

**1743 - KEEPING AND DESTROYING RECORDS**  
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**PART 1 ADMINISTRATION**

**Section 1700 Management Services**

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**1700 MANAGEMENT SERVICES**

Records related to such services as studies and analyses of administrative procedures and operations, office procedures, correspondence, communications, printing and distribution services.

EXCLUDED from this section are:

- (1) Directives and manual issuances. (See section 1100-F.)
- (2) Records related to Privacy Act requests. (See section 8000-F.)
- (3) Library records. (See section 8000-D.)

**A. Management Appraisal**

Records related to management analyses, studies, reviews, audits and investigations.

EXCLUDED from this section are:

- (1) Program planning and review records. (See section 1100-C or appropriate program heading.)
- (2) Personnel evaluations. (See item 2300-430.)

**1700-A-1** Management Analyses, Studies, and Projects aimed at

improving operations; simplifying procedures, organizing activities, programs or systems; increasing efficiency or productivity, determining costs, impacts, etc. Files include correspondence, interim reports, final drafts, final reports and working papers, e.g., notes, supporting documentation and data.

a. Management analyses, studies, and projects that are NIH-wide, IC-wide, or that cover major programs, and that result in recommendations for significant changes in policies and procedures.

*Disposition:* PERMANENT. Cut off when no further corrective action is necessary. Transfer to National Archives 10 years after completion of the project.

b. Management analyses, studies, and projects, that do not result in recommendations for significant changes in policies or procedures, or whose scope is limited to sub-units of an Institute/Center or of the Office of the Director, NIH, or which relate to staff or service functions such as personnel, fiscal accounting, procurement, timekeeping, etc.

*Disposition:* Official File - Cut off when no further corrective action is necessary. Destroy 2 years after cutoff. If essential for continuing operations reference, may be held up to 3 additional years.

c. Other copies

*Disposition:* Destroy when superseded or discontinued or no later than 1 year after cutoff.

d. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

*Disposition:* Delete when recordkeeping copy has been created.

#### **1700-A-2 Reserved**

#### **1700-A-3 Research Integrity Files:**

Inquiry and Investigative Case Files: These case files contain copies of records, located in all NIH (Office of the Director and IC) offices,

related to or collateral to pending, current, or completed allegations, inquires, investigations or findings of research misconduct, and/or to actions that the Office of Research Integrity (ORI) has taken in connection with such allegations, inquiries, investigations and findings. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals, publications, correspondence, transcripts, final reports prepared by the institute or ORI, and other supporting documents. After the case has been closed (when there has been a final agency action), the records are separated into Misconduct/Administrative Action Files and No-Misconduct Files.

**NOTE: After the case is closed, immediately forward all original documents that were used in the inquiry or investigation, received in or generated by the office, to ORI which maintains the official file.**

a All other copies:

After the case is closed, destroy NIH IC copies of files, excluding the final ORI report or other decision documents for those cases with a finding of Misconduct/Administrative Actions.

b Final ORI Reports:

Destroy the Misconduct/Administrative Action final ORI Report or other decision documents when 3 years old or after termination of the administrative action or when no longer needed for administrative purposes, whichever is later.

c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

*Disposition:* Delete when recordkeeping copy has been created.

**1700-A-4** Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.

a. Investigative case files located in all NIH (Office of the Director and IC) offices consisting of documents describing the inception, nature, scope and purpose of each project; all documents used in the inquiry and investigation including significant correspondence (including e-mail), working papers, working drafts, preliminary draft report, final draft report, final advisory report, and report related materials; comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

1. Historically Important case files documenting any case which, in consultation with the Director, Office of Management Assessment (OMA) is **historically important** because it resulted in major change in NIH or DHHS policy or procedure; was involved in extensive litigation; received widespread publicity in news media or scientific journals; or received considerable attention from the Congress or the Executive Office of the President. Records include: **significant correspondence** (including e-mail), preliminary draft report, final draft report, final advisory report, and supporting work papers for preliminary and subsequent drafts; case file including the allegation, opinions and IC follow-up response; and comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

*Disposition:* PERMANENT. Place in inactive file after final agency action has received OMA concurrence. Transfer to the Federal Records Center after 1 year in inactive file or when no longer administratively needed. Transfer to the National Archives 30 years after final agency action.

