

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-090-76-05**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/27/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 11a is superseded by DAA-0512-2014-0004-0061

Item 32 is superseded by N1-511-94-002

Item 50 is superseded by NC1-90-82-03

Item 52 is superseded by NC1-090-78-08 #50

Items 65a (1-5), 66a-b is superseded by NC1-090-84-03

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

*145 items* (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  
Alcohol, Drug Abuse, and Mental Health Administration

4. NAME OF PERSON WITH WHOM TO CONFER  
Donald T. Taylor *Mary E*

5. TEL EXT  
443-4543

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED <b>JUN 24 1976</b>	JOB NO. <b>NC 1 - 90-76-5</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>7-26-77</b> (Date)	<i>James B. Rhoads</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 \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

*6/21/76* Date *Eugene J. Reed, Jr.* for *Russell O. Hess* (Signature of Agency Representative) Dept. Records Mgmt. 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 FOR USE BY ALCOHOL, DRUG ABUSE AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE</p> <p>The records described in this Records Control Schedule are created by the Alcohol, Drug Abuse, and Mental Health Administration which provides leadership, policies, and goals for the Federal effort designed to assure the treatment and rehabilitation of persons with alcohol, drug abuse, and mental health problems, and to prevent these problems. In carrying out these responsibilities, the ADAMHA conducts and supports research on all aspects of alcoholism, drug abuse, and mental health; supports the training of professional and paraprofessional personnel; develops standards and regulations for the delivery and quality of services, including facilities construction; provides technical assistance to regional, State, and local authorities concerning their alcoholism, drug abuse, and mental health programs; and provides information on these areas to the public and scientific community. The ADAMHA is composed of the Office of the Administrator, the National Institute on Alcohol Abuse and Alcoholism, the National Institute on Drug Abuse, and the National Institute of Mental Health.</p> <p><i>Offer all permanent records to NARS when they are 10 years old unless a longer retention is necessary for agency purposes.</i></p>		

*105-108*  
*sent to agency, NNB-NCW-7/28/77*  
*memo of July 20, 1976 gives*

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>This schedule is divided into five parts:</p> <p>Part Ia - Administration and Management Records describes record series which are created and accumulated in the Office of the Administrator to reflect the leadership, policies and goals of the Administration and its supervisory and co-ordinating responsibilities. These are permanent records.</p> <p>Part Ib - Administration and Management Records which are non-permanent.</p> <p>Part II - Program Records describes record series which are created and accumulated in each of the Institutes to reflect their mission in carrying out research, training and services in their respective areas of alcoholism, drug abuse, and mental health. These are permanent and non-permanent records.</p> <p>Part III- Non-record material.</p> <p>Part IV - Machine Readable Records. These are permanent and non-permanent records.</p> <p>Part V - Saint Elizabeths Hospital Records. These are permanent and non-permanent records. SEH is organizationally a part of NIMH.</p> <p>The RCS does not include records for which disposition instructions are available in General Records Schedules, except by reference, where necessary.</p> <p>Any file system not listed on this schedule is not authorized for disposal.</p> <p>Part VI - Audiovisual Records. These are permanent and non-permanent records.</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
1	<p><u>PART Ia - ADMINISTRATION AND MANAGEMENT RECORDS - PERMANENT</u></p> <p>These records are accumulated in staff offices of the Administrator, ADAMHA, and reflect the leadership, goals, and program management of the ADAMHA and its Institutes. They include organization and management records, as well as program planning and evaluation records created at the Administrator's level, as well as all other record series that are unique to the national headquarters of a PHS agency.</p> <p><u>Organization and Function Files</u></p> <p>a. <u>Description:</u> These files are accumulated in the Division of Management Policy, OAM, and include formal documents which affect the authority, organization and functions of ADAMHA. They establish, or substantially change, the organization, functions and/or relationships of ADAMHA and its Institutes. Included are copies of proposed and approved organization plans and functional statements, staffing plans, reorganization and decentralization plans, charts and codes. Each Institute may have duplicate copies of some of this material, including original internal supporting documents written during the developmental phases of their organization and functions proposals.</p> <p>b. <u>Disposition:</u> <u>Permanent.</u> DMP - Transfer a complete official set of ADAMHA organization statements, charts and codes to the Federal Records Center when obsolete or superseded. Offer to the National Archives when 10 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Forward to DMP all original supporting documents pertaining to Institute organization and functions to be included in official record files.</p> <p><u>Disposition:</u> Destroy duplicate and reference files 5 years after supersession or inactivity. 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
2	<p><u>Issuance Management Files</u></p> <p>a. <u>Description:</u> These files are the historical record of the ADAMHA Issuance System (ADAMHA Management Manual), and are accumulated in the Division of Management Policy, OAM. They include record and reference sets of issuances and the background material which supports the issuance.</p> <p>A. <u>Record Set of Issuances:</u> This is the official copy of the printed issuance. DMP maintains the permanent record set for the Administration.</p> <p><u>Disposition:</u> <u>Permanent.</u> DMP transfer to the FRC when superseded or discontinued. Offer to the National Archives when 5 years old.</p> <p>B. <u>Reference Sets of Issuances:</u> All other sets of printed ADAMHA issuances maintained throughout the Administration are considered to be reference sets, and may be destroyed when superseded or obsolete.</p> <p><u>Disposition:</u> <u>Non-permanent.</u> Destroy when superseded, discontinued, or no longer needed.</p> <p>C. <u>Delegations of Authority:</u> These documents are received from the Assistant Secretary for health and are the basis for delegations of authority within ADAMHA. They are published as General Management Instructions in Chapter 4 of the ADAMHA Management Manual and become the background material for the issuance/delegation. <del>Disposal according to whether record or reference material.</del></p> <p><i>Destroy when superseded, discontinued or no longer needed.</i></p> <p><u>Disposition:</u> <del>In accordance with whether a part of the record or reference set of issuances.</del></p> <p>D. <u>Background Files:</u> These records are accumulated in the management of the ADAMHA issuance system. They include drafts, coordination documents, yellow box concurrence copies and signed originals. They are not permanent.</p> <p><u>Disposition:</u> <u>Non-permanent.</u> DMP - retain for reference as long as necessary and then destroy.</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
3	<p><u>Public Affairs Administration Files</u></p> <p>a. <u>Description:</u> These files are accumulated in the Office of Communications and Public Affairs and consist of public affairs policies and procedures that document the development of public affairs and related activities in the ADAMHA. Includes correspondence and related documents. OCPA retains one complete set of informational publications, such as press releases, press conference transcripts, and official speeches, as a reference tool.</p> <p>b. <u>Disposition:</u> Record Set of informational publications, such as press releases, press conference transcripts, and official speeches is permanent. OCPA - transfer to the FRC when 5 years old. Offer to the National Archives when 10 years old. Background material may be destroyed when it has served its purpose.</p>		
4	<p><u>ADAMHA NEWS Files</u></p> <p>a. <u>Description:</u> These files consist of an historical record of the ADAMHA house organ, ADAMHA NEWS, published since the creation of ADAMHA and the preceding NIMH house organ, MENTAL HEALTH MATTERS. Included are drafts, art work, and related correspondence. OCPA - retain one complete set of each issue for reference and one complete set as a permanent record.</p> <p>b. <u>Disposition:</u> <u>Permanent.</u> OCPA transfer Record Set to FRC when 3 years old. Offer to National Archives when 8 years old. <u>Non-permanent</u> - Background material, drafts, art work, etc. May be destroyed when no longer needed.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Forward to the OCPA any original supporting documents for inclusion in official files.</p> <p><u>Disposition:</u> Destroy duplicate and reference material when superseded or no longer needed.</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
5	<p><u>ADAMHA Legislative History Files</u></p> <p>a. <u>Description</u>: Individual case histories on each ADAMHA bill and directly-related legislation; includes summaries of the law, copies of all pertinent bill reports; hearings, testimony, opposing views and opinions, and related materials from the ADAMHA, the Department, OMB, and both houses of Congress, including a copy of the final bill as approved by the President.</p> <p>Summaries of legislation are prepared by Legislative Services Unit.</p> <p>b. <u>Disposition</u>: <del>Permanent</del>. Legislative Services Unit Record Copy: Close Out File at end of calendar year. Retain in active files for frequent reference during the Congressional cycle. Retire to FRC 5 years after Congressional cycle terminates. <del>Offer to National Archives when 10 years old.</del> <i>Destroy when 10 years old.</i></p> <p><u>All other copies</u>: Dispose of when no longer needed for reference and/or distribution.</p>		
6	<p><u>ADAMHA Five Year Forward Plan Files</u></p> <p>a. <u>Description</u>: Files contain guidelines, procedures and definitions of issues necessary to develop the ADAMHA Forward Plan for fiscal year. The Plan provides for major strategies and specific programmatic activities to be undertaken by ADAMHA Institutes. These strategies suggest the priorities and directions which influence and shape the resources planning and implementation process of ADAMHA. Draft papers are maintained by FY of Plan, along with the final ADAMHA Forward Plan.</p> <p>b. <u>Disposition</u>: <u>Permanent</u>. OPPE - Cut off at end of FY of Plan and retain in active files for 2 years thereafter. Offer 1 Record Copy of each Forward Plan, with applicable Regional Office Work Program, to the National Archives when no longer needed for administrative purposes or every 10 years whichever comes first. Draft pages and other background material may be destroyed when no longer needed for reference.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy when obsolete or no longer needed for reference or working purposes.</p>	Transfer	to FRC when 5 yrs. old.

