

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2019-0005
Schedule Status Approved
Agency or Establishment National Institutes of Health
Record Group / Scheduling Group Records of the National Institutes of Health
Records Schedule applies to Agency-wide
Schedule Subject Management Support Records
Internal agency concurrences will be provided No

Background Information The National Institutes of Health relies on management support activities to accomplish its mission. Management support activities include coordinating internal committees, conducting management studies, initiating strategic and program planning, leading organization planning, delegating authority, reviewing legislative actions, conducting mission-related training, coordinating public outreach, collecting agency history, and recording daily activities. The following records schedule addresses the mission-related management support activities and associated records. The creating office maintains the record keeping copy.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	6	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0443-2019-0005

Sequence Number	
1	Internal Committee Management Records (Non-Federal Advisory Committee Act Records)
1 1	Records of Internal Mission-Related and Agency-Wide Committees Disposition Authority Number DAA-0443-2019-0005-0001
1 2	Records of Internal Institute or Center Committees Disposition Authority Number DAA-0443-2019-0005-0002
2	Mission-Related Management Studies, Strategic Plans and Program Planning Records
2 1	Mission-Related Management Studies and Strategic Plans of Historical Significance Disposition Authority Number DAA-0443-2019-0005-0003
2 2	Mission-Related Management Studies, Strategic Plans, and Program Planning Records Disposition Authority Number DAA-0443-2019-0005-0004
3	Organization, Delegation, and Legislative Records
3 1	Delegation and Approved Organization Files Disposition Authority Number DAA-0443-2019-0005-0005
3 2	Legislative Records Disposition Authority Number DAA-0443-2019-0005-0006
3 3	Redelegations and Supporting Reorganization Files Disposition Authority Number DAA-0443-2019-0005-0007
4	Mission-Related Training Records
4 1	Mission-Related Training Records Disposition Authority Number DAA-0443-2019-0005-0008
5	Public Affairs Records
5 1	Public Affairs Records of Historical Significance Disposition Authority Number DAA-0443-2019-0005-0009
6	Schedules of Daily Activities
6 1	Schedules of Daily Activities for NIH High-Level Officials Disposition Authority Number DAA-0443-2019-0005-0010
7	Agency History Records
7 1	Agency History Records Disposition Authority Number DAA-0443-2019-0005-0011

Records Schedule Items

Sequence Number	
1	<p>Internal Committee Management Records (Non-Federal Advisory Committee Act Records)</p> <p>National Institutes of Health committee management records document the organization, discussions, and decisions of internal agency committees, task forces, workgroups, conferences and boards (collectively referred to as "committees") that are not established under the Federal Advisory Committee Act (FACA) Records for committees established under FACA are scheduled under the General Records Schedule 6 2 Federal Advisory Committee Records Committees covered by this schedule may focus on administrative or mission-related matters This schedule makes a retention distinction between internal committees making recommendations or decisions relating to the NIH mission or that have a significant agency-wide impact and other committees whose impact is limited to administrative matters at the Institute or Center level</p>
1 1	<p>Records of Internal Mission-Related and Agency-Wide Committees</p> <p>Disposition Authority Number DAA-0443-2019-0005-0001</p> <p>Records of formally established committees tasked with assessing policy decisions, guiding, advising, reporting on, reviewing and/or making recommendations related to the agency mission and/or having significant agency-wide impact Records include charters, committee operating policies, membership rosters, agendas, committee correspondence, meeting minutes and transcripts, committee reports, official speeches and presentations, background papers, briefings, and related records documenting the committee accomplishments Examples of mission-related and agency-wide committees includes the Board of Scientific Directors and the NIH Steering Committee</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-90-77-2 /12a - 1743/1100H1 NC1-90-77-2 /12b - 1743/1100H2 NC1-90-78-9 /7a - 1743/1100H5 NC1-90-77-2 /50 - 1743/8000A9A</p> <p>Disposition Instruction</p>

Cutoff Instruction Cut off records when the committee is terminated, at the end of the fiscal year, or, at the end of the calendar year, whichever is applicable

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1972

What will be the date span of the initial transfer of records to the National Archives? From 1972 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	250 MB	25 MB
Paper	145 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

