Next >

1743 - KEEPING AND DESTROYING RECORDS
Issuing Office: OD/OM/OMA 301-496-4606

CHANGES

A. Purpose: This chapter provides instructions for specific NIH records. All previous authorizations for the disposition of NIH records are hereby superseded.

This schedule must be used in conjunction with the General Records Schedule (GRS) of the National Archives and Records Administration (NARA). The GRS provides for the disposition of records generally used in Government offices, such as personnel records or general administration records.

B. Scope: These instructions ensure that necessary and useful records are retained in the files of NIH offices and laboratories for as long as required and reasonable; that information can be retrieved efficiently from these files because unnecessary records have been weeded out; that valuable space is not taken up by records not needed for current business; and that records with lasting historical, legal or scientific value are preserved.

C. Background and References: Recordkeeping by Federal agencies is controlled by laws and regulations which require that (1) government records be kept only for authorized periods of time; (2) no government records be destroyed, mutilated or removed from government custody without authorization; (3) records which are valuable enough to be preserved permanently be kept intact and be transferred to the National Archives as appropriate; (4) records which are not in active use, but which cannot be destroyed for some time, be transferred to a Federal Records Center.

D. Application:

The NIH Records Control Schedule, which is Appendix 1 to this chapter, contains specific instructions as to how long records of any given type may be kept and what must be done with them after the specified period. These instructions are legally binding. Records may not be destroyed before the authorized time, and they may not be kept for periods longer than those specified in the schedule. Records scheduled for permanent retention should be offered to the National Archives at the time specified.

E. NIH Staff Responsibilities:

1. The NIH Records Management Officer, Office of Management Assessment (OMA), Office of Administration (OA), is responsible for:

    a. developing, maintaining and revising the NIH Records Control Schedule;

    b. assisting and advising NIH offices on interpreting or applying the records control schedule within NIH;

    c. providing liaison with DHHS and higher authorities regarding all aspects of records keeping and disposal.

2. It is the responsibility of each IC Records Management Officer and/or records liaison to implement the policies and procedures as stated in both the NIH Records

Control Schedule (NIH Manual 1743, "Keeping and Destroying Records," as the General Records Schedule (GRS), including:

a. ensuring that the records control schedule is implemented within each IC;

b. assisting and advising IC personnel on interpretation of the schedules;

c. ensuring that all employees know the difference between personal and agency records;

d. assisting IC personnel in retiring inactive records to the Washington National Records Center (WNRC) by reviewing, signing off on and transmitting to the NIH RMO, the Records Transmittal and Receipt, Form SF 135; and

e. reviewing and transmitting reference requests to the WNRC, Form OF 11, for withdrawing records from the WNRC.

3. NIH IC and OD Office Directors:

a. designate an IC/OD Office records management official;

b. integrate the NIH records management program into IC/OD Office operations and ensure compliance;

c. apply the recordkeeping and disposal instructions from the NIH Records Control Schedule to IC/OD Office files; and

d. ensure that adequate records management training is provided to all staff.

4. Each office:

a. is responsible for applying the recordkeeping and disposal instructions from the NIH Records Control Schedule to its files;

b. initiates requests to transfer records to WNRC or withdraw records from WNRC;

c. boxes its records and marks the boxes, as instructed in the 1742 Transfer, Withdrawal And Destruction of Records At The Washington National Records Center Section E.5.b. and 5.c., before transfer to WNRC; and

d. prepares forms and other paperwork necessary for sending, withdrawing or disposing of records at the WNRC and transmits the paperwork to their respective IC Records Officer for review and clearance.

5. All employees are warned that destruction or removal of government records other than as authorized in an approved records schedule is a serious offense that could lead to adverse action against the individual.

F. Records: Records may have any physical form or characteristics. Records may be on paper, microfilm, magnetic tapes, cards, disks, or any other material. They may be letters, memoranda, reports or other materials commonly found in office files. They may also be laboratory notebooks, instrument readings, photographs, sound recordings, motion pictures, maps, books, drawings, data bases or in any other form or format.

The official records of the National Institutes of Health are created by or for NIH or received by NIH in the course of doing business. The essential point about these records is (1) that they contain information about the organization, functions, policies, procedures, decisions or other activities of NIH or any of its components, or (2) that they contain information, such as biomedical data, which is useful to NIH in carrying out its mission. These records are the property of the U.S. Government. They do not belong to individuals.

G. Non-Records Materials: Certain documentary materials are specifically excluded by law (44 U.S.C. 3301) from the records of the Federal Government. Such materials are called "non-record." Any one or more of these three factors may determine whether something is a record or non-record: (1) the nature of the material; (2)the relationship to records; and (3) the use of the material.

