

1743 - KEEPING AND DESTROYING RECORDS
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PART 1 ADMINISTRATION:

Section 1100 - General Administration

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Part 1 covers records used in the administration and management of NIH programs and activities, as well as administrative and management services such as accounting, procurement, personnel and data processing.

EXCLUDED from this section are:

- (1) Records which document NIH program activities (see Parts [2](#) to [4](#));
- (2) Records used in providing information, communications or training (see [Part 5](#)).

1100 GENERAL ADMINISTRATION

A. Legislation and Regulations Files related to the development, formulation, laws and regulations governing matters related to NIH's mission.

EXCLUDED from this section are: Records related to implementation of or compliance with laws and regulations. (See appropriate subject/functional sections.)

i. Legislative Liaison Records - These records are created in the analysis of legislation related to NIH programs and program needs, the development of legislative proposals, and other legislative liaison functions.

1100-A-1 NIH Legislative History Files of enacted legislation with supporting documents, including legislative proposals, testimony before congressional committees, appropriations and oversight hearings, excerpts from the Congressional Record and committee reports. Official file is in DHHS General Counsel Office.

Disposition: Transfer case files of legislation to inactive file when superseded or terminated.
Destroy inactive file when 15 years old.

1100-A-2 Legislative proposals which have not yet been enacted into law. Included are supporting documents such as testimony before congressional committees and studies assessing existing authorities to meet present and future program objectives.

Disposition: Review for disposal at least every 5 years and destroy what is not needed for administrative reference. Earlier disposal is authorized.

1100-A-3 Legislative Highlights, Summaries of Congressional Activities with related Congressional Correspondence, and other reports or analyses of legislative developments relevant to NIH programs compiled for information purposes.

Disposition: Destroy when 5 years old or when no longer needed for administrative purposes, whichever is later.

ii. Federal Register Documents

1100-A-4 Regulations files created for the purpose of publishing NIH rules in the Federal Register.

a. Notices of Proposed Rule-Making and final Regulations, together with pre-clearance documents, concurrence memoranda, public comments on proposed rule-making, and other correspondence, studies, reports or background material involved in the development of the regulations.

Disposition: Official file - Transfer to Federal Records Center 5 years after being superseded or revoked or the subject activity is discontinued. Destroy 5 years after superseded, revoked or discontinued.

Other copies - Destroy no later than 1 year after being superseded or revoked or the subject activity is discontinued.

b. Summary statements, press releases, synopses of Federal Register documents, Notices of Department Publications in the Federal Register, and other required documents which are not essential to development of the regulation.

Disposition: Destroy when pertinent Regulations files are transferred to the Federal Records Center. Earlier disposal is authorized if no longer needed for administrative reference.

1100-A-5 Program announcements, statements of NIH policies or interpretations, notices of proposed policies, and other general notices not specified below published in the Federal Register, including the background material and correspondence, press release, and memorandum showing PHS concurrence.

Disposition: Official file - File with appropriate program file. Destroy when program file is destroyed or transferred to the Federal Records Center.

Other copies - Destroy no later than 2 years after program is discontinued or policy is superseded or discontinued.

1100-A-6 Statements of availability of grants and/or contracts published in the Federal Register. Included are the background correspondence and materials and the memorandum showing PHS concurrence.

Disposition: Official file - File with appropriate program files. Destroy when program file is destroyed or transferred to the Federal Records Center.

Other copies - Destroy when no longer needed for administrative reference.

1100-A-7 Notices of Meetings

(a) Notices of meetings of public advisory groups and of chartering or renewal of public advisory committees.

Disposition: File with appropriate committee case file. Destroy when program file is destroyed or transferred to the Federal Records Center.

(b) Notices of Meeting for seminars, workshops, conferences, and other discussion groups.

Disposition: File with appropriate program file. Destroy when program file is destroyed or transferred to the Federal Records Center.

1100-A-8 Statements of organization, functions and delegations of authority published in the Federal Register. Included are transmittal memos, clearance documentation, background correspondence, and the published statements.

Disposition: File with Organization, Functions and Delegations of Authority files. Destroy when program file is destroyed or transferred to the Federal Records Center.

1100-A-9 Legislation and Regulations Files/Legislative Liaison Records

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when superseded or when referencing or updating is completed.

B. Policy/Subject Files

1100-B-1 Policy Files created in the Office of the Director to establish NIH policy and in the IC's to establish internal program policies. Included are statements of policy with recommendations, staff studies, presentations, evaluations, reports and conclusions, and correspondence. This item excludes policies which are published in the NIH Manual or the NIH

Guide for Grants and Contracts.

Disposition: Official File - PERMANENT.
Transfer to Federal Records Center when superseded, obsolete or no longer needed. Offer to National Archives 10 years after superseded, obsolete or no longer needed.

