NIH INTRAMURAL RECORDS RETENTION SCHEDULE ITEMS

Overview of Intramural Research Records

These records are related to the planning, development, oversight and execution of biomedical research projects and programs performed by NIH research staff, contractors or under collaborative research and development agreements (CRADAs). These records span the project lifecycle and include, but are not limited to, final plans and protocols, clearances and authorizations, experimental, observational and control data generated in such research, including laboratory notebooks, and the products of research such as articles, reports and data sets required to:

- Facilitate data analysis, publication, collaboration, and peer review;
- Demonstrate compliance with accepted policies and standards for the conduct of good science;
- Validate and reproduce research outcomes;
- Support intellectual property claims; and
- Defend against allegations of research misconduct and malpractice.

This records schedule is designed to cover all intramural research records, as such, all intramural research records must be evaluated and assigned to one of the following three schedule items, which are listed in order from longest to shortest retention period.

Item I-0001 - Records of Intramural Research Projects of Historical Significance
Item I-0002 - Research Records that Support Intellectual Property Rights
Item I-0003 - Records of All Other Intramural Research Projects

At the termination of the project or research program, the Institute or Center (IC) that sponsored the research shall assess the ongoing scientific research and intellectual property value of the project records. All records originally identified for permanent retention shall be confirmed by the sponsoring IC as supporting a permanent retention value prior to accessioning to NARA.

In addition, the following items also belong to the intramural research class of records and as such, have the opportunity to be deemed historically significant and retained permanently if a criterion for significance is met. These record items are identified separately due to each having specific statutory retention requirements associated with them.

Item I-0004 - FDA Regulated Research Records
Item I-0005 - Institutional Review Board (IRB) Records

Item I-0001: Records of Intramural Research Projects of Historical Significance

(DAA-0443-2012-0007-0001)
These records span the project life cycle and include, but are not limited to:

- Received national or international awards of distinction;
- Resulted in a significant improvement in public health, safety, or other vital national interest;
- Drew widespread national or international media attention and/or extensive congressional, NIH or other government agency investigation;
- Showed the development of new and nationally or internationally significant techniques that are critical for future scientific endeavors; or
- Made a significant impact on the development of national or international scientific, political, economic, or social priorities.

Disposition: **PERMANENT.** Cut off annually at termination of project/program or when no longer needed for scientific reference. Transfer to inactive storage 5 years after cutoff. Transfer electronic records to the National Archives for pre-accessioning 5 years after cutoff. Transfer paper records to the National Archives in 5 year blocks when the oldest records in the block are 30 years old.

Item I-0002: Research Records that Support Intellectual Property Rights
(DAA-0443-2017-0002-0001)
These records consist of project documentation that supports patents or inventions rights that do not meet the retention criteria for Item I-0001 - Records of Intramural Research Records Projects of Historical Significance. (Please note: Records pertaining to abandoned patents or patent applications are to be retained in accordance with either item I-0001 or I-0003.)

Disposition: **TEMPORARY.** Cut off annually after the patent is filed. Destroy 30 years after cutoff.

Item I-0003: Records of All Other Intramural Research Projects
(DAA-0443-2012-0007-0003)
These records do not meet the retention criteria for Item I-0001 - Records of Intramural Research Records Projects of Historical Significance, or Item I-0002 - Research Records that Support Intellectual Property Rights.

Disposition: **TEMPORARY.** Cut off annually at termination of project/program or when no longer needed for scientific reference, whichever is longer. Destroy 7 years after cutoff.

Item I-0004: FDA Regulated Research Records
(DAA-0443-2012-0007-0004)
These are records required by 21 CFR that pertain to the receipt, shipment, and other disposition of new or investigational drugs or devices. FDA regulated research records include, but are not limited to, Investigational New Drug (IND) applications, Investigational Device Exemptions (IDE) and New Drug Applications (NDA), amendments, safety reports, annual reports, and drug dispositions.

Disposition: **TEMPORARY.** Cut off annually after application is approved/disapproved, or if no new application is filed, after the study is completed/discontinued and FDA is notified of discontinuation or when no longer needed for business and scientific use, whichever is longer. Destroy 3 years after cutoff.

Item I-0005: Institutional Review Board (IRB) Records
(DAA-0443-2012-0007-0005)
These records document ethical and regulatory oversight of research involving human subjects as required by 45 CFR 46 and 21 CFR 56. These records document IRB activities and may include IRB procedures, membership rosters, meeting minutes, decisions/approvals, copies of reviewed research proposals, scientific evaluations, approved sample consent documents, progress reports submitted by research staff, and reports of injuries to research subjects.

Disposition: **TEMPORARY.** Cut off research-specific IRB records annually at the completion of the research project and IRB operational and governance records at the end of each fiscal year or cut off when no longer needed for business and scientific use, whichever is longer. Destroy 3 years after cutoff.

Overview of Clinical Care Services and Departmental Operations Records

These records document clinical care and patient case management activities encapsulating the clinical and operational processes for proficient patient throughput. Clinical care services records document patient care operations, and include the output of functions such as: prescriptions, preliminary evaluations, quality assessments, routine patient examinations, treatment logs and worksheets, laboratory equipment analyses and testing, patient accommodations, and plans for care.

Item I-0006 - Clinical Care Services Records
Item I-0007 - Radiology and Imaging Records
Item I-0008 - Blood Donor and Receiving Records
Item I-0009 - Blood Product Manufacture, Storage and Distribution Records
Item I-0010 - Patient Medical Records
Item I-0011 - Medical Staff Credentialing Records
Item I-0012 - Pathology Test Records
Item I-0013 - Clincal Care Administrative Support Records

Item I-0006: Clinical Care Services Records

(DAA-0443-2012-0007-0006)

These records consist of clinical care services and clinical care department operational records that are consolidated under this one common temporary retention item. Exclusions and exceptions are noted and cross referenced to their appropriate item numbers within this schedule. The records associated with this common schedule item include, but are not limited to, the following clinical care functions:

- Ambulatory and outpatient care;
- Bioethics;
- Clinical epidemiology and biostatistics services;
- Credentialing services;
- Critical care medicine;
- Hospital epidemiology services;
- Internal medicine;
- Laboratory medicine (exception noted in Item I-0012 – Pathology Test Records);
- Medical records services (exception noted in Item I-0010 – Patient Medical Records);
- Nursing and patient care services;
- Nutrition services;
- Pain and palliative care services;
- Pediatric care;
- Perioperative medicine;
- Positron Emission Tomography (PET) imaging services (exception noted in Item I-0007 - Radiology and Imaging Records);
- Pharmacy services;
- Rehabilitation medicine (exception noted in Item I-0011 - Medical Staff Credentialing Records);
- Social work;
- Spiritual ministry; and
- Transfusion medicine (exceptions noted in Item I-0008 Blood Donor and Receiving Records and Item I-0009 Blood Product Manufacture, Storage and Distribution Records).

Disposition: **TEMPORARY.** Cut off annually at end of fiscal year. Destroy 7 years after cutoff.

Item I-0007: Radiology and Imaging Records

(DAA-0443-2012-0007-0007)

These records are comprised of X-rays and other roentgenographic images produced by devices and procedures, such as bodyhead scans created by computerized transaxial tomography (CT). Files may include physician interpretations of images/scans. Examples include, but are not limited to, positive photographic images resulting from ultrasound, MRI, PET, PET/CT, PET/MRI, and radiologist reports and interpretations.

Disposition: **TEMPORARY.** Cut off in 5 year intervals by fiscal year after file becomes inactive or when no longer needed for clinical reference, whichever is longer. Destroy 60 years after cutoff.

Item I-0008: Blood Donor and Receiving Records
(DAA-0443-2012-0007-0008)
These records relate to blood and its components that are collected, processed, compatibility tested, stored, and distributed by NIH. These records identify blood donors, document donor deferrals, and identify and describe blood products received from other collection facilities. These records shall be retained for such intervals beyond the expiration date for the blood or blood component as necessary to facilitate the reporting of any unfavorable clinical reactions as required by 21 CFR 606.

Disposition: **TEMPORARY.** Cut off annually after 50 years or annually after expiration of the patient/subject, whichever is longer. Transfer to inactive storage 1 year after cutoff. Destroy 30 years after cutoff.

Item I-0009: Blood Product Manufacture, Storage and Distribution Records
(DAA-0443-2012-0007-0009)
Blood product manufacture, storage and distribution records that document FDA-regulated good manufacturing practices for blood and blood components as required by 21 CFR 606. These include records documenting donor selection and blood product collection, processing, inventory and distribution.

Disposition: **TEMPORARY.** Cut off annually at end of fiscal year. Destroy 10 years after cutoff or 6 months after latest expiration of any components, whichever is longer. If no expiration date, records shall be retained indefinitely. (21 CFR 606.160 - Records. (d))

Item I-0010: Patient Medical Records
(DAA-0443-2012-0007-0010)
These records document admissions and medical treatment for a patient accepted in a research project. These records are the primary source of evaluation and analysis for either clinical care or clinical research study.

Disposition: **TEMPORARY.** Cut off patient case file annually after 5 years of inactivity. Destroy when case file is no longer needed for scientific reference.

Item I-0011: Medical Staff Credentialing Records
(DAA-0443-2012-0007-0011)
Medical Staff credentialing records documenting approval of physicians, dentists, and other health professionals for involvement in patient treatments or other patient contacts. These records document participation in patient care and include signed agreements to abide by Medical Staff bylaws, delineations of clinical privileges, and related records. Information is collected from individual members of the Clinical Center Medical Staff and is used to document their credentialing and privileging.

Disposition: **TEMPORARY.** Cut off annually after medical staff member leaves patient care. Transfer to inactive storage 1 year after cutoff. Destroy 30 years after cutoff.

Item I-0012: Pathology Test Records
(DAA-0443-2012-0007-0012)
Pathology test records including media preparation case files, indices and formulas as required by 42 CFR 493. The records contain information related to requisitions for laboratory media and cells, including a description of the method of preparation and the ingredients used.

Disposition: **TEMPORARY.** Cut off annually after the date of reporting. Destroy 10 years after cutoff.

Item I-0013: Clinical Care Administrative Support Records
(DAA-0443-2018-0002-0001)
These administrative records are associated with support activiites related to executing work functions unique to a clinical care environment. These files are non-clinical in nature and do not include information that is maintained in patient medical records. The records associated with this schedule item include the following support functions: Patient Support -- food services and patients' travel and transportation records; Oversight and Safety -- occurrence reports, safety program reports, quality assurance records, FDA device reports, and FDA drug interaction reports; Nursing Administration -- daily nursing service reports, showing employee absence and tardiness, and personnel reassignment and utilization and nursing unit reports; Pre-admissions -- pre-admission files, relating to referrals, volunteer services records, volunteer payments, and files, reports and correspondence concerning daily volunteer services operations; and Sponsoring Agency Files -- records relating to private organizations sponsoring clinical patient volunteers, copies of agreements, and related reports and correspondence.

Disposition: **TEMPORARY.** Cut off annually at end of fiscal year. Destroy 3 years after cutoff but longer retention is authorized if required for business use.

NIH EXTRAMURAL RESEARCH RECORDS RETENTION SCHEDULE ITEM

Background:
The NIH extramural research records retention schedules were updated to reflect the needs of the extramural community, reduce the administrative burden associated with managing extramural records, and achieve compliance with NARA mandates and guidelines.

Overview:
Extramural research records relate to extramural grant and cooperative agreement activities. These records span the grant lifecycle and include, but are not limited to, grant applications, submission plans, program announcements, peer review decision documents, budget and data collections, award notifications, post-award reports, etc. Extramural program files document grant and cooperative agreement management activities of the agency, ensuring that all awards are made in accordance with applicable statutes, regulations, and policies and provide the initial scientific and technical merit review of those research and training applications assigned to the agency extramural responsible officials.

This records schedule is designed to cover all NIH extramural records, as such, all extramural records must be evaluated and assigned to one of the following four schedule items, which are listed in order from longest to shortest retention period.

- Item E-0001 – Official case files of construction, renovation, endowment and similar grants;
- Item E-0002 – Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records;
- Item E-0003 – Animal welfare assurance files
- Item E-0004 – Extramural program and grants management oversight records
- Item E-0005 – Research Records that Support Intellectual Property Rights

Item E-0001: Official case files of construction, renovation, endowment and similar grants
(DAA-0443-2013-0004-0001)
These records include, but are not limited to, records pertaining to the total application, progress reports, site visits, summary of review actions, award notices, terms and conditions of award, financial status reports, close-out documents, and other related papers maintained as an identifiable entity to be used in monitoring the use of supported space throughout the usage obligation. NIH must maintain an interest in research facilities constructed with grant funds in accordance with 42 U.S. Code 283k – Biomedical and behavioral research facilities.

Disposition: **TEMPORARY.** Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., project period ended). Destroy 20 years after cutoff.

Item E-0002: Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records
(DAA-0443-2013-0004-0002)
These records include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, appeal documents, legal opinions and litigation documents, closeout documents, and all other related significant and supporting documents that pertain only to the particular grant and grant owner(s).

Disposition: **TEMPORARY.** Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.

Item E-0003: Animal welfare assurance files
(DAA-0443-2013-0004-0003)
These records assure compliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals in the conduct of projects, grants, and contracts supported by the Department of Health and Human Services (DHHS). Records include, but are not limited to, grant or contract applications, assurance files and applicable revisions of amendments, related correspondence and negotiations, inquiries and complaints of violations, compliance oversight investigations, and site visit reports. The retention requirements for these records are in accordance with the Animal Welfare Act – 9 CFR 2.35.

Disposition: **TEMPORARY.** Cut off annually following closing of the case file. Destroy 4 years after cutoff.

Item E-0004: Extramural program and grants management oversight records
(DAA-0443-2013-0004-0004)
These records are generated during the administration and execution of extramural program activities. This schedule item is intended to capture all extramural program and grants management records that are not part of an official case file (Item 0001 or 0002) or animal welfare assurance file (Item 0003). These records support the operations, compliance, reporting, and oversight functions of the NIH Extramural Program and the financing of research endeavors with the purpose of ensuring scientific integrity and public accountability of the NIH extramural research portfolio. Extramural program and grants management oversight records are consolidated under one common temporary retention item. These records include, but are not limited to, the following extramural functions and operations:

- Grant award administration;
- Stakeholder liaison;
- Human subjects protection;
- Intellectual property;
- Peer review;
- Data management and reporting;
- Research integrity;
- Communication and outreach.

Disposition: **TEMPORARY.** Cut off annually. Destroy 3 years after cutoff.

Item E-0005: Research Records that Support Intellectual Property Rights
(DAA-0443-2017-0002-0001)
Intellectual property records consisting of project documentation that supports patents or inventions rights.

Disposition: **TEMPORARY.** Cut off annually after the patent is filed. Destroy 30 years after cutoff.