(1) Nature: Some items by their very nature are non-record. They include blank forms, routing sheets, transmittal sheets and reproduction materials such as stencils and offset plates.

(2) Relationship to records: Documents such as transcribed stenographic materials, working papers and drafts, that are used in creating official records are non-record. Identical duplicates of all records maintained in the same file are non-record. Follow-up materials, such as "tickler" or suspense copies of correspondence, that are used to facilitate operations but not to document those operations are non-record. Note: indexes and other finding aids to records are themselves record material.

(3) Use: Any materials used exclusively for reference purposes are non-record. They include library collections, vendors catalogs, journals and similar materials. Copies of records which are maintained solely for reference purposes are also non-record if no administrative action is taken on them.

Materials used solely for exhibit or display are non-record, unless they describe the operations, policies, procedures or accomplishments of NIH.

Stocks of publications and processed documents kept for distribution are non-record, but one copy of each publication must be kept as a record in the office responsible for issuing it.

Documents created or used in fringe activities, such as carpool locators, charitable fund drives and employee recreation and welfare activities are not government records.

Non-record materials should be removed from NIH files as soon as they are no longer needed.

Caution should be used in applying the term non-record. Improper application of this qualification may be equivalent to the illegal disposition of government records.

When removing or destroying non-record materials, take care that any documents

which are sensitive, confidential, or subject to the Privacy Act are protected from unauthorized disclosure.

H. Personal Files: Personal files are those that relate only to an individual's personal affairs and do not affect the conduct of agency business. Papers or other documents that a person creates or receives in connection with the performance of official duties are government records and must be treated as such.

Even correspondence marked "personal," "confidential" or "private" is an official record if it relates to official activities. If private, personal correspondence contains portions which require official action or response, those portions which require official action or response must be extracted and made a part of official files. Research notes and reports created by scientists working at NIH are official records that belong to the government, not the individual researcher. In some cases, even diaries, appointment books and other schedules of personal activities are considered government records.

Personal files kept in NIH offices or other facilities must be designated as personal and must be maintained apart from official records.

I. Privacy Act Records: Contact your IC Privacy Act Coordinator or the NIH Privacy Act Officer, (see also HHS General Administration Manual Chapter 45-10, page 886.)

J. Micrographics: All permanent records on microfilm must follow the standards for the Storage, Use and Disposition of Microform Records, 36 CFR 1230 subpart D.

K. Inactive Records: Inactive records which must be retained for three or more years according to the disposition specified in this schedule or the GRS, may be retired to a Federal Records Center. See NIH Manual 1742.

L. Additional Information: For more information on this chapter, call the Division of Management Support (DMS), Office of Management Assessment (OMA), on 301-496-4606.

Next >

Recent Changes to NIH Manual 1743

Click on link & scroll down to specific item number to view change

Item Number	Type of Record	Change	Date
2100-A-1	Budgeting Policy Files	Revised	5/21/03
2100-A-2	Budget Estimates and Justifications Files	Revised	5/21/03
2100-A-3	Budget Correspondence	Revised	5/21/03
2300-330-6	Notification of Personnel Action	Revised	5/21/03
4000-A-2	Information for Management, Planning, Analysis and Coordination (IMPAC)	Revised	5/21/03
1100-L	Patents, Inventions and Licensing - updated records and retention schedules, including the application of media neutrality to records schedules	Revised	1/27/11
8000-A-13	Records schedule for Health and Media Campaign Programs incorporated to Section 8000	Added	12/06/11

1743 - KEEPING AND DESTROYING RECORDS
Issuing Office: OD/OM/OMA 301-496-4606
Release date: 2/98

SUBJECT INDEX

A B C D E F G H I J K L M N
O P Q R S T U V W X Y Z

Subject	Item
Accountable Officers Files	1900-A-1 & 1900-A-2
Accounting	Administration 1900-A-7 Certification settlement 1900-A-5 Equipment 1900-C-7 Expenditure 1900-B Allotment 1900-B-3 Evaluation fund 1900-B-5 General 1900-B-1 General ledgers 1900-B-2 Posting and Control files 1900-B-4 GAO exceptions 1900-A-4 General fund 1900-A-6 Project control, CIT 1900-C-8 Stores Accounting 1900-C-1 to 4
Administrative files	1100-M-1
ALERT System	4000-E-3
Animals	See also veterinary services
Architecture and Engineering	Drawings and models 2600-B-2 Finding aids 2600-B-3 See also audiovisual materials, biomedical engineering, buildings
Associates	Grants associates 2300-320-1 NIH associates 2300-320-10 to 13
Audiovisual materials	Documentary materials 8100-A-3 Finding aids 8100-G-2 Historically significant 8100-A-1 Not historically significant 8100-A-2 Production Files 8100-A-4, 8100-G-1