Other copies - Destroy no later than 1 year after related policy is obsolete or discontinued.

1100-B-1a Subject Files created in the Office of the Director and the offices of the IC Directors' to document the Director(s) relationship with other NIH components, DHHS Bureaus, the Assistant Secretary for Health, other government agencies, and Congress. Also included are records relating to the planning, development, and management of agency programs. Documents include correspondence, memoranda, minutes of committee meetings, briefing materials, position papers, reports, evaluations, and studies.

Disposition: PERMANENT. Review files at 5 year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Offer to the National Archives when 20 years old.

1100-B-2 Clinical Center Central Files related to general policy and procedures, admissions policies and procedures, general administrative documents, or any other documents related to the official duties of the Director, Clinical Center.

Location: CC, Office of the Director

a. Recordkeeping Copy:

Disposition: PERMANENT. Offer to National Archives when 7 years old.

1100-B-3 Policy/Subject Files

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when superseded or when

referencing or updating is completed.

C. Program Planning, Review and Evaluation

i. Program Planning Files - Records created in the determination, development and establishment of NIH programs and in the review of the effectiveness and need for change in the statutory base of NIH activities.

EXCLUDED from this section are:

- (1) Files related to planning individual biomedical research projects or experiments; see items 3000-G through J.
- (2) Files related to planning individual ADP applications; see section 2800-A.
- (3) Files related specifically and solely to budget planning; see section 2100.
- (4) Plans for management, housekeeping and other services not specifically related to NIH programs; see appropriate subject/function headings.

1100-C-1 Biomedical Resources: Studies, analyses, reports and correspondence which analyze national manpower and other resources for biomedical research, education and communication and which state projected requirements for them.

a. Located in OER.

Disposition: PERMANENT. When a program becomes inactive or records are no longer needed for reference, transfer to Federal Records Center. Offer to National Archives 15 years after records are no longer needed.

b. All other copies.

Disposition: Destroy when no longer needed for reference.

1100-C-2 NIH Program Operations: Studies, analyses, reports, and correspondence which document current and long-range plans for NIH's program operations. Included are the Planning-Programming-Budgeting-System files, the Program and Financial Plan files (Forward Plan), and the Annual Program Review.

a. Located in OSP.

Disposition: PERMANENT. Review files at 5 year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Offer to National Archives 15 years after records are no longer needed.

b. All other copies.

Disposition: Destroy when no longer needed for reference.

1100-C-3 IC Planning Programs: Program planning files, including statements and definitions of program objectives, parameters and projections for future activities, for programs which support NIH's biomedical research, education and communications mission.

Located in IC Directors' offices.

Disposition: PERMANENT. Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old.

ii. Program Review and Evaluation

Records created in review, analysis and evaluation of NIH programs and policies.

EXCLUDED from this section are:

(1) Management studies related to staffing, administration, work methods and other topics not related to specific NIH programs; see section 1700-A.

(2) Management studies and analysis of information systems; see section 2800-A or 8000-C.

(3) Financial audits; see section 1900.

(4) Reports prepared solely for public information and not for reporting to higher authorities; see

section 8000-A.

1100-C-10 NIH Program Analysis Files: Studies, analyses, reports, correspondence and statistical data created in the continuing analysis of NIH programs and policies. Included is the annual Research and Evaluation Plan (HEALTH) and findings of Congressional or Presidential study groups such as the President's Biomedical Research Panel.

a. Located in OSP.

Disposition: PERMANENT. Review files at 5 year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Offer to National Archives when 15 years old.

b. All other copies.

Disposition: Destroy when no longer needed for reference.

1100-C-11 Reports on major programs related to the NIH mission, including those to Congress which are required by statute. These reports contain program status information, scientific data, accomplishments and statistical information.

a. Reports not duplicated in another permanent file and not included in a publications series as described by 8000-A-1.

Located in issuing office.

Disposition: PERMANENT. Transfer to Federal Records Center at 5 year intervals. Offer to National Archives when 15 years old.

b. All other copies.

Disposition: Destroy after 2 years. Earlier disposal is authorized.

c. Feeder reports and other background information for 1100-C-11a.

Disposition: Destroy 2 years after consolidated

report is submitted.

1100-C-12 IC Program Analysis and Review Files including progress reports, statistical compilations, program audits and analyses of programs with comments and recommendations, for specific programs which support NIH's biomedical research, education and communications missions.

a. Located in IC Directors' offices.

Disposition: PERMANENT. Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old.

b. Program records which document unique activities illustrating the history of the Clinical Center. These may involve significant events, policy matters not documented in the Clinical Center Central File, or special or historic meetings. The records may include copies of printed programs, and other varied materials.