MANUAL CHAPTER 1743: APPENDIX 1
NIH ADMINISTRATIVE AND PROGRAM RECORDS SCHEDULE

NIHRecordsManagement@nih.gov

REVISED DECEMBER 18, 2018

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Administrative and Program Records Schedule

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100		**1100 GENERAL ADMINISTRATION**			
1100-A		**1100-A Legislation & Regulations** 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.)			
1100-A	**1**	**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.	Temporary	Transfer case files of legislation to inactive file when superseded or terminated. Destroy inactive file when 15 years old.	NC1-90-77-2 Item 20
1100-A	**2**	**Legislative proposals** which have not yet been enacted into law. Included are supporting documents such as testimony before congressional committees and studies assessing existing authorities to meet present and future program objectives.	Temporary	Review for disposal at least every 5 years and destroy what is not needed for administrative reference. Earlier disposal is authorized.	NC1-90-77-2 Item 21
1100-A	**3**	**Legislative Highlights, Summaries of Congressional Activities**, and other reports or analyses of legislative developments relevant to NIH programs compiled for information purposes.	Temporary	Destroy when 5 years old or when no longer needed for administrative purposes, whichever is later.	NC1-90-77-2 Item 22
1100-B		**1100-B Policy/ Subject Files**			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100-B	**3**	**Official Subject Files of the Director of the National Institutes of Health** Official Subject Files of the Director of the National Institutes of Health and Principal Deputy Director (or any official acting on behalf of these positions.) Records relating to the planning, development, and management of agency programs, and undertakings assigned by Congress or the Office of the President. Includes record copies of incoming and outgoing correspondence, memoranda, presentations, clearances, reports, evaluations, studies, presentations and similar documents. Records also include substantive drafts with major changes, notes, comments, and related records created during the deliberative process and filed with the decision documents. (EXCLUDED from this item are records included in Item 1100-B-5).	Permanent	Cut off annually. Transfer to the National Archives 15 year(s) after cutoff.	DAA-0443-2017-0003-0001
1100-B	**4**	**Working Files Within the Subject Files of the Official Subject Files of the Director of the National Institutes of Health** Preliminary Drafts, notes, comments, background and supporting documents, and related working papers created during the deliberative process described in Item 1100-B-3.	Temporary	Cut off annually at the end of the calendar year in which the correspondence was created or received. Destroy 3 year(s) after cut off.	DAA-0443-2017-0003-0002
1100-B	**5**	**Schedule of Daily Activities Files of the NIH Director and Principal Deputy Director** Calendar of appointments, meeting agendas, speeches, notes, speaking points, annotated speeches, background/supporting information, decision papers, presentations, reports, letters of invitation, and any other information appropriate for filing in the daily meeting files of the NIH Director or Principal Deputy Director. Meeting	Permanent	Cut off annually. Transfer to the National Archives 15 year(s) after cutoff.	DAA-0443-2017-0003-0003

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		files documenting meetings, appointments, conferences, telephone calls, trips (domestic and international), visits, and ceremonies, and other public presentations while serving in an official capacity. (EXCLUDED from this item are records included in Item 1100-B-3).			
1100-B	**6**	**Director-Level Policy Records** This item pertains to policy records created within the Office of the Director of the National Institutes of Health or within an Institute or Center (IC), which document policies and procedures and are approved at the Director-level. Policy records include all finalized policies created to establish and describe internal program policies, policy frameworks, directives, manual chapters, policy statements, procedures, position papers, approvals, and all other records, such as recommendations, studies, evaluations, presentations, reports, conclusions, manuals, and guides, that document policy decisions and are used to facilitate final decisions. All supporting and background documents developed in support of final policy are included in DAA-0443-2017-0004-0003.	Permanent	Cut off at the end of the fiscal year in which the policy becomes obsolete or superseded. Transfer to the National Archives 15 years after cutoff.	DAA-0443-2017-0004-0001
1100-B	**7**	**Policy Records Approved Beneath the Director-Level** This item pertains to all other policy records that are not approved within the Office of the Director of the National Institutes of Health or within an Institute or Center (IC), at the Director-Level. Policy records document internal policies and procedures. Policy records include, but are not limited to, all finalized policies created to establish internal program policies, policy frameworks, directives, procedural instances, policy statements, position papers, approvals, and	Temporary	Cut off at the end of the fiscal year in which the policy becomes obsolete or superseded. Destroy 7 years after cutoff.	DAA-0443-2017-0004-0002

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		all other records that document policy decisions and are used to facilitate final decisions.			
1100-B	**8**	**Policy Development, Background, Support Records, and Standard Operating Procedures** This item pertains to records that document the development of policies and procedures. These records include standard operating procedures, drafts, notes, comments, internal correspondence, background documents, and related working papers, such as studies, reports, and determinations of committees, created during the drafting of policy records described in items DAA-0443-2017-0004-0001 and DAA-0443-2017-0004-0002.	Temporary	Cut off at the end of the fiscal year in which the related policy or standard operating procedure becomes obsolete or superseded. Destroy 3 years after cutoff.	DAA-0443-2017-0004-0003
1100-C		**1100-C Program Planning Files** Records created in the determination, development and establishment of NIH programs and in the review of the effectiveness and need for change in the statutory base of NIH activities **EXCLUDED** from this section are: (1) Files related to planning individual biomedical research projects or experiments; see items 3000-G through J. (2) Files related to planning individual ADP applications; see section 2800-A. (3) Files related specifically and solely to budget planning; see section 2100. (4) Plans for management, housekeeping and other services not specifically related to NIH programs; see appropriate subject/function headings.			
1100-C	**1a**	**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	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	NC1-90-77-2 Item 13a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		Located in OER.			
1100-C	**2**	**NIH Program Operations:** Studies, analyses, reports, and correspondence which document current and long-range plans for NIH's program operations. Included are the Planning-Programming-Budgeting-System files, the Program and Financial Plan files (Forward Plan), and the Annual Program Review. Located in OSP.	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	NC1-90-77-2 Item 13b
1100-C	**3**	**IC Planning Programs:** Program planning files, including statements and definitions of program objectives, parameters and projections for future activities, for programs which support NIH's biomedical research, education and communications mission. Located in IC Directors' offices.	Permanent	Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old.	NC1-90-77-2 Item 2a
1100-C	**10**	**NIH Program Analysis Files:** Studies, analyses, reports, correspondence and statistical data created in the continuing analysis of NIH programs and policies. Included is the annual Research and Evaluation Plan (HEALTH) and findings of Congressional or Presidential study groups such as the President's Biomedical Research Panel. a. Located in OSP	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.	NC1-90-77-2 Item 14a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100-C	**11a**	**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	Permanent	Transfer to Federal Records Center at 5 year intervals. Offer to National Archives when 15 years old.	NC1-90-77-2 Item 10a
1100-C	**11b**	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. **All other copies.**	Temporary	Destroy after 2 years. Earlier disposal is authorized.	NC1-90-77-2 Item 10a
1100-C	**11c**	Feeder reports and other background information for 1100-C-11a.	Temporary	Destroy 2 years after consolidated report is submitted	NC1-90-77-2 Item 10a1
1100-C	**12a**	**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. Located in IC Directors' offices.	Permanent	Transfer to Federal Records Center when 7 years old. Offer to National Archives when 22 years old	NC1-90-77-2 Item 2b
1100-C	**12b**	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.	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.	NC1-90-78-9 Item 31a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		Located in CC, Office of the Director. Recordkeeping copy			
1100-C	**13**	Project clearance files of records required by the Paperwork Reduction Act.	Temporary	Destroy 5 years after related form is superseded or terminated.	NC1-90-77-2 Item 16
1100-C	**14a**	**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.	Permanent	Transfer to Federal Records Center at 10 year intervals. Offer to National Archives when 25 years old.	NC1-90-77-2 Item 32
1100-C	**14b**	Extramural Program Special Project Files All other copies of any part of this file 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.	Temporary	Destroy when no longer needed for reference and no later than 5 years.	NC1-90-77-2 Item 32
1100-C	**15a**	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.**	Permanent	Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old	NC1-90-77-2 Item 39a
1100-D		**1100-D Organization and Functions**			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100-D	**1a**	**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 *Located in CC, Office of the Director*	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	NC1-90-77-2 Item 3
1100-D	**1b**	**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	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.	NC1-90-77-2 Item 3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		Located in (1) Office of Management Assessment. (2) Official files of all IC's.			
1100-D	**1c**	**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 *All other copies and correspondence or papers which are not related to the decision process for determining organizational structures and functions.*	Temporary	Destroy when no longer needed for reference.	NC1-90-77-2 Item 3
1100-D	**2**	**Organization charts** submitted for the Secretary's Uniform System of Department-Agency Organization Charts.	Temporary	Destroy 2 years after calendar year in which submitted.	NC1-90-77-2 Item 4
1100-E		**1100-E Delegations of Authority**			
1100-E	**1a**	**Delegations of Authority to the Director,** NIH from DHHS officials. Included are official statements published in the Federal Register with supporting correspondence and other records which document successive changes in authorities and reasons therefore. Also included are documents re-delegating the authority of the	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.	NC1-90-77-2 Item 7a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		Director to subordinates and records created in the development of and influencing decisions on these matters. a. Located in Office of Management Assessment.			
1100-E	**1b**	**Delegations of Authority to the Director,** NIH from DHHS officials. Included are official statements published in the Federal Register with supporting correspondence and other records which document successive changes in authorities and reasons therefore. Also included are documents re-delegating the authority of the Director to subordinates and records created in the development of and influencing decisions on these matters. 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	Temporary	Destroy 1 year after being superseded or becoming obsolete.	NC1-90-77-2 Item 7b
1100-E	**2**	Re-delegation of authorities from OD and IC officials to subordinates within their organizations.	Temporary	Destroy 10 years after being superseded or discontinued. Earlier disposal is authorized when no longer needed for administrative reference.	NC1-90-77-2 Item 8
1100-H		**1100-H Committee Management: Other Organized Groups** Committee Files created in the establishment, operation and documentation of the activities of NIH committees, boards, commissions, ad hoc groups and other appointed or organized bodies, and of outside groups with which NIH operations interface. Included are charters or authorities, membership lists, agendas, minutes, reports, directives, correspondence and supporting papers related to the committee's operations. All of the records named do not necessarily pertain to all committees. **EXCLUDED** from this section are: 1. Committee files maintained by Committee Management Offices			
1100-H	**1**	**Files of formally established staff meetings and other committees or groups at the NIH or IC level** which plan, guide or advise on, report on, or	Permanent	Cut off file at end of calendar year. Transfer to Federal Records Center3 years after cutoff date. Offer to National Archives 13 years after cutoff.	NC1-90-77-2 Item 12a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		review effectiveness of overall policies and operations. Included are OD Staff, Scientific Directors, Extramural Program Management Committee, Executive Officers, and others.			
1100-H	**2**	**Files of technical committees, staff groups or other organized or ad hoc meetings which have advisory or operating responsibilities** for programs related to NIH's mission in biomedical research and communications or support of activities directly related thereto. Examples are the Medical Board, Research Contracting Committee, Grants Management Advisory Committee, and Artificial Heart Assessment Panel.	Permanent	Cut off file at end of calendar year. Transfer to Federal Records Center 3 years after cut off date. Offer to National Archives	NC1-90-77-2 Item 12b
1100-H	**3**	**Files of committees and staff groups which advise on, conduct, or review the administrative operations** of the agency. Examples are Administrative Training Committee and Central Service Task Force.	Temporary	Destroy when 10 years old.	NC1-90-77-2 Item 12c
1100-H	**5**	**Minutes of Meetings** maintained in the Clinical Center Central File. Located in CC, Office of the Director	Permanent	Offer to National Archives when 7 years old.	NC1-90-78-9 Item 7a
1100-J		**1100-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 section, 6000). 2. Records concerning implementation of regulations imposed by other Federal agencies; (see appropriate subject/function headings). 3. Records relating to NIH responsibilities for establishing and implementing standards and procedures applicable outside NIH; (see section 7000). 4. Records concerning liaison with Congress; (see items 1100-A-1 to A-3).			
1100-J	**1**	**Bilateral International agreements** with other countries for conducting collaborative research	Permanent	Transfer to Federal Records Center 2 years after completion of related activity or termination of	NC1-90-77-2 Item 51

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		and international cooperation. Official file is in FIC unless requested by the State Department.		agreement. Offer to National Archives 12 years after completion or termination.	
1100-J	**2a**	**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.	Permanent	Transfer inactive records to Federal Records Center at 5 year intervals. Offer to National Archives 20 years after file becomes inactive.	NC1-90-77-2 Item 52a
1100-J	**2b**	**Gorgas Memorial Institute of Tropical Diseases and Preventive Medical files** documenting FIC role in its operation and financing. b. Memoranda requesting payment, copies of allowance documents, and copies of annual reports to congress.	Temporary	Destroy when 5 years old.	NC1-90-77-2 Item 52b
1100-J	**8a**	**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	Permanent	Transfer to the Federal Records Center when 5 years old. Offer to the National Archives when 20 years old.	NC1-443-84-1 Item 12.a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		outside organizations which result in changes in NIH policies, procedures or programs.			
1100-J	**8b**	**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. 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.	Temporary	Destroy when 3 years old, or when no longer needed, whichever is sooner.	NC1-443-84-1, Item 12.b
1100-L		**1100-L Technology Transfer Records** 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."			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100-L	**12**	Employee Invention Reports and Patent Applications --These records consist of invention descriptions and associated documents submitted by scientists to technology development coordinators for review of patentability or transfer by other means; and U.S., Patent Cooperation Treaty {PCT) and foreign patent applications and related documents including evaluations, work orders, and Cooperative Research and Development Agreements {CRADA) with a reported CRADA Subject Invention.	Temporary	Cut off following expiration, lapsing, withdrawal, or abandonment of all issued patents, and patent applications within an associated patent family; or unpatented inventions when not associated with licensable or available licensed research material. Destroy 6 year{s) after cutoff or when no longer needed for business purposes occurs, whichever is later	DAA-0443-2016-0002-0001
1100-L	**13a**	License Agreement, CRADA and Other Technology Transfer Agreement Records These records include license agreements, Cooperative Research and Development Agreements {CRADAs), and other Technology Transfer Agreements. License Agreements: Includes domestic and foreign, exclusive and nonexclusive, invention and biological material license agreements, Inter-Institutional Agreements (IAAs), and Inter-Agency Agreements (IAAs); Cooperative Research and Development Agreements (CRADAs): Between or among ICs and private industry, nonprofit organizations, academia, or other government agencies; Other Technology Transfer Agreements: Includes Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), Data Transfer Agreements, and Research Collaboration Agreements. Associated records may include: Original agreements and amendments, clearance forms, progress reports, sales reports, and Royalty Distribution Forms.	Temporary	Cut off at expiration or termination of the License, CRADA or Technology Transfer Agreement. Destroy 6 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later.	DAA-0443-2016-0002-0002

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		a. Executed Agreements with Financial Terms -- Records includes CRADAs with common account numbers (CANs) and Licenses.			
1100-L	**13b**	License Agreement, CRADA and Other Technology Transfer Agreement Records These records include license agreements, Cooperative Research and Development Agreements {CRADAs), and other Technology Transfer Agreements. License Agreements: Includes domestic and foreign, exclusive and nonexclusive, invention and biological material license agreements, Inter-Institutional Agreements (IAAs), and Inter-Agency Agreements (IAAs); Cooperative Research and Development Agreements (CRADAs): Between or among ICs and private industry, nonprofit organizations, academia, or other government agencies; Other Technology Transfer Agreements: Includes Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), Data Transfer Agreements, and Research Collaboration Agreements. Associated records may include: Original agreements and amendments, clearance forms, progress reports, sales reports, and Royalty Distribution Forms. b. Denied License Applications That Are Under Appeal -- Records include non-executed license applications that are under appeal.	Temporary	Cut off at the date of resolution of the appeal. Destroy 7 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later.	DAA-0443-2016-0002-0003