	Training 8100-B-3 See also architecture, biomedical engineering, graphic arts, medical arts, motion pictures, photographs, portraits, sound recordings, video recordings
Audit	1900-A-12, 2800-D-11
Awards	General 2300-450-1 Incentive Awards Program 2300-450-5 Length of service and sick leave awards 2300-450-2 Letters of commendation and appreciation 2300-450-3 Lists or indexes to nominations 2300-450-4 Photographs of award ceremonies 8100-B-1 Video recordings of presentations 8100-E-7
Biomedical engineering and instruments	Drawings 3000-D-4 Notebooks 3000-D-5 Projects 3000-D-3 Reference materials 3000-D-2 Service requests 3000-D-1
Biomedical information	International agreements 1100-J-6
Biomedical information systems	Contracts 2600-A-3, 8000-B-1 Indexing 8000-B-4 Specialized information services 8000-B-3 Technical subject files 8000-B-2
Biomedical resources	3000-G-H Cooperation with other organizations 1100-J-4
Blood bank	Blood sent to operating rooms 2600-C-31 Donor appointments 2600-C-32 Donor history and consent 3000-E-50 Donor history sheets 3000-E-51 Temperature charts 2600-C-30
Budget	2100-A-1 to 6 Planning 1100-C-2
Buildings	Account cards and ledgers 2600-B-1 Construction and renovation 2600-B-4 Contractors' payroll 2600-B-5 Equipment history 2600-B-7 Work request 2600-B-6 See also architecture, procurement, protection, quarters, space
Chemical Waste	7000-C-2
Classified information	2300-730-6

Clinical care	See also data processing, nursing, nutrition, patients, pharmacy, radiology, surgery
Clinical trials	See also pharmaceutical development
Committee management Chartered Federal Advisory	Appointment documents 1100-G-5 Approval documents 1100-G-3, 4 Charters of advisory committees 1100-G-7 Data files 1100-G-2 Federal Register notices 1100-A-8 Individual committee records 1100-G-8 "NIH Public Advisory Groups" 1100-G-1 Scientific Review and Evaluation Award 1100-G-20 Scientific review meetings minutes 1100-G-9 Sound recordings of meetings 8100-F-1 Statement of financial interests 1100-G-6 Travel vouchers 1100-G-21 Video recordings of meetings 8100-E-7
Committee Management Other Organized Groups	Administrative operations 1100-H-3 EEO Advisory Council files 1100-H-4 Minutes of meetings, CC 1100-H-5 Mission programs 1100-H-2 Sound recordings of meetings 8100-F-1 Staff meetings and other groups 1100-H-1 Video recordings of meetings 8100-E-7
Conferences and Meetings	International 8000-A-9 Sound recordings of meetings 8100-F-1 Video recordings of meetings 8100-E-7
Copies	1700-C-3 Duplicates of personnel records 2300-990-3
Correspondence	Control system 1700-C-2 General 1900-C-1 Tickler, follow-up or suspense copies 1700-C-4 With the public 1700-C-1
CRISP	4000-A-3
Data processing	Audit trail file 2800-D-11 Clinical and management systems 2800-A-3, 4 Clinical information utility 2800-A-5 Copies of documentation 2800-B-7 CIT projects and research 2800-A-1 File specifications 2800-B-3 General administrative files 2800-E-1 Indexes or tacking systems 2800-E-2 Information retrieval routines 2800-C-1 Input/source files 2800-D-3 Intermediate input/output files 2800-D-6 Output specifications 2800-B-5 Print files 2800-D-8

