

**ADMINISTRATIVE AND PROGRAM RECORDS SCHEDULE**  
**Remaining Items From Previous Issuance of NIH Manual Chapter 1743**  
**Effective April 18 2016**

**This schedule excludes all items covered in the NIH Intramural and Extramural Research  
Records Schedules and the NIH General Records Schedule.**

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**PART 1 ADMINISTRATION:**

**Section 1100 General Administration**

- Contents:**
- A. Legislation and Regulations
  - B. Policy/Subject Files
  - C. Program Planning, Review and Evaluation
  - D. Organization and Functions
  - E. Delegations of Authority
  - F. Directives
  - G. Committee Management: Chartered Public Advisory Groups
  - H. Committee Management: Other Organized Groups
  - I. Emergency Planning Files
  - J. Relationships with Other Organizations, Agencies and/Governments
  - K. Public Information (See Part 5, Part 8000)
  - L. Patents and Inventions
  - M. General Administrative Files at IC and Lower Levels

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

**EXCLUDED** from this section are:

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

**1100 GENERAL ADMINISTRATION**

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

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

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

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

*Disposition:* Transfer case files of legislation to inactive file when superseded or terminated.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

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

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

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

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

**ii. Federal Register Documents**

Regulations files created for the purpose of publishing NIH rules in the Federal Register.

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

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

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

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

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

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

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

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

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

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

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

Notices of Meetings

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

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

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

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

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

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

**B. Policy/Subject Files**

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

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

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

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

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

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

Location: CC, Office of the Director

a. Recordkeeping Copy:

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

**C. Program Planning, Review and Evaluation**

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

EXCLUDED from this section are:

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

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

a. Located in OER.

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

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b. All other copies.

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

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

a. Located in OSP.

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

b. All other copies.

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

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

Located in IC Directors' offices.

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

**ii. Program Review and Evaluation**

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

EXCLUDED from this section are:

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

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

(3) Financial audits; see section 1900.

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(4) Reports prepared solely for public information and not for reporting to higher authorities; see section 8000-A.

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

a. Located in OSP.

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

b. All other copies.

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

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

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

Located in issuing office.

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

b. All other copies.

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

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

*Disposition*: Destroy 2 years after consolidated report is submitted.

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

a. Located in IC Directors' offices.

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

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

Located in CC, Office of the Director.

1. Recordkeeping copy:

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

c. Program analysis and review files.

Located in all other offices.

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

Project clearance files of records required by the Paperwork Reduction Act.

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

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

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

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

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

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

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

a. Located in IC Extramural Program Offices.

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

b. All other copies.

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

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

*Disposition:* Destroy when no longer needed for administrative purposes.

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

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

**D. Organization and Functions**

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

a. Located in CC, Office of the Director

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

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

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

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

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

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

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

**E. Delegations of Authority**

Delegations of Authority to the Director, NIH from DHHS officials. Included are official statements published in the Federal Register with supporting correspondence and other records which document successive changes in authorities and reasons therefore. Also included

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are documents re-delegating the authority of the Director to subordinates and records created in the development of and influencing decisions on these matters.

a. Located in Office of Management Assessment.

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

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

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

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

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

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

## **F. Directives**

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

EXCLUDED from this section are:

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

Such directives from outside sources, unless they are incorporated into case files, are not records of NIH. They should be destroyed as soon as they are obsolete or superseded. Directives interfiled with other materials should be disposed together with the rest of the file.

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

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

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

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

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

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

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

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

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Directives issued at a IC or program level

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

*Disposition:* PERMANENT. Offer to National Archives in 5 year blocks when newest record in block is 20 years old.

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

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

c. Reference copies of directives and issuances.

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

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

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

**H. Committee Management: Other Organized Groups**

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

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

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

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

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

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

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

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

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

*Disposition:* Official File - Destroy when 10 years old.

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

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

a. Located in EEO Office.

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*Disposition:* Destroy when 5 years old.

b. Other copies.

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

Minutes of Meetings maintained in the Clinical Center Central File.

Located in CC, Office of the Director

a. Recordkeeping copy:

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

**I. Emergency Planning Files**

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

SEE ALSO:

(1) Safety (1300-B);

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

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NIH Emergency Planning and Operations Manual, with related background papers.

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

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

b. Located in all other offices.

*Disposition:* Destroy when superseded or obsolete.

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

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

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

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

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

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

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

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

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

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

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

*Disposition:* Destroy when 3 years old.

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

*Disposition:* Destroy when 2 years old.

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

*Disposition:* Destroy when obsolete or superseded.

## **J. Relationships with other Organizations, Agencies and Governments**

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

EXCLUDED from this section are:

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

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

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

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

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

*Disposition:* PERMANENT. Transfer inactive records to Federal Records Center at 5 year intervals. Offer to National Archives 20 years after file becomes inactive.

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

*Disposition:* Destroy when 5 years old.

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

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

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

b. All others

*Disposition:* Destroy when no longer needed for administrative reference or no later than when 3 years old.

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

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Located in CC, Clinical Research Volunteer Program.

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

Agreements and memoranda of understanding with foreign countries, relating to biomedical information activities.

Located in NLM - Office of the Director.

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

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

Located in NLM.

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

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

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

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

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

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

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**K. Public Information**

(See Part 5, section 8000.)

**L. Patents, Inventions and Licensing**

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

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

Employee Invention Reports (EIRs) invention description, Confidential Disclosure Agreements (CDAs), and associated documents submitted by scientists via Technology Development Coordinators to OTT for review of patentability or transfer by other means.

1. EIRs on which a Patent or Patent Cooperation Treaty (PCT) application(s) has been filed.

*Disposition:* Incorporate into the first filed application file. (***Filing Instruction only***)

2. EIRs on which a Patent or PCT application will not be filed but has been licensed.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after expiration of last active license. Destroy 10 years after cut off. (***Supersedes NI-443-94-1, Item 1100-L-2-b***)

3. EIRs on which a Patent or PCT application will not be filed and for which no license has been executed.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after docketed by OTT. Destroy 10 years after cut off. (***Supersedes NI-443-94-1, Item 1100-L-2-b***)

Patent Application Files, including U.S., PCT and foreign applications, containing copies of patent applications, drawings, evaluations, Summary of Invention Data, published articles, progress/utilization reports, work orders, Cooperative Research and Development Agreement (CRADA) with a reported CRADA Subject Invention, and related correspondence.

1. Located in the NIH Office of Technology Transfer.

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a. Issued Patent Files

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after expiration or lapse of the patent. Destroy 10 years after cut off. (*Supersedes NI-443-94-1, Item 1100-L-3-a-1 and NI-443-94-1, Item 1100-L-4-a-1*)

b. Inactive Patent Application Files (i.e., Abandoned, Withdrawn, Expired). Patent application files where no patent has been issued.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after the last application in the family becomes inactive. Destroy 7 years after cut off. (*Supersedes NI-443-94-1, Item 1100-L-3-a-2 and NI-443-94-1, Item 1100-L-4-a-2*)

(1) Located in Division of Extramural Invention Reports.

(a) Official File (except abandoned cases and cases that involve a Publication Bar)

*Disposition:* TEMPORARY. Place in inactive file upon issuance of patent. Cut off at the end of the fiscal year after expiration of patent. Transfer files to the FRC 1 year after cut off or when no longer needed for administrative purposes, whichever is later. Destroy 10 years after cut off. (*Supersedes NI-443-94-1, item 1100-L-3-b*)

(b) Abandoned cases and cases involving a Publication Bar

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year following receipt of notice from Contractor/Grantee. Destroy 1 year after cut off. (*Supersedes NI-443-94-1, item 1100-L-3-b*)

c. Located in IC Technology Transfer Office

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year when case is abandoned, withdrawn, or expires. Destroy 1 year after cut off. (*Supersedes NI-443-94-1, Item 1100-L-4-b*)

License Agreement Files.

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Located in the NIH Office of Technology Transfer.

1. Executed agreements and associated amendments.
  - a. Official File. Domestic and foreign, exclusive and non-exclusive, invention and biological material license agreements, Inter-Institutional Agreements (IIAs), Inter-Agency Agreements (IAAs) executed either by NTIS or OTT, and related correspondence, including progress reports, royalty reports, transmittal documents and inquiries.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after the expiration or termination of the license agreement or amendment. Destroy 10 years after cut off. (*Supersedes N1-443-94-1, Item 1100-L-5-a and N1-443-94-1, Item 1100-L-5-b*)

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

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after the agreement or amendment is executed. Destroy immediately after cut off. (*Supersedes N1-443-94-1, Item 1100-L-5-c*)

2. Non-executed license agreement and amendments. The application and all other related record material, including correspondence, documents, drafts, and logs.
  - a. Applications that are withdrawn, terminated, or denied and there is no appeal.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year when the application is withdrawn, negotiations are terminated, or the application is denied and there is no appeal. Destroy 3 years after cut off.

- b. Applications that are appealed

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after resolution of the appeal. Destroy 7 years after cut off.

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

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1. Executed Agreements

- a. Located in the NIH Office of Technology Transfer

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year following termination or expiration of the CRADA. Destroy 3 years after cut off. (*Apply NI-443-07-3, Item 1100-L-6-A-2*)

- b. Located in IC Technology Transfer Office.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after termination or expiration of the CRADA. Transfer to the Federal Records Center 1 year after cut off. Destroy 10 years after cut off. (*Apply NI-443-07-3, Item 1100-L-6-A-1*)

2. Non-executed Agreements

Located in IC Technology Transfer Office.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after it is determined that the agreement will not be executed. Destroy 1 year after cut off. (*Apply NI-443-07-3, Item 1100-L-6-B*)

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

*Disposition:* TEMPORARY. All copies - Destroy when no longer needed. (*Apply NI-443-94-1, item 1100-L-7*)

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

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year in which signed or prepared. Destroy 5 years after cut off. (*Apply NI-443-94-1, item 1100-L-8*)

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

*Disposition:* TEMPORARY. All copies - Destroy when no longer needed for reference. (*Apply NI-443-94-1, item 1100-L-9 or GRS 20, item 5 as appropriate*)

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Technology Transfer Marketing Files containing marketing research, communications with inventor(s), Notice of Availability for Publication and Licensing, publications describing the invention, mass mailing/emailing contact list(s), summaries of marketing, incoming licensing inquiries, outgoing targeted marketing, communications regarding Confidential Disclosure Agreements (CDAs), signed CDAs, communications regarding sending non-confidential and confidential information to prospective licensees, communications regarding sending a license application.

1. If associated with an executed license.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after expiration of last active license or after the report was docketed by OTT, whichever is later. Destroy 10 years after cut off.

2. If no license is executed.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after docketed by OTT. Destroy 10 years after cut off.

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

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

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

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year following the date of execution. Destroy 1 year after cut off. (*Supersedes NI-443-01-1, item 1100-L-11-A-1*)

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- b. Final Executed Agreement File: The final executed Agreement and post execution correspondence and documents.

(1) For Agreements with a fixed expiration date:

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after expiration or termination of the agreement. Destroy 1 year after cut off. (*Supersedes NI-443-01-1, item 1100-L-11-A-2-a*)

(2) For Agreements *without* a fixed expiration date:

(a) If notification of termination is received:

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after notification by either party of termination. Destroy 1 year after cut off. (*Supersedes NI-413-01-1, item 1100-L-11-A-2-b*)

(b) If notification of termination is not received:

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after execution. Destroy 8 years after cut off. (*Supersedes NI-443-01-1, item 1100-L-11-A-2-b*)

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2. Non-executed Agreements: The request letter and all other related record material including correspondence, documents, drafts and logs created.

*Disposition:* TEMPORARY. Cut off at the end of the fiscal year after it is determined the Agreement will not be executed and the file is closed. Destroy 1 year after cut off. (*Supersedes NI-443-01-01, item 1100-L-11-B-1*)

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

*Disposition:* TEMPORARY. Destroy when the Agreement is closed. (*Supersedes NI-443-01-1, item 1100-L-11-A-3 and NI-443-01-1, item 1100-L-11-B-2*)

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

EXCLUDED from this section are:

- (1) Official program files - see appropriate subject/function.
- (2) Official files of service units such as personnel offices, budget offices, procurement offices, maintenance and security units, etc. - see appropriate functional heading.
- (3) Any records specifically identified by type and office location anywhere else in this schedule.

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

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a. Recordkeeping copy:

*Disposition:* Destroy the recordkeeping copy when 2 years old.

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

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

**NOTE:** High level officials include the Directors, Scientific and Clinical Directors, Deputy Directors, Associate and Assistant Directors of NIH and the IC's, as well as staff assistants of these officials. Unique and substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. Contact the NIH Records Management Officer for assistance.

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

*Disposition:* Destroy or delete when 2 years old.

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

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

Suspense Files

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

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

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*Disposition:* Destroy after action is taken.

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

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

Transitory Files

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

b. Letters of transmittal. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

c. Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.

*Disposition:* Destroy when 3 months old.

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**PART 1 ADMINISTRATION**

**Section 1300 Station Management**

*Contents:*     A. Space Management  
                  B. Safety  
                  C. Protection and Security  
                  D. Quarters

**1300 STATION MANAGEMENT**

Records related to space management, safety, protection, security and housing for NIH personnel and for facilities owned or used by NIH.

EXCLUDED from this section are

(1) records related to design, construction or maintenance of buildings; (see section 2600-B).

(2) records related to protection from biohazards, contaminants and other risks where NIH has broad responsibility for such protection extending beyond NIH itself; (see Part 4, section 7000).

**A. Space Management**

Space and Maintenance General Correspondence Files. Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

*Disposition:* Destroy when 2 years old.

Space Files. Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.

a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

*Disposition:* Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete.

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b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

(1) Agency reports to the General Services Administration, including Standard Form (SF) 81, Request for Space, and related documents.

*Disposition:* Destroy when 2 years old.

(2) Copies in subordinate reporting units and related work papers.

*Disposition:* Destroy when 1 year old.

**B. Safety**

Environmental control program: subject files related to coordination of environmental control activities at NIH, containing correspondence reports, published materials and related papers.

Located in Division of Safety.

