# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# Schedule Number: NC1-443-84-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/17/2023

# **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 other items not listed below remain 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# SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 2/a superseded by DAA-0443-2019-0007-0001

Items 2/b and 2/c are superseded by DAA-0443-2019-0007-0002

Items 12/a and 12/b superseded by DAA-0443-2019-0005-0003

RE	QUEST FOR RECORDS DISPOSITION (See Instructions on reverse)	AUTHORITY	JOB NO.	LEAVE BLANK	
				111-	011
	RAL SERVICES ADMINISTRATION, AL ARCHIVES AND RECORDS SERVICE, WASHINGTO	N, DC 20408	DATE RECEIVED	443	-84-1
. FROM (AG	ENCY OR ESTABLISHMENT)		L	1-13-8	<i>74</i>
	ent of Health and Human Services	<u>.</u>	NOTIFIC	LATION TO AGEN	ICY
.MAJOR SU Public	Health Service		In accordance with the pro		
MINOR SU			quest, including amendme be stamped "disposal not	approved" or "withd	rawn" in column 10
	l Institutes of Health				
NAME OF	PERSON WITH WHOM TO CONFER	5. TEL. EXT.	6-21-84	DIANY	1/1. /
Dr. Ken	neth F. Thibodeau	496-2832	Date	Archivist of the	United States
	TE OF AGENCY REPRESENTATIVE				
	Request for immediate disposal. Request for disposal after a spe retention.	ecified period	of time or requ	lest for pe	rmanent
DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLĖ	· · · · · · · · · · · · · · · · · · ·	······································	
5/12/84	Da. George Deal	DHHS Re	ecords Manageme	ent Office	•
7. ITEM NO.	8. DESCRIPTION (With Inclusive Dates or			9. SAMPLE OR JOB NO.	10. ACTION TAKE
.'	[Note: Numbers in parentheses will have in the NIH Records Sc				
1	(4000-E-3) <u>Alert System Records</u> investigations or determination science by actual or potential grants or contracts.	is of misconduc	ct in research		
	a. Records of investigations w made not to impose any offi				
	Located in Division of Mana	gement Survey	and Review		
	Disposition: Destroy upon noti the investigation		ompletion of		
	MASS DATA CHANGE SHI	SET NOT REQUIRE	מ		2 Cinterna
15-107 NC	w sent 7-2-84 k	ny DMU	<i>د</i> ک.	STANDARD Revised Apri Prescribed by Administra FPMR (41 CF	l, 1975 y General Service tion

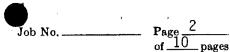
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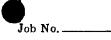


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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. Records of investigations which have resulted in imposition of official sanctions and records of such sanctions. Located in Division of Management Survey and Review		
	<u>Disposition</u> : Destroy when the sanction expires or terminates.		
	c. Other copies of the records described in 'a' or 'b'		
	Located in any component.		
	<u>Disposition</u> : Destroy, or return to the Division of Management Survey and Review as soon as the purpose for which the copy was provided is satisified. Do not file with grant or contract files.		
2	(1700-A-4) <u>Division of Management Survey and Review</u> <u>Project Folders</u> documenting DMSR surveys and reviews of management control systems and DMSR investigations of specific problems or allegations of impropriety or malfeasance.		
	These folders consist of documents describing the inception, nature, scope and purpose of each project; significant correspondence; miscellaneous papers important to the conduct of the project or the development of final determinations; draft reports together with comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; final reports and related follow-up documents.		
	a. Project folder documenting any case which, in the opinion of the Director, DMSR, and of the Chief, NIH Records Management Branch, is historically important because it resulted in major change in NIH, PHS or HHS policy or procedure; was involved in extensive litigation; received widespread publicity in news		

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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
	media or scientific journals; or received considerable attention from the Congress or the Executive Office of the President.		
	Disposition: PERMANENT. Offer to the National Archives in 5 year blocks <del>twenty</del> years after final action on the most recent project in the block. (For example, in 19 <b>9</b> 9 offer project files closed out in 1964-1969.)		
	[The volume of these records is very small. The total volume of all project folders created since the origin of DMSR (1964–1983) is less than 16 cu. ft. The volume selected for offer to NARS will probably be less than 5 cu. ft.]		
	b. Project folders documenting investigations of minor infractions or improprities (for example, improper expenditure of public funds less than \$5,000), reviews of minor management problems or projects in which the final recommendation is that no action be taken.		
	<u>Disposition</u> : Destroy 5 years after final action on the project. Inactive records may be retired to the Federal Records Center 1 year after final action.		
	c. All other project folders.		
	Disposition: Destroy 20 years after final action on the project. Inactive folders may be retired to the Federal Records Center in 5 year blocks 1 year after final action on the most recent project in the block. (e.g. Folders for projects with final action between 1980 and 1985 may be transferred in 1986 with instruction to destroy in 2005.)		
	d. Working papers collected under each project are scheduled under General Records Schedule 16, item 10 which allows them to be destroyed 6 months after final action on the project report, or 3 years after completion of report if no action is taken.		

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

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



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





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## **REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS-Continuation Sheet**

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

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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
11	(1700-A-9) Correspondence pertaining to routine administration, internal procedures, and other materials relating to OMB Circular A-76.		
	Located in: DMP		
	Disposition: Destroy after 5 years, or sooner if no longer needed.		
12 669	(1100-J-8) <u>Records related to associations, foundations, institutitions and other organizations</u> , such as professional societies, private research establishments, chartitable foundations and special interest groups which conduct, support or promote activities relevant to NIH programs. Examples include the American Cancer Society, the Cystic Fibrosis Foundation, the American Association of Medical Colleges, the Federation of American Society for Autistic Children, et al.		
	a. <u>Records documenting substantial cooperation or</u> <u>interaction</u> between NIH and an outside organization in areas or activities directly related to NIH programs. Examples of such interactin include joint sponsorship of conferences or research activities, or actions or positions taken by outside organizations which result in changes in NIH policies, procedures or programs.	GEN	
·	Disposition: PERMANENT. Transfer to the Federal Records Center when five years old. Offer 600 <del>legal title</del> to the National Archives when 20 years old.		
	b. <u>Records of routine interactions</u> , such as responses to request for information, participation of individual NIH employees in meetings, conferences, committees, or other activities of outside organizations.		
	Disposition: Destroy when three years old, or when no longer needed, whichever is sooner.		

9, 7. 8. DESCRIPTION OF ITEM 10. SAMPLE OR JOB NO. ACTION TAKEN ITEM NO. (WITH INCLUSIVE DATES OR RETENTION PERIODS) Concur: Februar 15/184 Date Kenneth F. Kenneth F. Thibodeau, Ph.D. NIH Records Management Officer Concur: Ginda PHS Records Officer