

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

*(See Instructions on Reverse)*

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

**1 FROM (AGENCY OR ESTABLISHMENT)**

**DEPARTMENT OF HEALTH, EDUCATION AND WELFARE**

**2. MAJOR SUBDIVISION**

**PUBLIC HEALTH SERVICE**

**3 MINOR SUBDIVISION**

**NATIONAL INSTITUTES OF HEALTH**

**4 NAME OF PERSON WITH WHOM TO CONFER**

**BETTY BARNETT**

**5. TEL EXT**

**496-4606**

**6. CERTIFICATE OF AGENCY REPRESENTATIVE**

LEAVE BLANK	
DATE RECEIVED <b>16 JUN 1977</b>	JOB NO <b>NC1 90 77 2</b>
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with drawn" in column 10	
<b>11-15-77</b> (Date)	<i>James B. Hoode</i> Archivist of the United States

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 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

*10/27/77* for *Eugene J. Reed, Jr*  
Date (Signature of Agency Representative)

**DEPARTMENT RECORDS MANAGEMENT OFFICER**  
(Title)

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>Records Control Schedule Appendix B-361</p> <p>This schedule establishes retention and disposal standards for program files and certain administrative (housekeeping) files of the National Institutes of Health. The General Records Schedules of the General Services Administration, Appendix A of the DHEW Records Management Manual, will be followed except for items included herein. The disposal standards published herein have been approved by the NIH Director's office, the Public Health Service, Department of Health, Education and Welfare and the Archivist of the United States. Appendix B-370, 8/28/57, and revisions thereto are hereby rescinded.</p> <p>The National Institutes of Health conducts biomedical research; provides grants to non-profit organizations and institutions for research and for medical education, including improvement or construction of library facilities, buildings, equipment and other resources; provides grants for the training of research investigators and supports biomedical communications through programs and activities of the National Library of Medicine.</p>		

*All permanent microfilmed records to be prepared in accordance with FPMR 101-11.504 and 506.*

*10/20/77. All changes with 180 items approval of B. Barnett. (PL) sent to agency & NCW-NNB-11/17/77*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1	<p>Policy files created in the Office of the Director to establish NIH policy and in the BID's to establish internal program policies. Included are statements of policy with recommendations, staff studies, presentations, evaluations, reports and conclusions, and correspondence. This item excludes policies which are published in the NIH Manual or the NIH Guide for Grants and Contracts.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Transfer to Federal Records Center when superseded, obsolete or no longer needed. Offer to National Archives 10 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 1 year after related policy is obsolete or discontinued.</p>		<p><i>10 year rule - meet.</i></p>
2.	<p>Program files for planning, review, and analysis at BID Director level of specific programs which support NIH's biomedical research, education and communications missions. These files are exclusive of the records of the Office of Program Planning and Evaluation.</p> <p>a. <u>Program planning files</u> which include statements and definitions of program objectives, parameters, and projections for future activities.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old.</p> <p><u>Other copies</u> - Destroy when no longer needed for reference and no later than when 5 years old.</p> <p>b. <u>Program review files</u>, which include progress reports, statistical compilations, and analyses of programs with comments and recommendations.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old.</p>		

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	<p><u>Other copies</u> - Destroy when no longer needed for reference and no later than when 5 years old</p> <p>NOTE. Items a and b. may be maintained and disposed of as a single item and identified as "program" files or each item may be maintained and disposed of separately.</p>		
3	<p><u>Organization and Functions files</u> consisting of functional statements and organizational and staffing charts of NIH and the BID's Included are official statements published in the <u>Federal Register</u> with supporting correspondence and other records which document successive changes at branch, section and lower-level organizations and reasons there-fore These documents state the mission of the agency and subordinate organizations; establish, reorganize, central-ize or decentralize, and discontinue programs and organi-zational structures; or show organizational charts and codes; and include records created in the development of and influencing decisions on these matters.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> maintained in the Division of Management Policy or the BID - Permanent Transfer a complete set of superseded statements to Federal Records Center at 10-year intervals Offer to National Archives 10 years after transfer to FRC</p> <p><u>All other copies</u> and correspondence or papers which are not related to the decision process for determining organi-zational structures and functions - Destroy when no longer needed for reference</p>		
4	<p><u>Organization charts</u> submitted for the Secretary's Uniform System of Department-Agency Organization Charts</p> <p><u>Disposition:</u></p> <p>Destroy 2 years after calendar year in which submitted</p>		

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5	<p>Regulations files created for the purpose of publishing NIH rules in the Federal Register Included are Notices of Proposed Rule-Making and final Regulations, together with preclearance documents, concurrence memoranda, public comments on proposed rule-making, and other correspondence, studies, reports or background material involved in the development of the Regulation</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Transfer to Federal Records Center 5 years after being superseded or revoked or the subject activity is discontinued Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 1 year after being superseded or revoked or the subject activity is discontinued.</p> <p>a <u>Summary statements, press releases, synopses of Federal Register documents, Notices of Department Publications in the Federal Register, and other required documents which are not essential to development of the regulation</u></p> <p><u>Disposition:</u></p> <p><u>All copies</u> - Destroy when pertinent Regulations files are transferred to the Federal Records Center. Earlier disposal is authorized if no longer needed for administrative reference.</p>		
6	<p><u>General Notices</u></p> <p>a <u>Program announcements, statements of NIH policies or interpretations, notices of proposed policies, and other general notices not specified below published in the Federal Register.</u> Included are the background material and correspondence, press release, and memorandum showing PHS concurrence.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - File with appropriate program file.</p> <p><u>Other copies</u> - Destroy no later than 2 years after program is discontinued or policy is superseded or discontinued</p>		

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	<p>b. <u>Statements of availability of grants and/or contracts published in the Federal Register.</u> Included are the background correspondence and materials and the memorandum showing PHS concurrence</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - File with appropriate program files.</p> <p><u>Other copies</u> - Destroy when no longer needed for administrative reference</p> <p>c. <u>Notices of Meetings</u></p> <p>(1) Notices of meetings of public advisory groups and of chartering or renewal of public advisory committees</p> <p><u>Disposition:</u></p> <p>File with appropriate committee case file.</p> <p>(2) Notices of meeting for seminars, workshops, conferences, and other discussion groups</p> <p><u>Disposition:</u></p> <p>File with appropriate program file</p> <p>d. <u>Statements of organization, functions and delegations of authority published in the Federal Register</u> Included are transmittal memos, clearance documentation, background correspondence, and the published statements</p> <p><u>Disposition:</u></p> <p>File with Organization, Functions and Delegations of Authority files.</p> <p><i>62 through 64. Agency when program file is destroyed on transfer to FRC.</i></p> <p>7 <u>Delegations of authority</u> to the Director from the Assistant Secretary for Health and the Executive Officer, PHS. Included are official statements published in the <u>Federal Register</u> with supporting correspondence and other records which document successive changes in authorities and reasons therefore. Also included are documents re delegating the authority of the Director to subordinates and records created in the development of and influencing decisions on these matters</p>		

