

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

LEAVE BLANK	
JOB NO <i>NCI-443-84-1</i>	
DATE RECEIVED <i>4-13-84</i>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>6-21-84</i> Date	<i>[Signature]</i> Archivist of the United States

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. 496-2832
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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 10 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 <i>3/12/84</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Dr. George Seal</i>	E. TITLE DHHS Records Management Officer
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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
1	<p>[Note: Numbers in parentheses are those which the items will have in the NIH Records Schedule (B-361)]</p> <p>(4000-E-3) <u>Alert System Records</u> concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts.</p> <p>a. Records of investigations where a determination is made not to impose any official sanction.</p> <p><u>Located in Division of Management Survey and Review</u></p> <p><u>Disposition:</u> Destroy upon notification of completion of the investigation.</p> <p style="text-align: center;">MASS DATA CHANGE SHEET NOT REQUIRED</p>		<i>26 items</i>

115-107 *NCW sent 7-2-84 by DMW.*

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2	<p>b. Records of investigations which have resulted in imposition of official sanctions and records of such sanctions.</p> <p><u>Located in</u> Division of Management Survey and Review</p> <p><u>Disposition:</u> Destroy when the sanction expires or terminates.</p> <p>c. Other copies of the records described in 'a' or 'b'</p> <p><u>Located in</u> any component.</p> <p><u>Disposition:</u> Destroy, or return to the Division of Management Survey and Review as soon as the purpose for which the copy was provided is satisfied. Do not file with grant or contract files.</p> <p>(1700-A-4) <u>Division of Management Survey and Review Project Folders</u> documenting DMSR surveys and reviews of management control systems and DMSR investigations of specific problems or allegations of impropriety or malfeasance.</p> <p>These folders consist of documents describing the inception, nature, scope and purpose of each project; significant correspondence; miscellaneous papers important to the conduct of the project or the development of final determinations; draft reports together with comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; final reports and related follow-up documents.</p> <p>a. Project folder documenting any case which, in the opinion of the Director, DMSR, and of the Chief, NIH Records Management Branch, is historically important because it resulted in major change in NIH, PHS or HHS policy or procedure; was involved in extensive litigation; received widespread publicity in news</p>		

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	<p>media or scientific journals; or received considerable attention from the Congress or the Executive Office of the President.</p> <p><u>Disposition:</u> PERMANENT. Offer to the National Archives in 5 year blocks ³⁰twenty years after final action on the most recent project in the block. (For example, in 1999 offer project files closed out in 1964-1969.)</p> <p>[The volume of these records is very small. The total volume of all project folders created since the origin of DMSR (1964-1983) is less than 16 cu. ft. The volume selected for offer to NARS will probably be less than 5 cu. ft.]</p> <p>b. Project folders documenting investigations of minor infractions or improprieties (for example, improper expenditure of public funds less than \$5,000), reviews of minor management problems or projects in which the final recommendation is that no action be taken.</p> <p><u>Disposition:</u> Destroy 5 years after final action on the project. Inactive records may be retired to the Federal Records Center 1 year after final action.</p> <p>c. All other project folders.</p> <p><u>Disposition:</u> Destroy 20 years after final action on the project. Inactive folders may be retired to the Federal Records Center in 5 year blocks 1 year after final action on the most recent project in the block. (e.g. Folders for projects with final action between 1980 and 1985 may be transferred in 1986 with instruction to destroy in 2005.)</p> <p>d. Working papers collected under each project are scheduled under General Records Schedule 16, item 10 which allows them to be destroyed 6 months after final action on the project report, or 3 years after completion of report if no action is taken.</p>		