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
7	<p><u>Regional Office Work Program Files</u></p> <p>a. <u>Description</u>: Work plans (based on ADAMHA Forward Plan) on regionalized basis, maintained as a subpart to the ADAMHA Forward Plan activities. Includes correspondence with Regional Offices, ORO/PHS, and other ADAMHA and PHS components regarding development of the Regional Office Work Plan, as well as modifications and other input from Regional Offices.</p> <p>b. <u>Disposition</u>: OPC - Cut off at end of FY and retain in active files for 2 years thereafter. <input checked="" type="checkbox"/> Offer 1 Record Copy of each Regional Office Work Program file (with record copy of each Forward Plan) to the National Archives when no longer needed for administrative purposes or every 10 years whichever comes first. Draft pages and other background material may be destroyed when no longer needed for reference.</p>		Transfer to FRC when 5 yrs. old
8	<p><u>Program Evaluation Files</u></p> <p>a. <u>Description</u>: These files consist of the historical record of reported or published results, along with pertinent background material of program evaluation studies funded under 1% legislative authority. File contains progress reports, published reports and related correspondence and documents.</p> <p>b. <u>Disposition</u>: Permanent. OPPE - Retain current evaluation file in OPPE until superseded by next evaluation. Hold for 5 years and retire to FRC. Offer to National Archives when 10 years old. Background material and other non-record items may be destroyed when no longer needed for reference purposes.</p>		
9	<p><u>ADAMHA Committee &amp; Council Management Files</u></p> <p>a. <u>Description</u>: These files contain official committee documents signed by the Secretary on establishment and renewal of ADAMHA national advisory councils and public advisory committees (Charters, delegations of authority, findings, formal determinations, etc.) and copies of correspondence on filing of committee charters with the Congress. They also contain policy and procedural directives related to establishment and management of committees, meetings, members, conflict of interest, in addition to copies of Public Laws, Department Regulations, and OMB Circulars relating to implementation of the Federal Advisory Committee Act.</p>		



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	<p>b. <u>Disposition:</u> <del>Permanent.</del> ACMO - Maintain in active files area until Council or Committee is abolished. Retire to FRC every 3 years or sooner if volume permits. <del>Offer to National Archives when 6 years old.</del></p> <p><i>to destroy</i></p> <p><u>ADAMHA Institutes</u> - Forward to the ACMO any original supporting documents for inclusion in official file. Destroy duplicate and reference material when superseded or no longer needed.</p>		
10	<p><u>Minority Advisory Committee Files</u></p> <p>a. <u>Description:</u> These files accumulate as a result of the creation of this Committee which deals with the concerns of ethnic minorities. This is the only Committee chartered at the ADAMHA level since its charter encompasses alcohol, drug abuse, and mental health concerns. Files contain copy of charter, membership records, invitations, <del>minorities</del>, agendas, and related correspondence. <i>minutes,</i></p> <p>b. <u>Disposition:</u> <i>1. Minutes and agendas, Charter.</i> <u>Permanent.</u> OPC hold in active files until membership completed or terminated. Retire to FRC every 3 years or sooner if volume warrants. Offer to National Archives when <del>6</del> <i>10</i> years old.</p>		
11	<p><i>2. Other materials. Destroy when 6 years old; earlier disposal is authorized.</i></p> <p><u>Administrator's Correspondence Files</u></p> <p>a. <u>Description:</u> These files contain correspondence originating with the Administrator and responded to by him. They constitute replies to inquiries, memos about speeches, meetings, etc. and yellow box file copies of Congressionals signed by the Administrator. They are maintained by the Division of General Services.</p> <p>b. <u>Disposition:</u> <u>Permanent.</u> DGS - Cut off file at end of fiscal year. Hold 3 years and transfer to FRC. Offer to National Archives when 10 years 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 style="text-align: center;"><u>PART Ib - ADMINISTRATION AND MANAGEMENT RECORDS</u>  <u>NON-PERMANENT</u></p>		
12	<p><u>ADAMHA Forms Management Files</u></p> <p>a. <u>Description</u>: Records accumulated in the development and execution of a forms management program. Each case file contains data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded, or cancelled. Also included are HEW 398, Request for Forms Action, and HEW 26, ADAMHA Printing Requisition. <i>1. record copy of each ADAMHA form Permanent. offer to NARS in 10 year increments.</i></p> <p>b. <u>Disposition</u>: 2. DGS - Close out file when superseded or obsolete. Place in inactive file. Destroy when 5 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy when form is obsolete or superseded.</p>		
13	<p><u>Records Management Files</u></p> <p>a. <u>Description</u>: Records accumulated in developing and executing a records management program. Files include policy and procedural material, records coordination, disposition files, disposal authorization, schedules for retirement of records and related correspondence.</p> <p>b. <u>Disposition</u>: DMP - Retain in current file area for ready reference. Cut off file when superseded and put in inactive file. Destroy all except SF-135 when 5 yrs old. Destroy SF-135 when no longer needed for administrative purposes.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy duplicate and reference material when superseded or obsolete.</p>		
14	<p><u>Reports Management Files</u></p> <p>a. <u>Description</u>: Records accumulated in evaluating the requirements for approving and controlling specific recurring reports. Files consist of a master listing of all internal and inter-agency reports, with the Reports Approval Symbol for all internal reports, and related correspondence.</p>		

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	<p>b. <u>Disposition</u>: DMP - Hold in current files area for ready reference. Cut off file when superseded or obsolete and put in inactive file. Destroy when 3 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u>: Originators are responsible for maintaining requiring directive and cost and manhours data, as well as documents relating to the continuation, revision or other changes to the report, and related correspondence. Cut off file when superseded or obsolete and put in inactive file. Destroy when 5 years old. Earlier disposal is authorized.</p>		
15	<p><u>Management Study Files</u></p> <p>a. <u>Description</u>: Files document the inception, scope, and accomplishments of individual study and survey projects involving ADAMHA organizational structure, operating procedures, or management practices. Included are records reflecting the request or authorization to undertake the survey, survey plans, the final report with recommendations, and related correspondence.</p> <p>b. <u>Disposition</u>: DMP - Hold in active file for ready reference. When no longer needed, retire to FRC, if volume warrants, and destroy when 5 years old.</p>		
16	<p><u>ADAMHA Budget Preparation and Execution Files</u></p> <p>a. <u>Description</u>: Records documenting the development and execution of the ADAMHA budget including input from all OA staff and Institute components. Records the consolidation, at each level, up to and including the official ADAMHA submission to the PHS, DHEW, OMB and subsequently to the Congress. Since this process is a continuous 3-year effort, documents must go through 3 years minimum as to formulation, execution and obligating documents. Contain budget estimates, appropriations, narrative statements and related correspondence.</p> <p><u>Disposition</u>:</p> <p>b./ DFM - Close out file at end of fiscal year. Retain in inactive file for 3 years and then retire to FRC. Destroy when 6 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy duplicate and reference material when superseded or no longer needed.</p>		

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17	<p><u>Manpower Studies and Survey Files</u></p> <p>a. <u>Description:</u> Files consist of periodic manpower management reports which specify organization/workload analysis relating to current or projected measurable and non-measurable outputs, manpower available/required, productivity indexes and trends. Instructions and guidelines on developing the Manpower Management Program Annual Plan and conducting studies/surveys, Quarterly status reports and similar work measurement data prepared at operating levels and consolidated at agency level. Reports are used to forecast budgetary requirements and justify position increases to DHEW and OMB.</p> <p>b. <u>Disposition:</u> DMP - Cut off file end of FY. Put in inactive file and destroy when 10 years old.</p>		
18	<p><u>Manpower Studies and Survey Working Files</u></p> <p>a. <u>Description:</u> Files contain working papers accumulated in the preparation, clearance, and issuance of final survey reports. Included are notes, drafts, feeder reports, clearance comments, and similar records.</p> <p>b. <u>Disposition:</u> DMP - Cut off file end of FY. Put in inactive file and destroy after 2 years.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Hold 2 years and destroy. Earlier disposal is authorized.</p>		
19	<p><u>ADAMHA International Activities Files</u></p> <p>a. <u>Description:</u> Files document ADAMHA interest and participation in international health projects, liaison, and related activities, which are coordinated by the Office of International Health, Office of the Assistant Secretary for Health. Program files deal specifically with the Foreign Currency Program (P.L. 83-480) and ADAMHA interaction on projects under this authority. The State Department (through signed form, ADM-463, "Notification of Proposal to Make Award") gives ADAMHA permission to do foreign health research.</p> <p>There are two reports ADAMHA makes to the Office of International Health - budget and annual reports. OIH combines all the agency reports and prints a final report</p>		

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20	<p>for all health agencies. Then there are individual project reports made by the Institutes to whom the awards are given - Progress Report, Financial Report, and Inventory Equipment Report. These reports are filed with the complete individual research project file. The reports may vary from approximately 10 pages to book length. Frequently, ADAMHA files may contain background materials not duplicated at other levels.</p> <p>b. <u>Disposition</u>: IAU - Cut off file at end of fiscal year; retain in inactive file for 3 years and retire to FRC. Destroy when 8 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy duplicate and reference material when superseded or obsolete.</p> <p><u>Accounting Management Records</u></p> <p><u>Description</u>: These files are accumulated in the process of monitoring the accounting function performed by HSA. Files are grouped as follows and maintained by Division of Financial Management.</p> <p>A. <u>Report Files</u> which contain weekly, monthly and quarterly printouts of current year funds. <u>Disposition</u>: Maintain by fiscal year. Cut off file end of FY and destroy except final report. Destroy final report when 3 years old.</p> <p>B. <u>Document Files</u> which contain official commitment documents such as grant approval lists and awards, purchase and printing requisitions. <u>Disposition</u>: Maintain by fiscal year. Cut off file end of FY and destroy except grant documents. Destroy when 1 year old.</p> <p>C. <u>Accounting Administrative Files</u> contain correspondence initiated by Accounting Branch, receipts for checks transmitted to HSA for deposit to ADAMHA account, instructions and information pertinent to the ADAMHA commitment system, and correspondence and instructions from HSA. <u>Disposition</u>: Maintain in current files for ready reference. Destroy when superseded or obsolete.</p> <p><u>ADAMHA Institutes and Staff Offices</u> -- Destroy duplicate and reference material when superseded or obsolete.</p>		

