

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-443-97-1	DATE RECEIVED 6-30-97
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION National Institutes of Health			
3. MINOR SUBDIVISION NIH Committee Management Office			
4. NAME OF PERSON WITH WHOM TO CONFER Susan M. O'Boyle	5. TELEPHONE 301-496-6639	DATE 11-7-97	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

6. 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 on the attached 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE JUN 25 1997	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes</i> A. Prentice Barnes	TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Approval is requested to alter the attached disposition instructions for records covered under the NIH Records Control Schedule (B-361), for Committee Management Records covered under item 1100-G. See attached changes, described in BOLD type.		

Changes are described in **BOLD type**:
Previous NARA Job No. NCI-90-77-2 and NCI-90-77-12

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Revised for clarity.

G. Committee Management: Chartered Federal Advisory Committees

These files are created in carrying out the management and control of advisory committees as required by The Federal Advisory Committee Act (FACA), as amended, (5 U.S.C. Appendix 2). The term "advisory committee" as defined by the FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies, in the interest of obtaining advice or recommendations for the President or one or more agencies or officers of the Federal Government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal Government. Committee management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.

NOTE: Committee management records retrieved by individual identifiers are part of a Privacy Act system of records 09-90-0059. The Privacy Act of 1974 (U.S.C. Subsection 552a) gives the subject individual right of access upon request and limits disclosure to those routine uses allowed by law. Confidential Financial Disclosure Reports (OGE 450) and the Confidential Statement of Employment and Financial Interests (HHS 474) contain highly confidential information and shall not be released to the public except by court order. Questions concerning the privacy or freedom of information should be addressed to the ICD Privacy or Freedom of Information Act coordinator.

~~1100-G-1 Semi-annual publication, "NIH Public Advisory Groups" listing authority, function, structure and membership of each public advisory group. No longer being published (last publication date April 1993).~~

~~a. Located in NIH Committee Management Office.~~

~~Disposition: PERMANENT. Transfer to National Archives when no longer required for administrative reference.~~

~~b. Other copies.~~

~~Disposition: Destroy when superseded, or no longer needed.~~

1100-G-2 Data files: These are statistical data files containing information about the NIH's Committee Management Program. Documents include financial operating plans and GSA reports and other statistical reports on the number of committees, types of committees, membership rosters and other related topics.

Located in the NIH Committee Management Office.

See
revision

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DATE: 6/11/97; REPLACES: 05/01/85

ISSUING OFFICE: OMA 496-2832

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1100-G-1 Semi-annual publication, "NIH Public Advisory Groups" listing authority, function, structure and membership of each public advisory group. No longer being published (last publication date April 1993).

a. Located in NIH Committee Management Office.

Revised → Disposition: PERMANENT. Transfer to National Archives when three years old.

b. Other copies.

Disposition: Destroy when superseded, or no longer needed.

1100-G-2 Data files: These are statistical data files containing information about the NIH's Committee Management Program. Documents include financial operating plans and GSA reports and other statistical reports on the number of committees, types of committees, membership rosters and other related topics.

Located in the NIH Committee Management Office.

Disposition: All copies - Destroy when superseded or no longer needed for reference.

1100-G-3 Approval documents for committees members appointed by the Director, NIH, ICD and Office Directors. Documents include C.V.'s, Requests for Approval of Nominee for Federal Advisory Committee-HHS Form 532, Requests for Approval of Nominee-NIH Form 2641, and other papers related to the approval of persons for committee membership. These records are subject to the Privacy Act.

a. Located in ICD Committee Management Office or NIH OD Committee Management Liaison Office.

Disposition: Cut off and transfer to Federal Records Center 1 year after member completes term of membership, the request for approval is disapproved, or nominee declines the invitation. Destroy 6 years after cut off.

Disposition: All copies - Destroy when superseded or no longer needed for reference.

Revised to add staff authorized to appoint committee members.

1100-G-3 Approval documents for committees members appointed by the Director, NIH, ICD and Office Directors. Documents include C.V.'s, Requests for Approval of Nominee for Federal Advisory Committee-HHS Form 532, Requests for Approval of Nominee-NIH Form 2641, and other papers related to the approval of persons for committee membership. These records are subject to the Privacy Act.

a. Located in ICD Committee Management Office or NIH OD Committee Management Liaison Office.