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	<p><u>Disposition:</u></p> <p>a <u>Official file</u> maintained in the Division of Management Policy - <u>Permanent</u>. Transfer a complete set of superseded statements to the Federal Records Center at 10-year intervals Offer to National Archives 10 years after transfer to FRC</p> <p>b <u>Copies filed in the BIDs and all other copies</u> and correspondence or papers which are not related to the decision process for determining delegations of authority.</p> <p><u>Disposition:</u></p> <p>Destroy 1 year after being superseded or becoming obsolete.</p>		
8.	<p><u>Redelegations of authorities</u> from OD and BID officials to subordinates within their organizations.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Destroy 10 years after being superseded or discontinued. Earlier disposal is authorized when no longer needed for administrative reference</p> <p><u>Other copies</u> - Destroy when discontinued or superseded or no later than 1 year thereafter</p>		
9	<p><u>Directives files</u> which consist of manuals, guides, handbooks, circulars, and other issuances established to announce or publish policies and procedures.</p> <p>a The NIH Manual, Instruction and Information Memoranda, NIH Guide for Grants &amp; Contracts, and other directives for NIH-wide guidance which the Division of Management Policy coordinates, collects or maintains</p> <p>(1) Record set of current, superseded and obsolete directives maintained by DMP</p> <p><u>Disposition:</u></p> <p>Permanent Transfer to Federal Records Center 5 years after becoming superseded or obsolete. Offer to National Archives 10 years after transfer to FRC</p>		

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10.	<p>(2) Background documents for directives issuances such as studies, suggestions, reports, determinations of committees, instructions from higher authority and other documents which result in establishment of, revision to or termination of policies and procedures</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Destroy when related documents are sent to the Federal Records Center.</p> <p><u>Other copies</u> - Destroy no later than 1 year after becoming superseded or obsolete. Earlier disposal is authorized</p> <p>b. Directives issued at a BID or program level for limited area of interest or within an organization for internal use or which restate policy already published at the NIH level. Examples are Office of Engineering Services Manual, NHLI Administrative Procedures Manual, NIH Committee Management Handbook, and similar directives.</p> <p><u>Disposition:</u></p> <p><u>Office responsible for issuance</u> - Destroy individual chapters, pages, supplements, etc. 5 years after being superseded or becoming obsolete and the entire issuance 5 years after termination. Earlier disposal is authorized.</p> <p><u>All other copies</u> - Destroy when superseded, obsolete or no longer needed for reference</p> <p><u>Reports Files</u></p> <p>a. <u>Reports on major programs</u> related to the NIH mission, including those to Congress which are required by statute. These reports contain program status information, scientific data, accomplishments and statistical information. Reports which have been published for distribution or which are duplicated in a permanent file are excluded.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent Transfer to Federal Records Center at 5-year intervals. Offer to National Archives when 15 years old</p>		

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	<p><u>Other copies</u> - Destroy after 2 years Earlier disposal is authorized</p> <p>(1) Feeder reports and other background information for item a.</p> <p><u>Disposition:</u></p> <p>Destroy 2 years after consolidated report is submitted</p> <p>b <u>Reports on administrative and service activities</u>, showing status, accomplishments, statistical data or projected plans, including feeder reports and background information</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Destroy 2 years after calendar year in which issued. If essential for continuing operations reference, may be held up to 3 additional years</p> <p><u>Other copies</u> - Destroy when superseded or discontinued or no later than 1 year after issue.</p>		
11.	<p><u>Operational Planning System Files</u> (Management by Objectives), consisting of descriptions of objectives submitted by project managers, monthly reports to agency or higher level officials, and correspondence or other related documents</p> <p><u>Disposition:</u></p> <p><u>All copies</u> - Destroy when 5 years old. <del>Earlier disposal is authorized if no longer needed for reference.</del></p>		
12	<p><u>Committees Files</u> created in the establishment, operation and documentation of the activities of NIH committees, boards, commissions, ad hoc groups and other appointed or organized bodies and of outside groups with which NIH operations interface. Included are charters or authorities, membership lists, agendas, minutes, reports, directives, correspondence and supporting papers related to the committee's operations All of the records named do not necessarily pertain to all committees. Files of committees maintained by the Committee Management Offices are excluded from this series</p>		

*all consultation with B Barnett 3/13/78 (PL)*



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	<p>a <u>Files of formally established staff meetings and other committees or groups at the agency or BID level which plan, guide or advise on, report on, or review effectiveness of overall agency policies and operations</u> Included are OD Staff, Scientific Directors, Executive Committee for Extramural Affairs, Executive Officers, and others</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Cut off file at the end of calendar year. After 3 years transfer to Federal Records Center Offer to National Archives 10 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy when 3 years old Earlier disposal is authorized.</p> <p>b <u>Files of technical committees, staff groups or other organized or ad hoc meetings which have advisory or operating responsibilities for programs related to NIH's mission in biomedical research and communications or of support activities directly related thereto.</u> Examples are the Medical Board, Research Contracting Committee, Grants Management Advisory Committee, and Artificial Heart Assessment Panel.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Cut off file at end of calendar year. Hold 3 years and transfer to Federal Records Center. Offer to National Archives 10 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy when 3 years old. Earlier disposal is authorized</p> <p>c <u>Files of committees and staff groups which advise on, conduct, or review the administrative operations of the agency.</u> Examples are Administrative Training Committee, EEO Council, and Central Service Task Force.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Destroy when 10 years old</p> <p><u>Other copies</u> - Destroy when 3 years old Earlier disposal is authorized</p>		

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13.	<p style="text-align: center;">OFFICE OF PROGRAM PLANNING AND EVALUATION (Items 13-22)</p> <p><u>Program Planning Files</u> - Records created in the determination, development, establishment and review of NIH programs and in the review of the effectiveness and need for change in the statutory base of NIH activities.</p> <p>a. Studies, analyses, reports and correspondence which analyze national manpower and other resources for bio-medical research, education and communication and which state projected requirements for them.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. When a program becomes inactive or records are no longer needed for reference transfer to Federal Records Center. Offer to National Archives 15 years after transfer to FRC.</p> <p><u>All other copies</u> - Destroy when no longer needed for reference.</p> <p>b. Studies, analyses, reports, and correspondence which document current and long-range plans for NIH's program operations. Included are the Planning-Programming-Budgeting-System files, the Program and Financial Plan files (Forward Plan), and the Annual Program Review.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Review files at 5 year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Offer to National Archives 15 years after transfer to FRC.</p> <p><u>All other copies</u> - Destroy when no longer needed for reference.</p>		
14.	<p><u>Program Analysis Files</u> - Records created in the evaluation and analysis of NIH programs and policies. Studies, analyses, reports, correspondence and statistical data created in the continuing analysis of NIH programs and policies. Included is the annual Research and Evaluation Plan (Health) and findings of Congressional or Presidential study groups such as the President's Bio-medical Research Panel.</p>		