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1100-L	**13c**	License Agreement, CRADA and Other Technology Transfer Agreement Records These records include license agreements, Cooperative Research and Development Agreements {CRADAs), and other Technology Transfer Agreements. License Agreements: Includes domestic and foreign, exclusive and nonexclusive, invention and biological material license agreements, Inter-Institutional Agreements (IAAs), and Inter-Agency Agreements (IAAs); Cooperative Research and Development Agreements (CRADAs): Between or among ICs and private industry, nonprofit organizations, academia, or other government agencies; Other Technology Transfer Agreements: Includes Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), Data Transfer Agreements, and Research Collaboration Agreements. Associated records may include: Original agreements and amendments, clearance forms, progress reports, sales reports, and Royalty Distribution Forms. c. All Other Agreements without Financial Terms and All Other Non-executed Agreement Applications: Records include all other agreements without financial terms and all other non-executed Agreement Applications.	Temporary	Cut off at: 1) termination of the Agreement or at the expiration of the Agreement term or the Confidentiality term, whichever is longer; or 2) Confirmation that the activities under the Agreement are no longer continuing; or 3) When the Application/ Agreement is withdrawn, the negotiations are terminated, or the license application is denied and there is no appeal. Destroy 3 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later.	DAA-0443-2016-0002-0004
1300		**1300 Station Management**			
1300-B		**1300-B Safety**			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1300-B	**1**	**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.	Temporary	Destroy when 5 years old.	UNAUTHORIZED
1300-B	**2**	**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.	Temporary	Destroy when 6 years old.	NC1-90-78-12 Item 43
1300-B	**3**	**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.	Temporary	Destroy when 5 years old.	NC1-90-78-12 Item 44
1300-B	**7**	**Radioactive contamination survey sheets:** Room surveys for radioactive contamination. Located in Radiation Safety Branch.	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	**8a**	**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).	Temporary	Destroy 20 years from last date of entry made on the card.	N1-443-98-2

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1300-B	**8b**	**Radiation Safety Training Records.** These records are subject to the Privacy Act. Located in Radiation Safety Branch. b. Radiation Safety Refresher Training Attendance Records.	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	**9**	**Exposure incident files contain reports** and all other data relating to the investigation of radioactivity exposure incidents in NIH. Located in Radiation Safety Branch.	Temporary	Destroy when 10 years old	NC1-90-78-12 Item 64
1300-B	**10**	**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.	DISPOSAL NOT AUTHORIZED	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.	NC1-90-78-12 Item 65
1300-B	**11**	**NIH requests for the purchase and use of radio nuclides.** Located in Radiation Safety Branch.	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 67
1300-B	**12**	**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. in Radiation Safety Branch.	Temporary	Destroy when superseded or no longer applicable.	NC1-90-78-12 Item 68

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1300-B	**13**	**Notifications of transfer of radioactive material to other institutions.** Located in Radiation Safety Branch.	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	**14**	**Records relating to the disposal of radioactive waste.** Located in Radiation Safety Branch.	DISPOSAL NOT AUTHORIZED	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.	NC1-90-78-12 Item 72
1700		**1700 Management Services**			
1700-A		**1700-A 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.) **1700-A: Management Appraisal** Records related to management analyses, studies, reviews, audits and investigations. **EXCLUDED from this section are:** 1. Program planning and review records. (See section 1100-C or appropriate program heading.) 2. Personnel evaluations. (See item 2300-430.)			
1700-A	**1a**	**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,	Permanent	PERMANENT. Cut off when no further corrective action is necessary. Transfer to National Archives 10 years after completion of the project.	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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.			
1700-A	**1b**	**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. 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.	Temporary	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.	N1-443-99-3
1700-A	**1c**	**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. c. Other copies	Temporary	Destroy when superseded or discontinued or no later than 1 year after cutoff.	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1700-A	**3a**	**Research Integrity Files:** Inquiry and Investigative Case Files: These case files contain copies of records, located in all NIH (Office of the Director and IC) offices, related to or collateral to pending, current, or completed allegations, inquires, investigations or findings of research misconduct, and/or to actions that the Office of Research Integrity (ORI) has taken in connection with such allegations, inquiries, investigations and findings. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals, publications, correspondence, transcripts, final reports prepared by the institute or ORI, and other supporting documents. After the case has been closed (when there has been a final agency action), the records are separated into Misconduct/Administrative Action Files and No-Misconduct Files. NOTE: After the case is closed, immediately forward all original documents that were used in the inquiry or investigation, received in or generated by the office, to ORI which maintains the official file. a All other copies: After the case is closed, destroy NIH IC copies of files, excluding the final ORI report or other decision documents for those cases with a finding of Misconduct/Administrative Actions.	Temporary	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.	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1700-A	**3b**	**Research Integrity Files:** Inquiry and Investigative Case Files: These case files contain copies of records, located in all NIH (Office of the Director and IC) offices, related to or collateral to pending, current, or completed allegations, inquires, investigations or findings of research misconduct, and/or to actions that the Office of Research Integrity (ORI) has taken in connection with such allegations, inquiries, investigations and findings. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals, publications, correspondence, transcripts, final reports prepared by the institute or ORI, and other supporting documents. After the case has been closed (when there has been a final agency action), the records are separated into Misconduct/Administrative Action Files and No-Misconduct Files. NOTE: After the case is closed, immediately forward all original documents that were used in the inquiry or investigation, received in or generated by the office, to ORI which maintains the official file. b Final ORI Reports:	Temporary	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.	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1700-A	**4a-1**	**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;	Permanent	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.	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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.			
1700-A	**4a-3**	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. 3. All other investigative case files: except those that are unusually significant or documenting ethical standards by NIH officials or others.	Temporary	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.	NC1-443-84-1

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1700-A	**4b**	**Investigative/Audit Case Files** documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance. 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.	Temporary	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.	NC1-443-84-1
1700-A	**4c**	**Investigative/Audit Case Files** documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance. c. All other correspondence working papers, working drafts, and report related materials for audits and investigations.	Temporary	Destroy 1 year after final agency action has received OMA concurrence.	NC1-443-84-1
1700-C		**1700-C Correspondence** Included in this section are general correspondence files not related to any specific subject or functional heading; and also correspondence tracking and control systems. **EXCLUDED from this section are:** 1. Correspondence files related to specific subjects or functions; (See appropriate subject/function section.) 2. Copies of correspondence files together with related papers. (Apply disposition instructions applicable to the file in which the correspondence is kept.)			
1700-C	**1d**	**Correspondence with the Public** d. Letters of complaint or other matter involving prospective litigation, including administrative claims.	Temporary	Destroy 6 years after calendar year in which response is made or file is closed.	NC1-90-77-2 Item 65d

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1700-C	**2**	**Correspondence Control System** of the NIH Executive Secretariat. These electronic files provide a correspondence locator, follow-up control and subject reference for correspondence received in the Office of the Director. The file contains listings of names of individuals who request information from NIH, document numbers assigned to correspondence, dates and subjects. Input is from incoming and outgoing correspondence on a daily basis. Completed files are retired from the master file to the history file when 60 days old.	Temporary	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 will be specifically covered under DAA-0443-2017-0003 - Director Subject Files.	NC1-90-77-2 Item 73
2600		**2600 PROCUREMENT, PROPERTY AND SUPPLY MANAGEMENT**			
2600-B		**2600-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).			
2600-B	**2a**	**Architectural and Engineering Drawings and Models** consisting of master tracings and acceptable reproducibles 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.	Permanent	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.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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.			
2600-B	**2a-1**	**Architectural and Engineering Drawings and Models** consisting of master tracings and acceptable reproducibles 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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		1. Drawings			
2600-B	**2a-2**	**Architectural and Engineering Drawings and Models** consisting of master tracings and acceptable reproducibles 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	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		Isolation Facility, the DNA Facility and others. This is not necessarily a complete list. 2. Models			
2600-B	**2b**	**Architectural and Engineering Drawings and Models** consisting of master tracings and acceptable reproducibles 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. 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.	Temporary	Destroy when no longer needed for administrative purposes.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
2800		**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			
2800-A		**2800-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).			
2800-A	**4a**	**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.	Permanent	PERMANENT. Transfer to Federal Records Center 5 years after completion of study. Offer to the National Archives 10 years after completion.	NC1-90-78-9 Item 19a
2800-A	**4b**	**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.	Temporary	Destroy 5 years after completion of study.	NC1-90-78-9 Item 19b

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		b. All other files.			
3000		**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).			
3000-C		**3000-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).			
3000-C	**2**	**Requests for animals,** related to specified animals needed for investigators in NIH. Forms are coded for computer input.	Temporary	Destroy when request data are put into computer.	NC1-90-78-12 Item 49
3000-C	**3**	**Animal production records**, recording various weaning data and other statistics on a weekly basis. Summarized in branch level reports.	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 50
3000-C	**4**	**Animal disease investigation reports,** prepared at the request of investigators, showing examination, pathology, and treatment data for each animal involved.	Temporary	Destroy when 6 years old.	NC1-90-78-12 Item 51
3000-C	**5**	**Animal health certificates**, concerning the health of animals received by the branch.	Temporary	Destroy when 5 years old.	NC1-90-78-12 Item 52
3000-C	**6**	**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.	Temporary	Destroy 6 years after expiration of permit.	NC1-90-78-12 Item 53
3000-C	**7**	**Pedigree history and related records,** providing data concerning the generational history of each strain, related weaning information, and other key	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	NC1-90-78-12 Item 54

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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.			
3000-C	**9**	**Surgery room logs**	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 56
3000-C	**11**	**Animal inventory adjustment records**, recording blood issues and various animal issue transactions.	Temporary	Destroy when 1 year old.	NC1-90-78-12 Item 58
3000-C	**12**	**Records of Disposition of Laboratory Animals**: Various procurement data required by the Department of Agriculture.	Temporary	Destroy when 5 years old.	NC1-90-78-12 Item 59
3000-C	**13**	**Records relating to the care and maintenance of animals not discussed above:** Including records of food, bedding, caging, and the like.	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 60
3000-E		**3000-E Clinical Care**			
3000-E	**31**	Isotope Data Files on Patients maintained by the Radiation Safety Branch, ORS:		see item 1300-B-11.	N/A
3000-H		**3000-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). i. Drug Testing and Development Records of the Clinical Center Pharmaceutical Development Service. ii. Registries.			
3000-H	**10a**	**Registries.** a. A central system used to collect and maintain	Temporary	Destroy when no longer needed for administrative use and/or scientific research.	N1-443-92-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		the information for the purpose of which the registry was developed.			
3000-H	**10c**	**Registries.** c. Other Components Records: Records maintained by other components that augment the registry records.	Temporary	Destroy when no longer needed for administrative use and/or scientific research.	N1-443-92-3
3000-I		**3000-I Certificates of Confidentiality.** Certificates of Confidentiality (CoCs) are authorizations issued by the National Institutes of Health (NIH) that helps researchers and their institutions safeguard the privacy of research participants enrolled in sensitive biomedical and behavioral research by protecting against compulsory legal demands, such as subpoenas for identifying information. Certificates of Confidentiality are issued for research that is funded by NIH, or at its discretion, for sensitive research that is related to the NIH health research mission. Research institutions can use a COC to avoid forced disclosure of names and other identifying characteristics about research participants. Records relating to CoCs include: • Correspondence; • Applications and Certificates of Confidentiality issued for Intramural Research; • Applications and Certificates of Confidentiality issued for Extramural Research; and, • Applications and denied Certificates of Confidentiality responses.			
3000-1	**1a**	**Certificates of Confidentiality issued for Intramural Research - Certificate of Confidentiality Support Documentation.** Records related to the request for a Certificate of Confidentiality include applications, associated documentation, master lists of Certificates of Confidentiality maintained by the issuing Institute or Center, and correspondence, for Intramural research that is being conducted internally at the NIH.	Temporary	Cut off annually at expiration of the Certificate of Confidentiality. Destroy 6 year(s) after cutoff.	DAA-0443-2017-0001-0001
3000-I	**1b**	**Certificates of Confidentiality issued for Intramural Research - Issued Certificates of Confidentiality.**	Temporary	Cut off annually after all of the individually identifiable data (including biosamples) from the research project for which the Certificate of Confidentiality was issued, have been destroyed, used, or otherwise are no longer remaining at the	DAA-0443-2017-0001-0002

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
				NIH Intramural program. Destroy 3 year(s) after cutoff.	
3000-I	**2**	**Certificates of Confidentiality issued for Extramural Research or other Outside Research.** These records include applications and associated documentation, master lists of Certificates of Confidentiality maintained by the issuing Institute or Center, correspondence, and Certificates of Confidentiality issued for Extramural Research or other outside research. Extramural research includes research that is funded through NIH grants, cooperative agreements, and Research and Development contracts. Other outside research pertains to Certificates of Confidentiality issued for research related to the NIH health mission that is not funded by NIH.	Temporary	Cut off annually at expiration of the Certificate of Confidentiality. Destroy 6 year(s) after cutoff.	DAA-0443-2017-0001-0003
3000-I	**3**	**Denied Certificates of Confidentiality.** These records include applications, associated documentation, and correspondence.	Temporary	Cut off annually at notification of denial. Destroy 3 year(s) after cutoff.	DAA-0443-2017-0001-0004
7000		**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. **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).			
7000-A		**7000-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.			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
7000-A	**1a**	**Special assurance files and Single Project Assuance 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.	Temporary	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.	NC1-90-77-2 Item 23a
7000-A	**1b**	**Special assurance files and Single Project Assuance 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. b. Other copies.	Temporary	Destroy no later than 2 years after final payment, close-out, or settlement of claims or litigation of related grant or contract.	NC1-90-77-2 Item 23a
7000-A	**2a**	**General Assurance files, Multiple Project Assurance files, Cooperative Project Assurance, Animal Welfare** Assurance files, and all other OPRR Assuance 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.	Temporary	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.	NC1-90-77-2 Item 23b
7000-A	**2b**	**General Assurance files, Multiple Project Assurance files, Cooperative Project Assurance, Animal Welfare** Assurance files, and all other OPRR Assuance 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	Temporary	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.	NC1-90-77-2 Item 23b

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		supporting documents. b. Other copies.			
7000-A	**3a**	**Case files of negotiations for assurance of compliance** which are withdrawn, deactivated, or not completed for other reasons. a. Official file.	Temporary	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.	NC1-90-77-2 Item 23c
7000-A	**3b**	**Case files of negotiations for assurance of compliance** which are withdrawn, deactivated, or not completed for other reasons. b. Other copies.	Temporary	Destroy no later than 2 years after assurance or the related contract or grant is withdrawn, disapproved or otherwise inactivated.	NC1-90-77-2 Item 23c
7000-A	**4a**	**Cumulative List of Institutions in Compliance** with policy for protection from research risks, with supporting documents. a. Official file.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED. Review for disposal with NIH Records Management Officer before 1989.	NC1-90-77-2 Item 24
7000-A	**4b**	**Cumulative List of Institutions in Compliance** with policy for protection from research risks, with supporting documents. b. Other copies.	Temporary	Destroy when no longer needed for administrative reference.	NC1-90-77-2 Item 24
7000-A	**5a**	**Inquiries and complaints of violations** on research supported by DHHS involving human subjects and animal subjects. a. Official file.	Temporary	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.	NC1-90-77-2 Item 25