2. Minor Infractions case files documenting investigations of **minor infractions or improprieties** (for example, improper expenditure of public funds less than \$5,000), reviews of minor management problems or projects in which there are no findings, or the final recommendation is that no action be taken. Records include: **significant correspondence** (including e-mail), preliminary draft report, final draft report, final advisory report, and supporting work papers for preliminary and

subsequent drafts; case file including the allegation, opinions and IC follow-up response; and comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

*Disposition:* Place in inactive file after final agency action. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 5 years after final action on the project.

3. All other investigative case files: except those that are unusually significant or documenting ethical standards by NIH officials or others.

*Disposition:* Place in inactive file after final agency action. Inactive files may be retired to the Federal Records Center 1 year after final action. Destroy 20 years after final action on the project.

b. Audit case files consisting of internal audits of NIH programs, operations, and procedures, and of external audits of contractors and grantees. Files consists of supporting working papers.

*Disposition:* Place in inactive file when case is closed. Cutoff inactive file at end of fiscal year. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 8 years after cutoff.

c. All other correspondence working papers, working drafts, and report related materials for audits and investigations.

*Disposition:* Destroy 1 year after final agency action has received OMA concurrence.

d. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

*Disposition:* Delete when recordkeeping copy has been

created.

**1700-A-5 Project Control Files**. Memoranda, reports documenting assignments, progress and completion of projects.

*Disposition:* Destroy 1 year after the year in which the project is closed.

**1700-A-6 Feasibility Studies and Systems analyses** conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

*Disposition:* Destroy when the completed study is 5 years old.

**i. Records related to implementation of OMB Circular A-76 by the NIH or any of its components**

**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 Office of Management Assessment.

*Disposition:* 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.

**1700-A-8 Inventories of A-76 activities** including paperwork necessary for the final inventory such as description of the activities and relevant cost materials.

a. Located in Office of Management Assessment.

*Disposition:* Destroy when superseded or obsolete.

**1700-A-9** Correspondence pertaining to routine administration, internal procedures, and other materials relating to OMB Circular A-76.

Located in Office of Management Assessment.

*Disposition:* Destroy after 5 years, or sooner if no longer needed.

**1700-A-10** IRM Triennial Review Files.

Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

*Disposition:* Destroy when 7 years old.

**1700-A-11** Information Collection Budget Files.

Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

*Disposition:* Destroy when 7 years old.

**1700-A-12** Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

*Disposition:* Destroy when superseded.

b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

*Disposition:* Destroy when superseded.

c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

*Disposition:* Cut off closed files annually. Destroy after next review cycle.

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

*Disposition:* Cut off closed files annually. Destroy after next reporting cycle.

[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA.]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

*Disposition:* Destroy 1 year after report is completed.

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews,

provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

*Disposition:* Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

(2) Copies maintained by other offices as internal reviews.

*Disposition:* Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

## **B. Records Management**

This section covers files created in development, improvement, standardization and management of methods, programs and directives for efficient and effective creation, use, distribution, filing, retrieval and disposition of records at NIH.

**1700-B-1 Records Disposition Files:** Descriptive inventories, disposition authorizations, records schedules and reports.

a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority, SF 135, Records Transmittal and Receipt and related documentation, SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.

Located in Office of Management Assessment.

*Disposition:* Destroy when related records are destroyed or transferred to the National Archives, or when no longer needed for administrative or reference purposes.

b. Extra copies and routine correspondence and memoranda.

*Disposition:* Destroy when no longer needed for reference.

c. Working papers and background material.

*Disposition:* Destroy 6 months after final action on project, after completion of report, if no action is taken.

**1700-B-2 Records Holdings Files:** Statistical reports on records holdings by NIH required by GSA, including feeder reports from all offices and data on volume of records disposed of.

*Disposition:* Destroy when 1 year old.

**1700-B-3 Records Management Files:** Documents related to all aspects of managing records of NIH, including management of files, forms, correspondence, mail, reports, microfilm, machine-readable records and all other aspects of records management not covered elsewhere in this schedule.