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	<p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Review files at 5-year intervals and transfer those which are no longer needed for reference to the Federal Records Center Offer to National Archives 15 years after transfer to FRC.</p> <p><u>All other copies</u> - Destroy when no longer needed for reference.</p>		
15.	<p><u>Evaluation fund files</u> documenting expenditures from the "Program Evaluation Set-Aside" for grants, contracts or other payments used for program evaluation activities. This item covers OPPE files and does not include records of the Division of Financial Management.</p> <p><u>Disposition:</u></p> <p>Destroy 5 years after fiscal year in which expenditure is made or final payment is made on grant or contract.</p>		
16.	<p><u>Project clearance files</u> of records required by the Federal Reports Act.</p> <p><u>Disposition:</u></p> <p>Destroy 5 years after related form is superseded or terminated.</p> <p><u>Program Data Files</u> - Records created for purposes of providing OD-NIH and ad hoc inter-agency or intra-agency committees with statistical and other data support for program or policy issues affecting NIH and providing a reference source for reports or responses to requests from Congressional committees, the Office of the Secretary, and others</p>		
17.	<p><u>NIH Basic Data Book, fiscal history data, bibliographies and biographies of NIH Directors.</u></p> <p><u>Disposition:</u></p> <p><u>Permanent</u> - Offer to National Archives when 20 years old or when no longer needed for reference.</p>		

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18.	<p><u>Speeches, graphic presentations, reports and compilations prepared in response to requests for information and which do not affect program or policy decisions.</u></p> <p><u>Disposition:</u></p> <p>Destroy when 10 years old. Earlier disposal is authorized if no longer needed for reference.</p>		
19.	<p><u>Source files for reference use in responding to inquiries and preparing articles, speeches and reports.</u></p> <p><u>Disposition:</u></p> <p>Destroy when obsolete or no longer needed for reference.</p> <p><u>Legislative Liaison Records</u> - These records are created in the analysis of legislation related to NIH programs and program needs, the development of legislative proposals, and other legislative liaison functions.</p>		
20.	<p><u>NIH Legislative History files of enacted legislation with supporting documents, including legislative proposals, testimony before congressional committees, appropriations and over-sight hearings, excerpts from the Congressional Record and committee reports. Official file is in DHEW General Counsel Office.</u></p> <p><u>Disposition:</u></p> <p>Transfer case files of legislation to inactive file when superseded or terminated. Destroy inactive file when 15 years old.</p>		
21.	<p><u>Legislative proposals which have not yet been enacted into law. Included are supporting documents such as testimony before congressional committees and studies assessing existing authorities to meet present and future program objectives.</u></p> <p><u>Disposition:</u></p> <p>Review for disposal at least every 5 years and destroy what is not needed for administrative reference. Earlier disposal is authorized.</p>		

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22.	<p><u>Legislative Highlights, Summaries of Congressional Activities and other reports or analyses of legislative developments relevant to NIH programs compiled for information purposes.</u></p> <p><u>Disposition:</u></p> <p>Destroy when 5 years old or when no longer needed for administrative purposes, whichever is later.</p> <p style="text-align: center;"><u>OFFICE FOR PROTECTION FROM RESEARCH RISKS</u> (Items 23-26)</p>		
23.	<p><u>Assurance files of statements by organizations assuring compliance with P.L. 93-348 on the protection of research subjects, human and animal, in the conduct of grants and contracts.</u></p> <p>a. <u>Special assurance case files for individual grants and contracts with supporting papers, including grant or contract application, revisions or amendments to the assurance, and related correspondence.</u></p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Place in inactive file on final payment of contract, closeout of grant, or settlement of claims or litigation. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 2 years after final payment, closeout, or settlement of claims or litigation of related grant or contract.</p> <p>b. <u>General Assurance case files covering all DHEW-sponsored grants or contracts of an organization. Included are records related to preliminary negotiations, signed assurances with revisions or amendments, related correspondence, and other supporting documents.</u></p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Place in inactive files on final payment or closeout of all contracts or grants covered by the assurance or settlement of claims or litigation. Transfer</p>		

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24.	<p>each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 2 years after final payment, closeout, or settlement of claims or litigation of all contracts or grants covered by the assurance.</p> <p>c. <u>Case files of negotiations for assurance of compliance</u> which are withdrawn, not approved, or not completed for other reasons.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Place in inactive file when the assurance or the related contract or grant is withdrawn, disapproved or otherwise inactivated. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 2 years after the assurance or the related contract or grant is withdrawn, disapproved or otherwise inactivated.</p> <p><u>Cumulative List of Institutions in Compliance</u> with policy for protection from research risks, with supporting documents.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Disposal not authorized; <i>review for disposal within 10 years.</i></p> <p><u>Other copies</u> - Destroy when no longer needed for administrative reference.</p> <p><u>NOTE TO NARS</u> - These files could provide important legal evidence in event of complaint of research injury. They could be needed for a minimum of 30 years. Claims for injury from research can be made up to 10 years (varies by state) after discovery. Evidence of injury may not appear for 20 or more years after research is conducted. The list is coded to indicate the authorizations and limitations under which research on human and animal subjects may be conducted by each institution.</p>		

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25.	<p><u>Inquiries and complaints of violations on research supported by NIH involving human subjects and animal subjects.</u></p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Place in inactive file on final payment of contract, closeout of grant, or settlement of claims or litigation. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 2 years after final payment, closeout, or settlement of claims or litigation of related grant or contract.</p>		
26.	<p><u>Reports of special site visits made for purposes of assuring that grantee and contractor institutions are following NIH policy for protection of research subjects and to respond to questions about the policy.</u></p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Place in inactive file on final payment of contract, closeout of grant, or settlement of claims or litigation. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy no later than 2 years after final payment, closeout, or settlement of claims or litigation of related grant or contract.</p>		
<p><u>COMMUNICATIONS AND PUBLIC AFFAIRS RECORDS</u>          (Items 27-29)</p>			
<p>This portion of the schedule covers files of formally designated NIH communications and public affairs offices with responsibility for conduct of information activities of the agency or an organization thereof.</p>			
27.	<p><u>Formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations and indexes thereto, and the NIH Record. One complete set will be retained</u></p>		