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
7000-A	**5b**	**Inquiries and complaints of violations** on research supported by DHHS involving human subjects and animal subjects. b. Other copies.	Temporary	Destroy no later than 2 years after final payment close-out, or settlement of claims or litigation of related grant or contract.	NC1-90-77-2 Item 25
7000-A	**6a**	**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.	Temporary	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.	NC1-90-77-2 Item 26
7000-A	**6b**	**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. b. Other copies.	Temporary	Destroy no later than 2 years after final payment close-out or settlement of claims or litigation of related grant or contract.	NC1-90-77-2 Item 26
7000-B		**7000-B Biohazards**			
7000-B	**1a**	**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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED. Review with NIH Records Management Officer in 1988 for possible destruction.	NC1-90-78-12 Item 25a

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
7000-B	**1b**	**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. b. All other memoranda files.	Temporary	Destroy 5 years after completion of experiment or project.	NC1-90-78-12 Item 25b
7000-C		**7000-C Environmental Impact**			
7000-C	**1**	**NIH Environmental review document and environmental statement**, made in accordance with the HHS General Administration Manual, Part 30.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A
7000-C	**2**	**NIH Chemical Waste management documents, i**ncluding manifest, annual report, permits, etc., made in conformance with the Resource Recovery and Reclamation Act of 1976 and related laws and regulations.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A
8000		**8000 Information, Communications and Training**			
8000-A		**8000-A Public Affairs, Publications and Communications** Records created or used in providing information about NIH to outside audiences. **EXCLUDED from this section are:** Records of Communication services (see section 1700-C). Audiovisual materials such as photographs, graphic art work, motion pictures, video tapes (see section 8100).			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8000-A	**1a**	**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.	Permanent	PERMANENT. Cut off file annually. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 15 years old.	NC1-90-77-2 Item 27
8000-A	**2**	**NIH Basic Data Book, fiscal history data, bibliographies and biographies of NIH Directors.** Located in Office of Program Planning and Evaluation.	Permanent	PERMANENT - Offer to National Archives when 20 years old or when no longer needed for reference.	NC1-90-77-2 Item 17
8000-A	**3**	**Speeches, graphic presentations, reports and compilations** prepared in response to requests for information and which do not affect program or policy decisions. Located in Office of Program Planning and Evaluation.	Temporary	Destroy when 10 years old. Earlier disposal is authorized if no longer needed for reference.	NC1-90-77-2 Item 18
8000-A	**4a**	**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).	Permanent	PERMANENT. Offer to the National Archives when 15 years old.	NC1-90-78-9 Item 29
8000-A	**4b**	**Publications** prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office. b. Located in CC, Office of Clinical Reports and Inquiries, including publications such as Clinical Center Close-up, Director's Update and others.	Permanent	PERMANENT. Offer to the National Archives when 15 years old.	NC1-90-78-9 Item 29

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8000-A	**4c**	**Publications** prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office. c. Located in NLM.	Permanent	PERMANENT. Offer to the National Archives when 20 years old.	NC1-90-78-12 Item 79
8000-A	**4d**	**Publications** prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office. d. Located in CIT, Office of the Director (excluding technical publications).	Permanent	PERMANENT. Offer to the National Archives when 20 years old.	NC1-90-78-12 Item 11
8000-A	**9a**	**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.	Permanent	PERMANENT. Transfer official file to Federal Records Center 3 years after publication. Offer to National Archives when 20 years old after transfer.	NC1-90-77-2 Item 50
8000-A	**11**	**Agency histories and selected background materials.** Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	Permanent	PERMANENT. Offer to National Archives in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8000-G		**8000-G Training and Educational Programs** Textbooks, manuals and other training aids and other records related to training or educational programs developed and offered by NIH. **EXCLUDED from this section are:** (1) Training materials and related documents created by other organizations, both government and private. These materials are non-record and should be destroyed as soon as they are obsolete or superseded. (2) NIH employee's training records (see section 2300-410). (3) Training film strips, slides, motion pictures, and video recordings. (See items 8100-B-3, 8100-D-1, 8100-D-8, 8100-E-1, 8100-E-4, 8100-E-11).			
8000-G	**1**	**Clinical Center Training administrative files,** consisting of correspondence, memoranda, and reports pertaining to training techniques, plans, materials, and related matters.	Temporary	Destroy when 3 years old.	NC1-90-78-9 Item 6
8000-G	**2a**	**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.	Temporary	Files for successful applicants who later join the Library staff.	NC1-90-78-12 Item 90
8000-G	**2b**	**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. b. All other files.	Temporary	Destroy 6 months after close of files.	NC1-90-78-12 Item 90
8000-G	**3**	**On-Line Bibliographic Systems Training Records** containing lists of students, lesson plans, and related papers.	Temporary	Destroy after 1 year.	NC1-90-78-12 Item 98

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8000-G	**5**	**Training of NIH personnel in radiation safety** principles, standards and techniques. Located in ORS, Radiation Safety Branch.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	NC1-90-78-12 Item 73
8100		**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). (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).			
8100-A		**8100-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).			
8100-A	**1a**	**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	Permanent	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.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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.			
8100-A	**1b**	**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	Permanent	PERMANENT. Offer to National Archives when no longer needed for administrative use or when 5 years old.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		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. 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. 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.			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8100-A	**1c**	**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. 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).	Permanent	PERMANENT. Offer to National Archives when no longer needed for administrative use or when 5 years old.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8100-A	**1d**	**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. d. Video recording.	Permanent	PERMANENT. Offer to National Archives when no longer needed for administrative purposes or when 5 years old.	N/A

MANUAL CHAPTER 1743: APPENDIX 1
NIH GENERAL RECORDS SCHEDULE

NIHRecordsManagement@nih.gov

UPDATED April 13, 2018

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NIH General Records Schedule

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	1.0 Finance			
	1.1 Financial Management and Reporting Records			
	1.1 Financial Management and Reporting Records This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury. This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2. This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3. This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7. This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.			
001	**Financial management and reporting administrative records.** Records related to managing financial activities and reporting. Records include: • correspondence • subject files • feeder reports • workload management and assignment records	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. **Financial transaction records include** those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions. Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as: • contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • data submitted to the Federal Procurement Data System (FPDS) • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations **Note 1:** Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. **Note 2:** Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians. **Note 3:** The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. **Collecting debts includes** the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as: • records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: cash register transaction records, credit card and charge cards receipts, records documenting deposits, records documenting allocation of fees to funds/accounts o deposit lists and logs o customer orders, revolving fund records • fee and fine collection records • garnishments • sale of excess and surplus personal property • fee or rate schedules and supporting documentation • out-leases of Federal property • debt collection files and cash receipts • write-offs • copies of checks • payment billing coupons • letters from lenders • payment records • money orders • journal vouchers • collection schedules **Accounting is the recording,** classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes: statements of transactions, statements of accountability, collection schedules and vouchers, disbursement schedules and vouchers • vouchers • certificates of closed accounts • certificates of periodic settlements • general funds files • general accounting ledgers • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms • audit reports case files (NIH note) **Note 1:** Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. **Note 2:** Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians. **Note 3:** The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.			
011	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** All other copies	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0003-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
012	**Bids and proposals neither solicited nor accepted.** Bids and proposals that are both unsolicited and the subject of no further agency action.	Temporary	Destroy when no longer required for business use.	DAA-GRS-2016-0001-0001
020	**Records supporting compilation of agency financial statements and related audit, and all records of all other reports.** Includes records such as: • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports	Temporary	Destroy 2 years after completion of audit or closure of financial statement/ accounting treatment/issue, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0011
030	**Property, plant and equipment (PP&E) and other asset accounting.** Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers **Exclusion:** Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.	Temporary	Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Cost accounting for stores, inventory, and materials.** Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as: • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts receiving, inspection, and acceptance documentation	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0012
050	**Construction contractors' payroll files.** Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti- kickback and other affidavits, and other related papers.	Temporary	Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0003
060	**Contract appeals case files.** Records of contract appeals arising under the Contracts Dispute Act. Includes: • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers	Temporary	Destroy 1 year after final resolution, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	**Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.** Records of suspensions and debarments for violation of the Drug-Free Workplace Act.	Temporary	Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0004
071	**Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.** Records of all other suspensions and debarments and all approved vendors and bidders.	Temporary	Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	**Administrative claims by or against the United States.** Records of monetary or property claims by the United States subject to the Federal Claims Collection Standards, completed or closed by: • payment in full compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard • lifting of court order Also, records of monetary claims against the United States, completed or closed by: • disallowance in full • allowance in full or in part with final payment awarded • settlement, compromise, or withdrawal • lifting of court order Legal Citations: 31 CFR 900-904 28 U.S.C. 2401 28 U.S.C. 2415(a) 31 U.S.C. 3716(c) 31 U.S.C. 3716(e)	Temporary	Destroy 7 years after final action, but longer retention is authorized if required for business use.	DAA-GRS-2017-0005-0001
1.3 Budgeting Records				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	1.3 Budgeting Records Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations. Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets. Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010. This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It does apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.			
010	**Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Records created and held by offices that prepare an agency's budget proposal for the White House.** Includes records such as: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings	Temporary	Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• final settlement or approved appropriation Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.			
020	**Budget execution records. Records created and held by offices that prepare an agency's budget proposal for the White House.** Records offices create and receive in the course of implementing and tracking an appropriation. Includes: • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records Exclusion: Formal budget reports are covered in items 030 and 031.	Temporary	Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Budget reports. Full fiscal-year reports. Records created and held by offices that prepare an agency's budget proposal for the White House.** Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.	Temporary	Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0003
031	**Budget reports. All other reports. Records created and held by offices that prepare an agency's budget proposal for the White House.** Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0004
040	**Budget preparation background records. Records held in office responsible for preparing agency's budget proposal to the White House.** Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Temporary	Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0005
041	**Budget preparation background records. Records held at all other offices.** Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006
050	**Budget administration records. Records any office creates and holds.** Records documenting administration of budget office responsibilities. Includes: • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• cost structure and accounting code lists • feeder and statistical reports • related correspondence			
	2.0 Human Resources			
	2.1 Employee Acquisition Records			
	2.1 Employee Acquisition Records This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies' employee selection processes. Its procedural rules and best practices are spelled out in its "Delegated Examining Operations Handbook." This schedule reflects OPM's determinations on appropriate records retention periods. This schedule applies only to civilian employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.			
010	**Classification standards.** Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval. Exclusion: OPM's case files on classification standards are not covered by this item.	Temporary	Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Position descriptions -- Official record copy of position description.** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities. **.** Copy held at Human Resources office.	Temporary	Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0002
021	**Position descriptions -- Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF), and supervisor's personnel file.** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities		Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)	
022	**Position descriptions -- All other related records.** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities. Includes: - case file at position's program office - background material in Human Resources case file - other copies of records in item 020	Temporary	Destroy when position description is final, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0003
030	**Position reviews and classification appeals.** Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits. Exclusion: OPM's corresponding case file is not covered by this item.	Temporary	Destroy 3 years after position is abolished but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0004
040	**Certificates of classification.** Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal. Exclusion: OPM's file is not covered by this item.	Temporary	Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Job vacancy case files -- Records of one-time competitive and Senior Executive Service announcements/selections.** Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation Legal citation: 5 CFR 335.103	Temporary	Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2014-0002-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	**Job vacancy case files -- Records of standing register competitive files for multiple positions filled over a period of time.** Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation Legal citation: 5 CFR 335.103	Temporary	Destroy 2 years after termination of register.	DAA-GRS-2014-0002-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Job application packages.** Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes: • application • resume • supplemental forms • other attachments Note: This item is only for copies of materials submitted to and maintained in systems that receive job application**s. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 0050 and 0051).**	Temporary	Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011
070	**Case files on lost or exposed job test materials.** Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.	Temporary	Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012
080	**Requests for non-competitive personnel action.** Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.	Temporary	Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013
090	**Interview records.** Case files related to filling job vacancies, held by hiring official and interview panel members. Includes: • copies of records in the job vacancy case file (items 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.	Temporary	Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.	DAA-GRS-2014-0002-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	**Political appointment (Schedule C) records -- Records (except ethics pledges and waivers) related to appointees.** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes: • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency. Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.	Temporary	Destroy after separation. Retention up to end of administration under which individual was hired is authorized if required for business use.	DAA-GRS-2014-0002-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
101	**Political appointment (Schedule C) records -- Ethics pledges and waivers of appointees.** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes: • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency. Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.		File in appointee's Official Personnel File, per Executive Order 12490.	
102	**Political appointment (Schedule C) records -- Records related to non-appointees.** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes: • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.	Temporary	Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.	DAA-GRS-2014-0002-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.			
110	**Excepted service appointment records -- Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).** Records created in filling permanent or temporary job vacancies by non-competitive appointment of persons under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate): • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it. Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.	Temporary	Destroy 5 years after enter-on-duty date or termination of consideration or declining of offer.	DAA-GRS-2014-0002-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
111	**Excepted service appointment records -- Case files related to all other appointees.** Records created in filling permanent or temporary job vacancies by non-competitive appointment of persons under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate): • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it. Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.	Temporary	Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0019
120	**Special hiring authority program records.** Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.	Temporary	Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016
130	**Records related to individual employees hired under special temporary authority.** Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.	Temporary	Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
140	**Pre-appointment files. Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions.** Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty. Included are forms in the SF-85 family, finger print charts, and related correspondence.	Temporary	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.	
141	**Pre-appointment files. Records Appropriate for inclusion in OPF. Records concerning prospective employees who enter on duty.** Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty. Such as designation of beneficiary, life insurance election, and health benefits registration.		Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142	**Pre-appointment files. Records Appropriate for inclusion in OPF. Records concerning prospective employees who do not enter on duty.** Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty. Such as designation of beneficiary, life insurance election, and health benefits registration.	Temporary	Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009
143	**Pre-appointment files. Copies of records included in job vacancy case file (items 050 or 051)** Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	Temporary	Destroy immediately after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
150	**Records of delegation of authority for examination and certification.** Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment. Exclusion: OPM's records are not covered by this item.	Temporary	Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0021
160	**Delegated authority audits.** Reports of delegated examining operations audit delivered to the audited agency. Exclusion: OPM's records are not covered by this item.	Temporary	Destroy when 3 years old but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0022
2.2 Employee Management Records				
2.2 Employee Management Records This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.				
010	**Employee management administrative records.** Records on routine office program support, administration, and human resources operations. Includes: • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Workforce and succession planning records.** Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes: • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.	Temporary	Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0002
030	**Employee incentive award records.** Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. Exclusion: Records of Department-level awards require agency-specific schedules.	Temporary	Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0003
040	**Official Personnel Folder(OPF)/Electronic OPF (eOPF). Long-term records.** The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF. Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule. Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records. Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions. Note 2: Hardcopy original personnel folders scanned into the Enterprise Human	Temporary	Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	Resource Integration (EHRI) e-OPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.			
041	**Official Personnel Folder(OPF)/Electronic OPF (eOPF). Short-term records.** The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF. Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule. Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions. Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) e-OPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.	Temporary	Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.	DAA-GRS-2017-0007-0005
050	**Notifications of personnel actions.** Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices. Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0007-0006
060	**Employment eligibility verification records.** Employment Eligibility Verification form I-9 and any supporting documentation.	Temporary	Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	**Employee performance file system record. Acceptable performance appraisals of non-senior executive service employees.** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA. Performance records for employees as defined in 5 U.S.C. 4301(2)). Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404	Temporary	Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0008
071	**Employee performance file system record. Unacceptable performance appraisals of non-senior executive service employees.** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA**.** Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents. Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404 Performance records for employees as defined in 5 U.S.C. 4301(2)). Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404	Temporary	Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
072	**Employee performance file system record. Records of senior executive service employees.** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards. Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404	Temporary	Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0010
073	**Employee performance file system record. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA. Superseded performance records of both non-senior executive service employees and senior executive service employees. Legal citation: 5 CFR Part 293.404	Temporary	Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	**Supervisors' personnel files.** Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files. Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records. Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.	Temporary	Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	DAA-GRS-2017-0007-0012
090	**Records related to official passports. Application records.** The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government. Records related to administering the application or renewal of official passports and visas, including: • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.	Temporary	Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
091	**Records related to official passports. Official passport registers.** The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government. Registers and lists of agency personnel who have official passports. Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.	Temporary	Destroy when superseded or obsolete.	DAA-GRS-2017-0007-0014
092	**Records related to official passports. Official passports of transferred or separated agency personnel.** The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government. Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.		Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.	
100	**Volunteer service program administrative records.** Records documenting routine administration, internal procedures, and general activities, including: • general correspondence • annual reports on volunteer activities	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
110	**Volunteer Service Case Files. Case files on volunteers.** Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include: • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.	Temporary	Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0016
111	**Volunteer Service Case Files. Case files on individuals whose applications were rejected or withdrawn.** Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include: • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked Case files on individuals whose applications were rejected or withdrawn.	Temporary	Destroy when 1 year old.	DAA-GRS-2017-0007-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	**Skill set records.** Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers. Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0007-0018
2.3 Employee Relations Records				
2.3 Employee Relations Records This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Alternative Dispute Resolution (ADR) records. ADR program files.** ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s). This item refers to the program management and routine activities of offices running ADR processes. Includes: - program-related correspondence (excludes case-related correspondence) - copies of statutes, regulations - meeting minutes - final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended - copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices) - evaluation records of the ADR program - other records relating to the agency's overall administration of its ADR program.	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
011	**Alternative Dispute Resolution (ADR) records. ADR case files - Informal process.** ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s). This item includes records that are not associated with another employee dispute, complaint or grievance process. Includes: - agreements to use ADR - documentation of the settlement or discontinuance of the ADR case - parties' written evaluations of the process and/or the neutral third party mediator - correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program)	Temporary	Destroy 3 years after case is closed. Longer disposition is authorized if required for business use.	DAA-GRS-2015-0007-0002
012	**Alternative Dispute Resolution (ADR) records. ADR case files - Formal process.** ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s). This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes: - agreements to use ADR - documentation of the settlement or discontinuance of the ADR case - parties' written evaluations of the process and/or the neutral third party mediator - correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs)	Temporary	Destroy 7 years after case is closed. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Reasonable Accommodation Records. Reasonable accommodation program files.** Includes information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. Administrative records not linked to a case file. Includes: - instructions - directives - notices - timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation - reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance. - notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices.	Temporary	Destroy 3 years after being superseded. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
021	**Reasonable Accommodation Records. Reasonable accommodation employee case files.** Includes information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes: - request approvals and denials - notice of procedures for informal dispute resolution or appeal processes, including ADR processes - forms - correspondence - emails - policy guidance documents - records of oral conversations - medical records - supporting notes and documentation	Temporary	Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0005
030	**Equal Employment Opportunity (EEO) Records. EEO program files.** General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
031	**Equal Employment Opportunity (EEO) Records. EEO official discrimination complaint case files – Informal process.** Cases resolved within the agency that did not go to the formal process stage. Includes: intake sheet, summary report, notes, supporting documentation, correspondence NOTE: If a formal case is filed, all records in the prior informal case are covered by Item 032.	Temporary	Destroy 3 years after resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0007
032	**Equal Employment Opportunity (EEO) Records. EEO official discrimination complaint case files – Formal process.** Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. NOTE: This item includes all records gathered in the informal process which become the formal process case file once a **formal complaint is filed.**	Temporary	Destroy 7 years after resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0008
033	**Equal Employment Opportunity (EEO) Records. EEO case files that did not result in an EEO complaint.** Includes cases that did not result in an official formal or informal EEO complaint.	Temporary	Destroy 2 years after final resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0009
034	**Equal Employment Opportunity (EEO) Records. EEO compliance review files.** Reviews, background documents, and correspondence relating to contractor employment practices.	Temporary	Destroy when 7 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0010
035	**Equal Employment Opportunity (EEO) Records. EEO reports and employment statistics files.** Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.	Temporary	Destroy when 5 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Anti-harassment files. Anti-harassment program files.** Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason. **Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.** Includes: - program administration - correspondence - program implementation records - reports and responses to oversight agencies and senior level management Exclusion: This item does not apply to government-wide program oversight records created and received by OPM and EEOC.	Temporary	Destroy 3 years after being superseded or obsolete. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
041	**Anti-harassment files. Anti-harassment complaint case files.** Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason. Includes: - correspondence - notes - relevant forms - supporting material - background information documentation - documents relating to the agency investigation - statements of witnesses - documents relating to management's determination as to whether harassment occurred - documentation of preventive or corrective measures taken by the agency - documents of interim or intermediate measures taken by the agency - other related records Exclusion: Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.	Temporary	Destroy when 7 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Labor management relations agreement negotiation records. Office(s) responsible for negotiations.** Records relating to negotiations with labor unions. Includes: - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups	Temporary	Destroy 5 years after expiration of agreement. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0014
051	**Labor management relations agreement negotiation records. All other offices.** Records relating to negotiations with labor unions. Includes: - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2015-0007-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
052	**Labor management relations agreement negotiation records. Labor management relations arbitration records.** Records relating to negotiations with labor unions. Includes: - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups Correspondence, forms, and related records relating to labor arbitration cases.	Temporary	Destroy 5 years after final resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Administrative grievance, disciplinary, and adverse action files. Administrative grievance files.** Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes: - grievance documents (copy of original grievance submission and supporting documentation/evidence - statements of witnesses - reports of interviews and hearings - examiner's findings and recommendations - copy of the original decision - related correspondence and exhibits Note: OPM has determined that agencies may decide how long, within the range of 4 to7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.	Temporary	Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	**Administrative grievance, disciplinary, and adverse action files. Adverse action files.** Case files and records related to effected adverse actions against employees. Includes: - copy of the proposed adverse action - supporting documents - statements of witnesses - employee's reply -hearing notices - reports - decisions -appeal records - supporting documentation of letters of reprimand Exclusion: Excludes letters of reprimand which are filed in the OPF. Note: OPM has determined that agencies may decide how long, within the range of 4 to7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
062	**Administrative grievance, disciplinary, and adverse action files. Performance-based action files.** Case files and records related to performance-based actions against employees. Includes: • performance appraisal - performance improvement plan - supporting documents - copy of the proposed performance-based action - employee's reply - decision notices - hearing notices - appeal records Note: OPM has determined that agencies may decide how long, within the range of 4 to7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0023
070	**Displaced employee program files.** Includes: - program related correspondence - program implementation records - reporting and tracking files sent to oversight agencies such as OPM, and to senior level management - control files - information collected about displaced employees Exclusion: These items do not apply to the Department of Defense.	Temporary	Destroy 3 years after being superseded. Longer disposition is authorized if required for business use.	DAA-GRS-2015-0007-0019