*Disposition:* Destroy when 6 years old.

**1700-B-4 Forms Management Files**

a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope and purpose of the form.

*Disposition:* Destroy 5 years after related form is discontinued, superseded, or canceled.

b. Working papers, background materials, requisitions, specifications, processing data, and control records.

*Disposition:* Destroy when related form is discontinued, superseded, or canceled.

**1700-B-5 Reports Control Files:** Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

*Disposition:* Destroy 1 year after the year in which the report is closed or discontinued.

## **C. Correspondence**

Included in this section are general correspondence files not related to any specific subject or functional heading; and also correspondence tracking and control systems.

EXCLUDED from this section are:

(1) Correspondence files related to specific subjects or functions; (See appropriate subject/function section.)

(2) Copies of correspondence files together with related papers. (Apply disposition instructions applicable to the file in which the correspondence is kept.)

**1700-C-1 Correspondence with the Public**

a. Information Requests Files. Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

*Disposition:* Destroy 3 months old.

b. Acknowledgment Files. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.

*Disposition:* Destroy 3 months after acknowledgement and referral.

c. Commendation/Complaint Correspondence Files. Anonymous letters, letters of commendation, complaint, criticism and suggestions and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual subject files or personnel records.

*Disposition:* Destroy when 3 months old.

d. Letters of complaint or other matter involving prospective litigation, including administrative claims.

*Disposition:* Destroy 6 years after calendar year in which response is made or file is closed.

**1700-C-2 Correspondence Control System** of the NIH Executive Secretariat. These electronic files provide a correspondence locator, follow-up control and subject reference for correspondence received in the Office of the Director. The file contains listings of names of individuals who request information from NIH, document numbers assigned to correspondence, dates and subjects. Input is from incoming and outgoing correspondence on a daily basis. Completed files are

retired from the master file to the history file when 60 days old.

*Disposition:* Delete records after the expiration of the retention period authorized by the GRS and/or the NIH RCS, or when no longer needed for updating or referencing, whichever is later.

*NOTE:* Official files in the Director's File Room are specifically identified by subject in this schedule.

**1700-C-3** Information copies of correspondence, reports, minutes of meetings and other documents.

a. Located in OD files for source reference for the Director and staff.

*Disposition:* Destroy all files when 10 years old, except those which are needed for reference with active projects. Earlier disposal is authorized.

NOTE: Official files in the Director's File Room are specifically identified by subject in this schedule.

b. Located in all other offices.

*Disposition:* Destroy when no longer needed for reference, not later than 1 year.

**1700-C-4** Tickler, follow-up or suspense copies of correspondence.

*Disposition:* Destroy when action in each case is completed, or when 1 year old, whichever is sooner.

#### **D. Communication Services**

Included are records on messenger service, telecommunications service control and operations, summaries of long distance telephone reports, postal and related records which pertain to the movement of messages as physical units.

EXCLUDED from this section are:

(1) Messages and communications in any media (See section 8000, or appropriate subject/functional sections),

(2) Control and tracking systems used by the Executive Secretariat or by offices sending, receiving or responding to communications (See section 1700-B or appropriate

subject/functional section).

**1700-D-1 Messenger Service Files**: Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

*Disposition*: Destroy when 2 months old.

**1700-D-2 Communications correspondence** and related records pertaining to internal administration and operation of communications services.

*Disposition*: Destroy when 2 years old.

**1700-D-3 Telecommunications general files** including plans, reports and other records pertaining to equipment requests, telephone service and similar matters.

*Disposition*: Destroy when 3 years old.

**1700-D-4 Telecommunications Statistical Reports** including cost and volume.

*Disposition*: Destroy when 1 year old.

**1700-D-5 Telecommunications Reference Vouchers Files**.

a. Reference copies of vouchers, bills, invoices, etc.

*Disposition*: Destroy when 1 fiscal year old.

b. Records relating to installation, change, removal and servicing of equipment.

*Disposition*: Destroy 1 year after audit, or when 3 years old, whichever is sooner.

