No.	Description of Item	Sample or Job No.	Action Taken
	<p>(4) Studies and surveys to develop policies and plan programs for basic research activities.</p> <p>(a) Biological, behavioral and social sciences.</p> <p>(b) Environmental sciences.</p> <p>(c) Engineering.</p> <p>(d) Mathematical and physical sciences.</p> <p>(e) All others.</p> <p><u>Disposition:</u> Transfer to FRC 2 years after close of case; destroy 10 years after close of case.</p>		
	<p>B. <u>Evaluation of Program Activities.</u></p> <p>Case files on the evaluation of programs and activities of the Foundation. (Disposition of study and survey reports and related papers dealing with analyses of scientific research data is covered in PROGRAM MANAGEMENT AND OPERATIONS schedule.)</p> <p>(1) Studies and surveys for evaluations of programs and activities for education in the sciences, including Course Content, Fellowship and Institute programs, special projects in science education, and evaluation of site visits to grantee institutions.</p> <p>(2) Studies and surveys for evaluating Foundation programs and activities dealing with basic research.</p>		

Item No.	Description of Item	Sample or Job No.	Action Taken
	(3) Studies and surveys for evaluating Foundation programs and activities dealing with the dissemination of scientific information.		
	(4) Studies and surveys for evaluating all other Foundation programs and activities.		
	(5) Case files on approved standards, methods and procedures developed and used to evaluate proposals for grants or contracts.		
	(6) Research on Fellowship selection techniques and other related studies.		
	(7) All others.		
	<u>Disposition:</u> Transfer to FRC 2 years after close of case; destroy 10 years after close of case.		
8.	<u>Interagency Agreement and Completed Grant Case Files.</u> Contains administrative, fiscal and property records for each interagency agreement and each grant awarded by the Foundation, grouped by FY in which closed and numerical sequence by grant number. Included are NSF Form, Grant Record; copy of grant letter; letter of other understanding; awardee acknowledgement; Grant Fiscal Report; Interagency Support Expenditure Report; copy of Patent and Licence Agreement; memoranda and related records which duplicate the program case file. (These files need not contain all items, or be restricted to this listing.)		
	<u>Disposition:</u> Transfer to FRC 2 years after FY in which closed; destroy 10 years after close of case.		

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9. Interagency Agreement and Completed Contract Case Files. Reflecting the Contracting Officer's responsibility and containing administrative, legal, fiscal and property records for interagency agreements, and contracts, awarded by the Foundation; group by FY in which closed and numerical sequence by contract number. The files include but need not be limited to: copy of proposal and budget; signed contract and amendments (s); letter of other understanding; listing of property; Patent and License Agreement (copy); NSF Form Contract Record; Statement and Certificate of Award; memo of satisfactory completion; certificate of final payment due; memo and/or other obligations records; NSF report of audit; the contractor's Assignment of Refunds, Rebates and Credits, Statement of Invention, Statement of Financial Position, Statement of Contingent or other Fees, Release of Government, and other related legal documents; correspondence, memoranda and notes to the file.

Disposition: (See PROCUREMENT AND SUPPLIES schedule for disposition criteria.)

10. Grant and Contract Property Case Files. Maintained by the Property Officer to document the acquisition, inventory and disposition of Government property acquired by grantees and contractors. They usually contain a copy of the contract and each amendment; correspondence, memoranda, notes, property transfer memoranda and documents, and related Foundation and other Government agency property documents which duplicate the Contracts Office and Grants Office files. The Files are maintained in numerical sequence by grant or contract number.

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~~Disposition: Destroy reference copies of documents when case is closed. (See PROPERTY DISPOSAL RECORDS schedule for disposition criteria for remainder of file).~~

11. General Counsel Contract Files. Maintained in individual folders for each contract, and used for reviewing matters of legal significance pertaining to contracts. Folders are filed alphabetically by contractor and numerically thereunder by contract number, and contain a copy of the contract and amendment(s) memoranda and related documents.

Disposition: Destroy when contract is closed.

12. Any other Grant or Contract reference file, including duplicate copies of documents and correspondence maintained elsewhere as official records.

Disposition: Destroy when use is served, or when contract or grant is closed, whichever is sooner.

13. Direction and Administration of Grant and Contract Programs. Reports, guides and approved program planning documents reflecting policies and procedures developed to direct and administer grant and contract programs.

(1) Records set, Dealing with the following:

- (a) Overall grants administration.
- (b) Overall contracts administration.
- (c) Direction and administration of specific programs.

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Disposition: Transfer to FRC
2 years after cut off; destroy
10 years close of specific program.

14. Proposal and Award System

Electronic system is a relational database used to monitor individual grant and contract proposals and awards. Data is extracted from and keyed to textual grant and contract files. All proposals and awards are covered from the beginning of the system. Included are narrative, numerical, and coded information pertaining to the proposal and internal NSF processing and administration. Electronic data is created and maintained on an IBM 3090 using DB II software.

a. Output Reports.

Disposition: Destroy when no longer needed.

b. Magnetic Media.

1. Complete set of proposal and award data up to FY 1988.

Disposition: Permanent. Transfer immediately in software-independent form (flat file) to the National Archives on IBM tape cartridges.

2. Proposal and award data dating after FY 1989.

Disposition: Permanent. Transfer annual increments at the end of each fiscal year to the National Archives in software-independent form (flat file) on IBM tape cartridges.

3. Systems documentation.

Disposition: Permanent. Transfer recent and complete documentation to the National Archives in conjunction with magnetic media.