12

Records of Internal Institute or Center Committees

Disposition Authority Number DAA-0443-2019-0005-0002

Records of formally established internal committees at the Institute or Center Level tasked with assessing policy decisions, guiding, advising, reporting on, reviewing and/or making recommendations related to administrative matters. Records include charters, committee operating policies, membership rosters, agendas, committee correspondence, meeting minutes and transcripts, committee reports, official speeches and presentations, background papers, briefings, and related records documenting the committee accomplishments

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

	electronic format(s) other than e-mail and word processing?	
	GRS or Superseded Authority Citation	NC1-90-77-2 /12c - 1743/1100H3
	Disposition Instruction	
	Cutoff Instruction	Cut off records when the committee is terminated, at the end of the fiscal year, or, at the end of the calendar year, whichever is applicable
	Retention Period	Destroy 3 years after cutoff Longer retention authorized if needed for continuing business use
	Additional Information	
	GAO Approval	Not Required
2	Mission-Related Management Studies, Strategic Plans and Program Planning Records	
	The mission of the National Institutes of Health (NIH) is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability To support this mission, NIH staff conduct management studies, strategic plans and program planning activities to target operational improvements and increase efficiencies and productivity This schedule applies to all records created in support of management studies, strategic plans, and program planning records for mission-related activities	
2 1	Mission-Related Management Studies and Strategic Plans of Historical Significance	
	Disposition Authority Number	DAA-0443-2019-0005-0003
	Mission-Related Management Studies and Strategic Plans of Historical Significance includes mission-related management studies of processes and reviews (including clinical) and strategic plans created and approved within the Office of the Director of the National Institutes of Health or within an Institute or Center (IC), which document studies, plans, or reports approved at the Director-Level Records associated with this schedule include mission-related analyses, studies, strategic plans, and projects aimed at improving operations, organizing activities, increasing efficiency or productivity, interim and final reports, and, other records documenting cooperation or interaction between NIH and an outside organization in areas of activities that directly and substantially relate to NIH programs Examples include the Reducing Risk and Promoting Patient Safety for NIH Intramural Clinical Research report and the NIH Roadmap	
	Final Disposition	Permanent
	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?

No

GRS or Superseded Authority Citation

NC1-90-77-2 /13a - 1743/1100C1A
NC1-90-77-2 /13b - 1743/1100C2A or C2B
NC1-90-77-2 /2a - 1743/1100C3
NC1-90-77-2 /14 - 1743/1100C10a
NC1-90-77-2 /2b - 1743/1100C12A
NC1-90-77-2 /32 - 1743/1100C14A
NC1-90-77-2 /39 - 1743/1100C15A
NC1-90-78-9 /19a - 1743/2800A4A
NC1-443-84-1 /12a - 1743/1100J8A
NC1-90-77-2 /10a - 1743/1100C10a
NC1-90-78-12 /7a
NC1-90-78-12 /28a

Disposition Instruction

Cutoff Instruction

Cut off at end of fiscal year when study, plans, or reports are finalized

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after Cutoff

Additional Information

First year of records accumulation 1985

What will be the date span of the initial transfer of records to the National Archives?

From 1985 To 2004

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	250 MB	25 MB
Paper	110 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2 2	<p>Mission-Related Management Studies, Strategic Plans, and Program Planning Records</p> <p>Disposition Authority Number DAA-0443-2019-0005-0004</p> <p>Mission-related records documenting the establishment and development of management studies, strategic plans, program activities, evaluations, and future projections. These records exclude items covered in Item 2.1 of this schedule and do include records relating to efforts to improve NIH Programs through operations, analyses, and reports including studies, progress reports, statistical completions, program audits, strategic plans and special projects, evaluations and recommendation reports which define program projections for future activities, and other records documenting routine interaction and cooperation between NIH and an outside organization in areas of activities that relate to NIH programs.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-443-84-1 /12b - 1743/1100J8B NC1-90-78-9 /19b -1743/2800A4B NC1-90-78-12 /28b NC1-90-78-12 /7b</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of fiscal year when study, plans, or reports are finalized</p> <p>Retention Period Destroy 7 year(s) after being superseded or terminated</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
3	<p>Organization, Delegation, and Legislative Records</p> <p>In order to support the mission of the National Institutes of Health (NIH), Delegations of Authority files, Organization files, and Legislation files are managed, and records must be maintained. Comprising of official authoritative records approving the changes and other records which document successive changes in authorities and official organizational entities throughout NIH. Legislation files related to the development, formulations, and laws governing matters related to NIH's mission.</p>
3 1	<p>Delegation and Approved Organization Files</p>