	Publication files 2800-D-7 Punched cards 2800-D-2 Reference indexes 2800-E-3 Reformatted files 2800-D-10 Reports 2800-B-6 Requests for refunds 2800-A-2 Security back-up files 2800-D-9 Summary, sample or sub-sample files 2800-E-4 System specifications 2800-B-1 System test documentation 2800-B-2 Test data 2800-D-1 Training of users 8000-G-4 Trouble reports 2800-A-2 User guides and manuals 2800-B-4 Valid Transaction files 2800-D-4 Work files 2800-D-5
Delegations of Authority	1100-E-1 Federal Register notices 1100-A-8 Redelegation 1100-E-2
Directives	IC or program level 1100-F-2 NIH 1100-F-1
Drugs	See also nursing, pharmaceutical development, pharmacy
Emergency	Operations tests 1100-I-4 Planning 1100-I-1, 2 Preparedness 1100-I-3, 1100-I-5 Reference 1100-I-6
Employee	Alcohol and drug abuse program 2300-792-6 Counseling 2300-709-1 Financial disclosure 2300-730-7 Injury and compensation 1300-B-5 Radiological records 2300-792-4 Standards of conduct 2300-730-8 See also Equal Employment Opportunity, experts, guest workers, leave, occupational medicine, payroll, personnel, time and attendance, training, travel, U.S. savings bond
Environment	Environmental control 1300-B-1 Environmental review 7000-C-1 Safety management 1300-B-3
Equal Employment Opportunity	Adverse action 2200-A-6, 2200-A-8 Advisory council 2200-A-7 Affirmative action plans 2200-A-1 Complaints 2200-A-3, 4 Grievances 2200-A-5 Special program 2200-A-2
Experts	2300-320-4

Extramural Program	"National Trends in Health R & D Support" 1100-C-16 "Obligations to Institutes of Higher Education and Other Non-Profit Organizations" 1100-C-17 Research analysis and evaluation 1100-C-15 "Research, Research Training, Fellowships and Construction Applications and Awards File" 4000-A-4 Special projects 1100-C-14 See also ALERT, associates, biomedical resources, committee management, CRISP, fellowships, grants, IMPAC, research contracts
Feasibility Studies	1700-A-6 See also systems analysis
Federal Personnel Surety Bonds	1900-A-8
Federal Register	Availability of grants or contracts 1100-A-6 Delegations of authority 1100-A-8 General notices 1100-A-5 Notices of meetings 1100-A-7 Organization and functions 1100-A-8 Policies or interpretations 1100-A-5 Program announcements 1100-A-5 Regulations 1100-A-4
Fellowships	Fogarty Scholars-in-Residence 2300-320-7 International research 2300-320-7 Senior International Fellows 2300-320-7
Finding Aids	1100-M-6
Forms Management	1700-B-4
Freedom of Information Act	Appeals 8000-E-7 Control 8000-E-3 Implementation 8000-E-2 Records subject to request 8000-E-8 Reports 8000-E-1 Requests 8000-E-4, 5, 6
Gasoline Sales Tickets	1900-A-9
Gifts	1900-F-1 to 7
Gorgas Memorial Institute	1100-J-2
Grants	Appeals 4000-E-1 Associates 2300-320-1 Construction 4000-D-1, 2 Control files 4000-A-6 Correspondence and/or subject files 4000-A-5

	Federal Register notices 1100-A-6 Funded grants 4000-B-1, 2 General program information 4000-A-1 Initial review 4000-B-2, 4000-C-2 Litigation 4000-E-2 NRSA payback 4000-B-4 Progress reports 4000-B-3 Unfunded grants 4000-C-1, 2 See also: CRISP, extramural program, IMPAC
Graphic arts	8100-C-1 to 7 See also architecture, audio-visual materials, biomedical engineering, medical arts, portraits
Guest Workers	2300-320-3
Historical materials	8000-A-11 Audio-visual materials 8100-A-1 Legislative history 1100-A-1 Oral history recordings 8100-F-11
IMPAC	4000-A-2
Information	Bibliographies, check lists and indexes 8000-A-7 Daily press service teletype news 8000-A-6 Formal releases and publications 8000-A-1 NIH Basic Data Book, fiscal history data, bibliographies and biographies of NIH Directors 8000-A-2 Requests 8000-A-8 Speeches, presentations, reports and compilations 8000-A-3 See also biomedical information, data processing, Freedom of Information Act, Federal Register, library, Privacy Act, project clearance, publications
International activities	International agreements 1100-J-1 Biomedical information agreements 1100-J-6 Conferences and meetings 8000-A-9 Exchange program 2300-320-5, 6 Fellows 2300-320-7 Gorgas Memorial Institute 1100-J-2 Research agreements 1100-J-1 Special foreign currency program 1100-J-3 Visiting Program 2300-320-2
Isotopes	See Radiation Safety
Labor	Arbitration 2300-711-2 Negotiated agreements 2300-711-3 Management relations 2300-711-1