Located in CC, Office of the Director.

1. Recordkeeping copy:

Disposition: PERMANENT. Incorporated into Clinical Center Central File when 7 years old. File with other Clinical Center Central File records scheduled for offer to the National Archives.

c. Program analysis and review files.

Located in all other offices.

Disposition: Destroy when no longer needed for reference or when 5 years old, whichever is sooner.

1100-C-13 Project clearance files of records required by the Paperwork Reduction Act.

Disposition: Destroy 5 years after related form is superseded or terminated.

1100-C-14 Extramural Program Special Project Files of studies,

surveys and reports prepared in the planning, evaluation and review and reporting on the extramural program. Examples of subjects covered are peer review, centers survey, research careers, and human subjects in research.

a. Located in Office of the Deputy Director for Extramural Research.

Disposition: Official File - PERMANENT. Transfer to Federal Records Center at 10 year intervals. Offer to National Archives when 25 years old.

b. All other copies of any part of this file.

Disposition: Destroy when no longer needed for reference and no later than 5 years.

1100-C-15 Research Analysis and Evaluation Files created in the planning, decision-making and continuing evaluation of the extramural program. Included are documents related to the analysis of trends and needs in scientific fields and to reporting on the status of support and accomplishments.

a. Located in IC Extramural Program Offices.

Disposition: PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

b. All other copies.

Disposition: Destroy when no longer needed for administrative reference.

1100-C-16 National Trends in Health R & D Support: This machine-readable data system contains data on national and Federal obligations for the support of health research and development. The file includes information on Federal health R & D by performance component (grants/contracts), fields of science, and individual medical school or institution of higher education, as well as summary data on industry, state governments, and private non-profit health R & D by source and performer. Interagency Reports are the source for Federal information, and there are various sources in the other sectors for the national data. The file provides data for the NIH Almanac and

for the publication, Dollars for Health R & D. Federal totals are updated annually, with breakdown bi-annually. The data for the other sectors is updated annually.

Disposition: Destroy when no longer needed for administrative purposes.

1100-C-17 Reporting of DHHS Obligations to Institutes of Higher Education and Other Non-Profit Organizations: This is a system of data on obligations for all DHHS agencies by recipient, object and fields of science for science training grants, fellowships and R & D in universities and colleges. Input is from IMPAC for NIH data, financial management and budget offices for other DHHS agencies and from other sources. The system serves as the DHHS portion of a government-wide annual review of Federal obligations to institutions of higher education and other non-profit organizations as required by the National Science Foundation Act of 1950.

Disposition: All files - Destroy when no longer needed for administrative purposes.

1100-C-18 Program Planning, Review and Evaluation

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when superseded or when referencing or updating is completed.

D. Organization and Functions

1100-D-1 Organization and Functions files consisting of functional statements, organizational and staffing charts and reorganization studies of NIH and the IC's. Included are official statements published in the Federal Register with supporting correspondence and other records which document successive changes at branch, section and lower-level organizations and reasons therefore. These documents state the mission of the agency and subordinate organizations; establish, reorganize, centralize or decentralize, and discontinue programs and organizational structures; or show organizational charts and codes; and include records created in the development of and influencing decisions on these matters.

a. Located in CC, Office of the Director

Disposition: PERMANENT. Transfer a complete set of superseded statements to Federal Records Center at 10-year intervals. Offer to the National Archives 10 years after transfer to the Federal Center.

b. Located in (1) Office of Management Assessment. (2) Official files of all IC's.

Disposition: PERMANENT. Transfer a complete set of superseded statements to Federal Records Center at 10 year intervals. Offer to National Archives 10 years after transfer to the Federal Records Center.

c. All other copies and correspondence or papers which are not related to the decision process for determining organizational structures and functions.

Disposition: Destroy when no longer needed for reference.

1100-D-2 Organization charts submitted for the Secretary's Uniform System of Department-Agency Organization Charts.

Disposition: Destroy 2 years after calendar year in which submitted.

1100-D-3 Organization and Functions

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

E. Delegations of Authority

1100-E-1 Delegations of Authority to the Director, NIH from DHHS officials. Included are official statements published in the Federal Register with supporting correspondence and other records which document successive changes in authorities and reasons therefore. Also included are documents re-delegating the authority of the Director to subordinates and records created in

the development of and influencing decisions on these matters.

a. Located in Office of Management Assessment.

Disposition: PERMANENT. Transfer a complete set of superseded statements to the Federal Records Center at 10 year intervals. Offer to National Archives when 20 years old.

b. Copies filed in the ICs and all other copies and correspondence or papers which are not related to the decision process for determining delegations of authority.

Disposition: Destroy 1 year after being superseded or becoming obsolete.

1100-E-2 Re-delegation of authorities from OD and IC officials to subordinates within their organizations.