Disposition Authority Number DAA-0443-2019-0005-0005

Delegations of Authority from the Director of NIH and all NIH Organizational Change records include documents delegating the authority of the Director of NIH to subordinates and records created in the development of and making decisions and an official organizational change package, signed by the authorized approving official, to abolish, establish, consolidate, decentralize, transfer, change the title of or change the functional statement of an official organizational entity This includes documentation as required by policy, and the management of standard administrative codes

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation NC1-90-77-2/3 -1743/1100D1A

Disposition Instruction

Cutoff Instruction Cut off at end of fiscal year when finalized

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1960

What will be the date span of the initial transfer of records to the National Archives? From 1960 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	250 MB	10 MB
Paper	36 Cubic feet	
Microform		

Hardcopy or Analog Special Media		
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3 2

Legislative Records

Disposition Authority Number DAA-0443-2019-0005-0006

Consisting of legislative proposals and drafts of congressional testimony Records associated with this schedule include legislative proposals which have not been enacted into law Including supporting documents, testimony before congressional committees, and studies assessing existing authorities to meet present and future program objectives, drafts and supporting documents created and used in the preparation of congressional testimony, high-level meetings, and pre-briefs, and, weekly reports distributed for the purpose of communicating legislative activities

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? No

GRS or Superseded Authority Citation

NC1-90-77-2 /21 -1743/1100A2
NC1-90-77-2 /22 -1743/1100A3
NC1-90-77-2 /20 -1743/1100A1

Disposition Instruction

Cutoff Instruction Cutoff when file is superseded or terminated

Retention Period Destroy 5 years after being superseded or terminated Longer retention is authorized if required for ongoing business use

Additional Information

GAO Approval Not Required

3 3

Re Delegations and Supporting Reorganization Files

Disposition Authority Number DAA-0443-2019-0005-0007

Consisting of re-delegation of authorities to IC officials and supporting documentation created for an organizational change Records associated with this schedule include documents re-delegating the authority from OD and IC officials to subordinates within their organizations and concept plans, drafts, advisory documentation, organizational analysis, and other supporting documents created in the development of and influencing the decisions on these matters

	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?	No
	GRS or Superseded Authority Citation	NC1-90-77-2 /7b -1743/1100E1B NC1-90-77-2 /8 -1743/1100E2 NC1-90-77-2 /4 -1743/1100D2
	Disposition Instruction	
	Cutoff Instruction	Cutoff at end of fiscal year
	Retention Period	Destroy after 10 years Earlier disposal is authorized when no longer needed for administrative use
	Additional Information	
	GAO Approval	Not Required
4	Mission-Related Training Records	
	The National Institutes of Health designs, develops, and implements employee and staff training programs for mission-related activities	
4 1	Mission-Related Training Records	
	Disposition Authority Number	DAA-0443-2019-0005-0008
	Records include training materials designed for use in training activities related to the mission of NIH and its programs Records include working files generated during the training development phase, training course plans, instructional materials, manuals, training aids, skill assessments, and training participation evaluations and rosters This schedule excludes non-mission employee training program records, which are scheduled under the General Records Schedule 2 6 Employee Training Records	
	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?	No
	GRS or Superseded Authority Citation	NC1-90-78-9 /6 -1743/8000G1 NC1-90-78-12 /90 -1743/8000G2A NC1-90-78-12 /98 -1743/8000G3