*Disposition:* Destroy when 5 years old.

Occupational Safety and Health Branch program: files related to the professional work of the branch, including reports, correspondence, technical data, memoranda, published materials, data on biological agents and other program matters.

Located in Occupational Safety and Health Branch.

*Disposition:* Destroy when 6 years old.

Safety management subject files, containing correspondence, reports, forms, and related papers affecting the NIH safety management program. Include data on matters such as building safety, training, chemical and other materials used at NIH, industrial hygiene, organizations and conferences, and routine administration.

Located in Occupational Safety and Health Branch.

*Disposition:* Destroy when 5 years old.

Reserved. This item is covered in Administrative Files 1100-M.

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Employee injury and compensation case files [Disposition authority withdrawn per FPMR Bulletin B-136]

Reserved.

Radioactive contamination survey sheets: Room surveys for radioactive contamination.

Located in Radiation Safety Branch.

*Disposition*: Destroy when 3 years old.

Radiation Safety Training Records. **These records are subject to the Privacy Act.**

Located in Radiation Safety Branch.

a. Radiation Safety Training Record Card (NIH 88-15).

*Disposition*: Destroy 20 years from last date of entry made on the card.

b. Radiation Safety Refresher Training Attendance Records.

*Disposition*: Destroy when 3 years old.

Exposure incident files contain reports and all other data relating to the investigation of radioactivity exposure incidents in NIH.

Located in Radiation Safety Branch.

*Disposition*: Destroy when 10 years old.

Radiation exposure records, consisting of name files on badges issued, and bioassay data on individual exposures, air sample reports of possible environmental and personnel contamination. **These records are subject to the Privacy Act.**

Located in Radiation Safety Branch.

*Disposition*: DISPOSAL NOT AUTHORIZED at this time. Review for possible retention period in 2000. Federal regulations require retention of these records until termination of U.S. Nuclear Regulatory Commission licenses.

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NIH requests for the purchase and use of radio nuclides.

Located in Radiation Safety Branch.

*Disposition:* Destroy when 3 years old.

Applications for authorization to use radio nuclides, showing training and experience, and other data about would-be users of isotopes, showing branch approval or disapproval. **These records are subject to the Privacy Act.**

Located in Radiation Safety Branch.

*Disposition:* Destroy when superseded or no longer applicable.

Notifications of transfer of radioactive material to other institutions.

Located in Radiation Safety Branch.

*Disposition:* Destroy when 3 years old.

Records relating to the disposal of radioactive waste.

Located in Radiation Safety Branch.

*Disposition:* DISPOSAL NOT AUTHORIZED at this time. Review for possible retention period in 2000. Federal regulations require retention of these records, showing location of the material and other data, until termination of U.S. Nuclear Regulatory Commission licenses.

### **C. Protection and Security**

Records related to directives, policies, procedures and measures taken for protection of NIH-owned facilities or privately operated facilities given protection by NIH from unauthorized entry or loss.

EXCLUDED from this section are:

- (1) Records related to emergency planning; (see section 1100-I),
- (2) Records related to safety, (see section 1300-B),

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(3) Records related to personnel security clearance and related matters; (see items 2300-730-1 to 6),

(4) Records related to programs for protection from biohazards research risks and other areas where NIH has responsibilities extending beyond NIH itself (see section 7000).

Protection and Security Management Administrative Correspondence Files.

*Disposition:* Destroy when 2 years old.

Survey and Inspection of Government-owned buildings: Reports of surveys and inspections conducted to insure adequacy of protective and preventive measures taken against hazards of fire, explosion and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

*Disposition:* Destroy when 3 years old or on discontinuance of facility, whichever is sooner.

Survey and inspection of privately-owned facilities assigned security cognizance by NIH.

*Disposition:* Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.

Investigative Files accumulated in investigations of fires, explosions and accidents, consisting of retained copies of reports and related papers when original reports are submitted to other agencies or organizational elements; reports and related papers concerning occurrences of such a minor nature that they are settled locally.

Located in offices which conduct investigations.

*Disposition:* Destroy when 2 years old (Does not apply to employee injury and compensation files, 1300-B-5, or records of radioactive contamination, 1300-B-9).

Property Pass Files authorizing removal of property or materials.

Located in offices of responsible Property Custodians and Property Representatives and DAS - Protection and Security Management Branch.

*Disposition:* Destroy 3 months after expiration or revocation.

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Guard Assignment files related to guard assignments and strength.

- a. Ledgers.

*Disposition:* Destroy 3 years after final entry.

- b. Requests, analyses, reports, change notices and other related papers.

*Disposition:* Destroy when 2 years old.

Police Functions Files related to exercise of police functions.

- a. Ledgers of arrests, cars ticketed and outside police contracts.

*Disposition:* Destroy 3 years after final entry.

- b. Reports, statements of witnesses, warning notices and other case papers relating to arrests, commitments and traffic violations.

*Disposition:* Destroy when 2 years old.

- c. Reports on contact of outside policy with building occupants.

*Disposition:* Destroy when 1 year old.

Personal Property Loss or Theft Files concerning accountability for personal property lost or stolen.

- a. Ledgers.

*Disposition:* Destroy 3 years after final entry.

- b. Reports, loss statements, Form NIH-254, receipts and other related documents relating to lost and found articles.

*Disposition:* Destroy when 1 year old.

Key Accountability files. Files relating to accountability for keys issued. **These records are subject to the Privacy Act.**

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- a. For areas under maximum security.

*Disposition:* Destroy 3 years after turn-in of key.

- b. For other areas.

*Disposition:* Destroy 6 months after turn-in of key.

Visitor Control Records used to record names of outside contractors, service personnel, visitors, employee admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

*Disposition:* Destroy 5 years after final entry or 5 years after date of document.

- b. For other areas.

*Disposition:* Destroy 2 years after document is created or 2 years after date of document, as appropriate.

Facilities Checks files related to periodic guard facility checks.

- a. Data sheets, door slip summaries, check sheets.

*Disposition:* Destroy when 1 year old.

- b. Reports of routine after-hours security checks where no security violations are involved.

*Disposition:* Destroy when 1 month old.

Guard Service Control Files.

- a. Control center key or code records, emergency call reports, building records and employee identification cards.

*Disposition:* Destroy when superseded or obsolete.

- b. Round reports, service reports on interruptions and tests, punch clock dial sheets.

*Disposition:* Destroy when 1 year old.

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c. Automatic machine patrol charts and registers of patrol and alarm services.

*Disposition:* Destroy when 1 year old.

d. Arms distribution sheets, charge records and receipts.

*Disposition:* Destroy 3 months after return of arms.

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Logs and Registers.

- a. Master logs.

*Disposition:* Destroy 2 years after final entry.

- b. Guard Station logs of concurrences also entered in master logs.

*Disposition:* Destroy 1 year after final entry.

Credentials and Identification Files.

- a. Identification cards and badges, parking permits, and other identification credentials. **These records are subject to the Privacy Act.**

*Disposition:* Destroy credentials 3 months after return to issuing office.

- b. Receipts, indices, listings and accountable records.

*Disposition:* Destroy after all listed credentials are accounted for.

**D. Quarters**

Records related to management and assignment of staff quarters .

EXCLUDED from this section are:

- (1) Fiscal Records; (See section 1900),
- (2) Procurement and supply records; (See section 2600),
- (3) Building maintenance, (See section 2600-B).

Quarters Management Files including expenditures, survey, collection and other statistical and narrative data.

*Disposition:* Destroy when 2 years old.

Quarters - General Correspondence pertaining to management and maintenance of staff quarters.

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*Disposition:* Destroy when 2 years old.

Housing Leases, renewals, termination notices and related papers.

*Disposition:* Destroy 3 years after end of fiscal year in which lease is terminated or canceled or in which any litigation is concluded, whichever is later.

Housing Assignments and Vacancy Files.

a. Individual tenant record.

*Disposition:* Destroy when tenant vacates unit.

b. Housing unit record.

*Disposition:* Destroy 3 years after end of fiscal year in which unit is closed.

Furnishings inventories of staff quarters.

*Disposition:* Destroy 3 years after end of fiscal year in which inventory is superseded.

Housing Applications (Does not apply to copies filed with leases: see item 1300-D-3.)

a. Rejected applications.

*Disposition:* Destroy 1 year after rejection.

b. Others.

*Disposition:* Destroy when 2 years old.

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## **Section 1500 Travel and Transportation**

Records related to movement of persons under Government orders.

EXCLUDED from this section are:

- (1) Accountable Officers' Accounts (See item 1900-A.)
- (2) Patients' Travel and Transportation. (See item 3000-E-41.)

### General Travel and Transportation Files.

- a. Accountability records.

*Disposition:* Destroy 1 year after all entries are cleared

- b. Correspondence, forms and related records, not covered above, pertaining to NIH travel and transportation of persons.

*Disposition:* Destroy when 2 years old.

Lost or Damaged Shipments Files Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

*Disposition:* Destroy when 6 years old.

### Records Relating to Official Passports.

- a. Application files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

*Disposition:* Destroy when 3 years old or upon separation of the bearer, whichever is sooner.

- b. Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters.

*Disposition:* Destroy when 1 year old.

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c. Passport registers. Registers and lists of agency personnel who have official passports.

*Disposition:* Destroy when superseded or obsolete.

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State.]

**1500-A-7** Federal Employee Transportation Subsidy Records. Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

*Disposition:* Destroy when 3 years old.

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## **Section 1700 Management Services**

*Contents:*

- A. Management Appraisal
- B. Records Management
- C. Correspondence
- D. Communication Services
- E. Printing and Reproduction

### **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.)

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.

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*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.

Reserved

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, inquiries, 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:

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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.

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 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.

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*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.

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.

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

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.

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b. Located in organization subject to assessment.

*Disposition:* Destroy 6 months after final action.

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.

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.

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.

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.

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

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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.

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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-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**

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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.)

Correspondence with the Public

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.

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.

Information copies of correspondence, reports, minutes of meetings and other documents.

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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.

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).

Messenger Service Files: Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

*Disposition:* Destroy when 2 months old.

Communications correspondence and related records pertaining to internal administration and operation of communications services.

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*Disposition:* Destroy when 2 years old.

Telecommunications general files including plans, reports and other records pertaining to equipment requests, telephone service and similar matters.

*Disposition:* Destroy when 3 years old.

Telecommunications Statistical Reports including cost and volume.

*Disposition:* Destroy when 1 year old.

Telecommunications Reference Vouchers Files.

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.

Copies of Agreements for telecommunication services with background data and other related records.

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

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.*

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

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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.

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.

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.

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*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.

Metered Mail Report Files: Official metered mail reports and all related papers.

*Disposition:* Destroy when 6 years old.

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.

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.

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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.)

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.

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.

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.

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.

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

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.

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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## **Section 1900 Accounting**

*Contents:*

- A. Accountable Officers' Accounts
- B. Expenditure Accounting
- C. Stores and Cost Accounting
- D. Payroll
- E. Non-Employee Compensation
- F. Gift Administration

### **1900 ACCOUNTING**

#### **A. Accountable Officers' Accounts**

These are General Accounting Office (GAO) site audit records. These records are accumulated for on-site audit by GAO auditors. They consist of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement vouchers or documents that are the equivalent of any of the above. If the integrated accounting system approved by GAO requires certain other documents, support vouchers, and/or schedules, they shall also be included. In addition, Automatic Data Processing (ADP) or other machine readable versions of accountable officers' accounts produced with GAO approval, in lieu of standard voucher or schedule forms, as well as any agency forms used in lieu of standard voucher or schedule forms, are included.

**1900-A-1 Accountable Officers' Files:** Original or ribbon copy of accountable officers' accounts maintained for site audit by GAO auditors, consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid or deposited in the course of operation of the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.

Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.

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SF 215, Deposit Ticket  
SF 224, Statement of Transactions  
SF 1034, Public Voucher for Purchases and Services Other Than Personal  
SF 1036, Statement of Certificate and Award  
SF 1047, Public Voucher for Refunds  
SF 1069, Voucher for Allowance at Foreign Posts of Duty  
SF 1080, Voucher for Transfer Between Appropriations and/or Funds  
SF 1081, Voucher and Schedule of Withdrawals and Credits  
SF 1096, Schedule of Voucher Deductions  
SF 1097, Voucher and Schedule to Effect Correction of Errors  
SF 1098, Schedule of Canceled Checks  
SF 1113, Public Voucher for Transportation Charges  
OF 1114, Bill of Collection  
OF 1114A, Official Receipt  
OF 1114B, Collection Voucher  
SF 1129, Reimbursement Voucher  
SF 1143, Advertising Order  
SF 1145, Voucher for Payment Under Federal Tort Claims Act  
SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee  
SF 1156, Public Voucher for Fees and Mileage  
SF 1166, Voucher and Schedule of Payments  
SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies  
SF 1218, Statement of Accountability (Foreign Service Account)  
SF 1219, Statement of Accountability  
SF 1220, Statement of Transactions According to Appropriation, Funds and Receipt Accounts  
SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)

a. Accounts and supporting documents pertaining to American Indians.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**1900-A-7 Accounting Administrative Files:** Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

a. Files used for workload and personnel management purposes.

*Disposition:* Destroy when 2 years old.

b. All other files.

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*Disposition:* Destroy when 3 years old.

Audit Reports Case Files: Audit reports of institutions which receive funding from NIH, evidence of resolution of problems cited in the reports, and related papers.

Located in Office of Contracts Management, Audit Review Section.

*Disposition:* Transfer case files to Federal Records Center one year after receipt of subsequent audit report. Destroy 6 years after receipt of subsequent audit report.

Administrative Claims Files.

**a.** Claims against the United States. Records relating to claims against the United States for moneys which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by sub-item c below.

*Disposition:* Destroy when 6 years, 3 months old.

**b.** Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under sub-item c below.

(1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

*Disposition:* Destroy when 6 years, 3 months old.

(2) Claims for which collection action has been terminated under 4 CFR Part 104.

(a) Claims for which the Government's right to collect was not extended.

*Disposition:* Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.

(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

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*Disposition:* Destroy 3 months after the end of the extended period.