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
071	**Displaced employee program files. Displaced employee program application records.** Includes: - applications - registrations - forms - data - other related documentation Exclusion: These items do not apply to the Department of Defense.	Temporary	Destroy when employee is no longer eligible for displaced employee programs. Longer retention is authorized for business use.	DAA-GRS-2015-0007-0020
080	**Telework/alternate worksite records. Telework/alternative worksite program files.** Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes: - correspondence - notes - policy implementation documents - form development files - planning records - program evaluation documentation - reports provided to senior management and oversight agencies such as OPM - other related records generated by the agency or by participating employees	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0021

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
081	**Telework/alternate worksite records. Forms, requests, or applications to participate in telework/alternate worksite programs.** Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes: - correspondence - notes - policy implementation documents - form development files - planning records - program evaluation documentation - reports provided to senior management and oversight agencies such as OPM - other related records generated by the agency or by participating employees	Temporary	Destroy 1 year after end of employee's participation in the program. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0022
2.4 Employee Compensation and Benefits Records				

2.4 Employee Compensation and Benefits Records
This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.** Includes: • additions to paychecks o child care subsidies o Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) o other additions • deductions from paychecks o insurance o retirement accounts (e.g. Thrift Savings Plan, my Retirement Account, etc.) o flexible spending accounts, such as medical savings and dependent care assistance o union dues o Combined Federal Campaign o garnishments (IRS form 668A—Notice of Levy—and similar records) o Treasury bond purchases o other deductions • authorizations for deposits into bank accounts • changes or corrections to previous transactions either at paying agency or payroll processor	Temporary	Destroy 2 years after employee separation or retirement, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0001
020	**Tax withholding and adjustment documents.** Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees. Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.	Temporary	Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Time and attendance records.** Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work. Legal citation: 29 U.S.C. 516.5a	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	DAA-GRS-2016-0015-0003
040	**Agency payroll record for each pay period.** Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity. Legal citation: 5 U.S.C. 8466	Temporary	Destroy when 56 years old.	DAA-GRS-2016-0015-0004
050	**Wage and tax statements.** Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents. Legal citations: Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).	Temporary	Destroy when 4 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0005
060	**Payroll Program Administrative Records. Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.** Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006
061	**Payroll Program Administrative Records. Payroll system reports providing fiscal information on agency payroll.** Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	Temporary	Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	**Donated leave program administrative records.** Records related to managing the program, including: - records of leave bank management - records of leave bank governing board award decisions - publicity and program announcements - statistical and narrative reports - similar records not linked to individual employee participation	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0008
071	**Donated leave program individual case files.** Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.	Temporary	Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0009
080	**Wage survey files.** Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Temporary	Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0010
090	**Incentive package records.** Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.	Temporary	Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but	DAA-GRS-2016-0015-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			longer retention is authorized if required for business use.	
100	**Workers' Compensation (personnel injury compensation) records. Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records. Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim.** Includes: - forms, reports, correspondence, claims - medical and investigatory records -administrative determinations or court rulings -payment records Exclusion 1: Copies filed in the Employee Medical Folder. Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.	Temporary	Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
101	**Workers' Compensation (personnel injury compensation) records. Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.** Includes: - forms, reports, correspondence, claims - medical and investigatory records -administrative determinations or court rulings -payment records Exclusion 1: Copies filed in the Employee Medical Folder. Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.	Temporary	Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0013
110	**Requests for health benefits under spouse equity. Successful applications, including those denied and successfully appealed.** Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.		Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	
111	**Requests for health benefits under spouse equity. Denied applications.**Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.	Temporary	Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	**Child care subsidy program administrative records.** Records related to managing the program, including: - determining amount of subsidy available to employees - verifying child care centers' accreditation - tracking funds disbursed to individual child care centers - publicity and program announcements - statistical and narrative reports - similar records not linked to individual employee participation	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0015
121	**Child care subsidy program individual case files.** Case files of individual employee participation in child care subsidy programs, such as: - enrollment documentation - applications and supporting documents - eligibility verification (employment, proof of income) - records of other subsidies the employee received - agreements between agencies and employees - notice of approval or denial of participation in program - child care provider information	Temporary	Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0016
130	**Transportation subsidy program administrative records.** Records related to managing the program, including: - determining subsidy amount available to employees - publicity and program announcements - records of program-wide benefit delivery and receipt - statistical and narrative reports - similar records not linked to individual employee participation	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
131	**Transportation subsidy program individual case files.** Case files of individual employee participation in transportation subsidy programs, such as: - applications and supporting documents - eligibility verification - notice of approval or denial of participation in program - participant training documentation - periodic estimates of transit expenses - record of individual benefit delivery and receipt - de-enrollment documents - settlement of outstanding debts by employee or Government when employee leaves program	Temporary	Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0018
140	**Family Medical Leave Act program administrative records.** Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation. Legal citation: 29 CFR 825.500	Temporary	Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0019

