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1743 - KEEPING AND DESTROYING RECORDS

Issuing Office: OD/OM/OMA 301-496-4606

PART 5 INFORMATION, COMMUNICATIONS AND TRAINING

Section 8000

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Section 8000

A. Public Affairs, Publications and Communications

Records created or used in providing information about NIH to outside audiences.

EXCLUDED from this section are:

Records of Communication services (see section 1700-C).

Audiovisual materials such as photographs, graphic art work, motion pictures, video tapes (see section 8100).

8000-A-1 Formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations and indexes thereto, and the NIH Record. One complete set will be retained.

Located in offices responsible for issuance.

a. Official file.

Disposition: PERMANENT. Cut off file annually. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 15 years old.

b. All other copies.

Disposition: Destroy no later than 1 year after year in which published or presented.

8000-A-2 NIH Basic Data Book, fiscal history data, bibliographies and

biographies of NIH Directors.

Located in Office of Program Planning and Evaluation.

Disposition: PERMANENT - Offer to National Archives when 20 years old or when no longer needed for reference.

8000-A-3 Speeches, graphic presentations, reports and compilations prepared in response to requests for information and which do not affect program or policy decisions.

Located in Office of Program Planning and Evaluation.

Disposition: Destroy when 10 years old. Earlier disposal is authorized if no longer needed for reference.

8000-A-4 Publications prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office.

a. Located in public affairs and communications offices (see item 8000-A-1).

b. Located in CC, Office of Clinical Reports and Inquiries, including publications such as Clinical Center Close-up, Director's Update and others.

Disposition: PERMANENT. Offer to the National Archives when 15 years old.

c. Located in NLM.

Disposition: PERMANENT. Offer to the National Archives when 20 years old.

d. Located in CIT, Office of the Director (excluding technical publications).

Disposition: PERMANENT. Offer to the National Archives when 20 years old.

8000-A-5 Background materials for publications and informational releases.

a. Background material including correspondence.

Located in public affairs and communications offices.

Disposition: Destroy when no longer needed for reference or when record set of publication is transferred to Federal Records Center.

b. Source files for reference use in responding to inquiries and preparing articles, speeches and reports.

Located in Office of Program Planning and Evaluation.

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

- c. Working papers, justifications, and other materials accumulated prior to publication.

Located in NLM.

Disposition: Destroy 2 years after publication is released.

- d. Working papers, justifications and other material accumulated prior to publication.

Located in CIT, Office of the Director.

Disposition: Destroy 2 years after publication is released.

- e. Manuscripts of articles, speeches, and other publications, including related clearances and other papers.

Located in CIT branches and laboratories.

Disposition: Destroy one year after speech is delivered or when material is published.

8000-A-6 Daily press service teletype news

Located in public affairs and communications offices.

Disposition: Destroy when 3 months old. Earlier disposal is authorized.

8000-A-7 Bibliographies, check lists and indexes of NIH publications and news releases, except those described in item 1 for formal informational releases.

Located in public affairs and communications offices.

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

8000-A-8 Requests for information or publications

- a. Located in CIT, NLM.

Disposition: Destroy when 3 months old.

- b. Requests for information about toxicological information and information systems.

Located in NLM.

Disposition: Destroy when 2 years old.

- c. Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.

Disposition: Destroy 3 months after acknowledgement and referral.

8000-A-9 International Conferences and Meetings files consisting of official proceedings of international conferences and meetings sponsored, conducted or coordinated by FIC and published in the FIC Proceedings series or other form.

- a. FIC copy.

Disposition: PERMANENT. Transfer official file to Federal Records Center 3 years after publication. Offer to National Archives when 20 years old after transfer.

- b. Other copies.

Disposition: Destroy no later than 2 years after year in which published. Earlier disposal is authorized.

8000-A-10 Visitors Program files - Case files of individual or group visits to NIH to tour the facility, visit research areas, or for other informational purposes.

- a. Located in FIC.

Disposition: Destroy case file 2 years after FY in which summary fiscal report is prepared. Hold cross reference name and country cards until no longer needed for administrative or historical reference.

- b. Other copies.

Disposition: Destroy 1 year after year in which visit occurred.

8000-A-11 Agency histories and selected background materials. Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.

Disposition: PERMANENT. Offer to National Archives in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).

8000-A-12 Public Affairs, Publications and Communications

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when dissemination, revision, or updating is completed.