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

Other copies - Destroy when discontinued or superseded or no later than 1 year thereafter.

1100-E-3 Delegations of Authority

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when superseded or canceled.

F. Directives

Manuals, guides, handbooks, circulars, and other issuances established to announce or publish policies and procedures.

EXCLUDED from this section are:

- (1) DHHS and PHS Manuals and directives.
- (2) Manuals and directives received from other agencies such as GAO, OPM, OMB and GSA.

Such directives from outside sources, unless they are incorporated into case files, are not records of NIH. They should

be destroyed as soon as they are obsolete or superseded. Directives interfiled with other materials should be disposed together with the rest of the file.

1100-F-1 NIH Directives: The NIH Manual, NIH Guide for Grants and Contracts, and other directives for NIH-wide guidance.

a. Record set of current, superseded and obsolete directives maintained by Office of Management Assessment.

Disposition: PERMANENT. Transfer to Federal Records Center 5 years after becoming superseded or obsolete. Offer to National Archives 15 years after superseded or obsolete.

b. NIH Guide for Grants and Contracts: Record set maintained by OER.

Disposition: PERMANENT. Transfer to Federal Records Center 5 years after becoming superseded or obsolete. Offer to National Archives 15 years after superseded or obsolete.

c. Background documents for directives and issuances such as studies, suggestions, reports, determinations of committees, instructions from higher authority and other documents which result in establishment of, revision to, or termination of policies and procedures.

Disposition: Official file - Destroy when related documents are sent to the Federal Records Center.

Other copies - Destroy no later than 1 year after becoming superseded or obsolete. Earlier disposal is authorized.

1100-F-2 Directives issued at a IC or program level

a. Directives related to administration of program activities such as intramural research, grants and research contracts. Examples include the Clinical Center Medical Record Handbook, the Center for Scientific Research Executive Secretaries' Handbook.

Disposition: PERMANENT. Offer to National Archives in 5 year blocks when newest record in

block is 20 years old.

b. Directives issued for limited area of interest or within an organization, which are for internal use, or which restate policy already published at the NIH level or which relate to routine administrative functions (e.g. personnel, payroll, procurement). Examples are Division of Engineering Services Manual, NHLBI Administrative Procedures Manual, NIH Committee Management Handbook, and similar directives.

Disposition: Destroy individual chapters, pages, supplements, etc., 5 years after being superseded or becoming obsolete and the entire issuance 5 years after termination. Earlier disposal is authorized.

c. Reference copies of directives and issuances.

Disposition: Destroy when superseded, obsolete or no longer needed for reference.

d. Background documents for directives and issuances such as studies, suggestions, reports, determinations of committees, instructions from higher authority and other documents which result in establishment of, revision to, or termination of policies and procedures.

Disposition: Official file - Destroy when related documents are sent to the Federal Records Center.

1100-F-3 Directives

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

G. Committee Management: Chartered **Federal Advisory Committees**

These files are created in carrying out the management and control of advisory committees as required by The Federal Advisory Committee Act (FACA), as amended, (5 U.S.C. Appendix 2). The term "advisory committee" as defined by the FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any

subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies, in the interest of obtaining advice or recommendations for the President or one or more agencies or officers of the Federal Government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal Government. Federal advisory committee activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.

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

1100-G-1 Directory of NIH Federal Advisory Committees.
Electronic listing of authority, function, structure and membership of each NIH Federal advisory committee.

a. Located in the Office of Federal Advisory Committee Policy.

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

(NOTE: This item is a collection of information also found in items 1100-G-7 and 1100-G-8)

1100-G-2 Data files: These are statistical data files containing information about the NIH's Federal advisory committees. Documents include financial operating plans and the President's Annual Report, annual report of closed meetings, and other statistical reports on the number of committees, types of committees, membership rosters and other related topics.

Located in the Office of Federal Advisory Committee Policy.

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

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

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

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

b. All other copies.

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

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

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

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

b. All other copies.

Disposition: Destroy 1 year after nominee(s) on

the nomination slate completes the term of membership or the request for approval is disapproved.

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

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

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

b. All other copies.

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

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

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

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

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

Privacy Act, NIH and HHS regulations and policies.

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

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

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

b. Located in the Office of Federal Advisory Committee Policy.

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

c. Other copies.

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

1100-G-8 Individual Committee Meeting Records. These records are maintained by the appropriate IC or NIH OD Office for managing the operations of its advisory committees. Included are membership lists and agendas. Also included, if applicable, are meeting transcripts and any reports prepared by the committee. These committee records are maintained for every chartered advisory committee meeting held, including those held by telephone conference.

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

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

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

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

c. Stenographers' notebooks and electronic recordings of meetings.