Laboratories	Instrument maintenance 3000-F-2 Logs and other working papers 3000-F-3 Quality control 3000-F-1 See also biomedical engineering, media, radiation, veterinary services
Leave	Application 1900-D-9 Data 1900-D-8 Record 1900-D-9
Legislation	Proposals 1100-A-2 Highlights, summaries 1100-A-3 History 1100-A-1
Library	Bibliographic services 1100-J-7 Borrower sign-out logs 8000-D-7 Correspondence with the public 8000-D-10 Interlibrary loan requests 8000-D-9 Library serial records 8000-D-11 Operations 8000-D-2 Program correspondence 8000-D-1 Reader registration 8000-D-4, 5 Reader request forms 8000-D-6 Statistical reports 8000-D-3 Transaction history 8000-D-8 Translating services 8000-D-12 See also biomedical information, information, patients, training
Mail	Delivery control 1700-D-10 Messenger service 1700-D-1 Postal irregularities 1700-D-12 Postal records 1700-D-9 Mailing Lists 1700-E-5 Management analysis 1700-A-1 Project control 1700-A-5 Reports 1700-A-1 Working papers 1700-A-1 See also feasibility studies, OMB Circular A-76, operations management, program analysis, systems analysis
Media	Formulas 3000-F-11 Preparation 3000-F-10 Public Health Awareness8000-A-13
Media Campaigns	Public Service Announcements 8000-A-13
Medical arts and photography	Medical taping record sheets 3000-A-4 Photographic materials 3000-A-2 Slides and other visual materials 3000-A-1

	Video tapes of medical research 3000-A-3
	See also audiovisual materials
Medical records	See also nutrition, occupational medicine, patients, pharmacy, radiology, surgery
Meetings	Concerning mission programs 1100-H-2 International conferences and meetings 8000-A-9 Sound recordings of meetings 8100-F-1 Video recordings of meetings 8100-E-7
	See also committee management
Motion pictures	Agency programs 8100-D-10 Documentary footage 8100-D-11 Duplicates 8100-D-13 Entertainment and recreation 8100-D-2 Films for public distribution 8100-D-5 News releases and information reports 8100-D-6 Produced under grant 8100-D-9 Public service announcements 8100-D-7 & 8000-A-13 Scientific, medical or engineering 8100-D-4 Stock footage, out takes and trims 8100-D-12 Surveillance 8100-D-3 Training 8100-D-1, 8100-D-8
	See also audiovisual materials
Motor Vehicle	Accident 2600-D-5 Correspondence 2600-D-1 Cost 2600-D-3 Operation 2600-D-7 Operation and maintenance 2600-D-2 Release 2600-D-6 Report 2600-D-4
NIH Associates Program	2300-320-10 to 13
Non-employee Compensation	1900-E-1 to 6
Nursing	Administrative reports 3000-E-71 Daily nursing service reports 3000-E-72 Incident and accidents 3000-E-75 Nursing unit reports 3000-E-74 Patient care audit 3000-E-73 Pharmaceutical items 2600-C-45
Nutrition	Census records 2600-C-18 Central kitchen issues 2600-C-10 Emergency cash orders 2600-C-14 Food prices 2600-C-16 Inpatient cards 2600-C-20 Monthly meat inventories 2600-C-13

	Outpatient cards 2600-C-21 Patient meal census 2600-C-11 Physical inventories 2600-C-12 Physicians' dietary orders 2600-C-19 Procurement 2600-C-1 Small equipment requisitions 2600-C-17 Special event orders 2600-C-22 Telephone charge orders 2600-C-15
Occupational Medicine	Health unit control file 2300-792-2 Individual employee case file 2300-792-3 Individual health record 2300-792-1 Statistical summaries 2300-792-5
OMB Circular A-76	1700-A-7 to 9
Operations Management System	1700-A-3
Organization and Functions	1100-D-1
Organization charts	1100-D-2 Federal Register notices 1100-A-8
Patents and inventions	Experimental and statistical data 1100-L-1
Patient emergency fund	1900-F-6
Patients	Admission 3000-E-22 Blood data 3000-E-36 Diagnostic radiology 3000-E-26, 27 General patient activities 3000-E-81 Intake-output 3000-E-33 Isotope data 1300-B-11, 3000-E-31 Library cards 3000-E-82 Medical records 3000-E-22 Nuclear medicine patients 3000-E-29 Outpatient schedules 3000-E-80 Panel sheets 3000-E-37 Patient reports 3000-E-24, 25 Pre-admission 3000-E-20 Radionucleide scans 3000-E-28, 3000-E-30 Rehabilitation 3000-E-38 Requests for medical records 3000-E-23 Social work 3000-E-39 Spiritual Ministry 3000-E-40 Surgery 3000-E-34, 35 Temperature, pulse and respiration 3000-E-32 Travel and transportation 3000-E-41 See also nursing, nutrition, pharmacy, surgery.
Payroll	Administrative reports 1900-D-22 Allotments 1900-D-15