(3) Claims which the agency administratively determines are not owed to the United States after collection action was initiated.

*Disposition:* Destroy when 6 years, 3 months old.

c. Claims files that are affected by a court order or that are subject to litigation proceedings.

*Disposition:* Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.

Waiver of Claims Files. Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.

a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount).

*Disposition:* Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.

b. Denied waivers.

*Disposition:* Destroy with related claims files in accordance with items 13b and 13c of this schedule.

**B. Expenditure Accounting**

Ledgers and related documents maintained to show in summary fashion how funds, appropriated and non-appropriated, are spent and the sources and nature of any receipts.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of 1943, as amended (44 U.S.C. 372).

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EXCLUDED from this section are:

- (1) Accountable Officers' Accounts, (See section 1900-A),
- (2) Detailed records of stores, and cost accounting; (See section 1900-C).

**1900-B-1 Expenditures Accounting General Correspondence and Subject Files:** Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

*Disposition:* Destroy when 2 years old.

Evaluation fund files documenting expenditures from the "Program Evaluation Set- Aside" for grants, contracts or other payments used for program evaluation activities. This item covers Office of Program Planning and Evaluation files and does not include records of the Division of Financial Management.

*Disposition:* Destroy 5 years after fiscal year in which expenditure is made or final payment is made on grant or contract.

Moved to 1900-F-6.

Items 7 and 8 Reserved

### **C. Stores and Cost Accounting**

**Stores Accounting.** These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials.

**Cost Accounting.** These records are designed to accumulate and show data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel.

EXCLUDED from this section are:

- (1) Summary expenditure accounting records; (See section 1900-B)
- (2) Procurement, property and supply management files; (See section 2600)

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(3) Records related to movement of materials to and from storage

(4) Plant and facilities cost accounting; (See section 2600-B).

**1900-C-1 Cost and Stores General Correspondence Files:** Correspondence files of units responsible for costs and stores accounting operations.

*Disposition:* Destroy when 3 years old.

Cost Accounting Reports.

Cost Report Data files: Ledgers, forms, and machine-records used to accumulate data for use in cost reports.

**1900-C-8 CIT Project Control Fiscal Records:** Relating to formal computer projects in the Division for which there is reimbursement by users on a revolving fund basis. These records, maintained for administrative and fund control purposes, are arranged by account number. They contain account authorizations, address/information change notices, obligation documents, annual project updates, and related papers.

Located in CIT - Office of the Director.

*Disposition:* Destroy 4 years after completion of project.

**i.** Food Production Accounting Records created and maintained in the Clinical Center Nutrition Department.

EXCLUDED from this section are:

(1) Summary accounting records (See section 1900-B)

(2) Procurement records (See item 2600-C-1)

Items 30 through 33 Reserved

**D. Payroll**

This section has been revised in accordance with General Records Schedule 2: Payroll and Pay Administration Records.

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**1900-D-1. Individual Employee Pay Record.**

a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.

*Disposition:* Update elements and/or entire record as required.

b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

*Disposition:* Transfer to National Personnel Records Center. Destroy when 56 years old.

**1900-D-2. Noncurrent Payroll Files.**

Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

*Disposition:* Destroy 15 years after close of pay year in which generated.

Items 3 through 5. Reserved.

**1900-D-6. Leave Application Files.**

SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

a. If employee initials time card or equivalent.

*Disposition:* Destroy at end of following pay period.

b. If employee has not initialed time card or equivalent.

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

**1900-D-7. Time and Attendance Source Records.**

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

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*Disposition:* Destroy after GAO audit or when 6 years old, whichever is sooner.

**1900-D-8. Time and Attendance Input Records.**

Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

*Disposition:* Destroy after GAO audit or when 6 years old, whichever is sooner.

**1900-D-9. Leave Record.**

**1900-D-13. Tax Files.**

a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

*Disposition:* Destroy 4 years after superseded or obsolete or upon separation of employee.

b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

*Disposition:* Destroy when 4 years old.

c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

*Disposition:* Destroy when 4 years old.

**1900-D-14. Savings Bond Purchase Files.**

a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

*Disposition:* Destroy when superseded or after separation of employee.

b. Bond registration files: issuing agent's copies of bond registration stubs.

*Disposition:* Destroy 4 months after date of issuance of bond.

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c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.

*Disposition:* Destroy 4 months after date of issuance of bond.

**1900-D-15. Combined Federal Campaign and Other Allotment Authorizations.**

a. Authorization for individual allotment to the Combined Federal Campaign.

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

b. Other authorizations, such as union dues and savings.

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

**1900-D-16. Thrift Savings Plan Election Form.**

Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.

*Disposition:* Destroy when superseded or after separation of employee.

**1900-D-17. Direct Deposit Sign-up Form (SF 1199A).**

*Disposition:* Destroy when superseded or after separation.

**1900-D-18. Levy and Garnishment Files.**

Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

*Disposition:* Destroy 3 years after garnishment is terminated.

Items 19 through 21. Reserved.

**1900-D-22. Payroll System Reports.**

a. Error reports, ticklers, system operation reports.

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*Disposition:* Destroy when related actions are completed or when no longer needed, not to exceed 2 years.

- b. Reports and data used for agency workload and or personnel management purposes.

*Disposition:* Destroy when 2 years old.

- c. Reports providing fiscal information on agency payroll.

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

**1900-D-23. Payroll Change Files.**

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

- a. Copies subject to GAO audit.

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

- b. All other copies.

*Disposition:* Destroy 1 month after end of related pay period.

**1900-D-24. Payroll Correspondence.**

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

*Disposition:* Destroy when 2 years old.

Items 25 through 27. Reserved.

**1900-D-31. Electronic Mail and Word Processing System Copies.**

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 the 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.

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a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

*Disposition:* Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

*Disposition:* Destroy/delete when dissemination, revision, or updating is completed.

#### **E. Non-Employee Compensation**

Records relating to payments made, by means other than payroll, to individuals who are not employees. Such payments are made for services rendered, fellowships and research grants. The records document and report information on non-employee payments as required by the Federal Tax Regulations, 1.6041-1.

The records described below are part of Privacy Act system of records: 09-90-0024, Accounting Records of Payments to Individuals from Agency and Regional Financial Management and Disbursing Offices, HHS/OS/ASMB 1.

EXCLUDED from this section are: (1) accountable officers' accounts (See section 1900-A).

**1900-E-1** Non-employee compensation records U.S. Information Returns; Form IRS 1099 (NEC), Statement for Recipients of Non-employee Compensation and 1099 (MISC) Statement for Recipients of Miscellaneous Income; and corrected statements. These statements are issued to report non-employee payments made by means other than the NIH Payroll, to individuals for services rendered, fellowships and research grants.

Located in Office of Financial Management.

*Disposition:* Destroy 4 years after the year of issuance.

Non-employee Compensation Reporting System Master Files (WYLBUR Data Sets): This automated data base consists of separate files for each Institute and Center. Each file contains summary data on each non-employee compensation payment made including an identifying number, such as SSN or grant number, the date of payment, the check number and amount, and a breakdown of the total amount by fee, per diem and transportation. These files are

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used by the Office of Financial Management to generate comprehensive reports and to prepare Information Returns (Form IRS 1099) as required by IRS.

Located in Originating IC.

*Disposition:* Destroy after 1 year or when no longer needed for administrative purposes.

Supporting Documentation for non-employee compensation payments: Records of payments, such as IC copies of purchase orders and vouchers for Scientific Review and Evaluation Awards reported for U.S. Information Returns, Form IRS 1099.

Located in Offices responsible for payment.

*Disposition:* Destroy 4 years after the calendar year in which the payment was made.

Output Reports from non-employee compensation reporting system, including cumulative, monthly and year-to-date listings of non-employee compensation payments.

a. Located in Office of Financial Management.

*Disposition:* Destroy 4 years after the date of the report.

b. Other copies.

*Disposition:* Destroy after 1 year or when no longer needed.

Posting and Control files for non-employee compensation reporting system such as data entry records, vendor coding sheets and error listings.

*Disposition:* Destroy once data has been accepted as error-free into the WYLBUR data set.

#### **F. Gift Administration**

Correspondence and other documents related to offers, acceptance, refusal, or use of monetary or non-monetary gifts to NIH or any of its components.

EXCLUDED from this section are copies of such records forwarded to the Office of Financial Management as Accountable Officers' Accounts (see section 1900-A)

Gift Fund Plans submitted annually to the Division of Financial Management.

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a. Located in Office of Financial Management.

*Disposition:* Destroy when 5 years old. Inactive records may be transferred to the Federal Records Center when 1 year old.

b. Located in originating budget office.

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

c. Other copies.

*Disposition:* Destroy in 1 year, or when no longer needed, whichever is sooner.

Periodic Reports on gift funds.

a. Located in Office of Financial Management.

*Disposition:* Transfer to Federal Records Center when 2 years old. Destroy when 7 years old.

Records related to bequests, including wills, trust agreements, executor's accounts, petitions for probate and other documents filed with courts, terms and conditions, acknowledgements, releases, letters of acceptance or refusal and other related correspondence and documentation.

a. Original copies: When legal advice or action is necessary, forward to the office of the NIH Legal Advisor. Otherwise follow appropriate instructions below.

b. Records relating to bequests which are refused.

Located in components receiving offer of bequest.

*Disposition:* Destroy 2 years after refusal of the bequest.

c. Records related to unconditional bequests which are accepted.

Located in components benefiting from the bequest.

*Disposition:* Destroy 6 years after disbursement of funds or, in the case of non-monetary gifts, 6 years after acceptance.

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d. Records related to conditional bequests which are accepted.

Located in component receiving or benefiting from the bequest.

*Disposition:* Destroy 6 years after acceptance of a non-monetary gift, disbursement of funds, or satisfaction of the condition(s) imposed by the donor, whichever is later.

Correspondence with donors, or their representatives including offers of conditional or unconditional gifts, acknowledgements, letters of acceptance or refusal, when filed separately from records described in item 1900-F-3.

a. Correspondence related to gifts which are refused.

Located in components which receive offers of gifts.

*Disposition:* Destroy when 2 years old.

b. Related to acceptance of gifts.

*Disposition:* Destroy 6 years after acceptance of a non-monetary gift, disbursement of funds, or satisfaction of condition(s) imposed by the donor, whichever is later.

Automated Information Systems used to track the status of actions on gifts and offers of gifts, or to produce letters of acknowledgement, acceptance or refusal.

Located in organization benefiting from the gift.

*Disposition:* Destroy data when information is updated or superseded, or no later than 1 year after final action on a gift or offer of gift.

Patients' Emergency Fund Records, relating to the collection and disbursement of, and accounting for, funds donated to meet emergency needs of patients, summary records of withdrawals and deposits, and "thank you" letters from patients and their families.

Located in CC, Social Work Department.

*Disposition:* Destroy when 3 years old.

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## **Section 2100 Budgeting**

Records accumulated in budget preparation, presentation and appointment.

EXCLUDED from this chapter are :

- (1) Accountability Records; (See section 1900-A).
- (2) Expenditures Accounting records; (See section 1900-B).
- (3) Budget related documents located in administrative files specifically identified in section 1100-M.

Budgeting Policy Files: Correspondence or subject files documenting NIH policy and procedures governing budget administration.

Located in the NIH Office of Budget.

*Disposition*: Transfer to the Federal Records Center 5 years after the close of the fiscal year covered by the budget. Destroy when 15 years old.

Budget Estimates and Justifications Files, including appropriations language sheets, narrative statements, and related schedules and data used to estimate and justify the NIH and/or IC budget.

Located in the NIH Office of Budget.

*Disposition*: PERMANENT: Retire to the Federal Records Center when no longer needed for reference or administrative purposes. Transfer to NARA when 20 years old.

Budget Correspondence pertaining to routine administration, internal procedures and other budget-related matters EXCLUDING correspondence files related to budget policy (item 2100-A-1).

Located in the NIH Office of Budget or Office of Financial Management or IC budget offices.

*Disposition*: Destroy when 2 years old.

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Budget Reports: Periodic reports on the status of appropriation accounts and apportionment.

- a. Annual report at end of fiscal year.

*Disposition*: Destroy when 5 years old.

- b. All other budget reports.

*Disposition*: Destroy 3 years after end of the fiscal year.

Budget Apportionment Files: Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

*Disposition*: Destroy 2 years after the close of the fiscal year.

Budget Background Records: Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of paper described in item 2100-A-2, and originating offices' copies of reports submitted to budget offices.

*Disposition*: Destroy 1 year after the close of the fiscal year covered by the budget.

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## **Section 2200 Equal Employment Opportunity Files**

Affirmative Action Plans, (AAP) outlining proposed actions for overcoming NIH equal employment problems. Included are supporting papers such as correspondence, minutes or meetings where plans are discussed, AAP's of individual ICs, progress reports and evaluations.

- a. Consolidated NIH-wide plans.

*Disposition:* Destroy 5 years from date of plan.

- b. IC or lower level feeder plans.

*Disposition:* Destroy 5 years from date of plan, or sooner if no longer needed for administrative purposes.

- c. Report of on-site reviews of Affirmative Action Programs.

*Disposition:* Destroy 5 years from date of report.

- d. Agency copy of annual report of Affirmative Action accomplishments.

*Disposition:* Destroy 5 years from date of report.

Special Program Files, including records on programs sponsored or operated by the EEO Office such as the Federal Women's Program, ethnic cultural programs and training programs.

*Disposition:* Destroy all copies when 5 years old. Copies in the ICs or other locations may be destroyed earlier if no longer needed for reference.

Complaints Case Files of formal complaints of discrimination. Individual case files containing the complaint, the counselor's report, investigative records, transcript of hearings, appeals examiner's decisions, and other records as described in 29 C.F.R. 1613.222. (Privacy Act Systems of records 60-0245 and 09-90-0009).

- a. Official Discrimination Complaint Case Files.

*Disposition:* Destroy 4 years after final decision on case when resolved within DHHS.

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b. Duplicate case files or documents pertaining to cases files retained in Official Discrimination Complaint Case Files.

*Disposition:* Destroy 1 year after resolution of case.

c. Preliminary and Background Files

(1) Background documents related to the case but not included in the Official Discrimination Complaint Case File.