Disposition: Cut off and transfer to Federal Records Center 1 year after member completes term of membership, the request for approval is disapproved, or nominee declines the invitation. Destroy 6 years after cut off.

b. All other copies.

Disposition: Destroy 1 year after the nominee(s) on the nomination slate completes term of membership or the request for approval is disapproved.

Revised to add appointee officials.

1100-G-4 Approval documents for committees members appointed by the Secretary and the President Documents include C.V.'s, Requests for Approval of Nominee for Federal Advisory Committee- HHS Form 532, and other papers related to the approval for persons for committee membership. These records are subject to the Privacy Act.

a. Located in ICD Committee Management Office or NIH OD Committee Management Liaison Office.

Disposition: Cut off and transfer to Federal Records Center 1 year after nominee completes term of membership, the request for approval is disapproved, or nominee declines the invitation. Destroy 6 years after cut off.

b. All other copies.

Disposition: Destroy 1 year after nominee(s) on the nomination slate completes the term of membership or the request for approval is disapproved.

1100-G-5 Appointment documents for individual committee members including invitation letter, acceptance or declination letters, memos, and other official papers related to the appointment. These records are subject to the Privacy Act.

a. Located in ICD Committee Management Office or NIH OD Committee

Management Liaison Office.

Disposition: Cut off and transfer to Federal Records Center 1 year after member completes the term of membership or nominee declines the invitation. Destroy 6 years after cut off.

b. All other copies.

Disposition: Destroy 1 year after member completes the term of membership or nominee declines the invitation.

Minor editorial changes.

1100-G-6 Confidential Financial Disclosure Report (OGE 450), Confidential Statement of Employment & Financial Interests (HHS 474), and Waivers. File current reports and waivers, if applicable, separately from other documents in confidential binders by committee. When member submits updated reports and waivers or completes committee responsibility, file previous reports and waivers alphabetically by name in separate confidential folders. These records are subject to the Privacy Act.

a. Located in ICD Committee Management Office or NIH OD Committee Management Liaison Office.

Disposition: Destroy 6 years after the member completes his/her committee responsibilities or resigns from the committee, except that documents needed in an on-going investigation will be retained until no longer needed in the investigation.

NOTE: File these confidential reports and any other information obtained or prepared in connection with the forms or waivers (for example, reports of telephone conversations, notes, authorizations, and addenda) in a secure place and ensure confidentiality and security of these records as required by the Privacy Act, NIH and HHS regulations and policies.

Revised to allow for transfer of records to FRC. NARA approval required.

1100-G-7 Charters of NIH Advisory Committees. The original charter, all renewal charters and amended charters, with supporting documentation, authorizing the initiation or continuation of a committee.

a. Located in ICD Committee Management Office or NIH OD Committee Management Liaison Office.

Disposition: PERMANENT. Charters cannot be destroyed. File in the individual committee file. When committee is terminated or abolished, cut off and place in final individual file, which contains only originals of charter(s) and supporting materials. Transfer to Federal Records Center 2 years after cut off date. Transfer to National Archives 20 years after cut off.

b. Located in NIH CMO.

Disposition: Destroy when no longer needed or committee is discontinued.

c. Other copies.

Disposition: Destroy when no longer needed or committee is terminated.

Revised to separate operational committee records from committee "meeting minutes," described in 1100-G-9. Pending NARA approval.

1100-G-8

Individual Committee Records. These records are maintained by the appropriate ICD or NIH OD Office for managing the operations of its advisory committees. Included are membership lists, agendas, report of meeting arrangement sheets or assignments lists that contain information regarding conflicts of interest, individual pre-meeting and committee post-meeting Conflict of Interest and Confidentiality Certification Forms and other supporting papers pertinent to the meetings of the committee. These committee records are maintained for every chartered advisory committee meeting held, including those held by telephone conference.

a. Located in ICD Committee Management Office or office of the Designated Federal Official (DFO) for the committee.