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
141	**Family Medical Leave Act program individual case files.** Includes: - employee eligibility to participate in program - eligibility notice given to employee - notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them - medical certifications - employee identification data - records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid - leave request, approval/non-approval - leave records - records of premium payments of employee benefits - records of disputes between employers and eligible employees regarding designation of leave as FMLA leave - periodic reports of employee status and intent to return to work Legal citation: 29 CFR 825.500	Temporary	Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0020
2.5 Employee Separation Records				
2.5 Employee Separation Records This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that may be contained in these files. They do not mean to convey that all of these records must be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Separation program management records.** Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends **Records not specific to an agency separation initiative.**	Temporary	Destroy when no longer required for business use.	DAA-GRS-2014-0004-0001
011	**Separation program management records.** Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends **Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.**	Temporary	Destroy when no longer required for business use.	DAA-GRS-2014-0004-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Individual employee separation case files.** Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes: • records of counseling activities and outplacement services exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use Exclusion: Records required to be filed in employee's OPF are excluded from this item	Temporary	Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-0003
030	**Records documenting capture of institutional and specialized knowledge.** Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee. Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.	Temporary	Destroy when no longer required for business use	DAA-GRS-2014-0004-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Individual employee separation records required to be placed in separating employee's OPF.** As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to: • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary		File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.	N/A
050	**Phased retirement administrative records.** Records related to managing the program, including: procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence • reports to OPM • memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations • documentation of program structure and details as uniquely instituted by agency **Exclusion:** This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.	Temporary	Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	**Phased retirement individual case files.** Case files of individual employee participation in phased retirement, such as: • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • notice of approval or disapproval • retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence Note: Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020. Exclusion: This item does not cover records held at OPM concerning staff at other agencies.	Temporary	Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.	DAA-GRS-2016-0007-0002
2.6 Employee Training Records				
2.6 Employee Training Records This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Non-mission employee training program records.** Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program: • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class, or instructor evaluations **Note:** Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.	Temporary	Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014-0001
040	**Senior Executive Service Candidate Development Program (SESCDP).** SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service. Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0014-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
041	**Senior Executive Service Candidate Development Program (SESCDP).** SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service. Case records on SESCDP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.	Temporary	Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCDP, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014- 0005
2.7 Employee Health and Safety Records				
	2.7 Employee Health and Safety Records This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS. Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees. Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.			
010	**Clinic scheduling records.** Scheduling records of clinic visits, both occupational and non-occupational. Includes: • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Occupational injury and illness program records.** Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes: • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent **Exclusion:** Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records. **Legal Citations:** 29 CFR Part 1904.33 and 29 CFR Part 1960.69.	Temporary	Destroy when 6 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0002
030	**Occupational health and safety training records.** Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures. **Exclusion 1:** Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these. **Exclusion 2**: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these. **Legal Citation:** 29 CFR Part 1910.120 App E(9)	Temporary	Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2017-0010-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Workplace environmental monitoring and exposure records. OSHA-regulated substance monitoring and exposure records.** Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan. **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citations:** 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii) **Note 1:** Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii). **Note 2:** These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.	Temporary	Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0004
041	**Workplace environmental monitoring and exposure records. Occupational noise monitoring and exposure records.** Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citations:** 29 CFR Part 1910.1020(d)(1)(ii), 29 CFR Part 1910.1020(d)(1)(iii), and 29 CFR Part 1910.95(m)(3)(i) **Note 1:** Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).	Temporary	Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.			
042	**Workplace environmental monitoring and exposure records. Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.** Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citation:** 29 CFR Part 1910.1045 App A(vi)(C) **Note 1:** Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii). **Note 2:** These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.	Temporary	Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0006
043	**Workplace environmental monitoring and exposure records. Background data.** Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data. **Legal Citation:** 29 CFR Part 1910.1020(d)(1)(ii)(A) **Note 1:** Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard	Temporary	Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii). **Note 2:** These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules. **Note 3:** Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.			
050	**Safety Data Sheets (SDS).** Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS). **Exclusion:** Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule. **Note:** Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if "some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years." Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained. **Legal citation:** 29 CFR Part 1910.1020(d)(1)(ii)(B)	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0010-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Occupational individual medical case files. Long-term records.** These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes: • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records **Note 1:** While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504) **Note 2:** For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions. **Note 3:** For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions. **Note 4:** For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy. **Legal Citations:** 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii). **Exclusion 1:** Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101. **Exclusion 2**: Individual non-occupational medical records are covered by item 070.	Temporary	Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.	DAA-GRS-2017-0010-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	**Occupational individual medical case files. Short-term records.** These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes: • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records **Note:** For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy. **Exclusion:** Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.	Temporary	Destroy 1 year after employee separation or transfer.	DAA-GRS-2017-0010-0010
062	**Occupational individual medical case files. Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.** These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes: • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records **Note:** For those entities subject to OPM's requirements, OPM determines which of	Temporary	Destroy 60 years after retirement to the NARA records storage facility.	DAA-GRS-2017-0010-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy. **Exclusion**: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.			
070	**Non-occupational individual medical case files.** Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E. **Legal Citations:** American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.	Temporary	Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0012
080	**Non-occupational health and wellness program records.** Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes: • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs	Temporary	Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
090	**Employee Assistance Program (EAP) counseling records. Records related to employee performance or conduct.** Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of: • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions • illegal drug or alcohol use • test results for use of illegal drugs • test results for alcohol consumption on the job • substance abuse assessment, treatment, aftercare, and monitoring records **Note:** GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.	Temporary	Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.	DAA-GRS-2017-0010-0014
091	**Employee Assistance Program (EAP) counseling records. Records not related to performance or conduct.** Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes: • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions	Temporary	Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is	DAA-GRS-2017-0010-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes		authorized if needed for business use.	
100	**Employee drug test plans, procedures, and scheduling records.** Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes: • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules **Exclusion 1**: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules. **Exclusion 2:** Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records. **Exclusion 3:** Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.	Temporary	Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016
110	**Employee drug test acknowledgment of notice forms.** Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.	Temporary	Destroy when employee separates from testing-designated position.	DAA-GRS-2017-0010-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	**Employee drug testing specimen records.** Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.	Temporary	Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018
130	**Employee drug test results. Positive results.** Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. **Exclusion:** Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Temporary	Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019
131	**Employee drug test results. Negative results.** Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. **Exclusion:** Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Temporary	Destroy when 3 years old.	DAA-GRS-2017-0010-0020

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
2.8 Employee Ethics Records				
	2.8 Employee Ethics Records This schedule covers records documenting the activities of executive branch agency ethics program offices. Records not covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs. Lists not included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, Tracking and Control Records. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For ethics training records, see GRS 2.6, Employee Training Records.			
010	**General ethics program records.** Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes: • Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. • Determinations, including advice and counseling to individual employees, and supporting records. • Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.	Temporary	Destroy years 6 following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.** Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.	Temporary	Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0002
030	**Reports of payments accepted from non-federal sources.** **Agency reports.** Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.	Temporary	Destroy 3 years following submission of the report to OGE, but longer retention is authorized if	DAA-GRS-2014-0005-0003
031	**Reports of payments accepted from non-Federal sources.** **Supporting documentation.** Documentation, such as statements and forms, used to complete the submitted reports.	Temporary	Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use	DAA-GRS-2014-0005-0004
040	**Office of Government Ethics program questionnaire records.** Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.	Temporary	Destroy 3 years after submission, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Ethics program review records.** Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.	Temporary	Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0006
060	**Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records. **Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.** Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603	Temporary	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	**Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278 (formerly SF 278), OGE Form 278e, and related records. **All other reports.** Legal Citation: 5 U.S.C. app. section 105, 5 CFR part 2634.603	Temporary	Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0008
062	**Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records. **Periodic transaction reports.** OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records. Legal Citation: STOCK Act, Pub. L. 112-105	Temporary	Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
063	**Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records. **Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).** Legal Citation: 5 U.S.C. app. section 105(b)(2)	Temporary	Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0010
070	**Confidential financial disclosure reports.** Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records. Reports for individuals not subsequently confirmed by the U.S. Senate. Legal Citation: 5 CFR 2634.604	Temporary	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
071	**Confidential financial disclosure reports.** Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records. All other reports. Legal Citation: 5 CFR 2634.604	Temporary	Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0012
072	**Confidential financial disclosure reports.** Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records. OGE Optional Form 450-A reports. Legal Citation: 5 CFR 2634.604, 5 CFR 2634.905 Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The "supporting OGE Form 450" cannot be destroyed until the last OGE Form 450-A report is ready for destruction.	Temporary	Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	**Alternative or additional financial disclosure reports and related records.** Reports for individuals not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105	Temporary	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0014
081	**Alternative or additional financial disclosure reports and related records.** All other reports. Legal Citation: 5 U.S.C. app. section 105	Temporary	Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0015
090	**Financial disclosure supporting documentation.** Supporting documentation used to review and verify the filer's report submission. Includes records such as: • reviewer's notes • background research reports • memorialized verbal comments of filer in response to reviewer questions	Temporary	Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.	DAA-GRS-2014-0005-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	**Ethics agreements records.** Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications Note: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): Prescribing Standards of Ethical Conduct for Government Officers and Employees. **Agreements for employees who do not file financial disclosure reports.**	Temporary	Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0017
101	**Ethics agreements records.** Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications Note: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): Prescribing Standards of Ethical Conduct for Government Officers and Employees. **Agreements for employees who file financial disclosure reports.**	Temporary	Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
3.0 Technology				
3.1 General Technology Management Records				
	3.1 General Technology Management Records GRS Item Records Title/Description Disposition Instruction Disposition Authority This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards. This schedule does not apply to system data or content. This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming. There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records. Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.			
001	**Technology management administrative records**. Records on day-to-day, routine information technology management. Records include: • correspondence • subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making • data calls • operational and managerial guidance to organizational segments of the agency Exclusion: This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.	Temporary	Destroy when 5 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Information technology development project records.** **Infrastructure project records.** Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as: • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. Includes records such as: • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation **Exclusion:** Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA. Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.	Temporary	Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
011	**Information technology development project records.** **System development records.** These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as: • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o Security Plan o Information Protection Plan • change control records • Project Schedule **Exclusion**: This item does not apply to system data or content. Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records. Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.	Temporary	Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
012	**Information technology development project records.** **Special purpose computer programs and applications.** Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA- approved records schedule. Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission- related function. Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.		Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Information technology operations and maintenance records.** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as: • files identifying IT facilities and sites • files concerning implementation of IT facility and site management equipment support services provided to specific sites: o reviews o Site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations o measures of benchmarks o performance indicators o critical success factors o error and exception reporting o self-assessments o performance monitoring o management reports • website administration o frames	Temporary	Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	o templates o style sheets o site maps o codes that determine site architecture o change requests o site posting logs o clearance records o requests for correction of incorrect links or content posted o requests for removal of duplicate information o user logs o search engine logs o audit logs • records to allocate charges and track payment for software and services **Note 1:** If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2:** Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Configuration and Change Management Records.** Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. Note 2: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	Temporary	Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Information technology oversight and compliance records.** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • make vs. buy analysis • reports on implementation of plans • compliance reviews • data measuring or estimating impact and compliance Note: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.	Temporary	Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use	DAA-GRS-2013-0005-0010

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Data administration records.** Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information. **Documentation necessary for preservation of permanent electronic records.** Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	Permanent	Transfer to the National Archives with the permanent electronic records to which the documentation relates.	DAA-GRS-2013-0005-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	**Data administration records.** Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information. **All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.** Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications and also the following records for all electronic records whether scheduled as temporary or permanent • software operating manuals • table and dependency descriptions • schemas • source code • data standards • taxonomies • registries • physical data model • logical data model	Temporary	Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention	DAA-GRS-2013-0005-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
3.2 Information Systems Security Records				
3.2 Information Systems Security Records This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents. This schedule does not apply to system data or content.				
010	**Systems and data security records.** These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as: • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data	Temporary	Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.	DAA-GRS-2013-0006-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	Computer security incident handling, reporting and follow-up records. A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as: • reporting forms • reporting tools • narrative reports • background documentation Note: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.	Temporary	Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**System access records.** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use **Exclusion 1.** Excludes records relating to electronic signatures. **Exclusion 2**. Does not include monitoring for agency mission activities such as law enforcement. **Systems not requiring special accountability for access.** These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0006-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
031	**System access records.** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use **Exclusion 1.** Excludes records relating to electronic signatures. **Exclusion 2**. Does not include monitoring for agency mission activities such as law enforcement. **Systems requiring special accountability for access.** These are user identification records associated with systems which are highly sensitive and potentially vulnerable.	Temporary	Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0004
040	**System backups and tape library records.** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data. **Incremental backup files.**	Temporary	Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005
041	**System backups and tape library records.** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data. **Full backup files.**	Temporary	Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Backups of master files and databases.** Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased. File identical to permanent records scheduled for transfer to the National Archives.	Temporary	Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0007
051	**Backups of master files and databases.** Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased. File identical to temporary records authorized for destruction by a NARA-approved records schedule.	Temporary	Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**PKI administrative records.** Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software. **Note:** Select PKI administrative records serve as transaction records that must be	Temporary	Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3, item 13a1

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction. **FBCA CAs.**			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	**PKI administrative records.** Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software. **Note:** Select PKI administrative records serve as transaction records that must be	Temporary	Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3 , item 13a2

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction. **Other (non-FBCA et. al.) CAs.**			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
062	**PKI transaction-specific records.** Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records. **Note:** Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.	Temporary	Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.	N1-GRS-07-3, item 13b
4.0 Information Management				
4.1 Records Management				
4.1 Records Management Records This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Tracking and control records.** Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes: • indexes • lists • registers • inventories • logs **Exclusion 1**: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records. Exclusion 2: This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.	Temporary	Destroy when no longer needed.	DAA-GRS-2013-0002-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Records management program records.** Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include: • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys • scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects Records include: • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States **Exclusion:** This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.	Temporary	Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Vital or essential records program records.** Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests	Temporary	Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0008
031	**Copies of vital records.** Copies of agency records deemed essential to restore agency functions in case of emergency.	Temporary	Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	**Forms management records.** Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications	Temporary	Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0009
4.2 Information Access and Protection Records				
4.2 Information Access and Protection Records This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
001	**FOIA, Privacy Act, and classified documents administrative records.** Records on managing information access and protection activities. Records include: • correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents • associated subject files • feeder and statistical reports Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0003
010	**General information request files**. Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Access and disclosure request files.** Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by: • granting the request in full • granting the request in part • denying the request for any reason including: o inability to fulfill request because records do not exist o inability to fulfill request because request inadequately describes records o inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file. Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed	Temporary	Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0001
030	**Information access and protection operational records.** **Information access and protection tracking and control records.** Includes: • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files	Temporary	Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is	DAA-GRS-2016-0002-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			appropriate. Longer retention is authorized if required for business use.	
031	**Information access and protection operational records.** **Access control records.** Includes: • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers	Temporary	Destroy when superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0020
032	**Information access and protection operational records.** **Records relating to classified or controlled unclassified document containers.** Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702. Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.	Temporary	Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.** Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes: • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files	Temporary	Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0004
050	**Privacy Act accounting of disclosure files.** Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes: • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent		Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.	NC1-64-77-1 item 27

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Erroneous release records.** Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes: • requests for information • copies of replies • all related supporting documents May include: • official copy of records requested or copies **Records filed with the record-keeping copy of the erroneously released records.**	Temporary	Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.	DAA-GRS-2015-0002-0001
061	**Erroneous release records.** Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes: • requests for information • copies of replies • all related supporting documents May include: • official copy of records requested or copies **Records filed separately from the record-keeping copy of the released records.**	Temporary	Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
070	**Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.** Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.	Temporary	Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	**Legal and regulatory compliance reporting records.** Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101. **Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.** Legal citation: OMB M-07-16.	Temporary	Destroy 5 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0022
081	**Legal and regulatory compliance reporting records.** Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101. **All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).**	Temporary	Destroy 2 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0023
090	**Privacy Act amendment request files.** Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes: • requests to amend and to review refusal to amend • copies of agency's replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials	Temporary	Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	**Automatic and systematic declassification review program records.** Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.	Temporary	Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0008
110	**Fundamental classification guidance review files.** Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).	Temporary	Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0011
120	**Classified information nondisclosure agreements.** Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification. **Records maintained in the individual's official personnel folder.**		Apply the disposition for the official personnel folder.	N/A
121	**Classified information nondisclosure agreements.** Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification. **Records maintained separately from the individual's official personnel folder.** Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).	Temporary	Destroy when 50 years old.	DAA-GRS-2015-0002-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
130	**Personally identifiable information extracts.** System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information. Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."	Temporary	Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.	DAA-GRS-2013-0007-0012
140	**Personally identifiable information extract logs.** Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0007-0013
150	**Privacy Act System of Records Notices (SORNs).** Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).	Temporary	Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0002
160	**Records analyzing Personally Identifiable Information (PII).** Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products. **Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).** Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).	Temporary	Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
161	**Records analyzing Personally Identifiable Information (PII).** Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products. **Records of Privacy Impact Assessments (PIAs).**	Temporary	Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0004
170	**Computer matching program notices and agreements.** Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.	Temporary	Temporary. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
180	**Virtual public access library records.** Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes: • final concurring and dissenting opinions and orders agencies issue when adjudicating cases • statements of policy and interpretations the agency adopts but does not publish in the Federal Register • administrative staff manuals and instructions to staff that affect a member of the public • copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times • indexes of agency major information systems • descriptions of agency major information and record locator systems • handbooks for obtaining various types and categories of agency public information Exclusion: This item refers only to copies an agency publishes on line for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it. **Not media neutral. Applies to electronic records only.**	Temporary	Destroy when no longer needed.	DAA-GRS-2016-0008-0001
4.4 Library Records				