*Disposition:* Destroy 2 years after final adjustment.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

*Disposition:* Destroy when 2 years old.

d. Compliance Records.

(1) Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.

*Disposition:* Destroy when 7 years old.

(2) EEO Compliance Reports.

*Disposition:* Destroy when 3 years old.

e. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.

*Disposition:* Destroy when 1 year old.

f. Employment Statistics Files. Employment statistics relating to race and sex.

*Disposition:* Destroy when 5 years old.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this sub-item are not authorized for disposal under the NIH RCS 2800 series or the GRS 20/3) Such files must be scheduled on an SF 115.]

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Informal Complaints Case Files of complaints settled within NIH. Documents included are complaints, counselor's report, correspondence and other documents related to processing the case. (Privacy Act System 60-0244)

*Disposition:* Official EEO file - Destroy 4 years after settlement of the complaint.

Other copies - Destroy 1 year after settlement of complaint.

Grievances Files: These are individual case files of employee grievances, which include the original grievance and documents developed in investigating and resolving the case.

*Disposition:* All copies - Destroy 4 years after the file is closed.

Adverse Action Files: These are individual case files on adverse actions. Included are all supporting and related papers.

*Disposition:* All copies - Destroy 4 years after the file is closed.

EEO Advisory Council: See item 1100-H-4.

Adverse impact files: Records or other information which will disclose the impact of tests and other selection procedures on the employment opportunities of persons identifiable by race, sex, ethnic group or handicap in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures (29 C.F.R. sub-section 1607.4).

*Disposition:* Destroy 5 years after the date of the record.

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## **Section 2300 Personnel**

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	2300-292 TDCS - ARMS Personnel System
	2300-293 Personnel Records and Files
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	2300-750 Discipline and Adverse Action
	2300-792 Health Programs
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### **2300 PERSONNEL**

Records related to supervision over and management of Federal Civilian Employees. The most important types of records, the Official Personnel Folders, and Service Record Cards, are maintained according to the U.S. Office of Personnel Management's Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel offices.

EXCLUDED from this chapter are:

- (1) Payroll records, except when included in Official Personnel Folders; (See section 1900-D).
- (2) Travel authorizations and vouchers; (See section 1500).
- (3) Employee injury and compensation case files and records of employee exposure to radiation maintained by the Division of Research Services; (See section 1300-B).

(Subsections in this chapter use Federal Personnel Manual code numbers.)

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WARNING: Records subject to the Privacy Act must be kept and disposed of in a manner which protects the privacy of individuals.

**200 General Personnel Provisions**

Personnel Correspondence and Subject Files.

a. Files relating to the general administration and operation of personnel functions and including college programs, selective placement (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aide, .pa Inter-governmental Affairs Fellowship, Stay-in-School, etc.) programs, examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program and others not specifically described elsewhere in this chapter, excluding those at agency staff planning levels.

*Disposition:* Destroy when 3 years old.

b. Correspondence, reports, memoranda, and other records relating to employment programs and function, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.

*Disposition:* Destroy when 5 years old.

Personnel Operations Statistical Reports: Statistical reports in the operating personnel office and subordinate units relating to personnel.

*Disposition:* Destroy when 2 years old.

**292 TDCS - ARMS Personnel System**

(Reserved)

**293 Personnel Records and Files**

Official Personnel Folders: Records filed on the right side of the Official Personnel Folder (OPF).

Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives for permanent retention.

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a. Transferred employees: See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.

b. Separated employees.

*Disposition*: Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.

Temporary Individual Employee Records: All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31.

*Disposition*: Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.

Employment Applications. Applications, including OF 612, resumes, and any application that an agency may develop for unique jobs with specialized requirements, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder.

*Disposition*: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.

**2300-293-5** Investigatory Material from the Office of Personnel Management on employees or potential employees in non-sensitive positions.

*Disposition*: Destroy after the decision is made on hiring or retention of the employee.

### **300 Employment (General)**

Service Record Card (Standard Form 7 or its equivalent).

a. Cards of employees separated or transferred on or before December 31, 1947.

*Disposition*: Transfer to NPRC (CPR) St. Louis, Missouri. Destroy 60 years after earliest personnel action date.

b. Cards for employees separated or transferred on or after January 1, 1948.

*Disposition*: Destroy 3 years after separation or transfer of employee.

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[NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]

Employee Record Cards used for informational purposes outside personnel offices (such as SF 7-B).

*Disposition:* Destroy on separation or transfer of employee.

Special Employment Program Files on participants in special programs such as Upward Mobility, Junior Fellows, Management Interns, DHHS Fellows, etc.

*Disposition:* Destroy either when there is no further administrative need for the file, or 2 years after participant leaves the program, whichever comes first.

### **320 Staff Fellowship Programs**

Grants Associates Program Files: A one-year training program administered by the Division of Research Grants for the purpose of developing scientist-administrators. Grants associates case files consist of copies of application, selection and appointment documents.

*Disposition:* Destroy 2 years after completion of grants associate appointment.

#### Visiting Program Files

a. Case files on Visiting Scientists or Associates (service fellows) who are sponsored by an IC to conduct research at NIH.

1. Located in sponsoring IC Personnel Office.

*Disposition:* Maintain and transfer to Federal Personnel Records Center in accordance with instructions in Federal Personnel Manual.

2. Located in FIC.

*Disposition:* After individual completes service at NIH, place case file in an inactive file. At 5-year intervals, microfilm the history card and any document which is judged to be essential from case files which have been inactive 5 years or more. Destroy the case file, including history card when microfilm has been examined and accepted. Destroy microfilm copies when no longer needed for administrative or historical reference.

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b. Case files on Visiting Fellows (regular fellows) who are sponsored by an IC to receive postdoctoral research training.

Located in FIC.

*Disposition:* After individual completes training, place case file in an inactive file. At 5-year intervals, microfilm the history card and any document which is judged to be essential from case files which have been inactive for 5 years or more. Destroy the entire case file, including the history card when the microfilm has been examined and accepted. Destroy microfilm copies when no longer needed for administrative or historical reference.

Guest Worker Program Files: Case files on individual outstanding scientists who have been authorized by a IC to utilize NIH research facilities.

a. Located in sponsoring IC.

*Disposition:* Destroy 2 years after year in which individual completes work at NIH.

b. Located in FIC.

*Disposition:* Destroy not later than 4 years after individual completes work at NIH.

Expert Series Program Files: Case files on individual experts who are sponsored by a IC to conduct research at NIH.

a. Located in IC.

*Disposition:* Destroy 2 years after year in which individual completes work at NIH unless individual accepts Civil Service appointment, in which case file is transferred to appropriate Personnel Office.

b. Located in FIC.

*Disposition:* Destroy not later than 4 years after individual completes work at NIH.

International Exchange Program Files consisting of case files with supporting documents for the international exchange programs sponsored, coordinated or administered by FIC. Case files contain recommendations for grants, applications, review actions, award notice, correspondence and financial records. Included are files of the World Health Organization

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Fellowship Selection Committee, Swedish Medical Research Council Fellowships, Swiss National Science Foundation Fellowships, and other international exchange programs.

a. Located in FIC.

*Disposition:* Place in inactive file when case is closed. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after placed in inactive file.

b. Other copies.

*Disposition:* Destroy 2 years after the fiscal year in which case is closed.

International Exchange Program: State Department Clearances for foreign individuals and American and foreign research contracts or grants. The official file is retained by the IC in the appropriate case or program file.

a. Located in IC.

*Disposition:* Destroy 6 years after fiscal year in which related activity is completed.

b. Located in FIC.

*Disposition:* Destroy 1 year after fiscal year in which related activity is completed.

Reserved

Reserved

NIH Associates Files for clinical, research, or staff associates.

Located in Office of Education.

a. For selected applicants: Contains vital information evaluations, grade transcripts, selection check lists, correspondence, and related papers.

*Disposition:* Destroy 2 years after associate leaves.

b. For rejected applicants.

*Disposition:* Destroy when 2 years old.

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NIH Associates Program Card Summaries, containing vital summary data on associates and their tours of duty.

Located Office of Education.

*Disposition:* Destroy 10 years after associate leaves.

NIH Associates Program Residents' Files, pertaining to qualified medical personnel appointed for special laboratory and clinical training: Contains application forms, correspondence, and related papers.

Located in Office of Education.

a. For selected applicants.

*Disposition:* Destroy 5 years after resident leaves.

b. For rejected applicants.

*Disposition:* Destroy when 2 years old.

NIH Associates Program Card summaries on residents.

Located in Office of Education.

*Disposition:* Destroy 10 years after resident leaves.

### **330 Recruitment, Selection and Placement**

Offers of Employment Files: Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted offers.

*Disposition:* Destroy when appointment is effective.

b. Declined offers.

*Disposition:*

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1. When name is received from certificate of eligibles: Return to Office of Personnel Management with reply and application.
2. Temporary or excepted appointment: File inside application. (See item 2300-293-3).
3. All others: Destroy immediately.

Certificates of Eligibles Files: Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

*Disposition*: Destroy when 2 years old.

Interview Records: Correspondence, reports and other records relating to interviews with employees.

*Disposition*: Destroy 6 months after transfer or separation of employee.

Pending Personnel Actions: Correspondence and forms relating to pending personnel actions.

*Disposition*: Destroy when action is completed.

Notification of Personnel Action: Standard Form 50 documenting all individual actions such as employment, promotions, transfers in or out, separation, are maintained in Official Personnel Folders.

Examining and Certification Records: Records created under delegated agreements under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.

- a. Delegated agreements.

*Disposition*: Destroy 3 years after termination of agreement.

- b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.

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*Disposition:* Cut off annually. Destroy 1 year after cut off.

c. Stock control records of examination test material including running inventory of test material in stock.

*Disposition:* Destroy when test is superseded or obsolete.

d. Application Record Card (OPM Form 5000A, or equivalent).

*Disposition:* Cut off after examination. Destroy no later than 90 days after Cut off.

e. Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcement issued (Excluding records concerning qualification standards, job specifications and their development).

*Disposition:* Destroy 5 years after termination of related register.

f. Register of eligibles (OPM Form 5001-C, or equivalent document that records eligibility for an individual for Federal jobs).

*Dispositions:* Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cut off.

When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate, whichever is sooner.)

g. Letters to applicants denying transfer of eligibility (OPM Form 4896, or equivalent).

*Disposition:* Cut off annually. Destroy 1 year after cut off.

h. Cancelled and ineligible applications (the applications, supplemental forms, and attachments).

*Disposition:* Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and cancelled applications 90 days after the date of action or when register is terminated, whichever is sooner.

i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

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*Disposition:* Destroy when 6 months old.

j. Lost or Exposed Test Materials Case Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required.

*Disposition:* Cut off files annually. Destroy 5 years after Cut off.

k. Eligible applications.

l. On active register.

*Disposition:* Destroy upon termination of the register (except applications that may be brought forward to new register, if any).

2. On inactive register.

*Disposition:* Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.

l. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, change in status, etc., submitted by SF 59, OPM Form 648, or equivalent forms.

*Disposition:* Cut off annually. Destroy 1 year after cut off.

m. Certificate Files. SF 39, SF 39A, and all papers upon which the certification was based: detailed rating schedule, records of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.

*Disposition:* Cut off annually. Destroy 5 years after cut off.

n. Certification request control index.

*Disposition:* Cut off annually. Destroy 1 year after cut off.

o. Interagency Placement Program (IPP) application and registration sheet.

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*Disposition:* Destroy upon expiration of employee's DEP eligibility.

p. DEP control cards, if maintained.

*Disposition:* Cut off annually. Destroy 2 years after cut off.

q. Reports of audits of delegated examining operations.

*Disposition:* Destroy 3 years after date of the report.

### **355 Promotion and Internal Placement**

**2300-355-1 Merit Promotion Case Files.** Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

*Disposition:* Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

### **410 Training**

Records related to nomination, participation in and completion of training programs by NIH employees.

EXCLUDED from this section are Records of training programs such as course outlines, textbooks and other training aids. (See section 8000-G.)

**2300-410-2 Training Records** Excluding records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense.

a. General file of NIH-sponsored training, Excluding record copy of manuals, syllabuses, textbooks, and other training aids developed by NIH.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirements 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.

(2) Background and working files.

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*Disposition:* Destroy when 3 years old

b. Employee Training: Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

*Disposition:* Destroy when 5 years old or when superseded or obsolete whichever is sooner.

### **430 Performance Evaluation**

Performance Rating Board Case Files: Copies of case files forwarded to OPM relating to Performance Rating Board Reviews.

*Disposition:* Destroy 1 year after case is closed.

#### Employee Performance File System Records

##### **a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)].**

1. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.

*Disposition:* Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.

2. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

*Disposition:* Destroy when superseded.

3. Performance-related records pertaining to a former employee.

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

(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

*Disposition:* Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 2300-293-1-b).

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(b) All other performance plans and ratings.

*Disposition:* Destroy when 4 years old.

4. All summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.

*Disposition:* Destroy 4 years after date of appraisal.

5. Supporting Documents.

*Disposition:* Destroy 4 years after date of appraisal.

**b. SES appointees (as defined in 5 USC 3132a(2)).**

1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

*Disposition:* Destroy upon superseded.

2. Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based and any summary rating.

*Disposition:* Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service. An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 2300-430-2b(2)(b) of this schedule.

(b) All other performance ratings and plans.

*Disposition:* Destroy when 5 years old.

3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based (EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

*Disposition:* Destroy 5 years after date of appraisal.

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4. Supporting documents.

*Disposition:* Destroy 5 years after date of appraisal.

[NOTE: Performance records pertaining to Presidential appointees are not covered by the NIH RCS nor the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

#### **450 Employee Recognition and Incentives**

##### **2300-450-1 General Awards Records**

a. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

*Disposition:* Destroy 2 years after approval or disapproval.

b. Correspondence or memoranda pertaining to awards from other government agencies or private organizations.

*Disposition:* Destroy when 2 years old.

Length of Service and Sick Leave Awards File including correspondence, memoranda, reports, computations or service and sick leave, and list of awardees.

*Disposition:* Destroy when 1 year old.