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21	<p><u>Controlled Correspondence Files</u></p> <p>a. <u>Description:</u> These files are maintained by the Executive Secretariat for general reference retrieval and control purposes. Such files constitute a record of ongoing responses to PHS and OS controlled correspondence for signatures at the ASH, U, OS, and S levels, or for direct reply on behalf of such addressees.</p> <p>(1) Pink sets of Congressional correspondence controlled for direct reply by the programs within ADAMHA regardless of addressee.</p> <p>(2) Copies of all ASH, U, OS, and S correspondence controlled through the Executive Secretariat for either direct reply or for signature of ASH, U, OS, or S.</p> <p>(3) Copies of all ADAMHA-prepared correspondence responded to by ES, for signature of the Chief, ES.</p> <p>(4) Correspondence control records for above.</p> <p>b. <u>Disposition:</u> EXECSEC - Cut off file end of calendar year. Retain in current files area for 5 years and destroy.</p>		
22	<p><u>Equal Employment Opportunity (EEO) Administrative Files</u></p> <p>a. <u>Description:</u> These files document the administration of the ADAMHA EEO Program. General and specific information included are EEO Counselors, EEO Investigators, Institute Deputy EEO Officers, Federal Woman's Program coordination files, EEO education and training, 16-point Spanish-speaking coordination files, and related correspondence. Case files are covered in General Records Schedule #1.</p> <p>b. <u>Disposition:</u> EEO - Destroy when 3 years old, or sooner if obsolete.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy duplicate and reference material when superseded or obsolete.</p>		