8000-A-13 Public Health and Media Campaign Programs

Records created as a result of public health awareness and media campaigns. These records are created and maintained in paper and electronic format and include, but are not limited to, correspondence, memorandum, press releases, reports, brochures, pamphlets, posters, media kits, and audiotapes, videotapes, CDs, and DVDs containing public service announcements. These records document the development of campaigns from inception through completion and final report. Examples of such campaigns include NHLBI's "The Heart Truth," NICHD's "Back to Sleep," and NIMH's "Real Men, Real Depression."

Disposition: PERMANENT. Cut off files after completion of campaign. Maintain files in originating office or appropriate records center. Transfer 2 copies of each poster to NARA immediately after printing. Transfer all other records to the National Archives 3 years after cut off or when no longer needed for reference, whichever is sooner.

B. Bibliographic and Other Reference Materials

Files and other aids in any form created and maintained in order to provide a comprehensive data base for reference locating information on a given subject, for example, bibliographic data bases and finding aids to record material.

EXCLUDED from this section are:

- (1) Management information systems used for oversight, review and control of NIH programs (see appropriate subject/function headings);
- (2) Data systems that are created and used in conjunction with specific programs (see appropriate subject/function heading);
- (3) Information systems acquired from outside sources (see section 8000-H);
- (4) Requests for information (see item 8000-A-8).
- (5) Critically evaluated scientific reference data (see section 3000-K).
- (6) Correspondence control systems (see item 1700-C-2).

8000-B-1 Contract files, relating to research and development and equipment contracts involving biomedical information systems, containing materials such as technical reports, correspondence, performance evaluations, and other matters pertaining to the technical aspects of contract administration.

Located in NLM.

Disposition: Destroy 6 years after completion of contract.

8000-B-2 Technical subject files, relating to staff work done in developing systems, contracts with other libraries, professional meetings, development of data bases, analyses of equipment, testing, and other aspects of biomedical information systems.

Located in NLM.

a. Records containing data continuously needed for management of on-line systems.

Disposition: Destroy when 7 years old, or when superseded, as appropriate.

b. All other records.

Disposition: Destroy when 5 years old.

8000-B-3 Subject files relating to toxicological information systems and other specialized information services, containing correspondence with contractors, performance reports, systems evaluations, committee work, Congressional inquiries, planning papers, and related data.

a. Records containing data continuously needed for management of information systems.

Disposition: Destroy when 3 years old.

8000-B-4 Indexing records, concerning the preparation of bibliographical citations for introduction into MEDLARS system, based on the scanning of articles in medical journals.

Located in NLM.

a. Forms and worksheets relating to the determination of vocabulary entries and subject headings for input into MEDLARS data bases.

Disposition: Destroy when 1 year old.

b. Correspondence relating to index operations, concerning bibliographic requests from the public and foreign countries, prospective journal entries, and routine matters.

Disposition: Destroy when 2 years old.

8000-B-5 Bibliographic and Other Reference Materials

Electronic copies created on electronic mail and word processing systems.

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

C. Audiovisual Materials ([See section 8100 - Audiovisual Records](#))

D. Library Records Records related to the operations and programs of libraries.

EXCLUDED from this section are:

- (1) Library holdings of books, journals, papers, etc. (See section 8000-H);
- (2) NLM program planning and review records (see item 1100-C-3a and C-12a);
- (3) Minutes of the NLM Board of Regents (see item 1100-G-10);
- (4) Agreements on use of information services (see item 1100-J-6 and 7);
- (5) Library files of routine administrative records (see item 1100-M-1d).

8000-D-1 Library program correspondence files, involving professional activities such as meetings, relations with other institutions, and other professional and technical matters. Include working papers preliminary to final reports.

Located in NLM.

Disposition: Destroy when 8 years old.

8000-D-2 Library operations subject files, relating to the management of library services and programs. Include correspondence, reports, evaluations, working papers, reference materials and related papers. These records reflect relations with other libraries, publishers, intra-library staff, other Government agencies, contractors, and professional associations. Relate to matters such as computer operations and routine administrative functions such as procurement, personnel and the like. (Excluding administrative files related to common housekeeping functions; see item 1100-M-1.)

Located in NLM.

- a. Records containing data continuously needed in technical bibliographical and reference operations.

Disposition: Destroy when 6 years old, or when superseded, as appropriate.

- b. All other records.

Disposition: Destroy when 3 years old.

8000-D-3 Statistical reports relating to various aspects of library operations.

Located in ORS, Library Branch.

Disposition: Destroy when 2 years old.

8000-D-4 Reader Registration Cards and application forms used to identify and register library users.

a. Located in NLM.

Disposition: Destroy when patrons are re-registered.

b. For permanent employees.

Located in ORS, Library Branch.

Disposition: Destroy when 2 years old.

c. For temporary employees.

Located in ORS, Library Branch.