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28	<p><u>Daily press service teletype news.</u></p> <p><u>Disposition:</u></p> <p><u>All copies</u> - Destroy when 3 months old. Earlier disposal is authorized.</p>		
29.	<p><u>Bibliographies, check lists and indexes</u> of NIH publications and news releases, except those described in item 1 for formal informational releases.</p> <p><u>Disposition:</u></p> <p><u>All copies</u> - Destroy when obsolete, superseded, or no longer needed for reference.</p>		
	<p style="text-align: center;"><u>INTRAMURAL PROGRAM FILES</u> (Items 30-31)</p> <p>The NIH intramural program is responsible for conducting research on the causes, diagnosis, prevention and treatment of diseases in man and on the biological nature of fundamental life processes. Many of the records created in these activities have continuing value to scientific research and, in some instances, are valuable to medical history.</p>		
30.	<p><u>Records of intramural laboratory, clinical and field research projects</u> obtained from studies in the biological,</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>physical, medical, behavioral and environmental sciences and from biometrics and epidemiology.</p> <p>a. <u>Planning and Development Records for Research Projects.</u>                      Included are objectives, plans and protocols, clearances and authorizations, schedules, directives and other records accumulated by the BIDs in establishing research projects.</p> <p><u>Disposition:</u></p> <p>Transfer to Federal Records Center 2 years after the project is completed or discontinued. Destroy 15 years after transfer to FRC. <del>Earlier disposal is authorized if the project leader determines they are no longer needed for scientific reference.</del></p> <p>b. <u>Records of basic experimental and statistical data collected or developed for each research project.</u> Any or all of the following are included: logs, notebooks, cards, forms or other media on which observations and data are recorded; records on patients or normal volunteers of interviews, questionnaires, examinations, or laboratory tests, including machine readings and data from slides, specimens or cultures; copies of abstracts of non-clinical records on individuals, such as birth and death certificates; records related to drug development, testing and evaluation; records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, punch cards, computer output in paper or microfilm form, tabulations, diagrams or drawings, etc ; and intermediate compilations or analyses and progress reports with feeder reports and background material.</p> <p>(1) Logs or notebooks used to record observations and data which contain evidence for establishing patent or invention rights.</p> <p><u>Disposition:</u></p> <p>Transfer to Federal Records Center when no longer needed for scientific or administrative reference. Destroy 20 years after transfer to FRC or after settlement of any legal question, whichever is later.</p>	<p><i>Don                      W. H. B.                      B. B. B.                      3/13/78 (PL)</i></p>	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>(2) Records which have been published and all other records which are judged to have no further reference value. Included are logs, notebooks, compilations of data and statistics, patient records, progress reports and other files related to the conduct of the project.</p> <p>NOTE: <u>The official medical records of Clinical Center patients are not included in this series.</u></p> <p><u>Disposition:</u></p> <p>Destroy when the project leader determines that the records have no further scientific value. Inactive files which have continuing reference value may be transferred to Federal Records Center with instructions to review in 5 years for disposal or justification to hold longer.</p> <p>c. <u>End products</u> of each research project which report findings and conclusions, document advancements in treatment of disease or development of new medical devices or are unique clinical records which have potential value in continuing research. Included are summary or final project reports, article reprints, monographs, graphic compilations and analyses.</p> <p><u>Disposition:</u></p> <p><u>Permanent.</u> Transfer one complete set to the Federal Records Center. Offer to National Archives 20 years after transfer to FRC.</p> <p>NOTE TO NARS: The research projects are seldom set up as case files, but rather, by broad areas of study. Since research is continuous without defined case files, the number of documents retained for a completed or discontinued study is minimal. The NIH scientists consider these documents valuable for long-term medical references.</p>		
31.	<p><u>Technical Reference Files</u> consisting of journals, reprints, reports from manufacturers of drugs, medical devices, and other products related to medical research or from other government agencies or outside sources, and other medical and scientific information. These files are used for reference by the investigators.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> <p style="text-align: center;"><u>EXTRAMURAL PROGRAM</u> (Items 32-37)</p> <p>This portion of the schedule covers records created in the administration of grants and awards supporting medical research and training authorized by 42 U.S. Code Section 201 <u>et seq.</u> The HEW Grants Administration Manual sets forth procedures for the administration of grants, and Chapter 1-12 describes the documents to be kept in the official grants case files and the general program information files.</p> <p><u>Grants Administration files</u> of the Office of the Associate Director for Extramural Research and Training, created in the development, operation, and review of the extramural program. (Items 32-35).</p> <p>32. <u>Special Project Files</u> of studies, surveys and reports prepared in the planning, evaluation and review of and reporting on the extramural program. Examples of subjects covered are peer review, centers survey, research careers, and human subjects in research.</p> <p><u>Disposition:</u></p> <p><u>Official file - Permanent.</u> Transfer to Federal Records Center at 10 year intervals. Offer to National Archives 15 years after transfer to FRC.</p> <p><u>All other copies</u> of any part of this file - Destroy when no longer needed for reference and no later than 5 years.</p> <p>33. <u>Files on Scientific and Educational Organizations</u> which cooperate with and advise NIH on manpower resources and training needs for biomedical research. Included are statistical data, reports, speeches, correspondence and other documents containing information used in NIH program considerations.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Files which influenced changes in NIH policy or procedures - Permanent. Review files every 3 years and transfer inactive files to Federal Records Center. Offer to National Archives 15 years after transfer to FRC.</p> <p>All others - Destroy when no longer needed for administrative reference or no later than when 3 years old.</p>		
34.	<p><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><u>Disposition:</u></p> <p><u>Official file</u> - Destroy 6 years after calendar year in which case is closed.</p> <p><u>Other copies</u> - Destroy 2 years after calendar year in which case is closed.</p>		
35.	<p><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><u>Disposition:</u></p> <p><u>Official file</u> - Destroy 6 years after calendar year in which case is closed.</p> <p><u>Other copies</u> - Destroy 2 years after calendar year in which case is closed.</p>		
36.	<p><u>General Program Information Files</u> maintained by the Grants Management Officers. Included are the program announcement, program management procedures, terms and conditions, instructions to evaluators, list of evaluators and compilation of application ratings.</p> <p>a. All grants and awards except construction grants.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
37.	<p><u>Disposition:</u></p> <p>Place in inactive file on close-out of grant or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 9 years after transfer to FRC.</p> <p>b. Construction grants.</p> <p><u>Disposition:</u></p> <p>Place in inactive file on close-out of grant or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 14 years after transfer to FRC.</p> <p><u>Grants Case Files</u> - Each bureau, institute 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 completed or the date when Federal assistance ends.</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>a. <u>Files on all funded grants and awards</u>, including 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 grants.</p> <p>(1) The official files are individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit reports, close-out documents and other supporting and related papers maintained as an identifiable entity. National research service award files should include payback records.</p> <p><u>Disposition:</u></p> <p>Place in inactive file on close-out of grant. Transfer</p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p>(2) Division of Research Grants and BID initial review records and copies of other records from the official files.</p> <p><u>Disposition:</u></p> <p>Destroy no later than 1 year after the relevant official file is closed by the BID.</p> <p>(3) Progress reports which are not part of the official grant file.</p> <p>(a) Copies maintained in an organized subject file.</p> <p><u>Disposition:</u></p> <p>Destroy when no longer needed.</p> <p>(b) Copies filed by grant or award number.</p> <p><u>Disposition:</u></p> <p>Destroy no later than 1 year after the relevant official file is closed by the BID.</p> <p>b. <u>Files on all unfunded grants and awards, including disapproved, withdrawn and non-funded applications.</u></p> <p>(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></p> <p>Place in inactive file when the applicant is notified that no award will be made or when the application is withdrawn. Transfer each fiscal year to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p>(2) Copies of records on unfunded grants and awards held by Division of Reseach Grants and other initial review groups.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.</p> <p>c. <u>Construction grants</u></p> <p>(1) <u>Official case file</u></p> <p><u>Disposition:</u></p> <p>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 13 years after transfer to FRC.</p> <p>(2) <u>Other copies</u></p> <p><u>Disposition:</u></p> <p>Destroy when no longer needed for administrative reference and no later than 3 years after the official file is closed.</p> <p style="text-align: center;"><u>DIVISION OF RESEARCH GRANTS</u> (Items 38-40)</p> <p>38. <u>Grants Associates Program files</u> - the grants associates program is a one-year training program administered by the Division of Research Grants for the purpose of developing scientist-administrators.</p> <p>a. <u>Candidates files</u> of applications for grants associates positions, consisting of letters indicating interest, S.F. 171, C.V.'s and correspondence.</p> <p><u>Disposition:</u></p> <p>Destroy when 3 years old if candidate has not become a grants associate.</p> <p>b. <u>Grants associates case files</u>, consisting of copies of application, selection and appointment documents.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Destroy 2 years after completion of grants associate appointment.</p>		
39.	<p><u>Research Analysis and Evaluation Files</u> created in the planning, decision-making and continuing evaluation of the extramural program. Included are documents related to the analysis of trends and needs in scientific fields and to reporting on the status of support and accomplishments.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.</p> <p><u>Other copies</u> - Destroy when no longer needed for administrative reference.</p>		
40.	<p><u>Minutes of scientific review meetings</u> conducted by study sections for initial review of grant applications, filed alphabetically by study section. A record set should be maintained to serve as a history of federal support of research by medical category.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - Permanent. Maintain in active file for duration of NIH extramural program. When no longer needed for administrative reference, offer to National Archives.</p> <p><u>Other copies</u> - Destroy when no longer needed for administrative reference.</p> <p style="text-align: center;"><u>COMMITTEE MANAGEMENT OFFICE</u> (Items 41-49)</p> <p>These files are created in carrying out the management and control of advisory committees as required by P.L. 92-463, the Federal Advisory Committee Act. Committee management activities include the establishment of, appointment of members to, and operation and termination of chartered</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
41.	<p>public advisory groups. For purposes of this document the term "committee" means any committee, council, board, or similar group established and utilized by NIH in the interest of obtaining advice.</p> <p><u>Semi-annual publication, "NIH Public Advisory Groups,"</u> listing authority, functions, structure and membership of each public advisory group.</p> <p><u>Disposition:</u></p> <p><u>NIH CMO copy</u> - Permanent. Offer to National Archives when agency or committee management function is discontinued.</p> <p><u>Other copies</u> - Destroy when superseded or no longer needed.</p>		
42.	<p><u>Data files.</u> These are computer runs containing statistical information about the Committee Management Program. They are updated monthly.</p> <p><u>Disposition:</u></p> <p><u>All copies</u> - Destroy when superseded or no longer needed for reference.</p>		
43.	<p><u>Approval documents for Committees appointed by the Director, NIH, including C.V.'s, requests for approval of nominee for public advisory committee, approving memoranda with Office of Internal Security clearance and other papers related to the approval of persons for nomination to committee membership.</u></p> <p><u>Disposition:</u></p> <p><u>NIH CMO copy</u> - Transfer to Federal Records Center 1 year after member completes assignment, the request for approval is disapproved, or nominee declines the invitation. Destroy 5 years after transfer to FRC.</p> <p><u>All other copies</u> - Destroy 1 year after one of the above conditions has been met.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
44.	<p><u>Approval documents for Committees appointed by the Secretary (councils, boards, etc.), including invitations to serve, letters of acceptance or rejection, nominations, and other papers related to getting the Secretary's approval for membership on a council.</u></p> <p><u>Disposition:</u></p> <p><u>NIH CMO copy</u> - Transfer to Federal Records Center 1 year after nominee completes assignment, the request for approval is disapproved, or nominee declines the invitation. Destroy 5 years after transfer to FRC.</p> <p><u>All other copies</u> - Destroy one year after one of the above conditions has been met.</p>		
45.	<p><u>Appointment documents for individual committee members maintained by BID Committee Management Officer, including invitation letter, acceptance or declination letter, affidavits of appointment, declaration of appointee, and other official appointment papers.</u></p> <p><u>Disposition:</u></p> <p>Transfer to Federal Records Center 1 year after member completes assignment. Destroy 5 years after transfer to FRC.</p>		
46.	<p><u>Confidential Statement of Employment and Financial Interests, Form HEW 474, located in BID committee management offices. File current statements separate from other documents in confidential binders by committee or council. When member submits updated statement or completes committee responsibility, file previous statements alphabetically by name in separate confidential folders.</u></p> <p><u>Disposition:</u></p> <p>Destroy 6 years after the member completes his committee responsibilities or resigns from the committee. Destruction should be by burning, shredding or other mutilation.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
47.	<p><u>Charters of NIH Advisory Committees.</u> The original charter and all renewal charters, with supporting papers, authorizing the initiation or continuation of a committee.</p> <p><u>Disposition:</u></p> <p><u>BID copy</u> - Permanent. File in the case file for the individual committee.</p> <p><u>NIH CMO copy</u> - Destroy 2 years after committee is discontinued.</p> <p><u>Other copies</u> - Destroy when superseded or no longer needed, or committee is discontinued.</p>		
48.	<p><u>Individual Committee Records.</u> These records are maintained by the cognizant BID for managing the operations of its advisory committees. Included are official charters, membership lists, agendas, minutes, reports and other supporting papers pertinent to the history of the committee.</p> <p><u>Disposition:</u></p> <p><u>Official file located in BID having committee responsibility.</u> Permanent. Place in inactive file when committee is discontinued or when charter is renewed. Transfer to Federal Records Center 2 years after the calendar year in which the file became inactive. Offer to National Archives 20 years after transfer to FRC.</p> <p><u>Other copies of documents contained in individual committee records.</u> Destroy 2 years after meetings covered by a charter or renewal unless other disposal is indicated in this schedule. Earlier disposal is authorized.</p> <p>a. Stenographers' notebooks, tape recordings or other media on which proceedings are recorded during meetings.</p> <p><u>Disposition:</u></p> <p>Destroy when minutes are approved and distributed.</p> <p>b. Meeting notices published in the <u>Federal Register</u>.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10. ACTION TAKEN
49.	<p><u>Disposition:</u></p> <p>Destroy when related file is transferred to Federal Records Center.</p> <p><u>Committee Financial Records</u></p> <p>a. <u>Chairman's Grants Files</u> maintained in the BIDs to document financial expenditures of committees. Included are vouchers and receipts for expenses related to preliminary review of applications, site visits and other authorized committee activities. This item does not cover copies of financial records maintained by Division of Financial Management.</p> <p><u>Disposition:</u></p> <p>Place in inactive file when final payment is made. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p>b. <u>Time cards, travel vouchers</u> and other documents used to claim reimbursement for committee members for consultant fees and other expenses related to committee responsibilities. This item does not cover copies of financial records maintained by Division of Financial Management.</p> <p><u>Disposition:</u></p> <p>Place in inactive file when final payment is made. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p style="text-align: center;"><u>FOGARTY INTERNATIONAL CENTER</u> (Items 50-59)</p> <p>NIH's international programs are conducted by the Fogarty International Center (FIC) under authority of the International Health Research Act of 1960 (P.L. 86-610), Section 2(1). FIC and the BIDs maintain files related to the international programs, cooperative agreements with other nations, and other records on participation in biomedical, behavioral and health sciences at the international level. Included are files related to the</p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10. ACTION TAKEN
50.	<p>support of training, research and conferences for international science and research, and the collection and publication of information on health problems, health research and other health-related activities outside of the United States.</p> <p><u>International Conferences and Meetings files</u> consisting of official proceedings of international conferences and meetings sponsored, conducted or coordinated by FIC and published in the <u>FIC Proceedings</u> series or other form.</p> <p><u>Disposition:</u></p> <p><u>FIC copy</u> - Permanent. Transfer official file to Federal Records Center three years after publication. Offer to National Archives 20 years after transfer to FRC.</p> <p><u>Other copies</u> - Destroy 2 years after year in which published. Earlier disposal is authorized.</p>		
51.	<p><u>Bilateral International agreements</u> with other countries for conducting collaborative research and international cooperation. Official file is in FIC unless requested by the State Department.</p> <p><u>Disposition:</u></p> <p><u>FIC copy</u> - Permanent. Transfer to Federal Records Center two years after completion of related activity or termination of agreement. Offer to National Archives 10 years after transfer to FRC.</p>		
52.	<p><u>Gorgas Memorial Institute of Tropical Diseases and Preventive Medicine files</u> documenting FIC role in its operation and financing.</p> <p>a. Statements of policy, congressional correspondence which affected decisions on policy, instructions for conducting research programs.</p> <p><u>Disposition:</u></p> <p>Permanent. Transfer inactive records to Federal Records Center at 5-year intervals. Offer to National Archives 15 years after transfer to FRC.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
53.	<p>b. Memoranda requesting payment, copies of allowance documents, and copies of annual reports to Congress.</p> <p><u>Disposition:</u></p> <p>Destroy when 5 years old.</p> <p><u>Special Foreign Currency Program (P.L. 480) files documenting all NIH P.L. 480 projects in the bio-medical sciences.</u></p> <p>a. The official case file which should be retained for each foreign program should contain the signed agreement, award documents, a copy of each published document and final reports or project summaries.</p> <p><u>Disposition:</u></p> <p><u>Official file - Permanent.</u> Transfer to Federal Records Center 3 years after fiscal year in which project is terminated. <del>Offer to National Archives</del> 10 years after transfer to FRC.</p> <p>(1) Progress reports, correspondence, statistical data, and copies of payment records.</p> <p><u>Disposition:</u></p> <p>Destroy 3 years after fiscal year in which project is terminated. Earlier disposal is authorized for all but payment records.</p> <p>b. Official payment records are filed in Office of International Health, PHS.</p> <p><u>NOTE TO NARS:</u> The published material referred to in a. above, is published in the foreign country and usually is not available in the scientific and technical information exchange sources unless it represents significant or outstanding findings.</p>		
54.	<p><u>Visiting Program Files</u></p> <p>a. Case files on Visiting Scientists or Associates (service fellows) who are sponsored by a BID to conduct research at NIH.</p>		