Letters of Commendation and Appreciation, recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.

*Disposition:* Destroy when 2 years old.

Lists or Indexes to Agency Award Nominations: Lists of nominees and winners, and indexes of nominations.

*Disposition:* Destroy when superseded or obsolete.

Incentive Awards Program Reports pertaining to the operation of the Incentive Awards Program.

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*Disposition:* Destroy when 3 years old.

**500 Position Classification, Pay and Allowances**

Position Classification Standards: Federal personnel standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

*Disposition:* Destroy when superseded or obsolete.

Classification Standards Development: Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the NIH and OPM approval or disapproval.

a. Case file.

*Disposition:* Destroy 5 years after position is abolished or description is superseded.

b. Review File.

*Disposition:* Destroy when 2 years old.

Position Descriptions: Files describing established positions including information on title, series, grade, duties and responsibilities and related documents.

*Disposition:* Destroy 2 years after position is abolished or description superseded.

Survey Files.

a. Classification survey reports on various positions prepared by classification specialists including periodic reports.

*Disposition:* Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

b. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.

*Disposition:* Destroy when obsolete or superseded.

Appeals Files: Case files relating to classification appeals.

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*Disposition:* Destroy 3 years after case is closed.

Position Identification Strips: Strips such as Standard Form 7D, used to provide summary data on each position occupied.

*Disposition:* Destroy when superseded or obsolete. (See sections 1900-D for Payroll records; 1500 for Travel records.)

[NOTE: Effective December 31, 1994, the SF 7D became obsolete]

**537 NIH Office of Loan Repayment and Scholarship (OLRS)**

General Program Information Files, on the NIH Loan Repayment and Scholarship Programs, maintained by the Office of Loan Repayment and Scholarship (OLRS). Included are program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators and compilation of application ratings.

Recordkeeping copy:

*Disposition:* Cut off file at the end of each fiscal year. Retire to the FRC one year after cut off. Destroy 3 years after cut off.

Electronic copies created on electronic mail and word processing systems.

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

Correspondence and/or subject files relating to routine operations and daily activities in administration of OLRS programs.

*Disposition:* Destroy when 2 years old.

Data Files: Computer-generated output maintained for the purpose of summarizing, analyzing, coordinating, planning, and tracking OLRS payments.

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

Case Files: Loan Repayment and Scholarship Programs

Definitions:

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Termination or completion - the date when all OLRS payments are completed or the date when Federal funding is no longer available.

Closeout - the process by which it is determined that all applicable administrative actions or payments have been completed by the OLRS and service obligations have been completed by the participant.

Audit - an examination of OLRS records or accounts to check their accuracy and completeness.

Participant - an individual who has been accepted into any of the NIH loan repayment programs and who has entered into a contract executed by a designee of the Secretary, DHHS, to be engaged in a qualifying research assignment at the NIH in return for loan repayment benefits from the NIH; or, an individual who has been accepted into the Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds and who has entered into a contract executed by a designee of the Secretary, DHHS. Participants must have submitted a completed Contract, agreeing to the conditions therein, along with a complete application package.

Applicant - an individual who has submitted an application to an OLRS program, in whole or in part, and has not been admitted as a participant.

Participant and Applicant Case File - records which contain OLRS program application forms, contracts, financial information, lender verifications, correspondence, progress reports, and all other material related to specific individual applicants and participants.

a. Participant Case Files

*Disposition:* Close file at the end of the fiscal year in which closeout occurs and place in inactive file. Transfer to Federal Records Center 1 year after closeout. Destroy 6 years after closeout.

b. Applicant Case Files

*Disposition:* Place in inactive file when the applicant is sent a letter of disapproval or when the application is withdrawn. Destroy 3 years after disapproval or withdrawal.

OLRS Program Appeals and Litigations

a. OLRS Program Appeal Case Files containing records of appeals by individuals related to decisions on OLRS program applications. Included are appeal documents, correspondence, legal opinions and documentation of final decision.

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1. Official Case file.

*Disposition:* Destroy 6 years after calendar year in which case is closed.

2. Other copies.

*Disposition:* Destroy 2 years after calendar year in which case is closed.

b. OLRS Litigation Case Files, consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.

1. Official Case file.

*Disposition:* Destroy 6 years after calendar year in which case is closed.

2. Other copies.

*Disposition:* Destroy 2 years after calendar year in which case is closed.

**709 Career Guidance and Counseling**

**2300-709-1 Personnel Counseling Files:**

a. Counseling Files. Reports of interviews, analyses and related records.

*Disposition:* Destroy 3 years after termination of counseling records.

b. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.

*Disposition:* Destroy when 3 years old.

**711 Labor Management Relations**

Labor Management Relations General and Case Files: correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.

a. Located in Office negotiating agreement.

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*Disposition:* Destroy 5 years after expiration of agreement.

b. Located in other offices.

*Disposition:* Destroy when superseded or obsolete.

Labor Arbitration General and Case Files: Correspondence, forms, and background papers, relating to labor arbitration cases.

*Disposition:* Destroy 5 years after final resolution of case.

Negotiated Agreements

a. Written contract between management and a union which defines the working relationship between the parties to the agreement.

*Disposition:* Destroy when superseded by a new agreement, unless needed as part of the bargaining history of the new agreement. In that case, dispose of as stipulated under 'b.'

b. Records pertaining to the bargaining of a negotiated agreement, including one copy of the negotiated agreement.

*Disposition:* Destroy when no longer needed for administrative purposes or at the bargaining unit.

**730 Suitability, Security and Conduct**

Suitability or Qualifications Information on employees or potential employees (exclusive of investigatory records from OPM; see item 2300-293-5).

*Disposition:* Destroy when employee separates, or after 1 year, or when no longer needed for administrative use, whichever comes first.

Security Clearance Administration Correspondence Files relating to administration and operation of the personnel security clearance program.

*Disposition:* Destroy when 2 years old.

Personnel Security Clearance Files. Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.

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a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigating agency.

*Disposition:* Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.

*Disposition:* Destroy in accordance with the investigating agency's instructions.

c. Index to the Personnel Security Case Files.

*Disposition:* Destroy with related case file.

Personnel Security Clearance Status Files: lists or rosters showing the current security clearance status of individuals.

*Disposition:* Destroy when superseded or obsolete.

Security Violation Files: Case files of investigations of alleged violations of Executive Orders, laws, or regulations for the safeguarding of national security information.

a. Files relating to alleged violations referred to the Department of Justice or Defense for prosecutive determination.

*Disposition:* Destroy 5 years after close of case.

b. All other case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.

*Disposition:* Destroy 2 years after completion of final corrective or disciplinary action.

Financial Disclosure Reports.

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b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

*Disposition:* Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.

Standards of Conduct Files: Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.

*Disposition:* Destroy when obsolete or superseded.

### **750 Discipline and Adverse Action**

#### **2300-750-1 Adverse Action File**

a. Official Reprimands.

*Disposition:* Destroy when employee separates, after the date specified in the reprimand, after the time period specified in an applicable labor-management agreement, or after 2 years, whichever comes first.

b. Notices of proposed adverse actions or reprimands that were officially proposed but not effected.

*Disposition:* Destroy when the proposal is drawn, when decision is made not to proceed, or 1 year after date of proposal notice, whichever comes first.

c. Admonishments, warnings and similar disciplinary action records.

*Disposition:* Destroy when employee separates, or as specified in the record, or when no longer needed, or after 1 year, whichever comes first.

d. Other documents, letters, memoranda concerning possible disciplinary or adverse action against individual employees.

*Disposition:* Destroy when employee separates, or when no longer needed, or after 1 year, whichever comes first.

**2300-750-2 Grievance, Appeals Files (5 CFR 771):** Records originating in the review of grievances and appeals raised by agency employees, except EEO complaints (item 2200-A-5).

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These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

*Disposition:* Destroy 3 years after case is closed.

### **792 Health Program**

Individual Non-Occupational Health Record Files: Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by item 2300-792-3 of this schedule.

Disposition: Destroy 6 years after date of last entry

Health Unit Control File: Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

a. If information is summarized on statistical reports.

*Disposition:* Destroy 3 months after last entry.

b. If information is not summarized.

*Disposition:* Destroy 2 years after last entry.

### **2300-792-3 Employee Medical Folder (EMF).**

a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293.

1. Transferred employees.

*Disposition:* See CFR part 293, subpart E for instructions.

2. Separated employees.

*Disposition:* Transfer Employee Medical Folder to the National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, which is later.

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b. Temporary or short-term records as defined in the FPM.

*Disposition:* Destroy 1 year after separation or transfer of employee. Do not transfer to the FRC.

c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to the Federal Records Center (FRC).

*Disposition:* Destroy 60 years after retirement to FRC storage facility.

Employees' radiological records: These records consist of original radiology imaging studies.

a. Film

Located in CC, Diagnostic Radiology Department, Film Library.

*Disposition:* Retain for 5 years from latest patient activity. Transfer to intermediate storage after 5 years of inactivity. Offer to Occupational Medical Services (OMS) after 10 years of inactivity. If not accepted by OMS, destroy after 10 years of inactivity.

b. All other records

Located in NIH, Occupational Medical Services (OMS).

*Disposition:* Destroy when 5 years old, except those that, in the judgement of Medical Officers in charge and/or roentgenologists, have further scientific or instructional value.

Statistical Summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

*Disposition:* Destroy 2 years after date of summary or report.

Alcohol and Drug Abuse Program: Records created in planning, coordinating and directing an alcohol and drug abuse program.

*Disposition:* Destroy when 3 years old.

Personal Injury Files: Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was

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made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

*Disposition:* Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

**990 Miscellaneous**

Personnel Correspondence and Forms File related to individual employees, but not in Official Personnel Folders and not specified elsewhere in this chapter.

Located in servicing personnel offices.

*Disposition:* Destroy when 6 months old.

Supervisor's Personnel Files: Correspondence, memoranda, forms and other records relating to positions, authorizations, pending action, copies of position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

*Disposition:* Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

Duplicate Documentation: Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this chapter.

*Disposition:* Destroy when 6 months old.

Complaints, Inquiries and Debt Correspondence received about individual employees.

*Disposition:* Destroy when employee separates, or when no longer needed, or 1 year after final action, whichever comes first.

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## **Section 2600 Procurement, Property and Supply Management**

*Contents:*

- A. Procurement
- B. Public Buildings and Space
- C. Property and Supply Management
- D. Motor Equipment Management
- E. Transportation
- F. Property Disposal

### **2600 PROCUREMENT, PROPERTY AND SUPPLY MANAGEMENT**

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

#### **A. Procurement**

EXCLUDED from this section are (1) Feasibility studies and systems analyses (1700-A-6)

General Correspondence Files of operating procurement units concerning internal operations and administration matters not covered elsewhere in this section.

*Disposition:* Destroy when 2 years old.

Real Property Files: Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

*Disposition:* Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

b. Abstract or certificate of title.

*Disposition:* Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

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[NOTE: Records relating to property acquired prior to January 1, 1921 are not covered by the GRS and must be scheduled by submission of an SF 115 to NARA.]

Contract records relating to major biomedical information systems

Located in NLM, Office of the Director.

*Disposition:* Destroy 6 years after completion of contract.

**2600-A-5 Unique Procurement Files:** Documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs, other than those covered by 2600-A-4.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**2600-A-10 Inventory Requisition File:** Requisitions for supplies and equipment for current inventory.

a. Stockroom copy.

*Disposition:* Destroy 2 years after completion or cancellation of requisition.

b. All other copies.

*Disposition:* Destroy when 6 months old.

**B. Public Buildings and Space**

EXCLUDED from this section are:

(1) Space management records (See section 1300-A);

(2) Records related to management and assignment of staff quarters (see section 1300-D).

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Account cards and ledgers related to structures describing the principal characteristics of each structure and containing data on the capital investment in the physical plant.

*Disposition:* DISPOSAL NOT AUTHORIZED.

Architectural and Engineering Drawings and Models consisting of master tracings and acceptable reproductions which reflect architectural, structural and topographical details, and models. The drawings include details on building approaches, electrical, mechanical, air conditioning and elevator information. These drawings are microfilmed and the originals are stored in the Federal Records Center. The disposal instructions apply to paper records and microfilm, and to models.

Refer to NIH Records Management Officer, OMA, for guidance on all files in this series.

a. NIH has some unique buildings and laboratory structures, several of which represent architectural, technological, or engineering innovations designed to serve scientific and medical research purposes. Some examples are the Clinical Center and its surgical wing, the Library of Medicine, the NCI Emergency Virus Isolation Facility, the DNA Facility and others. This is not necessarily a complete list.

*Disposition:*

1. Drawings: PERMANENT. Offer preliminary and presentation drawings to the National Archives 5 years after completion of project. Offer final working drawings, "as built" drawings, shop drawings, repair and alterations drawings, standard drawings and specifications and related records to the National Archives when file is inactive.

2. Models: DISPOSAL NOT AUTHORIZED.

b. Architectural and Engineering Drawings and Models related to NIH buildings and laboratory structures with no special architectural, technological innovations and no special historical significance.

*Disposition:* Destroy when no longer needed for administrative purposes.

Finding aids for design and construction files.

*Disposition:* Apply the disposition instructions applicable to the related architectural and engineering drawings.

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Contract case files for construction and renovation of buildings, consisting of copies of contracts with correspondence and reports related to administration of construction contracts for new facilities and for alteration, renovation, maintenance and repair of existing buildings and grounds.

a. Transactions of more than \$2,000.

*Disposition:* Transfer to Federal Records Center 2 years after fiscal year in which final payment is made. Destroy 5 years after final payment. Check with originating agency before making destruction.

b. Transactions of \$2,000 or less.

*Disposition:* Destroy 3 years after fiscal year in which final payment is made.

c. Task orders on master contracts.

*Disposition:* Destroy 3 years after related work is completed.

Work request files for buildings and equipment construction, alteration and maintenance services, excluding fiscal copies of the Office of Financial Management.

a. Minor work shop order.

*Disposition:* Destroy 1 year after related work is completed.

b. Maintenance order.

*Disposition:* Destroy 3 months after work is completed.

c. Single shop order.