4.4 Library Records
Agency library and information centers collect material related to their agency's mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library's administration and daily operations. This schedule does not cover non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Library administrative records.** Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as: • strategic plans, project plans • policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • promotional material describing library services and resources • correspondence and records on library staffing and relations with other libraries • quick guides to library databases and resources , topical or customized reading lists, and bibliographies Note: For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.	Temporary	Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.	DAA-GRS-2015-0003-0001
020	**Library operations records.** Records documenting the daily activities of running a library. Includes: • reference inquiries and responses • correspondence and records about normal cataloging, circulation, and document delivery activities • visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms • photocopying and digitization requests	Temporary	Destroy when business use ceases.	DAA-GRS-2015-0003-0002
030	**Inter Library-Loan (ILL) requests.**	Temporary	Destroy 5 years after completing the transaction.	DAA-GRS-2015-0003-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.0 General Operations Support				
5.1 Common Office Records				
	5.1 Common Office Records This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials. This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here. This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Administrative records maintained in any agency office.** Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists, excluding records scheduled elsewhere in the GRS such as timekeeping and procurement. Records include: - staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1) - office-level administrative policies and procedures and files related to their development (see Note 1) -calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level) - informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182) - internal office activity and workload reports - studies and analyses of office administrative functions and activities - non-mission related management reviews and surveys - minutes of meetings related to administrative activities Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule. Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.	Temporary	Destroy when business use ceases.	DAA-GRS-2016-0016-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Non-recordkeeping copies of electronic records.** Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records. Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.	Temporary	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.	DAA-GRS-2016-0016-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Records of non-mission related internal agency committees**. Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include: -meeting minutes, summaries, agendas, and transcripts - reports and studies - membership records - correspondence, mailing, and distribution records Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records. Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.	Temporary	Destroy when business use ceases.	DAA-GRS-2016-0016-0003
5.2 Transitory and Intermediary Records				
5.2 Transitory and Intermediary Records This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes. Note that this schedule does not cover original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled and that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as "input records."			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Transitory records.** Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to: - messages coordinating schedules, appointments, and events - transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments - received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees - messages received from agency distribution lists or listservs - "to-do" or task lists and assignments	Temporary	Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.	DAA-GRS-2017-0003-0001
020	**Intermediary records.** Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include: • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials. • audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • dictation recordings • input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1) o electronic input source records such as transaction files or intermediate input/output files • ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report • data files output from electronic systems, created for the purpose of information sharing or	Temporary	Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.	DAA-GRS-2017-0003-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	reference (see Exclusion 2) Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them. Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule): - files created only for public access purposes - summarized information from unscheduled electronic records or inaccessible permanent records - data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original - data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012) Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record. Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.3 Continuity and Emergency Planning Records				
	5.3 Continuity and Emergency Planning Records This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed. This schedule does not include the following: • external emergency planning records related to providing emergency response and recovery services to the public • records related to high-level Government-wide Continuity of Government (COG) planning • emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes records related to a national disaster or incident response These records may be of permanent value and must be scheduled on an agency-specific records schedule.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Continuity planning and related emergency planning files.** Records may include: **• records on continuity and emergency planning administrative and operational activities:** o briefing materials and presentations o status reports o informational papers o files documenting policy or plan development, including policy studies o procedures, operational manuals, and related development records o implementation guidance o related correspondence o Memorandum (s) of Understanding (MOU) o Delegations of Authority/Orders of Succession **• continuity plans or directives and supporting documentation, including but not limited to:** o Continuity of Operations (COOP) plans o Devolution Plans o Occupant Emergency Plans (OEP) o Emergency Action Plans (EAP) o Facility Emergency Action Plans (FEAPS) o Records Emergency Plans (REMT) o Disaster Recovery Plans (DRP) o Pandemic Influenza Plans **• records on continuity or emergency tests or exercises, such as:** o instructions to members participating in tests o staffing assignments o records of tests of communications and facilities **• evaluative reports on continuity or emergency tests or exercises, such as:** o result reports o readiness reports o risk and vulnerability assessments o site evaluations and inspections o corrective action plans	Temporary	Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2016-0004-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	o after action reports/improvement plans **Note 1:** Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records. **Note 2:** Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1. **Exclusion 1:** This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA. **Exclusion 2:** This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records. **Exclusion 3:** This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Employee emergency contact information.** Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation. **Exclusion:** This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).	Temporary	Destroy when superseded or obsolete, or upon separation or transfer of employee.	DAA-GRS-2016-0004-0002
5.4 Facility, Equipment, Vehicle, Property, and Supply Records				
5.4 Facility, Equipment, Vehicle, Property, and Supply Records This schedule covers records Federal agencies create and receive while managing, operating, and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Facility, space, vehicle, equipment, stock, and supply administrative and operational records.** Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence **Exclusion 1:** Records of aircraft operations (item 110 in this schedule covers these). **Exclusion 2:** Records of supply and property procurement (GRS 1.1, item 010 covers these). **Exclusion 3:** Requisition and supply records of the General Services Administration's GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies' mission so they must schedule the records separately).	Temporary	Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0001
020	**Real property ownership records.** Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise. **Exclusion 1:** Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately). **Exclusion 2:** Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).		Transfer to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens.	DAA-GRS-2016-0011-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Vehicle and equipment ownership records and operation manuals.** Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.	Temporary	Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate.	DAA-GRS-2016-0011-0003
040	**Excess personal property, equipment, and vehicle records.** Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes: • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence **Exclusion:** Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0004
060	**Facility design, engineering, and construction operations records.** Records documenting operational support of facility design, engineering, and construction projects. Includes: • project requests and approvals • meeting agendas, minutes, and other records • budget and cost working files • task, punch, and action item lists • work logs • progress reports and presentation materials • related correspondence and notes	Temporary	Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	**Facility, space, and equipment inspection, maintenance, and service records. Records documenting facility structure and long-term maintenance.** Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes: • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules Note: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance. Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0008
071	**Facility, space, and equipment inspection, maintenance, and service records. Records tracking completion of custodial and minor repair work.** Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes: • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules Note: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance. Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0009
080	Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:	Temporary	Destroy 3 years after lease termination, lapse, reassignment, rejection of application,	DAA-GRS-2016-0011-0010

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			cancellation of lease, or conclusion of litigation, as applicable.	
090	Land vehicle and water vessel inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes: • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.	DAA-GRS-2016-0011-0011
110	Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records. Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).	Temporary	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.	DAA-GRS-2016-0011-0014
140	Vehicle and vessel accident and incident records. Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including: • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • copies of investigative reports (see Exclusion for original investigative reports)	Temporary	Destroy 3 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.5 Mail, Printing, and Telecommunication Service Management Records				
5.5 Mail, Printing, and Telecommunication Service Management Records This schedule covers records related to: • organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service • administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies • administering printing/binding/duplicating services This schedule specifically excludes certain records from coverage: • objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content) • records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010) • information technology (IT) records (covered under GRS 3.1) • unique agency publications produced by a printing service (the publishing agency must schedule these records) • records documenting agency programs that provide printing services (e.g. the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (e.g. the Armed Forces Radio and Television Service) (those agencies must schedule these records)			
010	Mail, printing, and telecommunication services administrative and operational records. Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes: • agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use • records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment • telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data • records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs related correspondence Exclusion: Agreements used to support payment vouchers (GRS 1.1, item 010 covers these)	Temporary	Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Mail, printing, and telecommunication services control records.** Records of general day-to-day communication service administration and specific transmission tracking. Includes: • records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment • records that document requisitioning and receiving stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger • staff and office directories the agency uses to ensure correct mail and package delivery • printing requisitions, work orders, samples, manuscript clearances, and related documents • mailing and contact lists a mailroom or similar office manages • telephone message registers and logs Exclusion 1: United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately. Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these) Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)	Temporary	Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0002
030	**Metered mail records.** Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.	Temporary	Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Lost, destroyed, or damaged shipment records.** Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.	Temporary	Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0004
5.6 Security Records				
5.6 Security Records This schedule covers records about protecting an organization's personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection. Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers. Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.			
010	**Security administrative records.** Records about routine facility security, protective services, and personnel security program administration. Includes: • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0001
020	**Key and card access accountability records. Areas requiring highest level security awareness.** Records accounting for keys and electronic access cards. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary	Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002
021	**Key and card access accountability records. All other facility security areas.** Records accounting for keys and electronic access cards. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary	Destroy 6 months after return of key, but longer retention is	DAA-GRS-2017-0006-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			authorized if required for business use.	
030	**Uniform and equipment tracking records.** Records tracking uniforms and equipment issued to security personnel, including: • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys	Temporary	Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0004
040	**Property pass records.** Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.	Temporary	Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0005
050	**Records of credit card abuse and postal irregularities.** Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes: • postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail • semi-annual reports on Government charge card violations Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.	Temporary	Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Unclaimed personal property records. Records for property valued over $500.** Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes: • lost-and-found logs and release forms • loss statements • receipts • reports Legal Citation: 41 CFR 102-41.130	Temporary	Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0007
061	**Unclaimed personal property records. Records for property valued at $500 or less.** Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes: • lost-and-found logs and release forms • loss statements • receipts • reports Legal citation: 41 CFR 102-41.130	Temporary	Destroy 30 days after the property is found, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0008
070	**Interagency Security Committee member records.** Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes: • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained	Temporary	Destroy when 10 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.			
080	**Facility security assessment records. Areas requiring highest level security awareness.** Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes: • facility notes • inspector notes and reports • vulnerability assessments Includes areas designated by the Interagency Security Committee as Facility Security Level V. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary	Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0010
081	**Facility security assessment records. All other facility security areas**. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes: • facility notes • inspector notes and reports • vulnerability assessments Includes areas designated by the Interagency Security Committee as Facility Security Level V. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary	Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
090	**Records of routine security operations.** Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes: • control center key or code records • registers of patrol and alarm services • service reports on interruptions and tests • emergency alarm contact call lists • temporary identification cards • correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date • round and perimeter check reports, including facility patrol tour data • surveillance records o recordings of protective mobile radio transmissions o video surveillance recordings o closed circuit television (CCTV) records • door slip summaries Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules. Note: Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.	Temporary	Destroy when 30 days old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	**Accident and incident records**. Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes: • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information Exclusion 1: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules. Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records. Exclusion 3: Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.	Temporary	Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.	DAA-GRS-2017-0006-0013
110	**Visitor processing records. Areas requiring highest level security awareness.** Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers. Includes areas designated by the Interagency Security Committee as Facility Security Level V. Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary	Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
111	**Visitor processing records. All other facility security areas.** Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV. Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0015
120	**Personal identification credentials and cards. Application and activation records.** Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes: • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules. Note: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.	Temporary	Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
121	**Personal identification credentials and cards. Cards.** Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.	Temporary	Destroy after expiration, confiscation, or return	DAA-GRS-2017-0006-0017
130	**Local facility identification and card access records.** Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes: • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits	Temporary	Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
140	**Sensitive Compartmented Information Facility (SCIF) accreditation records.** Physical security plans for SCIF construction, expansion, or modification. Includes: • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist	Temporary	Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0019
150	**Sensitive Compartmented Information Facility (SCIF) inspection records.** Inspection records required by Intelligence Community Directive (ICD) 705. Includes: • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals	Temporary	Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0020
160	**Canine (K-9) service records.** Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes: • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records • deficiencies/remedies • training courses taken and resulting grades and certifications • initial report of positive detections and bite incidents • end-of-service documentation (through retirement or death)	Temporary	Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0021

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
170	**Personnel security investigative reports. Personnel suitability and eligibility investigative reports.** Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	Temporary	Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022
171	**Personnel security investigative reports. Reports and records created by agencies conducting investigations under delegated investigative authority.** Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	Temporary	Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	**Personnel security and access clearance records. Records of people not issued clearances.** Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination Includes case files of applicants not hired. Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170 and 171.	Temporary	Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
181	**Personnel security and access clearance records. Records of people issued clearances.** Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170 and 171.Exclusion: Copies of investigative reports covered in items 170 and 171.	Temporary	Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0025
190	**Index to the personnel security case files.** Lists or reports showing the current security clearance status of individuals.	Temporary	Destroy when superseded or obsolete.	DAA-GRS-2017-0006-0026
200	**Information security violations records.** Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products. Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records. Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.	Temporary	Destroy 5 years after close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0027

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
210	**Insider threat administrative and operations records.** Records about insider threat program and program activities. Includes: • correspondence related to data gathering • briefing materials and presentations • status reports • procedures, operational manuals, and related development records • implementation guidance • periodic inventory of all information, files, and systems owned • plans or directives and supporting documentation, such as: o independent and self-assessments o corrective action plans o evaluative reports Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.	Temporary	Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0028
220	**Insider threat inquiry records.** Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets. Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.	Temporary	Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0029

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
230	**Insider threat information.** Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to: **Counterintelligence and security information** o personnel security files o polygraph examination reports o facility access records, including visitor records o security violation files o travel records o foreign contact reports o financial disclosure filings o referral records o intelligence records • **Information assurance information** o personnel usernames and aliases o levels of network access o levels of physical access o enterprise audit data which is user attributable o unauthorized use of removable media o print logs • **Human resources information** o personnel files o payroll and voucher files o outside work and activities requests o disciplinary files o personal contact records o medical records/data • Investigatory and law enforcement information o statements of complainants, informants, suspects, and witnesses o agency, bureau, or department data • **Public information** o court records o private industry data o personal biographical and identification data, including U.S. Government name check	Temporary	Destroy when 25 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0030