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55.	<p><u>Disposition:</u></p> <p><u>Official file</u> located in sponsoring BID Personnel office - maintain and transfer to Federal Personnel Records Center in accordance with instructions in Federal Personnel Manual.</p> <p><u>FIC file.</u> After individual completes service at NIH, place case file in an inactive file. At 5-year intervals, microfilm the history card and any document which is judged to be essential from case files which have been inactive 5 years or more. Destroy the case file, including the history card when the microfilm has been examined and accepted. Destroy microfilm copies when no longer needed for administrative or historical reference.</p> <p>b. <u>Case files on Visiting Fellows</u> (regular fellows) who are sponsored by a BID to receive postdoctoral research training.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> located in FIC - after individual completes training, place case file in an inactive file. At 5-year intervals, microfilm the history card and any document which is judged to be essential from case files which have been inactive 5 years or more. Destroy the entire case file, including the history card when the microfilm has been examined and accepted. Destroy microfilm copies when no longer needed for administrative or historical reference.</p> <p><u>Guest Worker Program files</u> - case files on individual outstanding scientists who have been authorized by a BID to utilize NIH research facilities.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> - located in sponsoring BID. Destroy 2 years after year in which individual completes work at NIH.</p> <p><u>FIC file</u> - Destroy 4 years after individual completes work at NIH. Earlier disposal is authorized.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
56.	<p><u>Expert Series Program files</u> - case files on individual experts who are sponsored by a BID to conduct research at NIH.</p> <p><u>Disposition:</u></p> <p><u>Official file</u> located in BID - Destroy 2 years after year in which individual completes work at NIH unless individual accepts Civil Service appointment, in which case file is transferred to appropriate Personnel office.</p> <p><u>FIC file</u> - Destroy 4 years after individual completes work at NIH. Earlier disposal is authorized.</p>		
57.	<p><u>Visitors Program files</u> - case files of individual or group visits to NIH to tour the facility, visit research areas, or for other informational purposes.</p> <p><u>Disposition:</u></p> <p><u>FIC file</u> - Destroy case file 2 years after FY in which summary fiscal report is prepared. Hold cross reference name and country cards until no longer needed for administrative or historical reference.</p> <p><u>Other copies</u> - Destroy 1 year after year in which visit occurred.</p>		
58.	<p><u>International Exchange Program files</u> consisting of case files with supporting documents for the international exchange programs sponsored, coordinated or administered by FIC. Case files contain recommendations for grants, applications, review actions, award notice correspondence and financial records. Included are files of the World Health Organization Fellowship Selection Committee, Swedish Medical Research Council Fellowships, Swiss National Science Foundation Fellowships, and other international exchange programs.</p> <p><u>Disposition:</u></p> <p><u>Official file in FIC</u> - Place in inactive file when case is closed. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p>		