*Disposition:* Destroy 3 years after work is completed.

d. Shop order for combined shop work and contract.

*Disposition:* Destroy 4 years after work is completed.

e. Canceled documents related to any of the above.

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*Disposition:* Destroy 2 years after cancellation.

Equipment History files maintained to record key identification engineering data and replacement parts information for the primary systems and equipment maintained and operated by Division of Engineering Services and for use in the preventive maintenance program on them.

*Disposition:* Destroy when related equipment is replaced or no longer used.

**C. Property and Supply Management**

Supply Management Files: Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

a. Copies received from other units for internal purposes or for transmission to staff agencies.

*Disposition:* Destroy when 2 years old.

b. Copies in other reporting units, and related work papers.

*Disposition:* Destroy when 1 year old.

Inventory Files.

a. Inventory lists.

*Disposition:* Destroy 2 years from date of list.

b. Inventory cards.

*Disposition:* Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under new classification, or 2 years after equipment under new classification, or 2 years after equipment is removed from agency control.

c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the schedule.

*Disposition:* Destroy 2 years after date of survey action or date of posting medium.

i. PROPERTY AND SUPPLY MANAGEMENT: FOOD PRODUCTION

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Records of the Clinical Center, Nutrition Department, Food Production Service and Patient Dietetic Service.

EXCLUDED from this section are: Various accounting records of the Food Production Service (see items 1900-B-7, B-8 and 1900-C-20 to 23).

Food Production Service

Central kitchen issues (daily requisition - main kitchen and metabolic kitchens).

*Disposition:* Destroy when 4 months old (retain records 3 months plus current month).

Patient meal census records

a. Detail reports, showing number of meals served.

*Disposition:* Destroy when 6 months old.

b. Summary reports, showing number of meals served by institute.

*Disposition:* Destroy when 5 fiscal years old.

Physical inventories

a. Work copies.

*Disposition:* Destroy at end of current fiscal year.

b. Summary sheets.

*Disposition:* Destroy when 6 fiscal years old.

Monthly meat inventories

*Disposition:* Destroy at end of current fiscal year.

Emergency cash orders (petty cash)

*Disposition:* Destroy when 4 fiscal years old.

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Telephone charge orders

*Disposition:* Destroy when 4 fiscal years old.

Records of food prices

*Disposition:* Destroy when 4 fiscal years old.

Small equipment requisitions

*Disposition:* Destroy at end of current fiscal year.

Census records

a. Detail census sheets, showing workload of each floor unit.

*Disposition:* Destroy when 1 year old.

b. Monthly census reports, summarizing data on the detail reports.

*Disposition:* Destroy when 2 years old.

**2600-C-22** Special event orders, relating to picnics and the like for mental health patients.

*Disposition:* Destroy when 1 year old.

ii. PROPERTY AND SUPPLY MANAGEMENT: TRANSFUSION MEDICINES

Records of the Clinical Center Blood Transfusion Medicine Department related to storage and usage of blood.

EXCLUDED from this section are:

(1) Records on blood donors (see item 3000-E-50-51);

(2) Blood data on patients (see item 3000-E-36);

(NOTE: Expanded description of records to include documentation required for all blood components manufactured, stored or distributed by DTM. Record retention requirements are dictated by federal regulation under 21CFR606.)

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iii. PROPERTY AND SUPPLY MANAGEMENT: PHARMACY

Records of the Clinical Center, Pharmacy Department, Pharmacy Service and Central Sterile Supply.

Clinical Pharmacy Service

iv. CENTRAL STERILE SUPPLY

RESERVED

**D. Motor Equipment Management**

These records pertain to the management, maintenance, and operation of motor vehicles used by NIH.

Motor Vehicle Correspondence Files: Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

*Disposition*: Destroy when 2 years old.

Motor Vehicle Operating and Maintenance Files

a. Operating records including those relating to gas and oil consumption, dispatching and scheduling.

*Disposition*: Destroy when 3 months old.

b. Maintenance records, including those relating to service and repair.

*Disposition*: Destroy when 1 year old.

Motor Vehicle Cost Files: Motor Vehicle ledger and work sheets providing cost and expense data.

*Disposition*: Destroy 3 years after discontinuance of ledger or date of work sheet.

Motor Vehicle Report Files: Reports on motor vehicles (other than accident, operating and maintenance reports), including SF-82, agency report of motor vehicle data.

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*Disposition:* Destroy 3 years after date of report.

Motor Vehicle Accident Files: Records relating to motor vehicle accidents, maintained by transportation offices.

*Disposition:* Destroy 6 years after case is closed.

Motor Vehicle Release Files: Records relating to transfer, sale, donation or exchange of vehicles.

*Disposition:* Destroy 4 years after vehicle leaves agency custody.

Motor Vehicle Operation: Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

*Disposition:* Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

## **E. Transportation**

See section 1500 Travel and Transportation

## **F. Property Disposal**

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government.

EXCLUDED from this section are Records related to disposal of radioactive waste (see item 1300-B-17).

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the Federal Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Surplus Property Precedential Case Files: Case files on sales of surplus personal property (as described in item 2600-F-6 below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.

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*Disposition:* DISPOSAL NOT AUTHORIZED.

Property Disposal Case Files: Case files on disposal of surplus real and related personal property.

*Disposition:* DISPOSAL NOT AUTHORIZED.

Excess Real Property Reports

*Disposition:* DISPOSAL NOT AUTHORIZED.

Property Disposal Correspondence Files: Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

*Disposition:* Destroy when 2 years old.

Excess Personal Property Reports

*Disposition:* Destroy when 3 years old.

**2600-F-7 Real Property Files:** (Exclusive of architectural and engineering records - see section 2600-B). Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be separated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

*Disposition:* Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

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## **Section 2800 Data Processing**

*Contents:*

- A. ADP Management and Research
- B. Software and Data Documentation
- C. Computer Programs
- D. Processing Files
- E. Master Files (See appropriate Subj/Function Section)

### **2800 Data Processing**

This chapter covers records created or used in management of computer operations, in computer research and technology, in the development implementation and operation of ADP systems and applications, and in documentation of computer programs and data sets.

EXCLUDED from this chapter are Master and History files of data in computer-compatible media. Such files are or will be included under appropriate subject/function headings.\*

\*Note: Very few computer compatible data sets at NIH have been authorized for disposal. Such files will be included in an update to this schedule which will be issued later.

#### **A. ADP Management and Research**

Records related to the management of ADP operations and applications and to research in ADP hardware and software development.

EXCLUDED from this chapter are:

- (1) Administrative records in the Office of the Director, CIT (see items 1100-C-31a, 1100-C-12a, 1100-D-1b and 1100-M-1b),
- (2) Records of biomedical research programs and of biomedical information systems which use ADP but are not specifically oriented to advance the state of the art in ADP; (see section 3000-J or 8100),
- (3) Feasibility studies and systems analyses conducted prior to installation of equipment or systems (1700-A-6).

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CIT Project and Research Records: These records, created throughout the two branches and the four laboratories of the division, are largely accumulated by programmers, specialized technicians, and others who are involved in computer technology. The records may relate either to formal projects involving users in and out of NIH who pay for the services, or to theoretical research not related to formal projects. Results of the latter research normally appear in technical journals.

With one exception noted below, the contents of these records are varied, diffuse, and unstandardized in format and content. Generally, they are a mixture of record and non-record materials accumulated during the life of the project. They may include, but clearly are not limited to, correspondence, test data, data on experimental procedures, printed reference materials, rough drafts, notes, progress and other reports, memoranda, and a variety of other materials. These records also comprise papers relating to project planning, procedures, and other aspects of the project.

a. Materials relating to formal projects.

*Disposition*: Destroy 5 years after completion of project, or when technical data in the files are of no further value for research or other uses, as appropriate.

b. Materials accumulated in research studies, not related to formal projects.

*Disposition*: Destroy 4 years after completion of study, or when data are of no further value for research, as appropriate.

Programmer trouble reports and requests for refunds, pertaining to technological or administrative problems which may result in refunds to users.

*Disposition*: Destroy when 2 years old.

Clinical and Management Systems Project files relating to the development, installation, and operation of automated and other systems, containing copies of contracts, work papers, operation papers, correspondence, memoranda, and related materials.

Located in CC, Office of Clinical and Management Systems.

*Disposition*: Destroy 6 years after completion of project.

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Management studies of clinical and management systems, containing documentation showing initiation of the study, covering memoranda, work papers, policy analyses, final reports, and related papers.

Located in CC, Office of Clinical and Management Systems.

a. Final reports.

*Disposition:* PERMANENT. Transfer to Federal Records Center 5 years after completion of study. Offer to the National Archives 10 years after completion.

b. All other files.

*Disposition:* Destroy 5 years after completion of study.

Clinical information utility search reports, which request data on the treatment of former patients, from machine-readable tapes.

Located in CC, Office of Clinical and Management Systems.

*Disposition:* Destroy when 4 years old.

**B. Software and Data Documentation**

Records which describe computer programs and data sets in such a way as to make it possible to see the programs and process the data.

System Specifications: Documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system and authorizing directives.

Located in office responsible for the request for the system.

a. For a proposed system which is not approved or implemented.

*Disposition:* Destroy 1 year after final action.

b. For systems which are implemented.

1. When all related machine-readable data are authorized for disposal.

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*Disposition:* Destroy one year after system is discontinued.

2. When related data is not authorized for disposal.

*Disposition:* Follow disposition instructions which apply to related data sets. If any data in the system is permanent the system specifications are also permanent and must be offered to the National Archives together with the data. If all data in the system is authorized for disposal and the system is discontinued, destroy specifications 1 year after termination of system.

System Test Documentation including test plans and test results analyses.

a. For a system which is implemented.

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

b. For a system which is not implemented.

*Disposition:* Destroy as soon as no longer needed.

File Specifications: Definitions of the logical and physical characteristics of each record, element, or item of data, including names and tags or labels; record layout, that is, relative position, form, format and size of data elements; validity checks, update and access conditions, recording medium and volume, and specifications of all codes used (excluding code books for all FIPS codes).

Located in users' files.

*Disposition:* Follow disposition instructions which apply to the data files.

User Guides and Manuals

a. Located in users' files.

*Disposition:* Follow disposal instructions which apply to related data.

b. Located in CIT.

*Disposition:* Retain as long as needed in user relationships, then destroy.

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Output Specifications listing each type of output by title, and tag, format, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy restrictions.

Located in users' files.

*Disposition:* Follow disposition instructions which apply to related data.

Reports

a. Published reports of findings including methodological discussions, analyses and statistical tabulations.

*Disposition:* Retain or destroy with related file specifications.

b. Other output.

*Disposition:* Follow disposition instructions applicable under appropriate subject/function headings.

Copies of Documentation, except test documentation (2800-11) and users' guides and manuals (2800-13).

Located in CIT branches and laboratories.

*Disposition:* Destroy when superseded or obsolete if they are of no further value to programmers, or no longer needed in relations with the user, or 5 years after completion of project, as appropriate.

User Access Logs The server software automatically create logs--recorded data involving the interaction between the host server and the client (the remote computer.) The data collected in the server logs can be used to infer information about the activity of "visits" to our sites such as domain origin, time/date of the interaction, length of stay, and navigation while at our site. This information is of value for security and administrative purposes.

*Disposition:* Destroy when 2 years old.

**C. Computer Programs**

**2800-C-1 Information Retrieval Routines**

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a. General purpose programs.

*Disposition:* Dispose of when no longer needed.

b. Input/output routines necessary to retrieve data from specific data systems.

*Disposition:* Retain with related data. If data file is permanent, offer one copy of the program to the National Archives together with the data.

**D. Processing Files**

Computer compatible data files, exclusive of master files, which are used in various stages of data processing from initial input through output to facilitate processing.

EXCLUDED from this section are:

(1) Master files (see appropriate subject/function heading);

(2) History files used to store inactive data. History files should be considered as parts of master files;

(3) Source documents from which data is abstracted for input into a machine-readable file (see appropriate subject/function heading).

**2800-D-2** Punched cards that contain original entry data with film or written inserts, such as aperture cards, and that are used as source documents.

*Disposition:* Dispose of in accordance with instructions applicable to hard copy.

d. Files not used as input to another file and not required as backup to support reconstruction of a master file.

*Disposition:* DISPOSAL NOT AUTHORIZED.

g. Files officially designated as record copy in lieu of source documents or other hard copy.

*Disposition:* Dispose of in accordance with instructions applicable to the records according to subject category.

Valid Transaction Files used solely to update master files in on-going systems.

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a. Used solely to update master files in on-going systems.

*Disposition:* Destroy after third update cycle.

b. Used for analysis independently of the master file.

*Disposition:* DISPOSAL NOT AUTHORIZED.

Work Files used to facilitate processing of data through steps such as sort/merge, checkpoint, edit, correction, etc.

*Disposition:* Release for reuse upon successful completion of job.

Intermediate input/output files manipulated, sorted, and/or moved from one run to a subsequent run in creating or updating a master file.

*Disposition:* Dispose of after master file has been proven satisfactory.

Publication Files of data extracted from another file or data base to produce a printed publication, when created without destroying the source file or data base.

*Disposition:* Destroy upon publication or when no longer needed for republication

b. Created from files not authorized for disposition.

*Disposition:* DISPOSAL NOT AUTHORIZED.

ALL OTHER MASTER FILES: DISPOSAL NOT AUTHORIZED unless specifically provided under appropriate subject/function heading.

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## **Section 3000 Intramural Activities**

**Contents:**

- A. Medical Arts and Photography
- B. Environmental Services
- C. Veterinary Services
- D. Biomedical Engineering and Instrumentation
- E. Clinical Care
- F. Laboratory Operations, Materials and Resources
- G. Biomedical Research Projects: General
- H. Clinical Research
- I. Epidemiology and Biometry
- J. Laboratory Experiments
- K. Critical and Standard Reference Data

### **3000 Biomedical Research Activities**

Records which document operations and activities which are part of the NIH intramural program, contract-supported extramural program, and/or any collaborative research and development agreements (CRADAs) in support of biomedical research activities.