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23	<p><u>Program Coordination Records</u></p> <p>a. <u>Description</u>: These records document the conduct of liaison activities of the OPC/OA with State, territorial and local health authorities, other Government agencies, regional offices, private organizations and the public. Files include, but are not limited to, correspondence and related materials created in the conduct of meetings, conferences, and other facets of such liaison activities.</p> <p>b. <u>Disposition</u>: Cut off file at end of FY and put in inactive file. Hold 5 years and transfer to FRC. Destroy when 10 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy superseded and obsolete material when no longer needed for reference.</p>		
24	<p><u>Computer Systems Management Records</u></p> <p>a. <u>Description</u>: These records are accumulated in the Division of Computer Systems in planning for optimal use of automatic data processing systems in support of ADAMHA mission and program goals, and providing a resource of ADP systems analysis, design, programming, and data maintenance to support ADAMHA staff offices and Institutes. They consist of the following kinds of records (actual machine processing is performed in the Parklawn Computer Center).</p> <p>A. General correspondence regarding computer systems management, hardware, software, Institute requirements and related matters.</p> <p>B. Standardization records consisting of data elements and codes, standardization requests, and justifications for all data systems.</p> <p>b. <u>Disposition</u>: DCS - Hold in current files area for ready reference. Destroy when superseded or obsolete.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy when superseded or obsolete.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>C. Documentation required for servicing machine readable records include specific data systems planning records, systems design specifications, files specifications, input specifications, and output (report forms) specifications.</p> <p><i>Retain with related data file.</i></p> <p>b. <u>Disposition</u>: DCS - <del>Specific data systems records should be held 5 years in the current files area and then destroyed. Systems for which the related magnetic tape data is authorized for blanking should be destroyed at the time the final magnetic tape record produced by the system has been blanked.</del></p> <p><u>ADAMHA Institutes and Staff Offices</u> - Same as DCS above.</p> <p>D. Other agency files consisting of magnetic tapes (erasable media) which are not substantially altered by ADAMHA.</p> <p>b. <u>Disposition</u>: DCS - Destroy when no longer needed.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Same as DCS.</p> <p>E. ADP program card files (non-erasable media) which are processed to produce a machine-coded object program or to activate program-processing modules performing a data-processing job.</p> <p>b. <u>Disposition</u>: DCS - Destroy individual cards when replaced by new one. Destroy program deck after program has been removed from system.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Same as DCS above.</p>		
25	<p><u>Accident and Personal Injury Files</u></p> <p>a. <u>Description</u>: Reports maintained by the OA Safety Officer and copies retained by report officials, in connection with the general reporting of accidents and accident experience. Includes copies of HEW-516, quarterly and annual ADAMHA safety reports, copies of CA-1, CA-2, and related documents submitted to the Bureau of Workmen's Compensation.</p> <p>b. <u>Disposition</u>: OA - Cut off file at end of FY or when all claims are resolved and put in inactive file. Destroy when 5 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy when 2 years old. Earlier disposal is authorized.</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
26	<p><u>Energy Conservation Files</u></p> <p>a. <u>Description</u>: These files consist of OMB directives, PHS reports and correspondence dealing with energy conservation - gas, motor pool, mail, etc. handled by the ADAMHA Energy Conservation Coordinator, DGS, OAM.</p> <p>b. <u>Disposition</u>: OA - Cut off file end of FY and put in inactive file. Destroy when 5 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Hold 2 years and destroy. Earlier disposal is authorized.</p>		
27	<p><u>ADAMHA Regulations Files</u></p> <p>a. <u>Description</u>: Files are accumulated in the Legislative Services Unit and consist of records which establish policy and/or procedures pertaining to the developing and processing of ADAMHA Regulations. All ADAMHA Regulations (those pending or published in final form) are included in addition to the format for developing and processing General Notices, Notices of Proposed Rule Making, and Final Regulations for publication in the Federal Register.</p> <p>b. <u>Disposition</u>: LSU - Transfer all documents for each regulation, including the final regulation, to the FRC when no longer needed for administrative purposes. Destroy when 10 years old.</p> <p><u>ADAMHA Institutes and Staff Offices</u> - Destroy duplicate and reference material when no longer needed.</p>		
28	<p><u>Grants and Contracts Management Policy Files</u></p> <p>a. <u>Description</u>: These files document the development and implementation of policy and procedural guidance which impact on ADAMHA grants and contract activities. They are accumulated in the Office of the Associate Administrator for Extramural Programs and the Division of Grants and Contracts Management. Included are proposed policy statements, approved policy statements, negotiated indirect cost rates, and related correspondence.</p> <p>b. <u>Disposition</u>: AAERP and DGCM - Retain in active files area for ready reference. Destroy when superseded or no longer needed for reference purposes.</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>PART II PROGRAM RECORDS - PERMANENT AND NON-PERMANENT</u></p> <p>These records are created and accumulated in each of the Institutes to reflect their mission in carrying out research, training and services in their respective areas of alcoholism, drug abuse, and mental health. They contain some staff and policy-type material, but are mainly operating records that reflect the administration of a grant-in-aid program. Records that are unique to one Institute will be so described. Otherwise, all records series are created and accumulated in each of the three Institutes, NIAAA, NIDA, and NIMH. These are permanent and non-permanent records. Records series for which disposition instructions exist in General Records Schedules are not included in this schedule.</p> <p>29 <u>Grants Administration and Management Files</u></p> <p>a. <u>Description:</u> These records are accumulated in the Office of Program Support and program divisions in each Institute in the administration and management of their grant-in-aid program. They include correspondence, reports, studies, surveys, and related materials concerning the policies and procedures involved in the administration and management of alcohol, drug abuse, and mental health programs of extramural research, training and services through grants and awards to public and private institutions and to individuals. ADAMHA Institutes are the office of record for all ADAMHA grants awarded.</p> <p>b. <u>Disposition:</u> OPS - Retain for ready reference as long as necessary. Retire to FRC when superseded and destroy 6 years thereafter.</p> <p><u>Other Offices:</u> Destroy when superseded or no longer needed for reference purposes.</p> <p>30 <u>Official Grant Case Files</u></p> <p><u>Description:</u> These files are accumulated by the Office of Program Support and consist of individual official case folders on approved and paid grants and awards to public and private institutions and to individuals. Included are the following types of records: applications and supporting materials, summary of review</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>action, approval and award documents, encumbering and paying documents, financial records, reports of project site visits, copies of progress reports and published reports, termination documents, final reports, and other pertinent material as officially required. Included as a separate part of the record case folder is correspondence and related material.</p> <p>A. <u>Research and Investigation Grants</u></p> <p><u>Disposition:</u> For all except final report, cut off file after termination of support and final audit and put in inactive file; hold 2 years; transfer to FRC; and destroy when 6 years old. <sup>Permanent</sup> A copy of the final report will be offered to National Archives when 10 years old.</p> <p>B. <u>Training Program Grants</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file, arranged by fiscal years. Hold 2 years and transfer to FRC. Destroy when 5 years old.</p> <p>C. <u>Research Fellowships, Career Awards, and Direct Traineeships</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file. Hold 2 years and retire to FRC. Destroy when 5 years old.</p> <p>D. <u>Community Services Grants</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file. Hold 2 years and retire to FRC. Destroy when 5 years old.</p> <p>E. <u>Construction and Staffing Grants</u></p> <p><u>Disposition:</u> Cut off file after completion of construction and staffing of CMHC or other facility and final audit. Hold 2 years and transfer to FRC. Destroy when 13 years old.</p> <p>F. <u>Formula Grants</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file. Hold 2 years and retire to FRC. Destroy when 5 years 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>G. <u>National Research Service Awards Grants</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file. Hold 2 years and transfer to FRC. Destroy when 8 years old.</p> <p><u>Other Offices:</u> These are duplicate records and may be destroyed when superseded or no longer needed for reference purposes.</p>		
31	<p><u>Official non-Paid Grant Case Files</u></p> <p><u>Description:</u> These files are accumulated by the Office of Program Support and consist of individual case folders on disapproved, withdrawn, non-paid, or otherwise unfunded grants and awards to public and private institutions and individuals, consisting of the application and supporting materials and other records relative to the study and review of the application.</p> <p><u>Disposition:</u> OPS - Cut off file after final action and put in inactive file. Hold 1 year and destroy, except pink sheets (summary statements) will be held 3 years and destroyed. Selected case files may be retained as precedents for administrative purposes. These may be destroyed when they have served their purpose.</p> <p><u>Other Offices:</u> These are duplicate records and may be destroyed when superseded or no longer needed for reference purposes.</p>		
32	<p><u>Grants History Card Files</u></p> <p>a. <u>Description:</u> Cards containing summary data on all individual extramural grants.</p> <p>b. <u>Disposition:</u> Destroy when 20 years old.</p>		
33	<p><u>Grants Program Statistical Reports Files</u></p> <p>a. <u>Description:</u> These are tables, charts, graphs, and similar statistical end products containing summary information on the extramural grant program.</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>b. <u>Disposition</u>: Hold until superseded or no longer needed for reference purposes. Transfer to Federal Records Center. Destroy when 10 years old.</p>		
34	<p><u>Initial Review Group (IRG) Records</u></p> <p>a. <u>Description</u>: These records are accumulated by Executive Secretaries of IRGs in the initial review of applications, IRGs are made up of public professionals in the various disciplines of ADAMHA. They provide peer review of grant applications, and rate them in order of preference for approval, referral or disapproval. They also make site visits and write reports. These files contain agendas, minutes of meetings, copies of applications, site visit reports and related correspondence.</p> <p>b. <u>Disposition</u>: EXSECS - Cut off file after committee action has been taken and put in inactive file. Hold until 3 years old and destroy.</p> <p><u>Other Offices</u>: Destroy when superseded or no longer needed for reference purposes.</p>		
35	<p><u>Institute Committee Management Files</u></p> <p>a. <u>Description</u>: These records are accumulated by Institute Committee Management Officers and represent the operational aspect of public advisory committees. They contain duplicate copies of charters, membership records, invitations, agendas, and related correspondence.</p> <p>b. <u>Disposition</u>: CMO - Hold in active file until membership completed or terminated, then put in inactive file. Destroy when 3 years old.</p>		
36	<p><u>Contracts Administration and Management Files</u></p> <p>a. <u>Description</u>: These records are accumulated in the Office of Program Support and program divisions in each Institute. They include correspondence, reports, surveys and studies, and related materials concerning the procedures involved in the administration and management of alcohol, drug abuse, and mental health programs of research training and services accomplished through negotiated contracts and contracts for professional services.</p>		<p><i>Permanent. Advisory Committee minutes agenda, transcripts. Transfer to FCC after 3 yrs. Offer to NARS when 10 years old.</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>b. <u>Disposition</u>: OPS - Cut off file at end of fiscal year and put in inactive file. Transfer to FRC after 2 years. Destroy when 5 years old.</p> <p><u>Other Offices</u>: Destroy when superseded or no longer needed for reference purposes.</p>		
37	<p><u>Official Contract Files</u> including professional services contracts. Follow disposition standard in GRS 3, Item 4.</p> <p><u>Other Offices</u>: Destroy when no longer needed for reference purposes, or upon completion.</p>		
38	<p><u>Audit and Survey Report Files</u></p> <p>a. <u>Description</u>: These files are accumulated in OPS in each Institute. Files contain guidelines and procedures on GAO's reporting practices required within DHEW. Included are comments on GAO draft reports from the appropriate program official responsible for the Grant/Institution being audited. Comments are consolidated to reflect the official response to a given draft GAO report. The final reports, when received, become a part of this file.</p> <p>b. <u>Disposition</u>: OPS - Transfer to FRC 2 years after final report is issued. Destroy when 10 years old.</p>		
39	<p><u>Intramural Research Program Records</u></p> <p>A. <u>Program Files</u></p> <p>a. <u>Description</u>: These are records that are accumulated in each of the Institutes concerning intramural research to be undertaken by the NIMH Intramural Research Program, NIDA Addiction Research Center, NIAAA Laboratory of Basic Alcohol Science, and other intramural research. They consist of program documents, schedules of research, and studies relating to the development, supervision and review of these programs and related correspondence.</p> <p>b. <u>Disposition</u>: Destroy when 10 years old or when no longer needed for administrative purposes.</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>B. <u>Project Case Files</u> <i>(For machine-readable files, see Part IV).</i></p> <p>a. <u>Description:</u> These files are created at laboratories or comparable levels reflecting a complete history of each project. Records consist of basic experimental and statistical data developed or gathered in connection with the project (e.g., books, cards, forms, and other media for notation of observations and other data; data-bearing correspondence and memoranda; examination, test, interview, and other clinical records of individuals such as birth and death certificates; returned and filled-in questionnaires and schedules; records produced by visual, aural, and other recording devices; slides; specimens, etc.), and of the processing and analysis of such data (e.g., indexes to research data; code cards and sheets; punch cards; computational documentation; tabulations, charts, graphs, and other compilations, summarization, and analyses of preliminary and intermediate character; etc.).</p> <p>(1) Records bearing on patients and those consisting of unique clinical records of individuals.</p> <p>b. <u>Disposition:</u> Cut off file upon completion of project and put in inactive file. Hold 5 years and retire to FRC. Destroy when 10 years old or when no longer needed for administrative purposes.</p> <p>(2) All Others.</p> <p>b. <u>Disposition:</u> Cut off file upon completion of project and put in inactive file. Hold 5 years and retire to FRC. Destroy when 10 years old or when no longer needed for administrative purposes.</p> <p>C. <u>End Products of Each Research Project</u></p> <p>a. <u>Description:</u> End-products include article reprints, monographs, summaries of studies, releases; annual, special, summary, final and other project reports; and terminal narrative, statistical, and graphic compilations, summarizations, and analyses.</p> <p>b. <u>Disposition:</u> <u>Retain a record set of each end product.</u> Hold 5 years and retire to FRC. Destroy when 10 years old or when no longer needed for administrative purposes.</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. <u>Evaluation Files</u></p> <p>a. <u>Description</u>: These records relate to the origin, objectives, design, methodology, and evaluation of each project. They consist of correspondence, memoranda, plans and protocols (including samples of all forms used, their covering instructions and staff comments thereon), directives, minutes of meetings and conferences, and other documentation.</p> <p>b. <u>Disposition</u>: Cut off file upon completion of project and put in inactive file. Hold 5 years and retire to FRC. Destroy when 10 years old or when no longer needed for administrative purposes.</p> <p>40. <u>Extramural Research, Services and Training Program Records</u></p> <p>a. <u>Description</u>: These records are accumulated in Institute program divisions and determine how the legislative program will be executed. The files consist of correspondence, reports, studies, policy directives and related documentation concerning planning, coordinating and executing extramural research, training and services in the areas of alcoholism, drug abuse, and mental health.</p> <p>b. <u>Disposition</u>: <u>Permanent</u>. Retain program policy material as long as needed, then retire to FRC and offer to National Archives when 10 years old. Destroy other material when superseded or no longer needed for reference purposes.</p> <p>41. <u>Program Analysis Records</u></p> <p>a. <u>Description</u>: These records are accumulated in Office of Program Development and Analysis. This is an historical file which contains reported or published results of evaluation studies conducted with 1% legislative funding authority in the areas of research, services and training, and program reports collected for the purpose of continuous program analysis. They consist of methods of evaluation, progress reports, final reports and all published results, and related correspondence.</p> <p>b. <u>Disposition</u>: Cut off file upon results of analysis and put in inactive file. Destroy when 5 years 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
42	<p><u>Statistical Files</u></p> <p>a. <u>Description</u>: These files are accumulated by the Institutes as the end result of surveys and studies on the causes, effects, treatment and rehabilitation of the alcoholic, drug abuser, and mentally ill. They include statistical data accumulated from contractors and are in the form of computer printouts, and narratives with statistical data interspersed. Inhouse source data includes schedules, <del>punch cards</del>, tabulations, and annual and special statistical reports presenting data on the alcoholic, drug abuser and mentally ill population. <i>(For machine-readable files, see Part II)</i></p> <p>b. <u>Disposition</u>: Cut off file of final reports and put in inactive file. Retain for 5 years and transfer to FRC. Destroy when 10 years old.</p>		
43	<p><u>Patient Records</u></p> <p>a. <u>Description</u>: Medical and Administrative records of all patients admitted to NIMH Clinical Research Centers at Fort Worth, Texas, and Lexington, Kentucky under the NARA Act of 1966, and community-based treatment records now that these two facilities have closed. All NARA records are now stored at NIDA Headquarters.</p> <p>b. <u>Disposition</u>: Retain records for 5 years after repeal of NARA Act; then transfer to FRC. Destroy when 25 years old.</p>		
44	<p><u>Institute Public Affairs Files</u></p> <p>a. <u>Description</u>: These records are accumulated in Institute Public Affairs Offices and consist of speeches, press releases, press conference transcripts, graphic presentations, and related correspondence.</p> <p>b. <u>Disposition - Permanent</u>: OPA - retain one complete set of press releases and speeches as an historical record and offer to National Archives when 5 years old. Destroy other material when superseded, obsolete, or subject no longer active in Institute.</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
45	<p><u>Institute Publications Files</u></p> <p>a. <u>Description</u>: These files are the record set of pertinent publications, including monographs, pamphlets, brochures, booklets, etc., issued by each Institute in its program area. These record sets are maintained centrally either in a library or a clearinghouse, and additional copies may be maintained in program offices for ready reference.</p> <p>b. <u>Disposition - Permanent</u>: NIMH Library, NIDA Library, NIAAA Clearinghouse - maintain record set for 5 years, then retire to FRC. Offer to National Archives when 10 years old.</p> <p><u>Other Offices</u>: Use for reference purposes as long as necessary, then transfer to library or clearinghouse for disposition.</p> <p>Files pertaining to manuscripts, clearances and printing are covered in General Records Schedule 13.</p>		
46	<p><u>Audio-Visual and Exhibits Files</u></p> <p>a. <u>Description</u>: These records are accumulated in NIMH, the Institute that performs these services for the other Institutes and the OA. They include exhibits, graphic designs, pre-publication clearance record of all ADAMHA publication covers, and other materials documenting the production and execution of ADAMHA graphic presentations or displays at conventions, conferences, or other special showings. Also included are correspondence, drawings, planning documents, photographs of completed exhibits, and related materials.</p> <p>b. <u>Disposition - Permanent</u>: Transfer significant artwork to an ADAMHA Exhibits Production Record Set. Retain in current files area for 5 years; <del>then offer to the National Archives.</del> All other files and exhibits materials: retain in current files area for 5 years after presentation for reference or re-use purposes, then destroy.</p> <p><u>NOTE</u>: Exhibits which have <u>highly significant historical value</u> should be offered to NARS for appraisal.</p>		<p><i>Handwritten notes:</i>          1. 10-11-68          2. 11-11-68          3. 12-11-68          4. 1-11-69          5. 2-11-69          6. 3-11-69          7. 4-11-69          8. 5-11-69          9. 6-11-69          10. 7-11-69          11. 8-11-69          12. 9-11-69          13. 10-11-69          14. 11-11-69          15. 12-11-69          16. 1-11-70          17. 2-11-70          18. 3-11-70          19. 4-11-70          20. 5-11-70          21. 6-11-70          22. 7-11-70          23. 8-11-70          24. 9-11-70          25. 10-11-70          26. 11-11-70          27. 12-11-70          28. 1-11-71          29. 2-11-71          30. 3-11-71          31. 4-11-71          32. 5-11-71          33. 6-11-71          34. 7-11-71          35. 8-11-71          36. 9-11-71          37. 10-11-71          38. 11-11-71          39. 12-11-71          40. 1-11-72          41. 2-11-72          42. 3-11-72          43. 4-11-72          44. 5-11-72          45. 6-11-72          46. 7-11-72          47. 8-11-72          48. 9-11-72          49. 10-11-72          50. 11-11-72          51. 12-11-72          52. 1-11-73          53. 2-11-73          54. 3-11-73          55. 4-11-73          56. 5-11-73          57. 6-11-73          58. 7-11-73          59. 8-11-73          60. 9-11-73          61. 10-11-73          62. 11-11-73          63. 12-11-73          64. 1-11-74          65. 2-11-74          66. 3-11-74          67. 4-11-74          68. 5-11-74          69. 6-11-74          70. 7-11-74          71. 8-11-74          72. 9-11-74          73. 10-11-74          74. 11-11-74          75. 12-11-74          76. 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8-11-82          168. 9-11-82          169. 10-11-82          170. 11-11-82          171. 12-11-82          172. 1-11-83          173. 2-11-83          174. 3-11-83          175. 4-11-83          176. 5-11-83          177. 6-11-83          178. 7-11-83          179. 8-11-83          180. 9-11-83          181. 10-11-83          182. 11-11-83          183. 12-11-83          184. 1-11-84          185. 2-11-84          186. 3-11-84          187. 4-11-84          188. 5-11-84          189. 6-11-84          190. 7-11-84          191. 8-11-84          192. 9-11-84          193. 10-11-84          194. 11-11-84          195. 12-11-84          196. 1-11-85          197. 2-11-85          198. 3-11-85          199. 4-11-85          200. 5-11-85          201. 6-11-85          202. 7-11-85          203. 8-11-85          204. 9-11-85          205. 10-11-85          206. 11-11-85          207. 12-11-85          208. 1-11-86          209. 2-11-86          210. 3-11-86          211. 4-11-86          212. 5-11-86          213. 6-11-86          214. 7-11-86          215. 8-11-86          216. 9-11-86          217. 10-11-86          218. 11-11-86          219. 12-11-86          220. 1-11-87          221. 2-11-87          222. 3-11-87          223. 4-11-87          224. 5-11-87          225. 6-11-87          226. 7-11-87          227. 8-11-87          228. 9-11-87          229. 10-11-87          230. 11-11-87          231. 12-11-87          232. 1-11-88          233. 2-11-88          234. 3-11-88          235. 4-11-88          236. 5-11-88          237. 6-11-88          238. 7-11-88          239. 8-11-88          240. 9-11-88          241. 10-11-88          242. 11-11-88          243. 12-11-88          244. 1-11-89          245. 2-11-89          246. 3-11-89          247. 4-11-89          248. 5-11-89          249. 6-11-89          250. 7-11-89          251. 8-11-89          252. 9-11-89          253. 10-11-89          254. 11-11-89          255. 12-11-89          256. 1-11-90          257. 2-11-90          258. 3-11-90          259. 4-11-90          260. 5-11-90          261. 6-11-90          262. 7-11-90          263. 8-11-90          264. 9-11-90          265. 10-11-90          266. 11-11-90          267. 12-11-90          268. 1-11-91          269. 2-11-91          270. 3-11-91          271. 4-11-91          272. 5-11-91          273. 6-11-91          274. 7-11-91          275. 8-11-91          276. 9-11-91          277. 10-11-91          278. 11-11-91          279. 12-11-91          280. 1-11-92          281. 2-11-92          282. 3-11-92          283. 4-11-92          284. 5-11-92          285. 6-11-92          286. 7-11-92          287. 8-11-92          288. 9-11-92          289. 10-11-92          290. 11-11-92          291. 12-11-92          292. 1-11-93          293. 2-11-93          294. 3-11-93          295. 4-11-93          296. 5-11-93          297. 6-11-93          298. 7-11-93          299. 8-11-93          300. 9-11-93          301. 10-11-93          302. 11-11-93          303. 12-11-93          304. 1-11-94          305. 2-11-94          306. 3-11-94          307. 4-11-94          308. 5-11-94          309. 6-11-94          310. 7-11-94          311. 8-11-94          312. 9-11-94          313. 10-11-94          314. 11-11-94          315. 12-11-94          316. 1-11-95          317. 2-11-95          318. 3-11-95          319. 4-11-95          320. 5-11-95          321. 6-11-95          322. 7-11-95          323. 8-11-95          324. 9-11-95          325. 10-11-95          326. 11-11-95          327. 12-11-95          328. 1-11-96          329. 2-11-96          330. 3-11-96          331. 4-11-96          332. 5-11-96          333. 6-11-96          334. 7-11-96          335. 8-11-96          336. 9-11-96          337. 10-11-96          338. 11-11-96          339. 12-11-96          340. 1-11-97          341. 2-11-97          342. 3-11-97          343. 4-11-97          344. 5-11-97          345. 6-11-97          346. 7-11-97          347. 8-11-97          348. 9-11-97          349. 10-11-97          350. 11-11-97          351. 12-11-97          352. 1-11-98          353. 2-11-98          354. 3-11-98          355. 4-11-98          356. 5-11-98          357. 6-11-98          358. 7-11-98          359. 8-11-98          360. 9-11-98          361. 10-11-98          362. 11-11-98          363. 12-11-98          364. 1-11-99          365. 2-11-99          366. 3-11-99          367. 4-11-99          368. 5-11-99          369. 6-11-99          370. 7-11-99          371. 8-11-99          372. 9-11-99          373. 10-11-99          374. 11-11-99          375. 12-11-99          376. 1-1200          377. 2-1200          378. 3-1200          379. 4-1200          380. 5-1200          381. 6-1200          382. 7-1200          383. 8-1200          384. 9-1200          385. 10-1200          386. 11-1200          387. 12-1200          388. 1-2001          389. 2-2001          390. 3-2001          391. 4-2001          392. 5-2001          393. 6-2001          394. 7-2001          395. 8-2001          396. 9-2001          397. 10-2001          398. 11-2001          399. 12-2001          400. 1-2002          401. 2-2002          402. 3-2002          403. 4-2002          404. 5-2002          405. 6-2002          406. 7-2002          407. 8-2002          408. 9-2002          409. 10-2002          410. 11-2002          411. 12-2002          412. 1-2003          413. 2-2003          414. 3-2003          415. 4-2003          416. 5-2003          417. 6-2003          418. 7-2003          419. 8-2003          420. 9-2003          421. 10-2003          422. 11-2003          423. 12-2003          424. 1-2004          425. 2-2004          426. 3-2004          427. 4-2004          428. 5-2004          429. 6-2004          430. 7-2004          431. 8-2004          432. 9-2004          433. 10-2004          434. 11-2004          435. 12-2004          436. 1-2005          437. 2-2005          438. 3-2005          439. 4-2005          440. 5-2005          441. 6-2005          442. 7-2005          443. 8-2005          444. 9-2005          445. 10-2005          446. 11-2005          447. 12-2005          448. 1-2006          449. 2-2006          450. 3-2006          451. 4-2006          452. 5-2006          453. 6-2006          454. 7-2006          455. 8-2006          456. 9-2006          457. 10-2006          458. 11-2006          459. 12-2006          460. 1-2007          461. 2-2007          462. 3-2007          463. 4-2007          464. 5-2007          465. 6-2007          466. 7-2007          467. 8-2007          468. 9-2007          469. 10-2007          470. 11-2007          471. 12-2007          472. 1-2008          473. 2-2008          474. 3-2008          475. 4-2008          476. 5-2008          477. 6-2008          478. 7-2008          479. 8-2008          480. 9-2008          481. 10-2008          482. 11-2008          483. 12-2008          484. 1-2009          485. 2-2009          486. 3-2009          487. 4-2009          488. 5-2009          489. 6-2009          490. 7-2009          491. 8-2009          492. 9-2009          493. 10-2009          494. 11-2009          495. 12-2009          496. 1-2010          497. 2-2010          498. 3-2010          499. 4-2010          500. 5-2010          501. 6-2010          502. 7-2010          503. 8-2010          504. 9-2010          505. 10-2010          506. 11-2010          507. 12-2010          508. 1-2011          509. 2-2011          510. 3-2011          511. 4-2011          512. 5-2011          513. 6-2011          514. 7-2011          515. 8-2011          516. 9-2011          517. 10-2011          518. 11-2011          519. 12-2011          520. 1-2012          521. 2-2012          522. 3-2012          523. 4-2012          524. 5-2012          525. 6-2012          526. 7-2012          527. 8-2012          528. 9-2012          529. 10-2012          530. 11-2012          531. 12-2012          532. 1-2013          533. 2-2013          534. 3-2013          535. 4-2013          536. 5-2013          537. 6-2013          538. 7-2013          539. 8-2013          540. 9-2013          541. 10-2013          542. 11-2013          543. 12-2013          544. 1-2014          545. 2-2014          546. 3-2014          547. 4-2014          548. 5-2014          549. 6-2014          550. 7-2014          551. 8-2014          552. 9-2014          553. 10-2014          554. 11-2014          555. 12-2014          556. 1-2015          557. 2-2015          558. 3-2015          559. 4-2015          560. 5-2015          561. 6-2015          562. 7-2015          563. 8-2015          564. 9-2015          565. 10-2015          566. 11-2015          567. 12-2015          568. 1-2016          569. 2-2016          570. 3-2016          571. 4-2016          572. 5-2016          573. 6-2016          574. 7-2016          575. 8-2016          576. 9-2016          577. 10-2016          578. 11-2016          579. 12-2016          580. 1-2017          581. 2-2017          582. 3-2017          583. 4-2017          584. 5-2017          585. 6-2017          586. 7-2017          587. 8-2017          588. 9-2017          589. 10-2017          590. 11-2017          591. 12-2017          592. 1-2018          593. 2-2018          594. 3-2018          595. 4-2018          596. 5-2018          597. 6-2018          598. 7-2018          599. 8-2018          600. 9-2018          601. 10-2018          602. 11-2018          603. 12-2018          604. 1-2019          605. 2-2019          606. 3-2019          607. 4-2019          608. 5-2019          609. 6-2019          610. 7-2019          611. 8-2019          612. 9-2019          613. 10-2019          614. 11-2019          615. 12-2019          616. 1-2020          617. 2-2020          618. 3-2020          619. 4-2020          620. 5-2020          621. 6-2020          622. 7-2020          623. 8-2020          624. 9-2020          625. 10-2020          626. 11-2020          627. 12-2020          628. 1-2021          629. 2-2021          630. 3-2021          631. 4-2021          632. 5-2021          633. 6-2021          634. 7-2021          635. 8-2021          636. 9-2021          637. 10-2021          638. 11-2021          639. 12-2021          640. 1-2022          641. 2-2022          642. 3-2022          643. 4-2022          644. 5-2022          645. 6-2022          646. 7-2022          647. 8-2022          648. 9-2022          649. 10-2022          650. 11-2022          651. 12-2022          652. 1-2023          653. 2-2023          654. 3-2023          655. 4-2023          656. 5-2023          657. 6-2023          658. 7-2023          659. 8-2023          660. 9-2023          661. 10-2023          662. 11-2023          663. 12-2023          664. 1-2024          665. 2-2024          666. 3-2024          667. 4-2024          668. 5-2024          669. 6-2024          670. 7-2024          671. 8-2024          672. 9-2024          673. 10-2024          674. 11-2024          675. 12-2024          676. 1-2025          677. 2-2025          678. 3-2025          679. 4-2025          680. 5-2025          681. 6-2025          682. 7-2025          683. 8-2025          684. 9-2025          685. 10-2025          686. 11-2025</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	<u>Institute Executive Secretariat Files</u>  a. <u>Description:</u> These records accumulate in the Executive Secretariat of each Institute and consist of Congressional and public inquiries, other controlled correspondence and related documents, and control forms.  b. <u>Disposition:</u> Withdraw pertinent material and hold 5 years, then transfer to FRC and destroy when 10 years old. Destroy other material when 2 years old. Destroy control forms when 1 year old.		
48	<u>Mental Health Facilities Survey Files</u>  a. <u>Description:</u> These records are accumulated in NIMH and reflect data on the mental health program. Records consist of compilations and tabulations of data dealing with each State's mental health facilities.  b. <u>Disposition:</u> Cut off file when survey completed and put in inactive file. Hold 5 years and retire to FRC. Destroy when 10 years old.		
49	<u>Mental Hospital Survey Files</u>  a. <u>Description:</u> These records are accumulated as a result of surveys of public and private mental hospitals requested by State administrators and other officials in accordance with Title XVIII and XIX of the Social Security Act. They consist of correspondence, reports of survey, working papers and related materials.  b. <u>Disposition:</u> Cut off file of final reports with supporting questionnaire schedules and put in inactive file. Hold 5 years and retire to FRC. Destroy when 10 years old. Working papers and other materials may be destroyed 2 years after final report.		
50	<u>Biometric and Epidemiologic Files</u>  a. <u>Description:</u> These records are accumulated in each Institute and reflect the Institute's interest in biometry and epidemiology. Files consist of special studies relating to survey of physicians, psychiatric		