Disposition: Destroy after transcription is completed and reviewed. As required by 42 USC 285a-4, Section 415(3) of the Public Health Service Act, transcripts for the President's Cancer Panel will be kept for each meeting.

1100-G-9 Minutes of NIH Advisory Committees. The original/official set of minutes for each meeting of every advisory committee meeting advertised in the Federal Register. This includes minutes of every type of committee, Advisory Council, Advisory Board, Program Advisory Committee, Board of Scientific Counselors, Initial Review Group or a subcommittee not reporting back to a parent committee. Meetings held by telephone conference are included.

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

Disposition: PERMANENT. Minutes cannot be destroyed. Place in inactive file at end of fiscal year. Transfer to Federal Records Center when 10 years old. Transfer to National Archives when 30 years old.

b. Other copies.

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

1100-G-10 Federal Advisory Committee Policy Records: Includes, for example, copies of Public Laws, OMB and GSA

policies, and Department and NIH policies and procedures related to implementation of the Federal Advisory Committee Act. Records also include audit reports and other reports of a policy nature.

Located in the Office of Federal Advisory Committee Policy.

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

i. Committee Financial Records

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

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

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

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

Disposition: Place in inactive file when final payment is made. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years and 3 months after inactivated.

1100-G-22 Committee Management: Chartered Federal Advisory

Committees

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

H. Committee Management: Other Organized Groups

Committee Files created in the establishment, operation and documentation of the activities of NIH committees, boards, commissions, ad hoc groups and other appointed or organized bodies, and of outside groups with which NIH operations interface. Included are charters or authorities, membership lists, agendas, minutes, reports, directives, correspondence and supporting papers related to the committee's operations. All of the records named do not necessarily pertain to all committees.

EXCLUDED from this section are (1) Committee files maintained by Committee Management Offices (see item 1100-G).

1100-H-1 Files of formally established staff meetings and other committees or groups at the NIH or IC level which plan, guide or advise on, report on, or review effectiveness of overall policies and operations. Included are OD Staff, Scientific Directors, Extramural Program Management Committee, Executive Officers, and others.

Disposition: Official File - PERMANENT. Cut off file at end of calendar year. Transfer to Federal Records Center 3 years after cut off date. Offer to National Archives 13 years after cutoff.

Other copies - Destroy when 3 years old. Earlier disposal is authorized.

1100-H-2 Files of technical committees, staff groups or other organized or ad hoc meetings which have advisory or operating responsibilities for programs related to NIH's mission in biomedical research and communications or support of activities directly related thereto. Examples are the Medical Board, Research Contracting Committee, Grants Management Advisory Committee, and Artificial Heart Assessment Panel.

Disposition: Official file - PERMANENT. Cut off

file at end of calendar year. Transfer to Federal Records Center 3 years after cut off date. Offer to National Archives when 13 years old.

Other copies - Destroy when 3 years old. Earlier disposal is authorized.

1100-H-3 Files of committees and staff groups which advise on, conduct, or review the administrative operations of the agency. Examples are Administrative Training Committee and Central Service Task Force.

Disposition: Official File - Destroy when 10 years old.

Other copies - Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

1100-H-4 EEO Advisory Council files including minutes of meetings and supporting records such as committee reports, correspondence discussing relevant issues, recommendations of the council and other related records.

a. Located in EEO Office.

Disposition: Destroy when 5 years old.

b. Other copies.

Disposition: Destroy when no longer needed for reference or no later than 5 years.

1100-H-5 Minutes of Meetings maintained in the Clinical Center Central File.

Located in CC, Office of the Director

a. Recordkeeping copy:

Disposition: PERMANENT. Offer to National Archives when 7 years old.

1100-H-6 Committee Management: Other Organized Groups

Electronic copies created on electronic mail and word processing

systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

I. Emergency Planning Files

Files related to formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

SEE ALSO:

(1) Safety (1300-B);

(2) Protection and Security Records (1300-C).

1100-I-1 NIH Emergency Planning and Operations Manual, with related background papers.

a. Located in NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS).

Disposition: PERMANENT. Cut off when superseded or obsolete. Offer to National Archives, in 10 year blocks, when latest record in block is 15 years old.

b. Located in all other offices.

Disposition: Destroy when superseded or obsolete.

1100-I-2 Emergency Planning Directives, Plans and Related Case Files, including background papers, reports and correspondence created in the development of directives and plans.

Located in NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS).

a. Case Files of plans and directives not issued as NIH Manual chapters or Information and Instruction Memoranda.

Disposition: PERMANENT. Cut off when superseded or obsolete. Offer to National Archives in 10 year blocks, when latest record in block is 15

years old.

b. Case Files of plans and directives issued as NIH Manual chapters or Information and Instruction Memoranda.