Disposition: Destroy on termination of temporary appointment.

d. For Clinical Center patients.

Located in CC, Patient Activities Department.

Disposition: Destroy when patient is discharged.

8000-D-5 Registration logs of library patrons, used for daily statistical purposes and as a record of patrons arriving.

Located in NLM.

Disposition: Destroy when 3 years old.

8000-D-6 Reader Request Forms

a. Located in NLM.

Disposition: Destroy 1 calendar year after month of receipt.

b. Located in ORS, Library Branch.

Disposition: Destroy when 1 year old.

8000-D-7 Borrower sign-out logs, showing materials borrowed, names of borrowers, and related information.

Located in NLM Library.

Disposition: Destroy when 2 years old.

8000-D-8 Transaction History Files: Computer listings of loan transactions.

Located in NLM Library.

Disposition: Destroy when 3 months old.

8000-D-9 Interlibrary Loan Requests

a. Located in NLM.

Disposition: Destroy 1 calendar year after month of receipt.

b. Located in ORS, Library Branch.

Disposition: Destroy when 2 years old.

8000-D-10 Correspondence received from the public for bibliographical or other information.

Located in NLM.

Disposition: Destroy 1 year after end of current year.

8000-D-11 Library serial records: Manual recordings of the receipt of serial publications.

Located in NLM.

Disposition: Destroy when serial recording procedure is converted to a machine readable system.

8000-D-12 Requests for translating services and related papers.

Located in ORS, Library Branch.

Disposition: Destroy when 2 years old.

8000-D-13 Library Records

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. Freedom of Information Act Requests

Inquiries, replies, reports, appeals case files and related correspondence accumulated in carrying out the provisions of the Freedom of Information Act (FOIA).

EXCLUDED from this section is: The official file copy of any records requested under FOIA (see appropriate subject/function heading).

8000-E-1 FOIA Reports Files: Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Disposition: Destroy when 2 years old.

8000-E-2 NIH Implementation of FOIA: Administrative records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old.

8000-E-3 FOIA Control Files: Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester.

a. Registers or listing.

Disposition: Destroy 6 years after date of last entry.

b. Other files.

Disposition: Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

8000-E-4 FOIA Requests when access is granted to requested record, including the original request, a copy of the reply and related supporting papers excluding the official file copy of the requested records.

Disposition: Destroy 2 years after date of reply.

8000-E-5 FOIA Requests when access is denied to all or part of the requested records, including the original requests, a copy of the reply and related papers excluding the official file copy of the requested records.

Disposition: If there is no appeal, destroy 6 years after date of reply. If the case is appealed, see item 8000-E-7.

8000-E-6 FOIA Requests for records which do not exist, or containing inadequate information about the records, or when reproduction fees are not paid: Original request, a copy of the reply and related papers excluding the official file copy of requested records.

Disposition: If there is no appeal, destroy 2 years after date of reply. If the case is appealed, see item 8000-E-7.

8000-E-7 FOIA Appeal Files created in response to administrative appeals under the FOIA for release of information denied by the agency, consisting

of the appellant's letter, a copy of the reply thereto, and related supporting documents, (EXCLUDING the official file copy of the records under appeal--see item 8000-E-8).

Disposition: Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.

8000-E-8 Official File Copy of Records Subject to FOIA Request

Disposition: Keep either a) according to disposition instructions for the records found in appropriate section of this schedule, or (b) as long as the records of the FOIA appeal (see item 8000-E-7), whichever is later.

F. Privacy Act Requests

Inquiries, replies, reports, appeals case files and related correspondence accumulated in carrying out the provisions of the Privacy Act.

8000-F-1 Official File Copy of Records subject to a request for access under the Privacy Act. (Does not apply to cases where the request is for amendment of records about individuals: See items 8000-F-9 through F-10.)

Disposition: Dispose of in accordance with approved NIH disposition instructions for the related records, or with the related Privacy Act request, whichever is later. WARNING: Records subject to the Privacy Act must be maintained and disposed of in a manner which protects the privacy of individuals (see DHHS, GAM 45-13).

8000-F-2 Privacy Act Report Files: Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report of New Systems.

Disposition: Destroy when 2 years old.

8000-F-3 NIH Implementation of the Privacy Act: Administrative files related to general NIH implementation of the Privacy Act, including notices, memoranda, routine correspondence and related records.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative purposes.

8000-F-4 Privacy Act Accounting of Disclosure Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, (except if the disclosure is to an employee of HHS who has a need for the information in the conduct of official business or if the information is released under FOIA) including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and

proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after disclosure for which the accountability was made, whichever is later.

8000-F-5 Privacy Act Control Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings.