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>case registers, insurance-related studies, program evaluation, epidemiological and demographic studies, and miscellaneous analyses related to Institute programs. Records include <del>punched cards, magnetic tape, machine runs, correspondence and reports.</del> <i>(For machine-readable files, Permanent, see Part IV).</i></p> <p>b. <u>Disposition</u>: Cut off file when study completed and put in inactive file. Hold 5 years and retire to FRC. Offer to National Archives when 10 years old.</p>		
51	<p><u>State Plans Files</u></p> <p>a. <u>Description</u>: These are plans submitted annually by the various State health authorities which describe what the State proposes to do in each proposed CMHC or other facility. They often recapitulate previous year's plans.</p> <p>b. <u>Disposition</u>: Record copy - hold for 5 years or program audit, whichever comes first, and retire to FRC. Destroy when 10 years old. Duplicate copies may be destroyed when no longer needed.</p>		
52	<p><u>Personnel Records of Guest Workers and Visiting Fellows</u></p> <p>a. <u>Description</u>: These records are accumulated at IRP under the Guest Worker Program and Visiting Fellows Program. Since these employees are not considered to be either regular or special employees, they are not journaled and therefore a regular personnel folder is not available for them.</p> <p>b. <u>Disposition</u>: IRP Cut off file after guest worker or visiting fellow separates and put in inactive file. Hold 1 year and destroy.</p> <p><u>Other Offices</u>: Destroy when guest worker or visiting fellow departs.</p>		
53	<p><u>MH Study Center Files</u></p> <p>A. <u>Medical Records Files</u></p> <p>a. <u>Description</u>: These records were accumulated from approximately 1949 - 1970 when the Study Center was a demonstration project as a model Community MH</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>Center. Patients used in this longitudinal study were treated at the Center as family units and also on an outpatient basis. These records are no longer being accumulated since the function of the Study Center has changed.</p> <p>b. <u>Disposition</u>: Hold file for 5 years and release information only with written consent of patient. Transfer to FRC when 5 years old and destroy when 25 years old.</p> <p>B. <u>Program Records</u></p> <p>a. <u>Description</u>: These records are accumulated from research projects conducted by the Study Center. They consist of program documents, schedules of research, studies, and related correspondence and material.</p> <p>b. <u>Disposition</u>: Destroy when 10 years old or when no longer needed for administrative purposes.</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>PART III - ADAMHA NON-RECORD MATERIALS</u></p>		
54	<p>Materials preserved solely for purposes of reference viz: public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, and policy and procedures documents published within DHEW, by other Federal Agencies, by State and local government activities, and by public entities and activities.</p> <p><u>Disposition:</u> Destroy when superseded or no longer needed for reference.</p>		
55	<p>Extra copies of documents preserved only for convenience of reference, such as:</p> <p>(a) Reading file copies of correspondence.</p> <p>(b) "Tickler," "followup," or "suspense" copies of correspondence.</p> <p>(c) Identical duplicate copies of all documents maintained in the same file.</p> <p>(d) Extra copies of printed or processed materials of which official copies have been retained for purposes of record.</p> <p><u>Disposition:</u> (a) Destroy when 1 year old; (b) destroy when action in each case is completed; (c) destroy each year when files are screened and purged; (d) destroy each year when files are screened and purged. Earlier disposal is authorized.</p>		
56	<p>Stocks of publications and processed documents preserved for supply purposes.</p> <p><u>Disposition:</u> Destroy when superseded or no longer needed for reference.</p>		
57	<p>Privately purchased books and publications, and correspondence, and other materials pertaining to personal matters that have been kept in an office for convenience.</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
58	<p><u>Disposition:</u> The owner should take this material with him when he departs the office on a permanent basis, otherwise destroy when owner permanently departs.</p> <p>Materials that are not being preserved or are not appropriate for preservation because they have neither evidential nor informational values, such as:</p> <p>(a) Preliminary or intermediate drafts of letters, memoranda, reports, or other papers, and preliminary worksheets and informal notes that do not represent significant basic steps in the preparation of record copies of documents.</p> <p><u>Disposition:</u> Destroy 6 months after final action on project/report or 1 year after completion of report/project if no final action taken.</p> <p>(b) Letters of transmittal that do not add any information to that contained in the transmitted material.</p> <p><u>Disposition:</u> Destroy after 6 months, or, at the latest, in 1 year.</p> <p>(c) Memoranda or other papers that do not serve as the basis of official actions, for example, notices of holidays, Red Cross or Combined Federal Campaign drives, and activities of Government associations or unions.</p> <p><u>Disposition:</u> Destroy when no longer needed, or, at the latest, in 1 year.</p> <p>(d) Shorthand notes, including stenographic notebooks and stenotype notebooks and stenotype tapes, that have been transcribed.</p> <p><u>Disposition:</u> Destroy when no longer needed, or at the latest, in 1 year.</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 style="text-align: center;"><u>PART IV - ADAMHA MACHINE READABLE RECORDS</u></p>		
59	<p><u>Research Training Support Tables</u></p> <p>a. <u>Description</u>: These records contain data covering ADAMHA trainee, fellowship, and stipends for management uses. The input comes from Form 2271, grant applications, and additional ADAMHA code sheets. The system contains basic trainee information plus research area, cluster discipline, departmental degree sought and race-ethnic code. The records are located in the Office of the Deputy Administrator.</p> <p>b. <u>Disposition</u>: Hold until superseded or no longer needed for reference purposes and destroy.</p>		
60	<p><u>Point of Entry Edit</u></p> <p>a. <u>Description</u>: This is a system of records in the Division of Grants and Contracts Management, ADAMHA. It edits all ADAMHA grant information to detect and eliminate errors. This error-free ADAMHA grants file is the input from the Information for Management, Planning, Analysis, and Coordination (IMPAC) system of the Division of Research Grants, Statistics and Analysis Branch of the National Institutes of Health.</p> <p>b. <u>Disposition</u>: Retain for ready reference as long as necessary. Destroy when superseded or obsolete.</p>		
61	<p><u>Contract Management System</u></p> <p>a. <u>Description</u>: This is a system of records located in the Division of Grants and Contracts Management. It provides accurate and timely information on all ADAMHA contracts. The system contains all financial information and other pertinent data (delivery date, length of contract, type of contract, etc.) and thus produces management reports.</p> <p>b. <u>Disposition</u>: Disposable when superseded or no longer needed for reference purposes.</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
62	<p><u>SPARS (Scientific Project Analysis and Retrieval System)</u></p> <p>a. <u>Description:</u> This program information system is in the Office of Program Planning and Evaluation and provides data on all ADAMHA projects. OPPE analyzes ADAMHA's grants and contracts, writes brief descriptive abstracts of each and inputs the data into the SPARS computer system for retrieval of subject matter analysis upon request. The system also uses input from the IMPAC system, Statistics and Analysis Branch, Division of Research Grants, National Institutes of Health, to produce complete information via keyword search to all individuals or organizations covering the status and funding for ADAMHA projects.</p> <p>b. <u>Disposition:</u> Disposable when superseded or no longer needed for reference purposes.</p>		
63	<p><u>Alcohol Treatment Program Monitoring System</u></p> <p>a. <u>Description:</u> The Office of Program Development and Analysis, National Institute on Alcohol Abuse and Alcoholism, monitors all treatment programs which NIAAA funds. The information is processed by NIAAA monthly, and output reports are provided to each State project, State alcoholism authorities, DHEW Regional Offices, and NIAAA staff members. These output reports include client treatment information, cost of services, sources of revenue, trends, staff performance, and other information for decision-making by the individual projects and NIAAA staff members. This system provides the primary source of information on alcoholism treatment programs for the Congress, budget recommendations, and policy decisions.</p> <p>b. <u>Disposition:</u> <i>Destroy when superseded or no longer needed for reference.</i> <del>Not disposable. Offer annually to the National Archives.</del></p>		
64	<p><u>National Clearinghouse for Alcohol Information System</u></p> <p>a. <u>Description:</u> These records are accumulated in the NCAI of the Division of Prevention, NIAAA, and contains abstracts from professional and scholarly publications and presentations concerning alcohol abuse and alcoholism.</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
65	<p>b. <u>Disposition</u>: Disposable when superseded or no longer needed for reference purposes.</p> <p><u>CODAP - Client Oriented Data Acquisition Process System</u></p> <p>a. <u>Description</u>; These records are accumulated in the Division of Scientific and Program Information, National Institute on Drug Abuse, and contain reports from approximately 1600 federally funded drug abuse programs and include facilities under the Veterans Administration (VA), Bureau of Prisons (BOP), Law Enforcement Assistance Administration (LEAA), and Department of Housing and Urban Development (HUD). The only major federally sponsored drug abuse program not included is in the Department of Defense (DOD). Since 1974 the drug abuse clinics have submitted monthly reports on 30,000 admissions and discharges. The admission reports contain the data and circumstances of admission, type of treatment, demographic characteristics of sex, age and race, employment status, educational background, number of prior treatment experiences, and patterns of drug abuse. The discharge reports contain the date and circumstances of discharge, length of time in treatment, employment and educational status. A discharge report can be matched with an earlier admissions report by using the clinic's client identifier code. The system contains the following files:</p> <p>(1) Admission file contains the admission reports.</p> <p><u>Disposition</u>: Cut off file of final reports and put in inactive file. Retain 2 years and transfer to FRC. Destroy when 10 years old.</p> <p>(2) Discharge file contains the discharge reports.</p> <p><u>Disposition</u>: Same as (1) above.</p> <p>(3) Clients in Treatment file contains the admission reports for all clients admitted but not yet discharged.</p> <p><u>Disposition</u>: Same as (1) above.</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>(4) Client Flow Summary Report file contains a client census as of the last day of each month. The file includes information on a facility basis giving the number of patients under different types of treatment, a summary of the screening and referral activities during the month, the number of individuals currently on the waiting list, and the number of admissions and discharge reports submitted for the month.</p> <p><u>Disposition:</u> Same as (1) above.</p> <p>(5) Historical Clients File contains both admissions and discharge reports that the client identifier code has matched.</p> <p><i>Same as (1) above.</i> <u>Disposition:</u> <del>Permanent. Offer annually to the National Archives.</del></p>		
66	<p><u>National Drug Abuse Treatment Utilization Survey System (N-DATUS)</u></p> <p>a. <u>Description:</u> Survey is conducted semi-annually by the Division of Scientific and Program Information, National Institute on Drug Abuse of all drug abuse treatment facilities in the United States. Information is collected on such variables as the facilities' hours of service, types of treatment offered, staffing and aggregated clinic population, licensing and accreditation arrangements, and funding sources. Analysis is directed toward estimating the total national capacity for drug treatment, planning new facilities, creating management reports, and preparing budgets and annual reports.</p> <p>b. <u>Disposition:</u> <i>Destroy when superseded or no longer needed for reference.</i> <del>Permanent. Offer to the National Archives after 10 years.</del></p>		
67	<p><u>Controlled Substances Supply System</u></p> <p>a. <u>Description:</u> In Division of Scientific and Program Information, National Institute on Drug Abuse, is a national inventory on the amounts and location of controlled substances available for research into the effects of such drugs.</p> <p>b. <u>Disposition:</u> Disposable when superseded or obsolete.</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
68	<u>National Clearinghouse for Drug Abuse Information System</u>  a. <u>Description:</u> In the Office of Communications and Public Affairs, NIDA, system contains abstracts from professional and scholarly publications and presentations concerning drug abuse.  b. <u>Disposition:</u> Disposable when superseded or no longer needed for reference purposes.		
69	<u>National Clearinghouse for Mental Health Information</u>  a. <u>Description:</u> This system is in the Division of Scientific and Public Information, National Institute of Mental Health and contains abstracts from professional and scholarly publications and presentations concerning mental health.  b. <u>Disposition:</u> Disposable when superseded or obsolete.		
70	<u>Directory of Mental Health Resources in the Washington, D.C. Area</u>  a. <u>Description:</u> This system is in the National Clearinghouse for Mental Health Information, Division of Scientific and Public Information, NIMH, and it lists mental health facilities in the immediate environs of Washington, D.C. but does not list individual practitioners. The directory serves as the source for an annual published directory and for answers to inquiries from the general public in and around Washington, D.C.  b. <u>Disposition:</u> Disposable when superseded or obsolete.		
71	<u>Inventories of Mental Health Facilities</u>  a. <u>Description:</u> Located in the Division of Biometry and Epidemiology, NIMH, these systems cover a variety of mental health facilities and consist of information regarding the individual facility's caseload, staffing, and finances. These inventories provide reports on the effectiveness of Federal funding of mental health facilities, produce the Mental Health Facilities Directory and create a sampling frame for periodic sample surveys of patients. These inventories include the following systems:		