Disposition: Destroy 3 years after issuance of a new plan or directive.

1100-I-3 Emergency Preparedness Test Reports: Consolidated or Comprehensive reports reflecting NIH-wide results of operational tests conducted under emergency plans.

Located in files of the NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS).

Disposition: PERMANENT. Cut off when related plan or directive becomes obsolete or is superseded. Offer to National Archives, in 10 year blocks, when latest record in block is 15 years old.

1100-I-4 Emergency Operations Test Files such as instructions to participants, staff assignments, messages, tests by communications and facilities, and copies of test reports (excluding consolidated or comprehensive reports covered by item 1100-I-3).

Located in files of the NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS).

Disposition: Destroy when 3 years old.

1100-I-5 Emergency Preparedness Administrative Correspondence Files relating to administration and operation of the emergency preparedness program, not covered elsewhere in this section.

Disposition: Destroy when 2 years old.

1100-I-6 Emergency Directives Reference Files: copies of NIH directives and plans (other than those maintained in case files described in Item 1100-I-1 above), as well as those issued by Federal Emergency Management Administration (FEMA), other Federal agencies, State and local governments, and the private sector.

Disposition: Destroy when obsolete or

superseded.

J. Relationships with other Organizations, Agencies and Governments

Files relating to formal arrangements between NIH and other institutions, associations, agencies and governments concerning matters related to NIH's mission.

EXCLUDED from this section are:

- (1) Research grants and contracts files; (see sections 4000, 6000).
- (2) Records concerning implementation of regulations imposed by other Federal agencies; (see appropriate subject/function headings).
- (3) Records relating to NIH responsibilities for establishing and implementing standards and procedures applicable outside NIH; (see section 7000).
- (4) Records concerning liaison with Congress; (see items 1100-A-1 to A-3).

1100-J-1 Bilateral International agreements with other countries for conducting collaborative research and international cooperation. Official file is in FIC unless requested by the State Department.

Disposition: PERMANENT. Transfer to Federal Records Center 2 years after completion of related activity or termination of agreement. Offer to National Archives 12 years after completion or termination.

1100-J-2 Gorgas Memorial Institute of Tropical Diseases and Preventive Medical files documenting FIC role in its operation and financing.

a. Statements of policy, congressional correspondence which affected decisions on policy, instructions for conducting research programs.

Disposition: PERMANENT. Transfer inactive records to Federal Records Center at 5 year

intervals. Offer to National Archives 20 years after file becomes inactive.

- b. Memoranda requesting payment, copies of allowance documents, and copies of annual reports to congress.

Disposition: Destroy when 5 years old.

1100-J-3 Special Foreign Currency Program (P.L. 480) files documenting all NIH P.L. 480 projects in the biomedical sciences.

- a. The official case file for each foreign program containing the signed agreement, award documents, a copy of each published document and final reports or project summaries.

Disposition: Transfer to Federal Records Center 3 years after fiscal year in which project is terminated. Destroy 3 years after termination.

- b. Progress reports, correspondence, statistical data, and copies of payment records.

Disposition: Destroy 3 years after fiscal year in which project is terminated. Earlier disposal is authorized for all but payment records.

1100-J-4 Files on Scientific and Educational Organizations which cooperate with and advise NIH on manpower resources and training needs for biomedical research. Included are statistical data, reports, speeches, correspondence and other documents containing information used in NIH program considerations.

- a. Files which influenced changes in NIH policy or procedures:

Disposition: PERMANENT. Review files every 3 years and transfer inactive files to Federal Records Center. Offer to National Archives 15 years after transfer.

- b. All others

Disposition: Destroy when no longer needed for administrative reference or no later than when 3

years old.

1100-J-5 Sponsoring agency files relating to private organizations sponsoring clinical patient volunteers containing copies of contractual agreements and related reports and correspondence. (For records on individual volunteers, see section 3000-E.)

Located in CC, Clinical Research Volunteer Program.

Disposition: Destroy 3 years after participation of sponsoring agency ends.

1100-J-6 Agreements and memoranda of understanding with foreign countries, relating to biomedical information activities.

Located in NLM - Office of the Director.

Disposition: Destroy 3 years after agreement or memorandum of understanding is no longer valid.

1100-J-7 Memoranda of understanding and agreements with institutions concerning the use of on-line bibliographical services.

Located in NLM.

Disposition: Destroy 3 years after memorandum or agreement is no longer valid.