EXCLUDED from this section are:

- (1) Files which document administrative management to service activities covered by Part 1.
- (2) Files created or used to provide information on program activities to the public (see section 8000).

#### **A. Medical Arts and Photography**

Photographs, motion pictures and video tapes related to patients' physical conditions, manifestations and treatment.

EXCLUDED from this section are:

- (1) Other audio-visual materials (see item 8100);
- (2) Photographs and motion pictures delivered to users (Dispose of according to disposition instructions for related files).

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**B. Environmental Services (see section 1300-B).**

**C. Veterinary Services Records of the Veterinary Resources Branch of the Office of Research Services.**

EXCLUDED from this section are Administrative records of the branch (see item 1100-M-1-b).

Requests for animals, related to specified animals needed for investigators in NIH. Forms are coded for computer input.

*Disposition:* Destroy when request data are put into computer.

Animal production records, recording various weaning data and other statistics on a weekly basis. Summarized in branch level reports.

*Disposition:* Destroy when 3 years old.

Animal disease investigation reports, prepared at the request of investigators, showing examination, pathology, and treatment data for each animal involved.

*Disposition:* Destroy when 6 years old.

Animal health certificates, concerning the health of animals received by the branch.

*Disposition:* Destroy when 5 years old.

Control records relating to procedures for introducing rodents into NIH from sources where disease-free environment is open to question. Contains applications for permits, quarantine reports, and related papers.

*Disposition:* Destroy 6 years after expiration of permit.

Pedigree history and related records, providing data concerning the generational history of each strain, related weaning information, and other key genetic data. Contain pedigree registration forms, registration history records, pedigree documentation which may be provided by animal suppliers, necropsy records, certain weight records, breeding performance history records, and quarantine records.

*Disposition:* DISPOSAL NOT AUTHORIZED at this time.

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**3000-C-9** Surgery room logs

*Disposition:* Destroy when 3 years old.

Animal inventory adjustment records, recording blood issues and various animal issue transactions.

*Disposition:* Destroy when 1 year old.

Records of Disposition of Laboratory Animals: Various procurement data required by the Department of Agriculture.

*Disposition:* Destroy when 5 years old.

Records relating to the care and maintenance of animals not discussed above: Including records of food, bedding, caging, and the like.

*Disposition:* Destroy when 3 years old.

**D. Biomedical Engineering and Instrumentation**

Records of the Biomedical Engineering and Instrumentation Branch of DRS.

EXCLUDED from this section are Branch administrative files (see item 1100-M-1b).

**3000-D-1** Service requests for instrumentation and equipment maintenance.

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

**3000-D-2** Commercial catalogs and similar reference materials.

*Disposition:* Destroy when superseded or obsolete.

**3000-D-5** Engineering Notebooks: These are essentially non-record in nature, containing detailed notes, computations and other day-to-day data compiled by the technician for each project.

*Disposition:* Destroy when data are of no further technical and research value.

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**E. Clinical Care**

**i. General (reserved)**

**3000-E-10 Occurrence Reports**, prepared as part of the Clinical Center quality assurance and safety programs, covering quality assurance records, FDA device reports, and FDA drug interaction reports. (formerly Incident and accident reports 1300-B-6)

Location: All IC's

*Disposition*: Destroy the recordkeeping copy when 2 years old.

*Electronic version*: Delete after recordkeeping copy has been produced or when no longer needed for reference or updating.

**ii. Patients, Normal Volunteers and Donors**

Records about individual patients, normal volunteers and blood donors at the NIH Clinical Center.

WARNING: Records which can be retrieved by individual identifiers must be maintained and disposed of in a manner which will protect the individual's right to privacy.

EXCLUDED from this section are:

- (1) NIH employee health records (see item 2300-792-1 through 6);
- (2) Administrative records of the Clinical Center (see section 1100);
- (3) Records containing patient data used in operation of the Nutrition Department (see subsection 2600 C-i);
- (4) Records containing patient data used in operation of the Pharmacy Department (see item 2600-C-ii);
- (5) Records containing patient data used in operation of nursing, surgical and outpatient data incorporated into biomedical research files (see sections 3000-G through K).

**3000-E-20 Pre-admission files**, relating to referrals of potential patients by physicians and Members of Congress, containing incoming and outgoing correspondence.

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Located in Office of Clinical Reports and Inquiries.

a. Files on Congressional Referrals.

*Disposition:* Destroy when 3 years old.

b. All other files.

*Disposition:* Destroy when 2 years old.

**3000-E-31** Isotope Data Files on Patients maintained by the Radiation Safety Branch, ORS: see item 1300-B-11.

**3000-E-41** Patients' travel and transportation records.

*Disposition:* Destroy when 3 years old.

Blood Donors

Normal Volunteers

Records about individual normal volunteers who serve as controls in clinical studies.

EXCLUDED from this section are Records related to sponsoring agencies (see item 1110-J-5).

**3000-E-62** Copies of normal volunteer visit reports, showing time spent by the volunteer, and payment made to the volunteer.

*Disposition:* Destroy when 2 years old.

**iii.** Nursing, Surgical and Other Patient Services

Operational records of Nursing, Surgical, Outpatient and Patient Activities Departments of the Clinical Center.

EXCLUDED from this section are Records about individual patients (see subsection 3000-E-ii).

**3000-E-72** Daily nursing service reports, showing employee absence and tardiness, and personnel reassignment and utilization.

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*Disposition:* Destroy when 3 months old.

**3000-E-74** Nursing unit reports

*Disposition:* Destroy when 6 months old.

**3000-E-75** See 3000-E-10

library materials.

*Disposition:* Destroy when patient is discharged.

**iv.** Volunteer Services

Records related to auxiliary services in the Clinical Center provided by volunteers from the general public, the Red Cross and other institutions.

**3000-E-91** Administrative files concerning volunteer services, containing correspondence, reports and related papers concerning daily operations.

*Disposition:* Destroy when 2 years old.

**F. Laboratory Operations, Materials and Resources**

Records concerning laboratory performance, equipment and instrument maintenance and use, test media and preliminary processing of laboratory test results in clinical or research laboratories.

EXCLUDED from this section are

- (1) Clinical and Research data records (see sections 3000-E and 3000-G through K);
- (2) Records concerning laboratory safety (see section 1300-B);
- (3) Records on production and supply of laboratory animals (see section 3000-C);
- (4) Records created in the development of laboratory instruments and data processing systems (see section 3000-D and 2800-A).

**G. Biomedical Research Projects: General**

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Records related to planning, development and oversight of specific projects and programs of biomedical research performed by NIH investigators, contractors and/or collaborative research and development agreements (CRADAs); includes experimental, observational and control data generated in such research and the products of research such as articles, reports and data sets. Use this section only for records not specifically identified in items 3000-H through 3000-K.

EXCLUDED from this section are:

- (1) Broad scope and long-term research planning and review files at IC and higher levels (see section 1100-C);
- (2) Research records containing data relevant to patent and invention rights (see item 1100-L-1).
- (3) Records of clinical trials, drug testing and development and other clinical research identified in section 3000-H.
- (4) Records of epidemiological and biometric research identified in section 3000-I.
- (5) Records of laboratory experiments identified in section 3000-J.
- (6) Critically analyzed data and reference data identified in section 3000-K.
- (7) Records of the Veterinary Resources Branch (see section 3000-C).

#### **H. Clinical Research**

Records generated or collected in research programs which aim specifically and directly at developing, identifying, improving, testing or evaluating methods, procedures, tests, instruments or drugs used in any aspect of medical practice. This section includes records of preclinical screens, clinical trials and drug testing and development.

EXCLUDED from this section are:

- (1) Records kept for clinical care rather than research (see section 3000-E).
- (2) Records of biomedical research not directly related to specific clinical applications (see section 3000-G, I or J).
- (3) Records of the Veterinary Resources Branch (see section 3000-C).

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**i. Drug Testing and Development Records of the Clinical Center Pharmaceutical Development Service.**

**ii. Registries.**

These registries comprise the compilation of data items and supporting documents specific to the stated purpose of the registry. Examples of such registries would include collections of information on: potential bone marrow donors, end-stage renal disease, Burkitt's Lymphoma, etc.

EXCLUDED from this section are:

- (1) Records about Project Officers' Files (see 6000-B-1).
- (2) Procurement records (see 2600-A-4).

**3000-H-10 Registries.**

a. A central system used to collect and maintain the information for the purpose of which the registry was developed.

*Disposition:* Destroy when no longer needed for administrative use and/or scientific research.

c. Other Components Records: Records maintained by other components that augment the registry records.

*Disposition:* Destroy when no longer needed for administrative use and/or scientific research.

d. Procurement Files.

*Disposition:* Destroy with related contract case file (2600-A-4).

**I. Epidemiology and Biometry - Reserved.**

**J. Laboratory Experiments - Reserved.**

**K. Critical and Standard Reference Data - Reserved.**

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**PART 3 FUNDING OF RESEARCH AND TRAINING**

**Section 6000 Research Contracts**

See section 2600-A for contracting officer case files

See section 3000-G for research data

- RESERVED

- Program Management

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**6000-B-1** Project Officers' Files used in administration of research contracts.

a. Records necessary to describe the scope of work and other requirements of the contract, to account for expenditures of funds and to establish whether the contractor has met all requirements of the contract:

*Disposition:* One copy of each record should be included in the contract file maintained in the procurement office. For disposition of contracting officers' contract case files see item 2600-A-4.

b. Duplicates of records described in item 6000-B-1a and progress reports, scientific and technical information, and other records useful for health science administration of research programs, or to prepare reports, summaries or evaluations.

*Disposition:* Destroy 15 years after close-out of the last contract awarded in a research program, or when no longer needed, whichever is sooner

**PART 4 PROTECTION FROM BIOHAZARDS CONTAMINANTS, POLLUTANTS AND RESEARCH RISKS**

**Section 7000 Protection from Biohazards, Contaminants, Pollutants, and Research Risks**

*Contents:*

- A. Protection of Research Subjects
- B. Biohazards
- C. Environmental Impact
- D. Recombinant DNA Research (reserved)

**Section 7000 Protection from Biohazards, Contaminants, Pollutants, and Research Risks**

Records accumulated in the development and implementation of standards and procedures for protection from risks, hazards and dangers stemming from biomedical research or clinical care, where NIH has broad responsibilities extending beyond NIH itself.

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EXCLUDED from this section are: Records related to protective and surveillance programs whose scope is limited to NIH or its contractors (see section 1300-B).

**A. Protection of Research Subjects**

Records of the Office for Protection from Research Risks.

Assurance files of statements by organizations assuring compliance with P.L. 93-348 on the protection of research subjects, human and animal, in the conduct of projects, grants and contracts supported by DHHS.

Special assurance files and Single Project Assurance files for individual DHHS-supported projects, grants and contracts with supporting papers, including grant or contract application, revisions or amendments to the assurance, and related correspondence.

a. Office file.

*Disposition:* Place in inactive file on final payment of contract, close-out of grants, or settlement of claims of litigation. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after file is closed.

b. Other copies.

*Disposition:* Destroy no later than 2 years after final payment, close-out, or settlement of claims or litigation of related grant or contract.

General Assurance files, Multiple Project Assurance files, Cooperative Project Assurance, Animal Welfare Assurance files, and all other OPRR Assurance files covering DHHS-supported projects, grants or contracts of an organization. Included are records related to preliminary negotiations, signed assurances with revisions or amendments, related correspondence, and other supporting documents.

a. Official file.

*Disposition:* Place in inactive files on final payment or close-out of all projects, contracts or grants, or settlement of claims of litigation. Transfer each in fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after close-out.

b. Other copies.

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**This schedule excludes all items covered in the NIH Intramural and Extramural Research Records Schedules and the NIH General Records Schedule.**

*Disposition:* Destroy no later than 2 years after final payment, close-out, or settlement of claims or litigation of all contracts or grants covered by the assurance.

Case files of negotiations for assurance of compliance which are withdrawn, deactivated, or not completed for other reasons.

a. Official file.

*Disposition:* Place in inactive file when the assurance or the related project, contract or grant is withdrawn, disapproved or otherwise inactivated. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after file is closed.

b. Other copies.

*Disposition:* Destroy no later than 2 years after assurance or the related contract or grant is withdrawn, disapproved or otherwise inactivated.

Cumulative List of Institutions in Compliance with policy for protection from research risks, with supporting documents.

a. Official file.

*Disposition:* DISPOSAL NOT AUTHORIZED. Review for disposal with NIH Records Management Officer before 1989.

b. Other copies.

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

Inquiries and complaints of violations on research supported by DHHS involving human subjects and animal subjects.

a. Official file.

*Disposition:* Place in inactive file on final payment of contract, close-out of project or grant, or settlement of claims or litigation, or OPRR determination that corrective action has been implemented or is unwarranted. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after file is closed.

b. Other copies.

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*Disposition:* Destroy no later than 2 years after final payment close-out, or settlement of claims or litigation of related grant or contract.

Reports of compliance oversight investigations and special site visits made for purposes of assuring that grantee and contractor institutions are following NIH policy for protection of research subjects and to respond to questions about the policy.

a. Official file.

*Disposition:* Place in inactive file on final payment of contract, close-out of project or grant, or settlement of claims or litigation, or OPRR determination that corrective action has been implemented or is unwarranted. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 6 years after file is closed.

b. Other copies.

*Disposition:* Destroy no later than 2 years after final payment close-out or settlement of claims or litigation of related grant or contract.

**B. Biohazards**

**7000-B-1** Memoranda of understanding and agreement for use of controlled agents in research: Forms documenting the observance by NIH investigators and outside institutions of agreed upon standards governing the use of hazardous microbiological agents in either intramural or extramural research. Files include related papers.

a. Memoranda of understanding which, in the opinion of the Assistant Director for Environmental Health and Safety or equivalent program official, may be important for future environmental or biomedical research.

*Disposition:* DISPOSAL NOT AUTHORIZED. Review with NIH Records Management Officer in 1988 for possible destruction.

b. All other memoranda files.

*Disposition:* Destroy 5 years after completion of experiment or project.

**C. Environmental Impact**

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NIH Environmental review document and environmental statement, made in accordance with the HHS General Administration Manual, Part 30.