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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>(1) <u>Inventory of Comprehensive Community Mental Health Centers</u></p> <p>a. <u>Description</u>: Is conducted annually and covers the period from 1968 to the present. This inventory also includes aggregated information on medical and demographic characteristics of patients.</p> <p>b. <u>Disposition</u>: Cut off file when inventory completed and put in inactive file. Hold 5 years and retire to the FRC. Destroy when 10 years old.</p> <p>(2) <u>Inventory of Transitional Mental Health Facilities</u></p> <p>a. <u>Description</u>: Is conducted biennially and covers the period from 1971 to the present. The transitional facilities consist of psychiatric half-way houses and community residences.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p> <p>(3) <u>Inventory of General Hospital Psychiatric Services</u></p> <p>a. <u>Description</u>: Is conducted biennially and covers the period from 1969 to the present.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p> <p>(4) <u>Inventory of Mental Health Facilities</u></p> <p>a. <u>Description</u>: Is conducted in association with the Accreditation Council for Psychiatric Facilities and surveys mental health facilities not included in the above inventories. This inventory is completed biennially or annually, depending upon the type of facility and covers the period from 1969 to the present.</p> <p>b. <u>Disposition</u>: Same as (1) above.</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>(5) <u>Mental Health Directory System</u></p> <p>a. <u>Description</u>: Is compiled from the above inventories and lists the mental health facilities in the United States, the type of service, capacity, and administrative control. It serves as an index for referrals and provides a sampling frame for patient surveys.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p> <p>(6) <u>Annual Census of Patient Characteristics System</u></p> <p>a. <u>Description</u>: Began in 1949 and became automated in 1969. This annual survey of all State and county mental hospitals includes aggregated information on the age, sex and diagnosis of patients in inpatient services.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p>	<p><i>MD</i> <i>LC</i> <i>R-8107</i> <i>R-8107</i> <i>R-8107</i></p>	
72	<p><u>Sample Survey of Patients</u></p> <p>a. <u>Description</u>: Done by Division of Biometry and Epidemiology, NIMH, is usually conducted periodically on a sample of admissions to a sample of mental health facilities during a given month. These admissions are usually followed up after a three month period to determine the results of treatment. The content of the surveys and the types of facilities included vary from survey to survey, but they attempt to collect more detailed information on the patients than the Annual Census of Patient Characteristics. (See above.) Examples of the surveys conducted are as follows:</p> <p>(1) <u>Sample Survey of Additions to Inpatient Services in State and County Mental Hospitals</u></p> <p>a. <u>Description</u>: Is conducted periodically on a sample of admissions to a sample of hospitals during a sample month in the year. Such surveys were conducted in October 1969, November 1970, October 1972, and April 1975.</p> <p>b. <u>Disposition</u>: <del>Permanent. Offer to National Archives when no longer needed for reference purposes.</del> <i>Selection when no longer needed for reference.</i></p>		<p><i>Selection when no longer needed for reference.</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) <u>Sample Survey of Inpatient Additions in Private Psychiatric Hospitals</u></p> <p>a. <u>Description</u>: Is conducted periodically with the support of the American Association of Private Psychiatric Hospitals. It includes all admissions to private hospitals during the sample month. A sample survey was conducted in November 1970 and April 1975.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p> <p>(3) <u>Sample Survey of General Hospital Inpatient Psychiatric Unit Discharges</u></p> <p>a. <u>Description</u>: Is conducted periodically by American Hospital Association on contract with NIMH on a sample of discharges from a sample of hospitals during a sample month in the year. Such a sample survey has been conducted in February 1971 and April 1975.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p> <p>(4) <u>Sample Survey of Additions to Outpatient Psychiatric Services of Clinics</u></p> <p>a. <u>Description</u>: Is conducted periodically on a sample of admissions to a sample of outpatient services during a sample month of the year. Sample surveys were conducted in October 1969, November 1970, and April 1975.</p> <p>b. <u>Disposition</u>: Same as (1) above.</p>		
73	<p><u>Mental Health Demographic Profile System</u></p> <p>a. <u>Description</u>: These records are accumulated in the Division of Biometry and Epidemiology, NIMH and relate demographic information with census tracts to 1500 catchment areas in the United States to produce a mental health profile of the United States. Information is obtained from 1970 Census figures, the National Center for Health Statistics, and various mental health facilities.</p> <p>b. <u>Disposition</u>: <del>Permanent. Put off file when survey completed. Hold 10 years and retire to FRC. Offer to National Archives when 15 years old.</del> <i>Per trays when no longer needed for reference.</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
74	<u>Research Study Data</u>  a. <u>Description</u> : These data are accumulated in the Division of Extramural Research Programs, NIMH, and are produced by both inhouse and collaborative studies or projects. All files produced by a single study or project will be considered a unit. This unit may include master files, summary files, valid transaction files, print tapes, special study files and sample or subsample files.  b. <u>Disposition</u> : <del>Destroy</del> 2 years following publication of the results of the project or study, <i>submit SF-115 for disposal of all files generated by a single research study or project.</i>		
75	<u>Early Clinic Drug Biometric Laboratory Information Processing System</u>  a. <u>Description</u> : This item refers to files produced by a software package in the Division of Extramural Research Programs, NIMH, referred to as ECDBLIPS. Extramural researchers design their own studies including procedures and drugs. They select the appropriate rating forms from the 46 instruments which comprise the assessment battery. At the completion of the study, the researcher sends completed forms to NIMH for scoring and statistical analysis. A standard package of output is sent to the investigator along with a set of punched cards containing the raw data.  b. <u>Disposition</u> : Disposable. All files created by this software package are disposable after three months following the receipt of the output package by the investigator.		
76	<u>Research Grants System</u>  a. <u>Description</u> : In Division of Extramural Research Programs, NIMH, this system provides accurate and up-to-date programmatic data on all extramural ADAMHA research grants regarding the administrative and financial details. Input comes from the IMPAC system, Statistics and Analysis Branch, Division of Research Grants, NIH, and ADAMHA files and includes administrative data such as title, investigator's name, funding, content summary, discipline of investigator, and other specialized information.  b. <u>Disposition</u> : Disposable when superseded or obsolete.		