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	<p>[Explanatory Note: The NIH Division of Management Survey and Review conducts surveys and reviews of management control systems to determine if such systems conform to the requirements of Federal laws, regulations, directives, policies and guidelines or appraise the adequacy or soundness of such systems. DMSR reviews management controls within NIH and also in other organizations receiving Federal funds through grants, contracts or cooperative agreements. DMSR conducts such reviews at the request of NIH management or in response to allegations of impropriety or wrongdoing. DMSR also performs investigations of alleged impropriety or wrongdoing by NIH employees, individuals within organizations receiving funds from NIH, or by organizations or individuals subject to regulations or guidelines issued by NIH (e.g. the regulations on the protection of research subjects or the guidelines on recombinant DNA research).</p> <p>If an allegation is so vague that it is unclear if the alleged violation is criminal in nature, DMSR conducts preliminary investigations to determine if a criminal violation may be involved. Alleged violations which are clearly criminal in nature are referred to the Office of the Inspector General (OIG), DHHS. However, OIG may return cases to DMSR for administrative action when it determines that there is insufficient grounds for prosecution. DMSR conducts independent investigations of alleged violations which are not criminal in nature. The Division may also collaborate or assist in investigations of scientific misconduct (e.g. falsification of data) when requested to do so by responsible officials of NIH.</p>		

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3	<p>(4000-G-4) <u>NRSA Payback Files</u> established to document fulfillment of payback requirements for awards made under the National Research Service Act, when the official grant files for such awards are closed out following termination of support. These files include activation notices, appointment forms, signed payback agreements, termination notices, annual payback activities certification forms, and related documents and correspondence.</p> <p><u>Disposition:</u> Close file when all payback requirements have been fulfilled or formally waived. Transfer files closed in one fiscal year to Federal Records Center one year later. Destroy 6 years after close of files.</p> <p>1900-F <u>Gift Administration</u></p> <p>Correspondence and other documents related to offers, acceptance, refusal, or use of monetary or non-monetary gifts to NIH or any of its components.</p> <p>EXCLUDED from this section are copies of such records forwarded to the Division of Financial Management as Accountable Officers' Accounts (see 1900-A)</p>		
4	<p>(1900-F-1) Gifts Fund Plans submitted annually to the Division of Financial Management</p> <p>a. <u>Located in</u> Division of Financial Management</p> <p><u>Disposition:</u> Destroy when 5 years old. Inactive records may be transferred to the Federal Records Center when 1 year old.</p> <p>b. <u>Located in</u> originating budget office</p> <p><u>Disposition:</u> Destroy when 3 years old or when no longer needed, whichever is sooner.</p> <p>c. <u>Other copies</u></p> <p><u>Disposition:</u> Destroy in 1 year, or when no longer needed, whichever is sooner.</p>		

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5	<p>(1900-F-2) <u>Periodic Reports</u> on gift funds.</p> <p>a. <u>Located in</u> Division of Financial Management</p> <p><u>Disposition:</u> Transfer to Federal Records Center when 2 years old. Destroy when 7 years old.</p> <p>b. <u>Other copies</u></p> <p><u>Disposition:</u> Destroy in 1 year, or when no longer needed.</p>		
6	<p>(1900-F-3) <u>Records related to bequests</u>, including wills, trust agreements, executor's accounts, petitions for probate and other documents filed with courts, terms and conditions, acknowledgements, releases, letters of acceptance or refusal and other related correspondence and documentation.</p> <p>a. <u>Original copies:</u> When legal advice or action is necessary, forward to the office of the NIH Legal Advisor. Otherwise follow appropriate instruction below.</p> <p>b. Records relating to bequests which are refused.</p> <p><u>Located in</u> components receiving offer of bequest</p> <p><u>Disposition:</u> Destroy 2 years after refusal of the bequest.</p> <p>c. Records related to unconditional bequests which are accepted.</p> <p><u>Located in</u> components benefiting from the bequest</p> <p><u>Disposition:</u> Destroy 6 years after disbursement of funds or, in the case of non-monetary gifts, 6 years after acceptance.</p>		

