

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2013-0008

Status: APPROVED
Date Approved: 06/12/2014
Last Modified: 11/05/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	GRS 1.2 Grant and Cooperative Agreement Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>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.</p>

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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.

Is There a Classified Version of This
Schedule?

No

Is consultation and coordination with
Tribal Governments required?

Predate requirement

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Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 5

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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

Item #	Title	Disposition
0001	Grant and Cooperative Agreement Case Files : Successful applications	Temporary
0002	Grant and Cooperative Agreement Case Files : All other copies	Temporary
0006	Grant and Cooperative Agreement Case Files : Unsuccessful applications	Temporary
0003	Final Grant and Cooperative Agreement Products or Deliverables	Temporary
0007	Grant and Cooperative Agreement Program Management Records	Temporary

National Archives and Records Administration
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Records Schedule Items

Group Title	Grant and Cooperative Agreement Case Files
Group Description	<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
DAA-GRS-2013-0008-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Successful applications
Item Description	<p>Official record of successful applicant case files held in the office of record.</p> <p>NOTES:</p> <p>(1) If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>EXCLUSIONS:</p> <p>(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>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.2, item 020
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2013-0008-0002 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	All other copies
Item Description	Copies used for administrative or reference purposes.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.2, item 022
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when business use ceases.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2013-0008-0006 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Unsuccessful applications
Item Description	Official record of unsuccessful applicant case files held in the office of record.
Is this item media neutral?	Yes

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Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 1.2, item 021	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
GRS 3 item 13 (NC1-GRS-81-2 item 14a)	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
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		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-GRS-2013-0008-0003		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Final Grant and Cooperative Agreement Products or Deliverables	
Item Description	<p>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:</p> <ul style="list-style-type: none">• 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)	

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• 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.	
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 1.2, item 030
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when business use ceases.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2013-0008-0007		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title		Grant and Cooperative Agreement Program Management Records
Item Description	Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as: <ul style="list-style-type: none">• Background files<ul style="list-style-type: none">o Program Announcementso Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register noticeso Requests for Proposals	

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- 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

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.

Is this item media neutral?	Yes
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Is this item a Big Bucket?	
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MANUAL CITATION

Agency Code	GRS 1.2, item 010
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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
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Superseded Items

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Superseded Item	Item Superseded in Part?	Explanation
GRS 3 item 14 (NC1-64-77-5 item 17b)	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
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		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Signatory Information

Action	User	Date
Approve	David Ferriero	06/12/2014