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
77	<p><u>Economic Change and Social Pathologies in Urban Areas</u></p> <p>a. <u>Description:</u> This extramural research grant is located in the Division of Special Mental Health Programs, NIMH. The researcher is M. Harvey Brenner of the Johns Hopkins University, School of Hygiene and Public Health. The project is designed to obtain from public records, such as the Bureau of the Census or Bureau of Vital Statistics, statistical data on the urban economy and social pathology covering the years 1870-1970 and concentrating on 1950-1970. Sources concentrate on 10 major cities but also cover 46 other cities. The information includes both economic indicators and social pathology data, such as information on mental disorders, mortality rates, homicide and imprisonment, impoverishment, suicide, family disorganization, and isolation of the elderly. Through correlational and multiple regression analyses, the study will test the hypothesis that changes in the prevalence of major urban social pathologies are inversely related to changes in economic indicators.</p> <p>b. <u>Disposition:</u> Permanent. Offer to the National Archives 2 years following the final publication of the results of the study.</p>		
78	<p><u>Philadelphia Social History Project</u></p> <p>a. <u>Description:</u> This extramural research grant under the direction of Theodore Hersberg, Associate Professor of History, the University of Pennsylvania is located in the DSMHP, NIMH. The project has collected information on Philadelphia County during the nineteenth century from the U.S. Population Manuscript Census Schedules of 1850, 1860, 1870 and 1880, from Pennsylvania Abolition Society and Society of Friends Manuscript Census Schedules of 1838, 1847 and 1856, from U.S. Manufacturing Manuscript Census Schedules of 1850 and 1880 from City Business Directories of 1850 and 1880, and from the block by block routes of the Transportation Network. This vast data base is probably the largest in machine readable form on any American city during the 19th century and has or will produce a minimum of 42 scholarly works in the fields of history, social work, sociology, economics, geography, and computer science.</p> <p>b. <u>Disposition:</u> Permanent. Offer to the National Archives 2 years after the final publication by the principal investigator of the study's results.</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
79	<p><u>Cognitive Development System</u></p> <p>a. <u>Description</u>: In Division of Manpower and Training Programs, NIMH, this is a study containing word associations of 150 Hungarian-Americans matched with the associations of 150 Hungarians. While demographic information was used in the matching process, no demographic information is maintained in machine-readable form. The sample was not random but solicited through various Hungarian-American and Hungarian organizations for volunteers.</p> <p>b. <u>Disposition</u>: Dispose 2 years following the publication of the results of the study.</p>		
80	<p><u>ADAMHA Trainee and Training Grant Data Base</u></p> <p>a. <u>Description</u>: These records are accumulated by the Division of Manpower and Training Programs, NIMH. Input data from the IMPAC system is used to update the ADAMHA file. File is broken by Fiscal Year. The records contain information from trainee and training grants awarded and have been taken from the training and trainee applications. At various times, the DMTP will submit additional data elements for further analysis.</p> <p>b. <u>Disposition</u>: Hold tapes for 2 years. Transfer to Federal Records Center. Destroy when 10 years old.</p>		
81	<p><u>Statistical Research Data on Adolescent Runaways in Prince Georges County, Maryland - 1962-65.</u></p> <p>a. <u>Description</u>: These records are in the form of tapes and typewritten transcripts of information obtained by the Mental Health Study Center, DMHSP, NIMH, from interviews with subject individuals and parents or guardians of adolescent runaways from 1962 through 1965. At the present time, a follow-up study using these records is being conducted.</p> <p>b. <u>Disposition</u>: Disposable when obsolete or superseded and no longer needed for reference purposes.</p>		