Disposition: Destroy 5 years after date of last entry.

b. Other files.

Disposition: Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

8000-F-6 Privacy Act Requests for Records which contain inadequate or inaccurate information, or for records which do not exist, or when reproduction fees are not paid, including the request, a copy of the reply and related records except the official file copy of requested records (see item 8000-F-1).

Disposition: If there is no appeal, destroy 2 years after date or reply. If the case is appealed, see item 8000-F-11.

8000-F-7 Privacy Act Requests for Records when access is granted including the request, a copy of the reply and related records except the official file copy of requested records (see item 8000-F-1).

Disposition: Destroy 2 years after date of reply.

8000-F-8 Privacy Act Request for Records when access is denied including correspondence and supporting documents (excluding official copy of records requested).

a. Request not appealed.

Disposition: Destroy 5 years after date of reply.

b. Request appealed. *Disposition:* Dispose of according to disposition instruction for the records requested, or 3 years after final adjudication by the courts, whichever is later.

8000-F-9 Privacy Act Requests to Amend Records when the request is granted, including the requests, copies of replies and related records.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record

or 4 years after agency's agreement to amend, whichever is later.

8000-F-10 Privacy Act Requests to Amend Records when the request is denied, including requests, copies of replies, statements of disagreement, NIH justification for refusal to amend and related records.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record; 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

8000-F-11 Privacy Act Appeals Case Files for all appeals of denials of access to records or denials of requests to amend records under the Privacy Act.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

G. Training and Educational Programs

Textbooks, manuals and other training aids and other records related to training or educational programs developed and offered by NIH.

EXCLUDED from this section are:

- (1) Training materials and related documents created by other organizations, both government and private. These materials are non-record and should be destroyed as soon as they are obsolete or superseded.
- (2) NIH employee's training records (see section 2300-410).
- (3) Training film strips, slides, motion pictures, and video recordings. (See items 8100-B-3, 8100-D-1, 8100-D-8, 8100-E-1, 8100-E-4, 8100-E-11).

8000-G-1 Clinical Center Training administrative files, consisting of correspondence, memoranda, and reports pertaining to training techniques, plans, materials, and related matters.

Disposition: Destroy when 3 years old.

8000-G-2 NLM Library associate training program records related to a training program dealing with various aspects of library information systems, communications networks, and medical librarianship. Contain applications, references, and related correspondence.

- a. Files for successful applicants who later join the Library staff.

Disposition: Forward to the Office of Personnel Management for placement in the Official Personnel Folder.

b. All other files.

Disposition: Destroy 6 months after close of files.

8000-G-3 On-Line Bibliographic Systems Training Records containing lists of students, lesson plans, and related papers.

Disposition: Destroy after 1 year.

8000-G-4 Files relating to computer training for potential users, comprising nomination forms, course materials, schedules, and related papers.

Located in CIT.

Disposition: Destroy when 4 years old, or when training materials or other data are superseded or obsolete, as appropriate.

8000-G-5 Training of NIH personnel in radiation safety principles, standards and techniques.

Located in ORS, Radiation Safety Branch.

Disposition: DISPOSAL NOT AUTHORIZED.

8000-G-6 Other NIH Training and Educational Programs manuals, syllabi, textbooks and any other training aids developed by NIH units.

Disposition: Record Copy - DISPOSAL NOT AUTHORIZED.

Extra Copy - Destroy when superseded or obsolete.

8000-G-7 General Files on NIH Training Programs including correspondence, memorandum agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program.

8000-G-8 Background and Working Papers for NIH training programs.

Disposition: Destroy when 3 years old.

H. Reference Materials

Materials maintained solely for reference purposes for employees of NIH in the performance of their official functions. They may be books or other publications, laws, Executive Orders, regulations, directives, guidelines, or bulletins. Copies of NIH records maintained solely for purposes of reference outside of the official file are also in this category.

Reference materials are not government records.

EXCLUDED from this category are copies of records, books, laws, directives or any documentary materials whatsoever that are maintained as part of an official file.

For example, a copy of a Public Law maintained in the legislative history files of the Office of Legislative Policy and Analysis is an NIH record and must be maintained according to the disposition instruction which applies to that file. A copy of the same law maintained in the Office of Management Assessment for reference use when NIH regulations are developed is non-record. Similarly, scientific journals maintained by NIH laboratories for consultation by laboratory staff are reference materials, but a copy of a journal article authorized by an NIH investigator as a result of research conducted at NIH must be maintained as part of the official files on that research.

Disposition: Reference materials should be kept no longer than necessary. Destroy when superseded, obsolete or no longer needed.

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