1100-J-8 Records related to associations, foundations, institutions and other organizations, such as professional societies, private research establishments, charitable foundations and special interest groups which conduct, support or promote activities relevant to NIH programs. Examples include the American Cancer Society, the Cystic Fibrosis Foundation, the American Association of Medical Colleges, the Federation of American Societies for Experimental Biology, the National Society for Autistic Children, et al.

a. Records documenting substantial cooperation or interaction between NIH and an outside organization in areas or activities directly related to NIH programs. Examples of such interaction include joint sponsorship of conference or research activities, or actions or positions taken by outside organizations which result

in changes in NIH policies, procedures or programs.

Disposition: PERMANENT. Transfer to the Federal Records Center when 5 years old. Offer to the National Archives when 20 years old.

b. Records of routine interaction, such as responses to requests for information, participation of individual NIH employees in meetings, conferences, committees, or other activities of outside organizations.

Disposition: Destroy when 3 years old, or when no longer needed, whichever is sooner.

1100-J-9 Relationships with Other Organizations, Agencies and Governments

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

K. Public Information

(See [Part 5, section 8000.](#))

L. Patents, Inventions and Licensing

This section covers records developed and/or supported by NIH involved in the implementation of the Federal Technology Transfer Act.

NOTE: Patents, Inventions and Licensing records retrieved by individual identifiers are part of Privacy Act system of records 09-25-0168, "Inventions, Patent and Licensing Documents Submitted to the Public Health Service by its Employees, Grantees, Fellowship Recipients and Contractors, DHHS/NIH/OTT."

1100-L-1 Records of experimental and statistical data: logs or notebooks used to record observations and data which contain evidence for establishing patents or inventions rights.

Located in intramural program files.

Disposition: Transfer records to Federal Records Center upon

issuance of patent. Destroy 30 years after issuance of patent.

1100-L-2 Employee Invention Reports invention description submitted by scientists to OTT for review of patentability.

a. Reports on which patent application will be filed.

Disposition: Incorporate into patent application file.

b. Reports on which patent application will not be filed.

Disposition: Destroy when 10 years old.

1100-L-3 Patent Application Files containing copies of patent applications, drawings, evaluations, Notice of Availability for Publication and Licensing, Summary of Invention Data, published articles, progress/utilization reports and related correspondence.

a. Located in Office of Technology Transfer.

1. Issued Patent files.

Disposition: Official File. Place in inactive file upon issuance of patent. Transfer files closed in one fiscal year to the Federal Records Center 5 years later or when no longer needed for administrative purposes. Destroy 10 years after expiration of patent.

2. Abandoned or Withdrawn Patent files.

Disposition: Place in inactive file when the application is abandoned or withdrawn. Destroy 10 years after file becomes inactive.

b. Located in Division of Extramural Invention Reports.

Disposition: Official file. Place in inactive file upon issuance of patent. Transfer files closed in one fiscal year to the Federal Records Center one year later or when no longer needed for administrative purposes. Destroy 10 years after expiration of patent. **EXCEPTION:** **Abandoned** cases and cases that involve a **Publication Bar**, will be kept for one year upon receipt of notice from Contractor/Grantee.

c. Located in IC Technology Transfer Office

Disposition: Destroy when no longer needed for legal/administrative activities.

1100-L-4 Foreign Patent Files containing copies of an application for filing the invention, evaluations, copy of the patent issued, inventor's assignment rights, correspondence from domestic and foreign law firms, and other related material.

a. Located in Office of Technology Transfer.

1. Issued Patent files.

Disposition: Official File. Place in inactive file upon issuance of patent. Transfer files closed in one fiscal year to the Federal Records Center 3 years later or when no longer needed for administrative purposes. Destroy 10 years after expiration of patent.

2. Abandoned or withdrawn Patent files.

Disposition: Place in inactive file when the application is abandoned or withdrawn. Destroy 10 years after file becomes inactive.

b. Located in IC Technology Transfer Office.

Disposition: Destroy when no longer needed for legal/administrative activities.

1100-L-5 License Agreement Files.

Located in NIH Office of Technology Transfer

a. Patent-related. Domestic and foreign, exclusive and non-exclusive, invention license agreements granted either by NTIS or OTT to the licensee, and correspondence, including progress reports, royalty reports, negotiations and inquiries.

Disposition: Destroy 10 years after the expiration of the license agreement.

b. Non Patent-related. Biological Material Licensing Agreement.

Disposition: Destroy 10 years after the expiration of the license

agreement.

c. Other copies including Notice of Availability for Publication and Licensing.

Disposition: Destroy when no longer needed for current business.

1100-L-6 Cooperative Research and Development Agreement (CRADA) between or among ICs and private industry, non-profit organizations, academia, or other government agencies. Documents include: original signature page, clearance forms and appendices; correspondence including progress reports, financial reports, negotiations, and inquiries.

A. Executed Agreements

1. Located in IC Technology Transfer Office.

Disposition: Send to the Federal Records Center 1 year after termination or expiration. Destroy after 10 years following termination or expiration of the CRADA; or 10 years after expiration of termination of any license under a CRADA, whichever comes later. Media Neutral.

