

## Request for Records Disposition Authority

Records Schedule Number      DAA-GRS-2013-0008  
Schedule Status                Approved  
  
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	<b>Grant and Cooperative Agreement Program Management Records</b> Disposition Authority Number: DAA-GRS-2013-0008-0007
2	<b>Grant and Cooperative Agreement Case Files</b>
2.1	<b>Successful applications</b> Disposition Authority Number: DAA-GRS-2013-0008-0001
2.2	<b>Unsuccessful applications</b> Disposition Authority Number: DAA-GRS-2013-0008-0006
2.3	<b>All other copies</b> Disposition Authority Number: DAA-GRS-2013-0008-0002
3	<b>Final Grant and Cooperative Agreement Products or Deliverables</b> Disposition Authority Number: DAA-GRS-2013-0008-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Grant and Cooperative Agreement Program Management Records</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2013-0008-0007</b></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><b>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.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>GRS 3 item 14 (NC1-64-77-5 item 17b)</b></p> <p>Disposition Instruction</p>

	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
2	<b>Grant and Cooperative Agreement Case Files</b> Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to: • 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	
2.1	<b>Successful applications</b> Disposition Authority Number	DAA-GRS-2013-0008-0001
	Official record of successful applicant case files held in the office of record. 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.	
	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
	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	

2.2	GAO Approval	Not Required
	<b>Unsuccessful applications</b>	
	Disposition Authority Number	DAA-GRS-2013-0008-0006
	<b>Official record of unsuccessful applicant case files held in the office of record.</b>	
	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
	GRS or Superseded Authority Citation	GRS 3 item 13 (NC1-GRS-81-2 item 14a)
	<b>Disposition Instruction</b>	
	Retention Period	Destroy 3 year(s) after final action is taken on file, but longer retention is authorized if required for business use.
	2.3	<b>Additional Information</b>
GAO Approval		Not Required
<b>All other copies</b>		
Disposition Authority Number		DAA-GRS-2013-0008-0002
<b>Copies used for administrative or reference purposes.</b>		
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
<b>Disposition Instruction</b>		
Retention Period	Destroy when business use ceases.	

3

**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 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

**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

## GENERAL RECORDS SCHEDULE 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, 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, Financial Management and Reporting 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	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p><b>Grant and cooperative agreement program management records.</b> Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> <li>• background files                             <ul style="list-style-type: none"> <li>○ Program Announcements</li> <li>○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices</li> <li>○ Requests for Proposals</li> </ul> </li> <li>• application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)</li> <li>• application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)</li> </ul> <p><b>Note:</b> If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p>	<p><b>Temporary.</b> Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<p><b>Exclusion 1:</b> 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.</p> <p><b>Exclusion 2:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>			
020	<p><b>Grant and cooperative agreement case files.</b> Official record of applicant case files held in the office of record. 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"> <li>• applications, forms, and budget documents</li> <li>• evaluation reports, panelist comments, review ratings or scores</li> <li>• Notice of Grant Award or equivalent and grant terms and conditions</li> <li>• 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)</li> </ul>	<p><b>Successful applications.</b></p> <p><b>Note:</b> If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>Exclusion:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p><b>Temporary.</b> Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0001</p>
021	<ul style="list-style-type: none"> <li>• amendment requests and actions, if any</li> <li>• periodic and final performance reports (progress, narrative, financial)</li> <li>• audit reports and/or other monitoring or oversight documentation</li> <li>• summary reports and the like</li> </ul> <p><b>Legal citation:</b> 31 U.S.C. 3731(b), False Claims Act</p>	<p><b>Unsuccessful applications.</b></p>	<p><b>Temporary.</b> Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0006</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
022		All other copies. Copies used for administrative or reference purposes.	Temporary. Destroy when business use ceases. DAA-GRS-2013-0008-0002
030	<p><b>Final grant and cooperative agreement products or deliverables.</b> 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"> <li>• report, study, or publication</li> <li>• conference paper and/or presentation</li> <li>• book, journal article, or monograph</li> <li>• training material, educational aid, or curriculum content</li> <li>• plan, process, or analysis</li> <li>• database or dataset</li> <li>• audio, video, or still photography</li> <li>• website content or other Internet component</li> <li>• 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)</li> <li>• software or computer code</li> </ul> <p><b>Note 1:</b> Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p><b>Note 2:</b> 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.</p>	Temporary. Destroy when business use ceases.	DAA-GRS-2013-0008-0003

New GRS 1.2				Old GRS			
GRS No.	Item No.	Retention	ERA Number/Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
1.2	010	3 years	DAA-GRS-2013-0008-0007	3	14	2 years	NC1-64-77-5 item 17b
1.2	021	3 years	DAA-GRS-2013-0008-0006	3	13	3 years	NC1-GRS-81-2 item 14a