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7	<p>d. Records related to conditional bequests which are accepted.</p> <p><u>Located in</u> component receiving or benefiting from the bequest</p> <p><u>Disposition:</u> Destroy 6 years after acceptance of a non-monetary gift, disbursement of funds, or satisfaction of the condition(s) imposed by the donor, whichever is later.</p> <p>(1900-F-4) <u>Correspondence with donors</u>, or their representatives including offers of conditional or unconditional gifts, acknowledgements, letters of acceptance or refusal, when filed separately from records described in 1900-F-1 to 1900-F-3.</p> <p>a. Correspondence related to ^{ft GDS} gifts which are refused.</p> <p><u>Located in</u> components which receive offers of gifts</p> <p><u>Disposition:</u> Destroy when 2 years old.</p> <p>b. Related to accepted gifts.</p> <p><u>Disposition:</u> Destroy 6 years after acceptance of a nonmonetary gift, disbursement of funds, or satisfaction of condition(s) imposed by the donor, whichever is later.</p>		
8	<p>(1900-F-5) <u>Automated Information Systems</u> used to track the status of actions on gifts and offers of gifts, or to produce letters of acknowledgement, acceptance or refusal.</p> <p><u>Located in</u> organization benefiting from the gift.</p> <p><u>Disposition:</u> Destroy data when information is updated or superseded, or no later than one year after final action on a gift or offer of gift.</p>		

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	<p>Note: Records related to expenditure of funds under the NIH Patient Emergency Fund are already scheduled under NCI-90-78-9, item 122, and included in the NIH Records Control Schedule as item 1900-B-6. This item will be moved to 1900-F-5 when the items from this Request are incorporated into B-361.</p> <p><u>Records related to implementation of OMB Circular A-76 by the NIH or any of its components</u></p> <p>9 (1700-A-7) <u>OMB Circular A-76, organizational assessments of organizations included under A-76 Inventory, including final reports, related correspondence and other papers documenting implementation of final report.</u></p> <p>a. <u>Located in:</u> DMP</p> <p><u>Disposition:</u> Destroy after completion of subsequent Organizational Assessment, or if organization is abolished, then destroy 3 years after abolition.</p> <p>b. Located in Organization subject to assessment</p> <p><u>Disposition:</u> Destroy 6 months after final action.</p>		
10	<p>(1700-A-8) <u>Inventories of A-76 activities including paperwork necessary for the final inventory such as description of the activities and relevant cost materials.</u></p> <p>a. <u>Located in:</u> DMP</p> <p><u>Disposition:</u> Destroy when superceded or obsolete.</p>		

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11	<p>(1700-A-9) Correspondence pertaining to routine administration, internal procedures, and other materials relating to OMB Circular A-76.</p> <p><u>Located in:</u> DMP</p> <p><u>Disposition:</u> Destroy after 5 years, or sooner if no longer needed.</p>		
12 66D	<p>(1100-J-8) <u>Records related to associations, foundations, institutions and other organizations, such as professional societies, private research establishments, charitable foundations and special interest groups which conduct, support or promote activities relevant to NIH programs. Examples include the American Cancer Society, the Cystic Fibrosis Foundation, the American Association of Medical Colleges, the Federation of American Societies for Experimental Biology, the National Society for Autistic Children, et al.</u></p> <p>a. <u>Records documenting substantial cooperation or interaction between NIH and an outside organization in areas or activities directly related to NIH programs. Examples of such interaction include joint sponsorship of conferences or research activities, or actions or positions taken by outside organizations which result in changes in NIH policies, procedures or programs.</u></p> <p><u>Disposition:</u> PERMANENT. Transfer to the Federal Records Center when five years old. Offer legal title legal title to the National Archives when 20 years old.</p> <p>b. <u>Records of routine interactions, such as responses to request for information, participation of individual NIH employees in meetings, conferences, committees, or other activities of outside organizations.</u></p> <p><u>Disposition:</u> Destroy when three years old, or when no longer needed, whichever is sooner.</p>	66D	

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	<p>Concur:</p> <p><u>February 15, 1984</u> Date</p> <p><u><i>Kenneth F. Thibodeau</i></u> Kenneth F. Thibodeau, Ph.D. NIH Records Management Officer</p> <p>Concur:</p> <p><u>3/13/84</u> Date</p> <p><u><i>Linda Querec</i></u> Linda Querec PHS Records Officer</p>		