## Request for Records Disposition Authority—Continuation


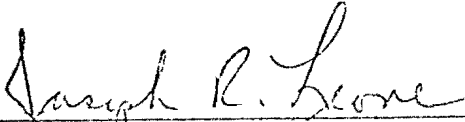

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7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
82.	<p><u>PART VI - AUDIOVISUAL RECORDS - PERMANENT AND NON-</u> <u>PERMANENT</u></p> <p><u>Audiovisual Materials (Public Information Purposes)—</u> <i>Office of Communications and Public Affairs and Division of Scientific and Public Information (NIMH).</i></p> <p>a. <u>Description:</u> Audiovisual materials prepared for or by ADAMHA for public information purposes. Records provide information on programs and activities of ADAMHA, and consist of motion picture film, still photographs, videotapes, sound recordings, and other materials described in General Records Schedule 21. <i>Each office maintains a single record series for each audiovisual medium. (Per telcom 7/22/77, M. Chigik) RFW</i></p> <p>b. <u>Disposition:</u> Office of Communications and Public Affairs. Division of Scientific and Public Information (NIMH). PERMANENT. Offer to NARS when 10 years old, or when administrative value ends, whichever is earlier.</p> <p>Estimated Annual Volume: 3 cubic feet.</p>		
83.	<p><u>Audiovisual Materials (Clinical and Routine Administrative Purposes)</u></p> <p>a. <u>Description:</u> Audiovisual materials consisting of motion picture film, still photographs, videotapes, sound recordings, and other items described in General Records Schedule 21. Records are used for staff training, clinical support, laboratory projects, individual treatment, and routine administrative purposes.</p> <p>b. <u>ADAMHA Institutes and Staff Offices</u> - Destroy in accordance with General Records Schedule 21.</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
	<div> Donald T. Taylor, Director, Division of Management Policy, Office of Administrative Management, ADAMHA, PHS, DHEW</div> <div> Joseph R. Leone, Director, Office of Administrative Management, Alcohol, Drug Abuse, and Mental Health Administration, PHS, DHEW</div> <div> Howard Walderman, Public Health Division, Office of the General Counsel, DHEW</div>		