

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

3 Feb 82

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health and Human Services

2. MAJOR SUBDIVISION
Public Health Service

3. MINOR SUBDIVISION
National Institutes of Health

4. NAME OF PERSON WITH WHOM TO CONFER
Dr. Kenneth F. Thibodeau

5. TEL EXT
496-4606

LEAVE BLANK	
JOB NO NC1-90-82-6	
DATE RECEIVED February 4, 1982	
NOTIFICATION TO AGENCY <small>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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10</small>	
4-27-82 <small>Date</small>	<i>R. W. K...</i> <small>Archivist of the United States</small>

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1/11/82	<i>Jacquelyn S. Tolson</i> Dr. George Deal	HHS Records Management Officer PHS Records " Officer		<p><u>Part I: Non-Employees Compensation Reporting System</u></p> <p>This request covers records relating to payments made, by means other than payroll, to individuals who are not employees. Such payments are made for services rendered, fellowships and research grants. The records in this schedule do not include accountable officers' accounts, which are covered by existing disposition authority. They include only records which are used to document and report information on non-employee payments as required by the Federal Tax Regulations, 1.6041-1.</p> <p>The records described below are part of Privacy Act systems of records: either 09-90-0024, Accounting Records of Payments to Individuals from Agency and Regional Financial Management and Disbursing Offices. HHS OS ASMB 1, or 09-25-0051, Grants: NIH Fellowship Payroll, HHS NIH DFM. Copies of the system notices are attached.</p> <p>The records series described in this submission will be entered as a new section, E, Non-employee Compensation, in chapter 1900, Accounting, of the NIH Records Control Schedule (HHS B-361).</p>		7 items

NO MASS DATA CHANGE SHEET IS REQUIRED
Closed Out: 5-6-82: K.T.P.
Copy to NCW, NNF & NNR

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
<u>Item</u> 1	<p>(1900-E-1) <u>Non-employee compensation records</u></p> <p>U.S. Information Returns; IRS Form 1099 (NEC), Statement for Recipients of Non-employee Compensation and 1099 (MISC) Statement for Recipients of Miscellaneous Income; and corrected Statements. These statements are issued to report non-employee payments made by means other than the NIH Payroll, to individuals for services rendered, fellowships and research grants.</p> <p><u>Located in:</u> Division of Financial Management</p> <p><u>Disposition:</u> Destroy 4 years after the year of issuance.¹</p>		
2	<p>(1900-E-2) <u>Non-employee Compensation Reporting</u></p> <p><u>System Master Files</u> (WYLBUR Data Sets): This automated data base consists of separate files for each Bureau, Institute, and Division. Each file contains summary data on each non-employee compensation payment made including an identifying number, such as SSN or grant number, the date of payment, the check number and amount, and a breakdown of the total amount by fee, per diem and transportation. These files are used by the Division of Financial Management to generate comprehensive reports and to prepare Information Returns (Form 1099) as required by IRS.</p> <p><u>Located in:</u> Originating BID</p> <p><u>Disposition:</u> Destroy after one year or when no longer needed for administrative purposes.</p>		
3	<p>(1900-E-3) <u>Supporting Documentation for non-employee compensation payments:</u> Records of payments, such as BID copies of purchase orders and vouchers for Scientific Review Evaluation Grants, reported for U.S. Information Returns, IRS Form 1099.</p> <p><u>Located in:</u> Offices responsible for payment.</p> <p><u>Disposition:</u> Destroy four years after the calendar year in which the payment was made.¹</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
4	<p>(1900-E-4) <u>Non-employee compensation reporting system output reports, including cumulative, monthly and year-to-date listings of non-employee compensation payments.</u></p> <p>a. <u>Located in:</u> Division of Financial Management</p> <p><u>Disposition:</u> Destroy four years after the date of the report¹</p> <p>b. <u>Other copies</u></p> <p><u>Disposition:</u> Destroy after one year or when no longer needed.</p>		
5	<p>(1900-E-5) <u>Non-employee compensation reporting system posting and control files, such as data entry records, vendor coding sheets and error listings.</u></p> <p><u>Disposition:</u> Destroy once data has been accepted as error-free into the WYLBUR data set.</p> <p><u>CONCURRENCE</u></p> <p><u>Mary P. Strail</u> _____ Administrative Officer, DFM</p> <p><u>12-18-81</u> _____ Date</p> <p>¹The four year retention on these items is required by the Federal Tax Regulations, 31.6001-1(e)(2).</p>		

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	<p><u>Part II: Research Data</u></p> <p>This Request for Records Disposition Authority is to amend the existing disposition authority [NC1-90-77-2:306(2)] for working files of experimental or statistical data. These files are used in the research programs of the National Institutes of Health. The proposed amendment is to allow for disposal of original records when they have been microfilmed according to the standards of 41 CFR 101-11.506. Research data collected or generated in major research projects are microfilmed when necessary to facilitate storage retrieval and distribution. The research data records are retained, at the discretion of the project leader, solely for use in the research project. They are distinct from records which document patient care and from records kept for accounting, archival and other legal reasons; therefore, if the microfilm records satisfy the need for the data in research, there is no need to keep the originals.</p> <p>NC1-90-77-2:306(2) has been incorporated into the NIH Records Control Schedule as item 3000-G-3. The proposed amendment is to add subitem c:</p> <p>3000-G-3 <u>Records of basic experimental and statistical data collected or developed for each research project. 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 on individuals 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.</u></p> <p><u>Note: The official medical records of Clinical Center patients are not included in this series.</u></p>		

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	<p>a. Records which have been published and all other records which are judged to have no further reference value:</p> <p><u>Disposition:</u> Destroy when the project leader determines that the records have no further scientific value.</p> <p>b. Inactive files which have continuing reference value.</p> <p><u>Disposition:</u> Transfer to Federal Records Center with instructions to review in 5 years for disposal or justification to hold longer.</p> <p>c. Original copies of ^{hard copy} records which have been microfilmed, when the microfilming has been done in accordance with the standards set forth in 41 CFR 101-11.506.</p> <p><u>Disposition:</u> Destroy originals when microfilm copies have been examined and shown to be acceptable. <i>For disposition of the microfilm, see (a) or (b) above. JB 4/1/82</i></p> <p>CONCURRENCE</p> <p><u>Kenneth Thibodeau</u> NIH Records Management Officer</p> <p><u>P. B. Baez</u> Associate Director for Administration</p>	<p><i>Change approved by Baez, Thibodeau & Braun 4-19-82 JB</i></p>	