**1700-D-6 Copies of Agreements for telecommunication services with background data and other related records**.

*Disposition*: Destroy 2 years after expiration or cancellation of agreement.

**1700-D-7 Telecommunication Operation Files**

a. Message registers, logs, performance reports, daily load reports and

related similar records.

*Disposition:* Destroy when 6 months old.

b. Copies of incoming and originals of outgoing messages including SF-14, Telegraphic Message maintained by communications offices and excluding the copies maintained by the originating program office.

*Disposition:* Destroy when 2 years old.

*NOTE: Master files and data bases created to supplement or replace the records covered in 1700-D-7 are not authorized for disposal. Such files must be scheduled on an SF-115.*

**1700-D-8 Telephone Use Records** Initial reports of use of telephone lines (e.g., telephone calls facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Excluded are records accumulated in connection with substantive investigations and audits.

*Disposition:* Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.

**1700-D-9 Postal Records:** Post Office forms supporting papers, exclusive of records held by the United States Postal Service.

a. Records related to incoming or outgoing registered mail pouches and registered, certified, insured and special delivery mail, including receipts.

*Disposition:* Destroy when 1 year old.

b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.

*Disposition:* Destroy when 1 year old.

c. Reports of loss, delay, wrong delivery, or other improper treatment of mail matter.

*Disposition:* Destroy when 1 year old.

**1700-D-10 Mail Delivery Control Files.**

a. Records of receipt and routing of mail and items handled by private delivery services such as United Parcel Service. (Does not apply to records used as indexes to correspondence files.)

*Disposition:* Destroy when 1 year old.

b. Statistical reports of postage on outgoing mail and fees for private delivery.

*Disposition:* Destroy when 6 months old.

c. Requisitions for stamps (does not apply to copies used to support payment vouchers).

*Disposition:* Destroy when 6 months old.

d. Statistical reports and data on mail handling and volume of work performed.

*Disposition:* Destroy when 1 year old.

e. Records on checks, cash, stamps, money orders or other valuables remitted to NIH by mail.

*Disposition:* Destroy when 1 year old.

f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

*Disposition:* Destroy when 6 months old.

g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

*Disposition:* Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

*Disposition:* Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.

**1700-D-11 Metered Mail Report Files:** Official metered mail reports and all related papers.

*Disposition:* Destroy when 6 years old.

**1700-D-12 Postal Irregularities File:** Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

*Disposition:* Destroy 3 years after completion of investigation.

**1700-D-13 Telephone and Service Directory:** Correspondence, forms and other records related to the compilation of the NIH Telephone and Service Directory.

*Disposition:* Destroy 2 months after issuance of directory.

## **E. Printing and Reproduction**

Records relating to printing, binding, duplicating and distribution located throughout NIH.

EXCLUDED from this section are:

- (1) Record copy of each publication, directive, form, press release and similar material maintained in issuing office. (See section 8000-A or appropriate subject/functional headings).
- (2) Accountable officer's accounts and other GAO records. (See section 1900-A.)

**1700-E-1 Stocks of publications,** except record copy retained in issuing office, maintained solely for distribution.

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

**1700-E-2 Administrative Correspondence Files:** Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication and distribution matters, and related papers.

*Disposition:* Destroy when 2 years old.

**1700-E-3 Project Files:** Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.

a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.

*Disposition:* Destroy 1 year after completion of job.

b. Files pertaining to planning and other technical matters.

*Disposition:* Destroy when 3 years old.

**1700-E-4 Control Files:** Control registers pertaining to requisitions and work orders.

*Disposition:* Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

**1700-E-5 Mailing Lists.**

a. Correspondence, request forms and other records relating to changes in mailing lists.

*Disposition:* Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.

b. Card lists.

*Disposition:* Destroy individual cards when canceled or revised.

**1700-E-6 JCP Reports Files:** Reports to Congress and related records.

a. Agency reports to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

*Disposition:* Destroy when 3 years old.

b. Copies in subordinate reporting units and related work papers.

*Disposition:* Destroy 1 year after date of report.

**1700-E-7 Internal Management Files:** Records relating to internal management and operation of the Printing and Reproduction Branch.

*Disposition:* Destroy when 2 years old.

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