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	<p>Other copies - Destroy 2 years after the fiscal year in which case is closed.</p> <p>a. State Department Clearances for foreign individuals and American and foreign research contracts or grants. The official file is retained by the BID in the appropriate case or program file.</p> <p><u>Disposition:</u></p> <p>Official copy - Destroy 6 years after fiscal year in which related activity is completed.</p> <p>FIC copy - Destroy 1 year after fiscal year in which related activity is completed.</p>		
59.	<p><u>International Research Fellowship, Senior International Fellowships, and Fogarty Scholars-in-Residence case files for awards made under the NIH Extramural Program. Included are the applications, review actions, award notices, financial records, close-out documents, and audit reports, if any.</u></p> <p><u>Disposition:</u></p> <p>Place in inactive file when case is closed. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 5 years after transfer to FRC.</p> <p style="text-align: center;"><u>DIVISION OF ENGINEERING SERVICES</u> (Items 60-63)</p> <p>The Division of Engineering Services plans and conducts a program of design, construction, operation and maintenance of NIH facilities.</p>		
60.	<p><u>Architectural and Engineering Drawings</u> consisting of master tracings and acceptable reproducibles which reflect architectural, structural and topographical details. The drawings include details on building approaches, electrical, mechanical, air conditioning and elevator information. These drawings are micro-filmed and the originals are stored in the Federal Records Center. The disposal instructions apply to paper records and microfilm. <i>of item 60.</i></p>		