	Budget authorization 1900-D-22 Change 1900-D-23 Correspondence 1900-D-24 Fiscal schedule 1900-D-22 Individual accounts 1900-D-1 Insurance deduction 1900-D-15 Levy and garnishment 1900-D-22 Notification of personnel action 1900-D-23 Retirement 1900-D-28 Tax 1900-D-13 See also leave, U.S. savings bond
Personnel	Administration 2300-200-1 Adverse action 2300-750-1 Applications for employment 2300-293-3 Certificates of eligibles 2300-330-2 Complaints, inquiries and debts 2300-990-4 Duplicates 2300-990-3 Employee correspondence and forms 2300-990-1 Interview records 2300-330-3 Investigations 2300-293-5 Grievance 2300-750-2 Merit promotion 2300-355-1 Notification of personnel action 2300-330-6 Offers of employment 2300-330-1 Official Personnel Folders 2300-293-1 Operations statistics 2300-200-2 Pending personnel actions 2300-330-5 Performance 2300-430-2 Performance Rating Board 2300-430-1 Retention registers 2300-330-4 Service record 2300-300-1, 2 Special employment program 2300-300-3 Suitability or qualifications 2300-730-1 Supervisor's files 2300-990-2 Temporary employees 2300-293-2 See also awards, employees, experts, guest workers, labor, leave, position classification, training, travel
Pharmaceutical development	Drug release 3000-H-1 Investigational drugs 3000-H-4 Pyrogen tests 3000-H-2 Tally records 3000-H-5 Testing of developmental drugs 3000-H-3
Pharmacy	Bulk compounding 2600-C-43 Doctors' orders 2600-C-41, 42 Narcotics and hypnotics 2600-C-46
Photographs	8100-B-6 Award ceremonies, social events 8100-B-1 Identification or passport 8100-B-2

	Other 8100-B-4-I
	See also Audiovisual materials, medical arts
Physicians' credentials	2300-293-4
Policy	1100-B-1 Clinical Center 1100-B-2 Federal Register notices 1100-A-5
	See also directives
Portraits	8100-B-5
Position Classification	Appeals 2300-500-5
Position descriptions	2300-500-3
Position identification strips	2300-500-6 Standards 2300-500-1, 2 Survey 2300-500-4
Printing Administrative	Controls 1700-E-4 Correspondence 1700-E-2 Internal management 1700-E-7 JCP reports 1700-E-6 Projects 1700-E-3
Public Printer	2600-A-8
Privacy Act	Accounting of disclosure 8000-F-4 Appeals 8000-F-11 Control 8000-F-5 Implementation 8000-F-3 Records requested 8000-F-1 Reports 8000-F-2 Requests for access 8000-F-6 to 8 Requests to amend records 8000-F-9, 10
Procurement	Bids and proposals 2600-A-7 Contingent or other fees 2600-A-13 Contract appeals 2600-A-12 Correspondence 2600-A-1 Procurement 2600-A-4, 5 Requisitions 2600-A-9, 10 Real property 2600-A-2 Tax exemption 2600-A-6 Telephone statements and toll slips 2600-A-11
Program Analysis, IC	1100-C-12 Analysis, NIH 1100-C-10 Operations, NIH 1100-C-2 Federal Register program announcements 1100-A-5
Planning, IC	1100-C-3
Planning, NIH	NIH 1100-C-2

	Reports on major programs 1100-C-11 See also Extramural Program.
Project clearance	1100-C-13
Property Disposal	2600-F-2, 2600-F-4 Excess 2600-F-3, 5 Inventory 2600-C-2 Loss or theft 1300-C-8 Pass 1300-C-5 Real 2600-F-7 Supply management 2600-C-1 Surplus 2600-F-1, 2600-F-6 See also buildings, environment, equipment, expenditure, procurement, protection, quarters, stores
Protection and Security	Credentials and identification 1300-C-14 Facilities 1300-C-2, 3, 1300-C-11 Fires, explosions and accidents 1300-C-4 Guard assignment 1300-C-6 Key accountability 1300-C-9 Management 1300-C-1 Police 1300-C-7, 1300-C-12, 13 Surveillance films and recordings 8100-D-3, 8100-E-5 Visitor control 1300-C-10 See also emergency, environment, radiation safety
Publications	8000-A-4 Background materials 8000-A-5 Requests for 8000-A-8 Stocks 1700-E-1 See also information, research
Public Health Awareness	Media Campaigns 8000-A-13 Public Service Announcements 8000-A-13
Quarters	1300-D-1 to 6
Radiation Safety	Disposal of radioactive waste 1300-B-14 Exposure 1300-B-9, 10 Isotopes 1300-B-12 Radiation safety training 8000-G-5 Radioactive Survey 1300-B-7 Training records 1300-B-8 Transfer of radioactive material 1300-B-13
Radiology	Employee 2300-792-4 Patient 3000-E-26, 27