2. Located in NIH Office of Technology Transfer

Disposition: Destroy after 3 years following termination or expiration of the CRADA. Media Neutral.

B. Non-executed Agreements

Located in IC Technology Transfer Office.

Disposition: Destroy 1 year after it is determined that the Agreement will not be executed. Media Neutral.

1100-L-7 Staff Working Paper Files: technical reference materials, publications, convenience copies of documents, drafts and other working papers maintained for convenience of office operations by staff members.

Disposition: All copies - Destroy when no longer needed for current business.

1100-L-8 Chronological File consisting of copies of documents signed or prepared in the office, and maintained by date.

Disposition: All copies - Destroy when 5 years old.

1100-L-9 Data Files containing statistical information about the Technology Transfer Program used for support of administration functions.

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

1100-L-10 Patents, Inventions and Licensing

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

1100-L-11 Technology Transfer Agreements Technology transfer agreements not covered in another section. The agreements include, but are not limited to, Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), and Memoranda of Understanding (MOU).

NOTE: Disposition schedules for technology transfer agreements negotiated on behalf of contractors are covered in Section 2600-A.

A. Executed Agreements:

1. The request letter, initial boiler plate PHS and/or NIH version, outside party's agreement (if used), marked-up versions of the agreement documenting substantive changes, telephone logs documenting negotiated points, correspondence, and any NIH or company papers documenting STRONG controversy between the two versions, maintained prior to the approval of the Agreement.

Disposition: Destroy 1 year after the date of execution.

2. The final executed Agreement and post execution correspondence and documents.

Disposition:

a) For Agreements with a fixed expiration date: destroy 1 year after expiration or termination of the agreement.

b) For Agreements *without* a fixed

expiration date: destroy 1 year after notification by either party of termination OR 8 years after execution.

3. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Disposition: Destroy when the Agreement is signed.

B. Non-executed Agreements:

1. The request letter and all other related record material including correspondence, documents, drafts and logs created.

Disposition: Destroy 1 year after it is determined the Agreement will not be executed and the file is closed.

2. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Disposition: Destroy when the Agreement is closed.

C. Electronic copies created on electronic mail and word processing systems

Disposition: Destroy when the Agreement is closed.

M. General Administrative Files at IC and Lower Levels: This section covers records of routine internal administrative and housekeeping activities. This includes correspondence, memoranda, chronological files, reports, printed materials and other records related to the administration of daily operations and routine activities such as personnel; procurement; equipment, supplies and facilities; budgeting and accounting, policies and procedures; conferences and visits; dealings with outside organizations and with other IC's and offices within NIH.

EXCLUDED from this section are:

(1) Official program files - see appropriate subject/function.

(2) Official files of service units such as personnel offices, budget offices, procurement offices, maintenance and security units, etc. - see appropriate functional heading.

(3) Any records specifically identified by type and office location anywhere else in this schedule.

1100-M-1 Administrative Files accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office.

a. Recordkeeping copy:

Disposition: Destroy the recordkeeping copy when 2 years old.

[**NOTE:** This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office--see appropriate subject heading.]

1100-M-2 Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity. Materials determined to be "personal records" are not subject to Federal records-keeping requirements.

NOTE: High level officials include the Directors, Scientific and Clinical Directors, Deputy Directors, Associate and Assistant Directors of NIH and the IC's, as well as staff assistants of these officials. Unique and substantive records

relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. Contact the NIH Records Management Officer for assistance.

- a. Records containing substantive information related to the official activities, the substance of which has not been incorporated into memoranda, reports, correspondence, or other records included in the official files, excluding records relating to the official activities of high level officials.

Disposition: Destroy or delete when 2 years old.

- b. Routine materials containing no substantive information regarding the daily activities of other than high level officials as defined in "a" above; records of all Federal employees containing substantive information, the substance of which has been incorporated into official files; and/or personal records of all Federal employees relating to nonofficial activities.

Disposition: Destroy or delete when no longer needed for convenience or reference.

1100-M-3 Suspense Files

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take some other action.

Disposition: Destroy after action is taken.

- b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Disposition: Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If the suspense copy is the file copy, incorporate it into the official files.

1100-M-4 Transitory Files

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are:

- a. Requests for information or publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply such as requests for publications or other printed material.
- b. Letters of transmittal. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.
- c. Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.

Disposition: Destroy when 3 months old.

1100-M-5 Tracking and Control Records

Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records charge out, and other similar records used solely to control work flow and to record routine and merely facilitative actions taken.

Disposition: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

1100-M-6 Finding Aids

Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the NIH RCS or GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Disposition: Destroy or delete with the related records.

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