**Request for Records Disposition Authority - Continuation**

JOB NO

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
60.	<p>I. Design and Construction drawings of buildings constructed by NIH with historical, administrative, architectural, and scientific significance as outlined in General Records Schedule 22, pages 5-6.</p> <p>a. Original paper presentation drawings, site plans, elevations, floor plans, and selected drawings of interior details having artistic, scientific or technological significance.</p> <p>PERMANENT. Offer to NARS when no longer needed for operation of buildings or after microfilming.</p> <p>b. All other paper drawings of interior details such as mechanical and electrical systems and all duplicate drawings such as blueprints.</p> <p>Destroy when no longer needed for operation of building.</p> <p>c. Microfilm copies of drawings.</p> <p>PERMANENT. Offer NARS one master and one duplicate reference microfilm. <i>To be inspected by Van. 1979 (FPMR 101-11.506)</i></p> <p>II. Design and construction drawings in paper and microfilm format of remaining buildings constructed or leased by NIH which have not been selected for their significance.</p> <p>Destroy when no longer needed for operation of the building.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>a. Drawings listed in the National Register of Historical Places <i>and other records designated permanent in GRS 22.</i>  <u>Disposition:</u>                      Permanent. Offer to National Archives when no longer needed for operating reference.</p> <p>b. <u>All other drawings.</u>  <u>Disposition:</u>                      Destroy on demolition, completion of sale or donation proceedings, except that they may be turned over to a new owner or custodian at his request.</p>		
61.	<p><u>Contract case files for construction and renovation of buildings, consisting of copies of contracts with correspondence and reports related to administration of construction contracts for new facilities and for alteration, renovation, maintenance and repair of existing buildings and grounds.</u> <i>(not official copies of contracts).</i></p> <p>a. <u>Transactions of more than \$2,000.</u> <i>(dated on or subsequent to July 26, 1974).</i>  <u>Disposition:</u>                      Transfer to Federal Records Center 2 years after fiscal year in which final payment is made. Destroy 3 years after transfer to FRC. Check with originating agency before making destruction.</p> <p>b. <u>Transactions of \$2,000 or less.</u> <i>(dated prior to July 26, 1974).</i>  <u>Disposition:</u>                      Destroy 3 years after fiscal year in which final payment is made.</p> <p>c. <u>Task orders on master contracts.</u>  <u>Disposition:</u>                      Destroy 3 years after related work is completed.</p>		

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62.	<p>Work request files for buildings and equipment construction, alteration and maintenance services, excluding fiscal copies of the Division of Financial Management.</p> <p>a. <u>Minor work shop order</u></p> <p><u>Disposition:</u></p> <p>Destroy 1 year after related work is completed.</p> <p>b. <u>Maintenance order</u></p> <p><u>Disposition:</u></p> <p>Destroy 3 months after work is completed.</p> <p>c. <u>Single shop order</u></p> <p><u>Disposition:</u></p> <p>Destroy 3 years after work is completed.</p> <p>d. <u>Shop order for combined shop work and contract</u></p> <p><u>Disposition:</u></p> <p>Destroy 4 years after work is completed.</p> <p>e. <u>Shop order for work done by contract</u></p> <p><u>Disposition:</u></p> <p>Destroy 4 years after work is completed.</p> <p>f. <u>Cancelled documents</u> related to any of the above.</p> <p><u>Disposition:</u></p> <p>Destroy 1 year after cancellation.</p>		
63.	<p><u>Equipment History files</u> maintained to record key identification, engineering data and replacement parts information for the primary systems and equipment maintained and operated by Plant Engineering Branch and for use in the preventive maintenance program on them.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Destroy when related equipment is replaced or no longer used.</p> <p style="text-align: center;"><u>OD FILES</u> (Office of the Director, NIH)</p> <p>64. <u>Information copies</u> of correspondence, reports, minutes of meetings and other documents maintained in the OD Files for source reference for the Director and his staff.</p> <p><u>Disposition:</u></p> <p>Destroy all files when 10 years old, except those which are needed for reference with active projects. Earlier disposal is authorized.</p> <p><u>NOTE:</u> Official files in the Director's File Room are specifically identified in the schedule.</p> <p>65. <u>Correspondence with the public</u></p> <p>a. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.</p> <p><u>Disposition:</u></p> <p>Dispose 3 months after acknowledgement and referral,</p> <p>b. Requests for information involving no administrative action, no policy decisions, no special compilations or research and requests for transmittal of publications, photographs and other informational literature.</p> <p><u>Disposition:</u></p> <p>Dispose 3 months after transmittal or reply.</p> <p>c. Anonymous letters, letters of commendation, complaint criticism and suggestions and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual subject files or personnel records.</p> <p><u>Disposition:</u></p> <p>Dispose when 3 months old.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>d. Letters of complaint or other matter involving prospective litigation, including administrative claims.</p> <p><u>Disposition:</u></p> <p>Destroy 6 years after calendar year in which response is made or file is closed.</p> <p style="text-align: center;">EQUAL EMPLOYMENT OPPORTUNITY FILES (Items 66-72)</p>		
66.	<p><u>Affirmative Action Plans</u>, outlining proposed actions for overcoming NIH equal employment problems. Included are supporting papers such as correspondence, minutes of meetings where plans are discussed, AAP's of individual BIDs, progress reports and evaluations.</p> <p><u>Disposition:</u></p> <p><u>EEO Office</u> - <del>Destroy when 10 years old.</del> <i>See GRS 1, # 26-4.</i></p> <p><u>BID copies</u> - <del>Destroy when 5 years old.</del></p> <p><u>Other copies</u> - Destroy when 2 years old. Earlier disposal is authorized.</p>		
67.	<p><u>Special Program files</u>, including records on programs sponsored or operated by the EEO Office, such as the Federal Women's Program, ethnic cultural programs and training programs.</p> <p><u>Disposition:</u></p> <p>Destroy all copies when 5 years old. Copies in the BIDs or other locations may be destroyed earlier if no longer needed for reference.</p>		
68.	<p><u>Complaints Case files</u> of formal complaints of discrimination. Individual case files containing the complaint, the counselor's report, investigative records, transcript of hearings, appeals examiner's decisions, and other supporting papers.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Official EEO file - In accordance with GRS 1/26, destroy 4 years after final decision on case, <del>whether resolved within DHEW or by civil court.</del></p> <p>a. Background documents related to the case but not included in the case file.</p> <p><u>Disposition:</u></p> <p>Official EEO file - Destroy 3 years after final adjustment.</p> <p>All other copies of any part of the case file - Destroy 1 year after final adjustment.</p>		
69.	<p>Informal Complaints Case files of complaints settled within NIH. Documents included are complaints, counselor's report, correspondence and other documents related to processing the case.</p> <p><u>Disposition:</u></p> <p><i>See GRS 1, item 26-b.</i></p> <p>Official file - <del>Destroy 3 years after settlement of the complaint.</del></p> <p>Other copies - <del>Destroy 1 year after settlement of complaint.</del></p>		
70.	<p>Grievance files - These are individual case files of employee grievances, which include the original grievance and documents developed in investigating and resolving the case.</p> <p><u>Disposition:</u></p> <p>All copies - Destroy 3 years after the file is closed.</p>		
71.	<p>Adverse Action Files - These are individual case files on adverse actions. Included are all supporting and related papers.</p> <p><u>Disposition:</u></p> <p>All copies - Destroy 4 years after the file is closed.</p>		