Records Management	1700-B-3 Disposition 1700-B-1 Holdings 1700-B-2
Regulations	Federal Register announcements 1100-A-4
Reports Control	1700-B-5
Research	Controlled agents 7000-B-1 End products 3000-G-4 Experimental and statistical data 3000-G-3 International agreements 1100-J-1 Planning and development 3000-G-1 Protocols 3000-G-2 Publications and reports 3000-G-4 See also biomedical engineering, laboratories, medical arts, motion pictures, pharmaceutical development, project clearance, radiation safety, research subjects, veterinary services, video recordings, volunteers
Research contracts	Federal Register notices 1100-A-6 Project Officers' files 6000-B-1 See also procurement
Research subjects protection	Assurance 7000-A-1 to 3 Inquiries and complaints 7000-A-5 Institutions in compliance 7000-A-4 Site visits 7000-A-6 Safety See emergency, environment, protection, radiation safety
Safety	1300-B-1 to 3
Schedules of daily activities	1100-M-2
Security Clearance	2300-730-2 to 4 Violation 2300-730-5
Sound recordings	Appearances by top officials 8100-F-14 Daily or spot news 8100-F-5 Dictation 8100-F-2 Documentary 8100-F-15 Duplicates 8100-F-16 Internal management news 8100-F-9 Library recordings 8100-F-4 Meetings 8100-F-1, 8100-F-10 News releases 8100-F-7 Oral history 8100-F-11 Pre-mix elements 8100-F-3 Produced under grant 8100-F-12 Public service announcements 8100-F-8 Radio programs 8100-F-6 Related to agency programs 8100-F-13

	Speeches 8100-F-10 See also Audiovisual materials
Space management	1300-A-1 to 2
Stores Accounting	1900-C-1 to 4
Supply management	2600-C-1
Surgery	3000-E-76 to 79
Suspense files	1100-M-3
Systems analysis	1700-A-6
Technology Transfer Agreements	1100-L-11
Telecommunications	Agreements for services 1700-D-6 Correspondence 1700-D-2 General 1700-D-3 Operations 1700-D-7 Reference vouchers 1700-D-5 Statistical reports 1700-D-4
Telegrams	1900-A-11
Telephone	Directory 1700-D-13 Summaries 1700-D-8
Telephone statements and toll slips	1900-A-10, 2600-A-11
Time and Attendance	1900-D-7 to 9
Training	8000-G-7 Background and working papers 8000-G-8 Clinical Center 8000-G-1 Computer users 8000-G-4 Employees 2300-410-2 Manuals, syllabi, textbooks 8000-G-6 Motion pictures 8100-D-1, 8100-D-8 NLM Library Associates 8000-G-2 On-Line bibliographic systems 8000-G-3 Radiation safety 8000-G-5 Video recordings 8100-E-1, 8100-E-4
Transitory Files	1100-M-4
Travel and Transportation	1500-A-3 Lost or damaged shipments 1500-A-4 Passenger 1500-A-1, 2 Patient 3000-E-41 See also committee management

U.S. Savings Bond	Authorization 1900-D-14 Purchase 1900-D-14 Receipt and transmittal 1900-D-14 Registration 1900-D-14
Veterinary services	Animal care and maintenance 3000-C-13 Animal disease investigation 3000-C-4 Animal health certificates 3000-C-5 Animal inventory adjustment 3000-C-11 Animal production 3000-C-3 Animal research project data 3000-C-1 Disposition of animals 3000-C-12 Experiment protocols 3000-C-10 Pedigree history 3000-C-7 Requests for animals 3000-C-2 Rodents 3000-C-6 Surgery 3000-C-8, 9
Video recordings	Appearances by top officials 8100-E-16 Documentary 8100-E-17 Duplicates 8100-E-18 Entertainment and recreation 8100-E-2 For public distribution 8100-E-8 Internal news or information 8100-E-12 Meetings and award presentations 8100-E-7 News releases or information reports 8100-E-9 Produced under grant 8100-E-14 Public meetings or speeches 8100-E-13 Public service announcements 8100-E-10 Rehearsal or practice tapes 8100-E-3 Related to agency programs 8100-E-15 Scientific, medical or engineering 8100-E-6 Surveillance 8100-E-5 Training 8100-E-1, 8100-E-4, 8100-E-11 See also Audiovisual materials
Visiting Program	2300-320-2
Visitors Program	8000-A-10
Volunteers	Normal 3000-E-61, 62 Sponsoring agency files 1100-J-5
Volunteer services	3000-E-90, 91