	<p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of the fiscal year in which the course material is superseded or becomes obsolete</p> <p>Retention Period Destroy 5 years after cutoff Longer retention is authorized if required for business use</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
5	<p>Public Affairs Records</p> <p>Historically significant public affairs functions involve the exchange of information and communication between the National Institutes of Health and the public. Activities involve information dissemination, responding to information requests from the public, and managing relationships with stakeholders such as the press, resulting in the production of records, such as communications, media advisories, and press releases.</p>
5 1	<p>Public Affairs Records of Historical Significance</p> <p>Disposition Authority Number DAA-0443-2019-0005-0009</p> <p>Historically significant public affairs records are created with the intent of communicating to the public, the media, and stakeholder communities about NIH programs and activities under the purview of the NIH Office of Communications and Public Liaison. Public affairs records include the final product of speeches and presentations delivered by the Capstone Officials of the National Institutes of Health, as designated by the approved NA-1005. Public affairs records also include the final product of public outreach materials, transcripts of news briefings, public correspondence requiring formal action, media advisories, newsletters, and press releases. This schedule excludes public affairs-related routine operational records, public correspondence and communications not requiring formal action, public affairs product production files, routine media relations records, and routine audiovisual records which are all scheduled under the General Records Schedule 6.4. Public Affairs Records. This schedule also excludes technical publications and Intramural Research Records identified as products of research, created with the intent to facilitate data analysis, publication, collaboration, or peer review, that are scheduled under DAA-0443-2012-0007 and exhibits, including cases, frames, and hardware, which do not meet the definition of a Federal record.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

GRS or Superseded Authority
Citation

NC1-90-77-2 /27 -1743/8000A1A
NC1-90-78-9 /29 -1743/8000A4A
NC1-90-78-12 /79 -1743/8000A4C
NC1-90-78-12 /11 -1743/8000A4D

Disposition Instruction

Cutoff Instruction

Cut off at end of the calendar year in which the publication, press release, media advisory, presentation, or speech, are finalized

Transfer to the National Archives
for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1995

What will be the date span of the
initial transfer of records to the
National Archives? From 1995 To 2004

How frequently will your agency
transfer these records to the
National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	150 MB	10 MB
Paper	18 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

6

Schedules of Daily Activities

This schedule covers the calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, trips, and conference calls or scheduled calls for NIH High-Level Officials. This schedule excludes the calendars and schedules of daily activities for non-high-level NIH officials, which is described in the General Records Schedule 5.1 Common Office Records and also excludes the schedules of daily activities for the NIH Director and Principal Deputy Director, which are scheduled under DAA-0443-2017-0003-0003

6 1

Schedules of Daily Activities for NIH High-Level Officials

Disposition Authority Number DAA-0443-2019-0005-0010

Records include calendars, appointment books, schedules, logs, diaries documenting meetings, appointments, trips, conference calls or scheduled calls, visits, and documentation for other activities that contain substantive information relating to the official activities of NIH High-Level Officials NIH High-Level Officials are those officials who occupy, or previously occupied, positions currently designated as Capstone Officials These positions are recorded on the approved NARA form 1005 for the National Institutes of Health

Final Disposition Permanent

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? No

Disposition Instruction

Cutoff Instruction Cut off when employee leaves NIH

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1998

What will be the date span of the initial transfer of records to the National Archives? From 1998 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	400 MB	20 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

Agency History Records

7 1

Agency history records help preserve and document the rich history of the National Institutes of Health (NIH) while advancing the historical understanding of biomedical research conducted at NIH

Agency History Records

Disposition Authority Number DAA-0443-2019-0005-0011

Agency history records are created with the intent of preserving and documenting the rich history of NIH. Agency history records include agency histories and oral histories that relay the history of NIH programs and activities.

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation NCI-90-77-2 /17 -1743/8000A2

Disposition Instruction

Cutoff Instruction Cut off at end of the calendar year in which the publication or oral history are finalized

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1971

What will be the date span of the initial transfer of records to the National Archives? From 1971 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	100 MB	20 MB
Paper		
Microform		

	Hardcopy or Analog Special Media		
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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
01/29/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
08/08/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/14/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
08/14/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
09/19/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/19/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
09/19/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
10/18/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
10/19/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
10/19/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
12/05/2019	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
12/17/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
12/17/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH

02/06/2020	Submit for Concurrency	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
02/13/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/13/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/19/2020	Approve	David Ferrero	Archivist of the United States	Office of the Archivist - Office of the Archivist