Disposition: PERMANENT. File by fiscal year. Place in inactive file at end of fiscal year. Transfer to Federal Records Center when 10 years old. Transfer to National Archives when 30 years old.

b. Other copies.

Disposition: Destroy when no longer needed or committee is terminated.

c. Stenographers' notebooks, tape recordings or other media on which proceedings are recorded during meetings.

Disposition: Destroy when minutes are approved and distributed.

*See
revision*

Revised to include all committees meeting minutes and to revise retention period. Pending NARA Approval.

1100-G-9

Minutes of NIH Advisory Committees. The original/ official set of minutes for each meeting of every advisory committee meeting advertised in the Federal Register. This includes minutes of every type of committee, Advisory Council, Advisory Board, Program Advisory Committee, Board of Scientific Counselors, Initial Review Group or a subcommittee not reporting back to a parent committee. Meetings held by telephone conference are included.

a. Located in ICD Committee Management Office or office of the Designated Federal Official (DFO) for the committee.

Disposition: PERMANENT. Minutes cannot be destroyed. Place in inactive

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Transfer to Federal Records Center 2 years after cut off date.
 Transfer to National Archives 20 years after cut off.

b. Located in NIH CMO.

Disposition: Destroy when no longer needed or committee is discontinued.

c. Other copies.

Disposition: Destroy when no longer needed or committee is terminated.

1100-G-8

Individual Committee Records. These records are maintained by the appropriate ICD or NIH OD Office for managing the operations of its advisory committees. Included are membership lists, agendas and reports. These committee records are maintained for every chartered advisory committee meeting held, including those held by telephone conference.

a. Located in ICD Committee Management Office or office of the Designated Federal Official (DFO) for the committee.

Disposition: PERMANENT. File by fiscal year. Place in inactive file at end of fiscal year. Transfer to Federal Records Center when 10 years old. Transfer to National Archives when 30 years old.

b. All other records including report of meeting arrangement sheets or assignments lists that contain information regarding conflicts of interest, individual pre-meeting and committee post-meeting Conflict of Interest, Confidentiality Certification Forms and other supporting papers pertinent to the meetings of the committee.

Disposition: File by fiscal year. Destroy when 10 years old, except as needed in an ongoing investigation and until investigation is completed.

c. Stenographers' notebooks, tape recordings or other media on which proceedings are recorded during meetings.

Disposition: Destroy when minutes are approved and distributed.

revision

file at end of fiscal year. Transfer to Federal Records Center when 10 years old. Transfer to National Archives when 30 years old.

b. Other copies.

Disposition: Destroy when superseded, committee is terminated or no longer needed, whichever is sooner.

New Item to cover CMO policy files--reference.

1100-G-10 Committee Management Policy Records: Includes, for example, copies of Public Laws, OMB and GSA policies, and Department and NIH policies and procedures related to implementation of the Federal Advisory Committee Act. Records also include audit reports and other reports of a policy nature.

Located in the NIH Committee Management Office.

Disposition: Destroy 10 years after being superseded or discontinued. Earlier disposal is authorized when no longer needed for administrative reference.

I. Committee Financial Records

Revised for clarity.

1100-G-20 Scientific Review and Evaluation Award (SREA) Files maintained in the ICDs to document financial expenditures of committees funded by SREA. Included are vouchers and receipts for expenses related to initial review of application, site visits and other authorized committee activities. This item does not cover copies of financial records maintained by Office of Financial Management. These records are subject to the Privacy Act.

Located in the office of the ICD Scientific Review and Evaluation Award (SREA) officer.

Disposition: Place in inactive file when final payment of award is made. Maintain locally in the ICD or transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy 6 years and 3 months after inactivated.

Renamed for clarity.

1100-G-21 Financial documents used to claim reimbursement for Special Government Employee (SGE) committee members and non-member consultants for expenses related to committee responsibilities and consultant fees. This item does not cover copies of financial records maintained by the Office of Financial Management or ICD Administrative Offices. These records are subject to Privacy Act.

Disposition: 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 6 years and 3 months after inactivated.

NIH Clearance Officials:

Approved: *[Signature]* 6/11/97
NIH Committee Management Officer Date

Approved: *[Signature]* 6/11/97
NIH Records Management Officer Date