< Previous Next >

Next >

1743 - KEEPING AND DESTROYING RECORDS
Issuing Office: OD/OM/OMA 301-496-4606
Release Date: 2/98

HOW TO USE THIS SCHEDULE

1. How to locate records within this schedule:

a. Order: The NIH Records Control Schedule follows the basic order of the table of contents of the NIH Manual (NIH Manual 1001-1004). Section headings (4 digit numbers) are identical to those in the NIH Manual with two additions: Section 7000 is added to cover records accumulated by NIH activities with responsibilities for protection from biohazards, contaminants, pollutants and research risks. Section 8000 is added to cover records used in information, communications and training activities. For convenience, the sections are grouped into five parts. A quick scan of the part titles in the table of contents should help to identify where records of a given type are located. The section titles give more specific indications.

Each section is divided into sub-sections which generally follow the order of the NIH Manual. Sections are numbered with capital letters consecutively starting with A in each section, except for section 2300 (Personnel) where sections are given the numbers used in the Federal Personnel Manual.

b. Scope: At the start of parts, sections and sub-sections there are descriptions of the types of records included, along with specific identification of related records which are not included in that part, chapter or section. For convenience, the location of those records elsewhere in the schedule is given.

2. How to interpret items in this schedule: Item entries in this schedule may contain 3 elements: (a) description, (b) location and (c) disposition.

a. Description: Each item begins with a description of a category of file and, when appropriate, a list of the types of records commonly found in such files. Descriptions also indicate if the records are subject to the Privacy Act.

b. Location: Many items specify where the records are located. In such cases, the disposition instructions are meant to apply only in those components listed. If a location is specified, but the function and related records have been transferred to another component, the disposition applies in the new location. If no location is given, the disposition instruction applies anywhere in NIH where the official file is located.

c. Disposition: The disposition instruction for each item is a legally binding regulation which mandates how long the records described must be kept by NIH components, and either when they must be destroyed or when they should be offered to the National Archives if they are permanent records.

3. How to apply this schedule:

The disposition instructions in this schedule are mandatory. Records keeping in all offices in NIH must follow these disposition instructions. The most efficient way of implementing the disposition instructions is to tie them to the filing system in your

office.

First, take the file plan of your office. If you do not have a file plan, create one by making a list of each type of official file that is kept by your office (see NIH Manual 1763). For each category of file, find the appropriate disposition in this schedule.

Second, create file breaks in the office file corresponding to the retention periods specified in the schedule. Then, when the retention periods end, the files may be removed easily from the office for destruction, transfer to the Federal Records Center, or offer to the National Archives, as indicated in the disposition instructions.

Third, to facilitate application of the disposition instructions, a reminder (tickler) system or list should be created which indicates in chronological order what files should be removed and what should be done with them. Special care should be taken to insure that no records which have been designated permanent are destroyed, damaged or removed from government custody.

4. What to do if you have difficulty finding any type of record in this schedule: Try again. If you still cannot find the appropriate information, contact your IC Records Officer.

5. What to do if you are in doubt about the interpretation of any item, in this schedule: Consult your IC Records Officer.

6. What to do if you have records which are not identified anywhere in this schedule: Consult your IC Records Officer or the NIH Records Management Officer.

7. What to do if you have records which are listed in this schedule but which are not authorized for disposal: If the disposition for any item is "Disposal not authorized," then there is no legal authority for disposing of the records described. In such cases, specific authorization must be obtained from the National Archives before the records can be destroyed, or transferred to a Federal Records Center, or removed from government custody. Consult your IC Records Liaison Officer or the NIH Records Management Officer.

8. How to transfer inactive records to a Federal Records Center: see NIH Manual 1742, "Transfer, Withdrawal, Destruction, and Retrieval of Records at the Washington National Records Center."

9. How to dispose of records which are authorized for destruction: If the records are located in a Federal Records Center, the Center will take care of actual disposal. If the records are in the custody of NIH, the official responsible for the records should ensure that records are removed from active files and disposed of at the times specified in the NIH Records Control Schedule. If the records are subject to the Privacy Act, witnessed disposal is required. If the public interest would be served, records which are authorized for disposal may be donated to an eligible recipient. Any donation of records must be approved in advance by the National Archives. Consult the NIH Records Management Officer.

10. How to transfer records to the National Archives: Consult your IC Records Management Officer. See the yellow pages of the NIH Telephone and Service Directory.