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7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
72.	<p><u>EEO Advisory Council files</u>, including minutes of meetings and supporting records such as committee reports, correspondence discussing relevant issues, recommendations of the council and other related records.</p> <p><u>Disposition:</u></p> <p><u>EEO Office file</u> - Destroy when 5 years old.</p> <p><u>Other copies</u> - Destroy when no longer needed for reference and no later than 5 years.</p> <p style="text-align: center;"><u>MACHINE-READABLE RECORDS</u></p>		
73.	<p><u>Correspondence Control System</u> of the NIH Executive Secretariat. These magnetic tapes provide a correspondence locator, follow-up control and subject reference for correspondence received in the Office of the Director. The file contains listings of names of individuals who request information from NIH, document numbers assigned to correspondence, dates and subjects. Input is from incoming and outgoing correspondence on a daily basis. Completed files are retired from the master file to the history file when 60 days old. Printouts are provided to the Executive Secretariat daily.</p> <p><u>Disposition:</u></p> <p>Destroy history file tapes when 2 years old. Earlier disposal is authorized.</p>		
74.	<p><u>National Trends in Health R &amp; D Support</u>. This system contains data on national and Federal obligations for the support of health research and development. The file includes information on Federal health R &amp; D by performance component (grants/contracts), fields of science, and individual medical school or institution of higher education, as well as summary data on industry, state governments and private non-profit health R &amp; D by source and performer. Interagency Reports are the source for Federal information, and there are various sources in the other sectors for the national data. The file provides data for the <u>NIH Almanac</u> and for the publication, <u>Dollars for Health R &amp; D</u>. Federal totals are updated annually, with breakdown bi-annually. The data for the other sectors is updated annually.</p>		



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	<p>Disposition: <i>Destroy when no longer needed for administrative purposes.</i>  <del>Master file - Permanent. Offer to National Archives when no longer needed by NIH.</del></p> <p><del>Documentation - Permanent. Offer to National Archives with master file.</del></p>		
75.	<p><u>Reporting of DHEW Obligations to Institutions of Higher Education and Other Non-Profit Organizations.</u> This is a system of data on obligations for all HEW agencies by recipient, object and fields of science for science training grants, fellowships and R &amp; D in universities and colleges. Input is from IMPAC for NIH data, financial management and budget offices for other HEW agencies and from other sources. The system serves as the DHEW portion of a government-wide annual review of Federal obligations to institutions of higher education and other non-profit organizations as required by the National Science Foundation Act of 1950.</p> <p>Disposition: <i>Destroy when no longer needed for administrative purposes.</i>  <del>Master File (for data and header files) - Permanent. Offer to National Archives when no longer needed by NIH.</del></p> <p><del>Documentation - Permanent. Offer to National Archives with master file.</del></p>		
76.	<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 Services Administration, Health Resources 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 actions, and other 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>		

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	<p>Disposition: <i>Destroy when no longer needed for administrative purposes.</i></p> <p><del>a. Master File of statistical and summary files - Permanent. Offer to National Archives when no longer needed for reference by NIH.</del></p> <p><del>b. Back-up Files - Destroy after 3rd update cycle.</del></p> <p><del>c. Documentation - Permanent. Offer record layout to National Archives with master file.</del></p>		
77.	<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 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>Disposition: <i>Destroy when no longer needed for administrative purposes.</i></p> <p><del>a. Master File of statistical, thesaurus and summary files - Permanent. Offer to National Archives when no longer needed for reference by NIH.</del></p> <p><del>b. Back-up Files - Destroy after 3rd update cycle.</del></p> <p><del>c. Documentation - Permanent. Offer record layout to National Archives with master file.</del></p>		
78.	<p><u>Research, Research Training, Fellowships and Construction Applications and Awards</u> - These magnetic tapes contain information by BID (bureau, institute, division) which is extracted from the IMPAC system for individual BID 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>		

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	<p><u>Disposition:</u></p> <p>Destroy magnetic tapes when superseded or no longer needed for reference.</p>		
79.	<p><u>Senior International Fellowship Lists</u> of persons selected by Fogarty International Center for study abroad in the senior international fellowship program. These magnetic tapes contain name, fellowship number, education, employment history and references supplied by applicants to the program. The list is used for administrative and payment purposes.</p> <p><u>Disposition:</u></p> <p>Destroy magnetic tapes when superseded or no longer needed for reference.</p>		
80.	<p><u>Scholars Lists</u> of persons participating in the NIH scholarship program conducted by Fogarty International Center. These magnetic tapes contain name, education and employment history obtained from invitees and recommendations from reference sources. The list is used for administrative reference.</p> <p><u>Disposition:</u></p> <p>Destroy magnetic tapes when superseded or no longer needed for reference.</p>		