*Disposition:* DISPOSAL NOT AUTHORIZED.

NIH Chemical Waste management documents, including manifest, annual report, permits, etc., made in conformance with the Resource Recovery and Reclamation Act of 1976 and related laws and regulations.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**D. Recombinant DNA Research (reserved)**

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**PART 5 INFORMATION, COMMUNICATIONS AND TRAINING**

**Section 8000 Information, Communications and Training**

*Contents:*

- A. Public Affairs and Communications
- B. Bibliographic and Other Reference Materials
- C. Audiovisual Materials (See 8100)
- D. Library Records
- E. Freedom of Information Act
- F. Privacy Act
- G. Training and Educational Programs
- H. Reference Materials

**Section 8000 Information, Communications and Training**

**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).

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.

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b. All other copies.

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

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.

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.

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.

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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.

Daily press service teletype news

Located in public affairs and communications offices.

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

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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.

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.

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.

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

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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.

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).

Public Affairs, Publications and Communications

Electronic copies created on electronic mail and word processing systems.

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

**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);

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- (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).

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.

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.

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.

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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.

**C. Audiovisual Materials (See section 8100 - Audiovisual Records)**

**D. Library 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).

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.

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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.

Statistical reports relating to various aspects of library operations.

Located in ORS, Library Branch.

*Disposition:* Destroy when 2 years old.

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.

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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.

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.

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.

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

Located in NLM Library.

*Disposition:* Destroy when 2 years old.

Transaction History Files: Computer listings of loan transactions.

Located in NLM Library.

*Disposition:* Destroy when 3 months old.

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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.

Correspondence received from the public for bibliographical or other information.

Located in NLM.

*Disposition:* Destroy 1 year after end of current year.

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.

Requests for translating services and related papers.

Located in ORS, Library Branch.

*Disposition:* Destroy when 2 years old.

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

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*Disposition:* Destroy when 2 years old.

**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-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.

**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).

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.

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.

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*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.

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

*Disposition:* Destroy after 1 year.

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.

Training of NIH personnel in radiation safety principles, standards and techniques.

Located in ORS, Radiation Safety Branch.

*Disposition:* DISPOSAL NOT AUTHORIZED.

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.

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.

Background and Working Papers for NIH training programs.

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*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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**PART 5 INFORMATION, COMMUNICATIONS AND TRAINING**

**Section 8100 Audiovisual Materials**

- Contents:*
- A. Audiovisual Service Units
  - B. Still Photography
  - C. Graphic Arts
  - D. Motion Pictures
  - E. Video Recordings
  - F. Sound Recordings
  - G. Documentation of Audiovisual Records

**8100 Audiovisual Records**

This section covers audiovisual and related documentation created by or for NIH, as well as those acquired in the course of agency business. Audiovisual records include still and motion picture photography, graphic materials, and sound video recordings. Related documentation includes: (1) production files or other records documenting the creation, justification, ownership and rights to audiovisual records and (2) finding aids used to identify or access the records.

EXCLUDED from this section are:

- (1) Videotapes of medical research procedures in the Clinical Center (See section 3000-A).
- (2) Audiovisual materials included in records of basic experimental and statistical data (See item 3000-G-3).
- (3) Audiovisual records included in project files, case files, reports or any other records series in this schedule. (Follow disposition applicable to the series).
- (4) Microfilm or microfiche of any record series described in another section of this schedule (Follow disposition applicable to the series).
- (5) Photographic negatives created or used in production of publications (These are non-record materials).

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- (6) Administrative records of audiovisual service units (See item 1100-M-2).
- (7) Records of training in audiovisual technology (See section 2300-410 or 8000-G).

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**A. Audiovisual Service Units**

This section covers files of NIH organizations which provide audiovisual services to programs and administrative offices. Audiovisual services include inception, production and distribution of audiovisual materials.

EXCLUDED from this section are:

- (1) Records of audiovisual research;
- (2) Records of the Medical Arts and Photography Branch (See section 3000-A).

Historically significant Audio-visual materials: motion pictures, slides, still pictures, film strips, video or sound recordings which in the joint opinion of the NIH Records Management Officer and the appropriate IC information officer, provide documentation of the organization functions, policies, procedures and essential transactions of NIH or one of its component organizations; or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form; or document events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. They involve mainly (1) significant events in the history of NIH, (2) depiction of research procedures and results and (3) information for the public on the function of NIH and disease prevention.

a. Still pictures including:

1. Black and white photography - the original negative and a captioned print.
2. Color photography - the original color transparency or color negative, a captioned print, and an inter-negative if one is available.
3. Other still pictorial records - the original and a reference print of each.

*Disposition*: PERMANENT. Break file every 5 years. Offer to National Archives and Records Service when no longer needed for administrative use or when 10 years old.

b. Motion pictures:

1. NIH-sponsored films intended for distribution - the original plus separate optical sound tracks, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print.

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2. Films produced by or for an agency that is intended for internal staff use - the original negative or color original plus sound and a projection print.
3. Films acquired by an agency - two projection prints.
4. Unedited out takes and trims, the discards of film productions, which have been appropriately arranged, labeled, and described - the original negative or color original and a work print.
5. Films resulting from a visual or electronic transfer of video recordings.

*Disposition:* PERMANENT. Offer to National Archives when no longer needed for administrative use or when 5 years old.

c. Sound recordings on tapes or discs.

1. Conventional mass-produced, multiple-copy disc recordings - the master tape, matrix or stamper, and one disc pressing.
2. Magnetic audio tape recordings (reel-to-reel, cassette, or the earliest generation of each recording and a "dubbing" if one exists).

*Disposition:* PERMANENT. Offer to National Archives when no longer needed for administrative use or when 5 years old.

d. Video recording.

*Disposition:* PERMANENT. Offer to National Archives when no longer needed for administrative purposes or when 5 years old.

Audiovisual records not having historical significance as described in 8000-A-1, and not covered by any other item in this section.

*Disposition:* Destroy when no longer needed for administrative use. If applicable, destroy in accordance with regulations governing salvaged film.

Documentary materials in any form which are necessary or helpful for the proper identification, retrieval and use of audiovisual records, such as shelf lists, review sheets, catalogs or computer-compatible documentation.

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*Disposition:* Destroy or transfer to the National Archives as permanent records together with the related audiovisual records.

Production Files or similar files which include production contracts, script, transcripts and related documents.

*Disposition:* Either destroy or transfer to the National Archives as permanent records together with related audiovisual materials.

**B. Still Photography**

Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.

*Disposition:* Destroy when one year old.

Personnel identification or passport photographs.

*Disposition:* Destroy when five years old.

Internal personnel and administrative training filmstrips and slide programs that do not reflect the mission of the agency.

*Disposition:* Destroy one year after completion of training program.

Other photographs used for special events, publications, news conferences, and the like.

Located in NLM; CIT; CC, Office of Clinical Reports and Inquiries.

*Disposition:* Destroy when superseded or when no longer needed for programs or activities.

Official portraits of senior agency officials.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-B-6** All other still photographic files not described elsewhere in this schedule, whether black-and-white, color negative large-format or transparency, slide or filmstrip.

*Disposition:* DISPOSAL NOT AUTHORIZED.

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\* **8100-B-7** Duplicates of items 8100-B-1 through B-3. For items 8100-B-5 and B-6 duplicates in addition to the copies required to be retained.\*

*Disposition:* Destroy when no longer needed.

\*For black-and-white and color negative photography, retain the original negative, a captioned print, and for color negative photography, a duplicate negative if one exists. For color transparency and slide photography retain the original and a duplicate. For slide sets and film strips and accompanying audio recordings or scripts, retain 2 copies.

### **C.Graphic Arts**

View graphs.

*Disposition:* Destroy 1 year after use.

Routine art work for handbills, flyers, posters, letterhead and other graphics.

*Disposition:* Destroy when no longer needed for publication or reprinting.

Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.

*Disposition:* Destroy when no longer needed for publication or reprinting.

Line copies of graphs and charts.

*Disposition:* Destroy when no longer needed for publication or reprinting.

Other Art work used for special events, publications, press releases and the like.

Located in NLM; CIT; CC, Office of Clinical Reports and Inquiries.

*Disposition:* Destroy when superseded or when no longer needed for programs or activities.

Posters distributed agency-wide or to the public.

*Disposition:* DISPOSAL NOT AUTHORIZED. Retain 2 copies.

Original art work of unusual or outstanding merit.

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*Disposition:* DISPOSAL NOT AUTHORIZED. Retain original and a photographic copy, if one exists.

**D. Motion Pictures**

Films for personnel and management training, acquired from outside sources.

*Disposition:* Destroy one year after completion of training program.

Films for personnel entertainment and recreation, acquired from outside sources.

*Disposition:* Destroy when no longer needed.

Routine surveillance footage.

*Disposition:* Destroy when 6 months old.

Routine scientific, medical or engineering footage.

*Disposition:* Destroy when two years old .

\*For items 8100-D-5 through 8100-D-11, which are not authorized for disposal, the following elements must be retained:

(a) Agency-sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicative negative plus optical sound track, and a sound projection print or a video recording;

(b) Acquired films: two projection prints or one projection print and video recording;

(c) Unedited footage: the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described.

**\*8100-D-5 Agency-sponsored films intended for public distribution**, including informational, educational, and recruiting films.

*Disposition:* DISPOSAL NOT AUTHORIZED.

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**\*8100-D-7** Agency-sponsored television public service (or "spot") announcements.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\*8100-D-8** Agency-sponsored training films that explain agency functions or activities intended for internal or external distribution.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\*8100-D-9** Films produced under grant that are submitted to NIH.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\*8100-D-10** Films that document or are used to carry out agency programs, acquired from outside sources.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\*8100-D-11** Documentary footage, except as described in item 8100-D-3 and 4, shot for research and development, fact finding or other studies.

*Disposition:* DISPOSAL NOT AUTHORIZED.

Stock footage, out takes and trims created during the course of an agency-sponsored production.

*Disposition:* Offer immediately for deposit in the Stock Film Library, Special Archives Division, National Archives.

Duplicate prints and pre-print elements of all series in 8100-D, except items 8100-D- 5 through 8100-D-11. For those items, duplicates in addition to those copies required to be retained.

*Disposition:* Destroy when no longer needed.

**E. Video Recordings**

Programs for personnel and management training, acquired from outside sources

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*Disposition:* Destroy one year after completion of training program.

Programs for personnel entertainment and recreation, acquired from outside sources.

*Disposition:* Destroy when no longer needed.

Rehearsal or practice tapes.

*Disposition:* Destroy immediately.

Internal personnel and administrative training programs that do not reflect the mission of the agency, including "role-play" sessions, management and supervisory instruction, etc.

*Disposition:* Destroy one year after completion of training program.

Routine surveillance recordings.

*Disposition:* Destroy when 6 months old.

Routine scientific, medical or engineering recordings.

*Disposition:* Destroy when two years old.

Recordings that document routine meetings and award presentations.

*Disposition:* Destroy when 2 years old.

\* \*For items 8100-E-8 to E-17, retain the original or earliest generation of recording, and a dubbing if one exists.

Agency-sponsored video productions intended for public distribution, including informational, educational, and recruiting productions.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-9** Agency-sponsored television news releases or information reports.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-10** Agency-sponsored television public service (or "spot") announcements.

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*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-11** Agency-sponsored training programs that explain agency functions or activities (other than those identified in item 8100-E-4) intended for internal or external distribution.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-12** Internal management news or information programs.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-13** Recording of public meetings or speeches, agency-sponsored conferences, guest speakers, testimony of agency officials before Congress and at other hearings.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-14** Programs produced under grant that are submitted to NIH.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-15** Programs that document or are used to carry out agency programs, acquired from outside sources.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-16** Media appearances by top agency officials.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-17** Documentary recordings made for research and development, fact finding or other studies, except as described in items 8100-E-5 to E-7 and 8100-E-18.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-E-18** Duplicate dubbings and pre-mix elements for all series in 8100-E, except items 8100-E-8 to E-17. For those items, duplicates in excess of those required to be retained.\*

*Disposition:* Destroy when no longer needed.

**F.Sound Recordings**

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Recordings of meetings made exclusively for note taking or transcription.

*Disposition:* Destroy immediately after use.

Dictation belts or tapes.

*Disposition:* Destroy immediately after use.

Pre-mix sound elements created during the course of a motion picture, television or radio production.

*Disposition:* Destroy immediately after use.

Library sound recordings (e.g., effects, music).

*Disposition:* Destroy when no longer needed.

Daily or spot news recordings available to local radio stations on a call-in basis.

*Disposition:* Destroy when six months old or when no longer needed.

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\*Retain the following copies:

(a) Conventional mass-produced, multiple-copy disc recordings: the master tape, matrix or stamper, and one disc pressing.

(b) Magnetic audio tape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation of each recording, and a dubbing, if one exists.

**\*8100-F-6** Agency-sponsored radio programs intended for public broadcast.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\* 8100-F-7** Agency-sponsored radio news releases and information programs.

*Disposition:* DISPOSAL NOT AUTHORIZED.

**\*8100-F-8** Agency-sponsored radio public service (or "spot") announcements.

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*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-9** Internal management news or information programs.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\***8100-F-10** Recording of public meetings of speeches, agency-sponsored conferences, guest speakers, testimony of agency officials before Congress and at other hearings.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-11** Oral history collections.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-12** Recordings or programs produced under grant that are submitted to NIH.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\***8100-F-13** Recording or programs that document or are used to carry out agency programs, acquired from outside sources.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-14** Media appearances by top agency officials.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-15** Documentary recordings made for fact-finding or other studies.

*Disposition:* DISPOSAL NOT AUTHORIZED.

\* **8100-F-16** Duplicate dubbings of 8100-F-1 to F-5, and duplicates in addition to those required to be retained for items 8100-F-6 to F-15.

**G.Documentation of Audiovisual Records**

**8100-G-1** Production files or similar files that document origin, development, acquisition, use and ownership; (May include scripts, contracts, transcripts, releases, etc.)

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*Disposition:* Dispose of according to the instructions covering the related audiovisual records.