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	data o generic open source and social media data Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
240	User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to: • identify and evaluate anomalous activity involving National Security Systems (NSS) • identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders • support authorized inquiries and investigations Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules. Legal authority: CNSSD No. 504, 4 February 2014	Temporary	Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0031
5.7 Agency Accountability Records				
5.7 Agency Accountability Records This schedule covers records agencies create in three areas of accountability: • Internal controls implementing various Office of Management and Budget (OMB) management directives, assessing risks, assuring compliance, and correcting issues, • Mandatory reporting on administrative functions to external entities, and Interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction.				
010	**Internal administrative accountability and operational management control records.** Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes: • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports	Temporary	Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) • records tracking assignments, tasks, and responsibilities • administrative correspondence **Exclusion 1:** Reports related to agency mission activities (agencies schedule these separately). **Exclusion 2:** Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately). **Exclusion 3:** Reports that mandating agencies receive (these agencies must schedule them separately).			
020	**Internal control review, response, and mitigation management records.** Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions. **Exclusion:** Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).	Temporary	Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0002
030	**Administrative directives and notices.** Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development. **Exclusion**: Documents related to mission activities (agencies schedule these separately).	Temporary	Destroy when superseded, obsolete, or no longer needed for business, whichever is later.	DAA-GRS-2017-0008-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Records about authorizing and managing report requirements and parameters.** Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.	Temporary	Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0004
050	**Mandatory reports to external Federal entities regarding administrative matters.** Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements and the FAIR Act. Examples include: • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • Statement of Assurance (per FMFIA), or equivalent • Information Collection Budget • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) • service organization auditor report, or equivalent • annual strategic review • identified material weaknesses and corrective actions report • improper payments report • premium class travel report • report on property provided to nonfederal recipients, schools, and nonprofit educational institutions • feeder reports to the Status of Telework in the Federal Government Report to Congress	Temporary	Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• feeder reports to GSA fleet reports • E-Government status and compliance report (per PRA) Includes ancillary records such as: • background and research records • submission packets and compilations • related files **Exclusion 1**: Oversight entities mandating the reports must separately schedule reports they receive. **Exclusion 2**: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080 covers these).			
060	**Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.** Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof. **Exclusion 1**: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately). **Exclusion 2**: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).	Temporary	Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.8 Administrative Help Desk Records				
	5.8 Administrative Help Desk Records This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments. If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply. For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.			
010	**Technical and administrative help desk operational records.** • records of incoming requests (and responses) made by phone, email, web portal, etc. • trouble tickets and tracking logs • quick guides and "Frequently Asked Questions" (FAQs) • evaluations and feedback about help desk services • analysis and reports generated from customer management data • customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports Exclusion: Public customer service records scheduled under GRS 6.5.	Temporary	Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.	DAA-GRS-2017-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.0 Mission Support				
6.1 Email Managed under a Capstone Approach				
6.1 Email Managed Under a Capstone Approach Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. NARA Form 1005, Verification for implementing GRS 6.1				
010	**Email of Capstone Officials.** Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), Verification for Implementing GRS 6.1. NOTE: NIH Guidance on Implementation of the Capstone Approach is forthcoming.	Permanent	Cutoff of email by employee tenure. Transfer to NARA when 15 years old.	DAA-GRS 6.1-0443-2017-0001
011	**Email of Non-Capstone officials.** Email of all other officials, staff, and contractors not included in GRS 6.1 Item 010. Not media neutral; applies to records managed in an electronic format only. NOTE: NIH Guidance on Implementation of the Capstone Approach is forthcoming.	Temporary	Delete when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2014-0001-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.2 Federal Advisory Committee Records				
	6.2 Federal Advisory Committee Records This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments. If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply. For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Substantive Committee Records (Non-Grant Review Committees)** **Exclusion:** This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include: • **records related to the establishment of the committee:** o charters (original, renewal, re-establishment, and amended) o enacting legislation o explanation of committee need, when required o filing letters to Congress o organization charts o committee specific bylaws, standard operating procedures, or guidelines o any other materials that document the organization and functions of the committee and its components • **records related to committee membership:** o memos or similar documentation of how and/or why individual members were selected o membership balance plans o membership rosters o appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc. o Resignation or termination letters • **records of committee meetings and hearings:** o agency head's determination that a meeting or portion of a meeting may be closed to the public o agendas o materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations o meeting minutes o public comments o testimony received during hearings	Permanent	Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	o transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020) • **records related to committee findings and recommendations:** o one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee o responses from agency to committee regarding recommendations o committee presentations or briefings of findings • **records created by committee members:** o correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Substantive Committee Records (Non-Grant Review Committees)** **Exclusion:** This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include: • **records related to research collected or created by the committee:** o records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data) o raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies • **documentation of advisory committee subcommittees (i.e., working groups, or other subgroups):** o records relating to the formation of the subcommittee or working group, if they exist § decision documents § membership § statement of purpose or other documentation of duties and responsibilities o records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to: § meeting minutes § transcripts § reports § briefing materials § substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer) § background materials • **records related to committee termination (i.e., email, letter, memo, etc.).** • other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. **Note:** Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of	Permanent	Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).			
020	**Substantive Audiovisual Records (Non-Grant Review Committees)** Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records include: • audiotapes, videotapes, and/or other recordings of meetings and hearings not fully	Permanent	Transfer when records are 3 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	transcribed • captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings • posters (2 copies) produced by or for the committee			
030	**Grant Review Committee Records** Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials. Note: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.	Temporary	Destroy upon termination of committee.	DAA-GRS-2015-0001-0003
040	**Committee Accountability Records** Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include: • travel costs • committee member payments • meeting room costs • contractor costs • Federal Register notice costs **Exclusion:** Forms filed under the Ethics in Government Act (see note). **Note:** Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).	Temporary	Destroy when 6 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0001-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	**Non-substantive Committee Records** Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere. • drafts and copies of Federal Register notices • audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • photographs of committee social functions, routine award events, and other non-mission-related activities • records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc. • routine correspondence: o correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues) o public requests for information • Non-substantive committee membership records, including: o Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee o Member credentials (resumes or biographies) o Member files (personnel-type records) • Non-substantive web content **Note 1:** Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative. **Note 2:** Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 5.1, item 020.	Temporary	Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.	DAA-GRS-2015-0001-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	**Committee Management Records** Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include: • agency guidelines • correspondence • requests for approval of committee nominees • copies of records about committees maintained for reporting purposes, such as: o information provided to GSA Secretariat for annual comprehensive reviews o statistical data files and reports o annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act o financial operating plans and final cost accountings **Note:** This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.	Temporary	Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2015-0001-0006
6.3 Information Technology Records				
6.3 Information Technology Records This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest. Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Information Technology program and capital investment planning records.** Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes: • strategic and tactical plans • records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications • records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities • reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting • portfolio management records, including clearance and review • Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions • business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets **Exclusion 1:** Policy records generated by the CIO (agencies must schedule these separately). **Exclusion 2:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately). **Exclusion 3:** System data or content (agencies must schedule these separately). **Exclusion 4:** Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these). **Exclusion 5:** Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).	Temporary	Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0009-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Enterprise architecture records.** Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives. **Exclusion:** Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).	Temporary	Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use.	DAA-GRS-2017-0009-0002
6.4 Public Affairs Records				
6.4 Public Affairs Records This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest. Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.				
010	**Public affairs-related routine operational records.** Records related to the routine, day-to-day administration of public affairs activities, including but not limited to: • logistics, planning, and correspondence records for routine conferences and events • correspondence and records on speakers and speaking engagements, including biographies • case files and databases of public comments (related to public affairs activities only)	Temporary	Destroy when 3 years old, or no longer needed, whichever is later.	DAA-GRS-2016-0005-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	**Public correspondence and communications not requiring formal action.** Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes: • comments the agency receives but does not act upon or that do not require a response, such as: o write-in campaigns o personal opinions on current events or personal experiences o routine complaints or commendations o anonymous communications o suggestion box comments o public correspondence addressed to another entity and copied to the agency or that the agency receives in error o comments posted by the public on an agency website that do not require response or that the agency does not collect for further use • communications from the public that the agency responds to but takes no formal action on • agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting **Note 1:** For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010. **Note 2:** The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials. **Exclusion 1:** Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file. **Exclusion 2**: Public comments that the agency takes action on or uses to take action are not covered by this GRS.	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0005-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	**Public affairs product production files.** Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to: • news clippings • marketing research • copies of records used for reference in preparing products • research notes • printers galleys • drafts and working copies (see Exclusion 3) • preparatory or preliminary artwork or graphics • bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4) • clearances related to release of products (see Exclusion 5 and 6) **Note:** Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item. **Exclusion 1**: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule. **Exclusion 2:** This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule. **Exclusion 3:** This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations. **Exclusion 4:** This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications. **Exclusion 5**: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule. **Exclusion 6**: This item does not cover clearances for release of information related to declassification review.	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0005-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Routine media relations records.** Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as: • requests and responses for interviews • requests and responses for information or assistance for media stories • daily or spot news recordings or videos available to local radio and TV stations • notices or announcements of media events • public service announcements • copies or articles created by the agency for publication in news media **Exclusion:** Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0005-0004
050	**Routine audiovisual records.** Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. **Note:** Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.	Temporary	Destroy when 2 years old but longer retention is authorized if required for business use.	DAA-GRS-2016-0005-0006
6.5 Public Customer Service Records				
6.5 Public Customer Service Records This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll free numbers), dialogue (via chat), and email.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	**Public customer service operations records.** Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes: • incoming requests and responses • trouble tickets and tracking logs • recordings of call center phone conversations with customers used for quality control and customer service training • system data, including customer ticket numbers and visit tracking • evaluations and feedback about customer services • information about customer services, such as "Frequently Asked Questions" (FAQs) and user guides • reports generated from customer management data • complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports. Exclusion 1: Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency specific schedule. Exclusion 2: Reports that recommend changes or revisions to an agency's customer service operation; agencies must schedule these records on an agency-specific schedule.	Temporary	Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.	DAA-GRS-2017-0002-0001
020	**Customer/client records.** Distribution lists used by an agency to deliver specific goods or services. Records include: • contact information for customers or clients • subscription databases for distributing information such as publications and data sets produced by the agency • files and databases related to constituent and community outreach or relations • sign-up, request, and opt-out forms	Temporary	Delete when superseded, obsolete, or when customer requests the agency to remove the records.	DAA-GRS-2017-0002-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.6 Rulemaking Records				
	6.6 Rulemaking Records Rulemaking is defined by the Administrative Procedure Act (APA) as the "agency process for formulating, amending, or repealing a rule" (5 U.S.C. 551(5)). This process results in the agency issuing a final regulation, which it publishes in the Federal Register and codifies in the Code of Federal Regulations. This schedule covers certain records created in that process. It also covers records documenting public notices that do not relate to rules and regulations but that agencies disseminate via publication in the Federal Register. With one exception (see item 030), this schedule does not cover records created after a proposed rule first appears in the Federal Register (item 020 lists points at which first publication might appear). Records created after first appearance in the Federal Register are contained in a case file, often called a "docket." Dockets may be of permanent value depending on the particular rule or an agency's mission. Therefore, each agency must schedule its rulemaking dockets independently.			
010	**Records of proposed rule development.** Records of internal development of agency rules in preparation for Federal Register publication as a proposed rule, including case files that result in final rules, case files that do not result in final rules, and case files of exemptions to rules. Includes: • briefing papers and options papers presented to management • rule/regulation drafts presented to management • internal comments in response to drafts presented to management • stakeholder input • analyses • clearances • summary sheets • background and supporting materials • records documenting a notice of inquiry (NOI) advance notice of proposed rulemaking (ANPRM), or request for information (RFI) in the Federal Register inviting comments on a not-yet-proposed rule, and comments received in response • concept releases • petitions to issue, amend, or repeal a rule • petitions for exemption • decision memoranda • reports and white papers • meeting minutes documenting evaluation of options and decisions made	Temporary	Destroy 6 years after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	• workplans and timelines • correspondence **Note:** GRS 5.2, item 020, covers "drafts produced…for…internal discussion, reference, or consultation." **Exclusion:** Schedule and retain as part of a docket any records this item describes that the agency incorporates into that docket.			
020	**Proposed and final rule documents published in the Federal Register.** Agency copy of rule forwarded to the Federal Register for publication, copy of published notice, and correspondence with the Office of the Federal Register generated at these rulemaking process milestones: • advance notice of proposed rulemaking (ANPRM) or notice of inquiry (NOI) inviting participation to help shape a rule still in development • notice of proposed rulemaking (NPRM) to add a new rule or to amend or repeal an existing rule • supplemental notice of proposed rulemaking (SNPRM) or further notice of proposed rulemaking (FNPRM), soliciting comment on a proposed rule significantly altered in response to comments received in response to the NPRM • notice responding to summarized comments • final rule, interim final rule, or direct final rule	Temporary	Destroy 1 year after publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0002
030	**Public comments.** Public comments agency receives in response to a proposed rule, provided that agency retains a summary of those comments with the rulemaking docket in a docket management system. **Exclusion:** If the agency does not create a summary of comments, it must schedule individual comments as part of the final rule case file or docket.	Temporary	Destroy 1 year after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	**Federal Register notices other than proposed and final rules.** Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations. **Note 1:** SORNs per se are covered by GRS 4.2, item 150. **Note 2:** PRA Information Collection reports are covered by GRS 5.7, item 050. **Note 3:** Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.	Temporary	Destroy when 1 year old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0004
050	**Agency input into the unified agenda.** Records that process agency input into the publication of: • The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the "unified agenda" or "semiannual regulatory agenda") published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) • agency regulatory flexibility agendas • The Regulatory Plan **Exclusion:** Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0005

MANUAL CHAPTER 1743: APPENDIX 1
NIH RESCINDED AND SUPERSEDED SCHEDULE ITEMS

NIHRecordsManagement@nih.gov

UPDATED December 18, 2018

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NIH Rescinded and Superseded Schedule Items

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-A		**1100-A Legislation & Regulations** 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.)						
1100-A	**4a**	**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.	Temporary	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.	NC1-90-77-2 Item 5	Superseded	GRS 6.6 Item 020 GRS 6.2 Item 030 GRS 6.2 Item 050	DAA-GRS2017-0012-0002 DAA-GRS2017-0012-0003 DAA-GRS2017-0012-0005
1100-A	**4b**	**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.	Temporary	Destroy when pertinent Regulations files are transferred to the Federal Records Center. Earlier disposal is authorized if no longer needed for administrative reference.	NC1-90-77-2 Item 5a	Superseded	GRS 6.6 Item 010	DAA-GRS2017-0012-0001
1100-A	**5**	**Program announcements, statements of NIH policies or interpretations, notices of proposed policies, and other**	Temporary	Official file - File with appropriate program file. Destroy when program file is	NC1-90-77-2 Item 6a	Superseded	GRS 6.6 Item 040	DAA-GRS2017-0012-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		general notices not specified below published in the Federal Register, including the background material and correspondence, press release, and memorandum showing DHHS concurrence.		destroyed or transferred to the Federal Records Center.				
1100-A	**6**	**Statements of availability of grants** and/or contracts published in the Federal Register. Included are the background correspondence and materials and the memorandum showing DHHS concurrence.	Temporary	Official file - File with appropriate program files. Destroy when program file is destroyed or transferred to the Federal Records Center.	NC1-90-77-2 Item 6b	Superseded	GRS 6.6 Item 040	DAA-GRS2017-0012- 0004
1100-A	**7a**	**Notices of Meetings** a. Notices of meetings of public advisory groups and of chartering or renewal of public advisory committees.	Temporary	File with appropriate committee case file. Destroy when program file is destroyed or transferred to the Federal Records Center.	NC1-90-77-2 Item 6c1	Superseded	GRS 6.2 Item 050	DAA-GRS-2015-0001-0005
1100-A	**7b**	**Notices of Meetings** b. Notices of Meeting for seminars, workshops, conferences, and other discussion groups.	Temporary	File with appropriate program file. Destroy when program file is destroyed or transferred to the Federal Records Center.	NC1-90-77-2 Item 6c2	Superseded	GRS 6.6 Item 040	DAA-GRS2017-0012- 0004
1100-A	**8**	**Statements of organization, functions and delegations of authority published in the Federal Register.** Included are transmittal memos, clearance documentation, background correspondence, and the published statements.	Temporary	File with Organization, Functions and Delegations of Authority files. Destroy when program file is destroyed or transferred	NC1-90-77-2 Item 6d	Superseded	GRS 6.6 Item 040	DAA-GRS2017-0012- 0004
1100-B		**1100-B Policy/Subject Files**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-B	**1**	**Policy Files** created in the Office of the Director to establish NIH policy and in the IC's to establish internal program policies. Included are statements of policy with recommendations, staff studies, presentations, evaluations, reports and conclusions, and correspondence. This item excludes policies which are published in the NIH Manual or the NIH Guide for Grants and Contracts.	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, in 10 year increments.	NC1-90-77-2 Item 1	Superseded	1100-B-6	DAA-0443-2017-0004-0001
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, and minutes of committee meetings, briefing materials, position papers, reports, evaluations, and studies.	Permanent	Review files at 5 year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old.	N1-443-89-1	Superseded	1100-B-3	DAA-0443-2017-0003-0001
1100-B	**2b**	Clinical Center Central Files related to general policy and procedures, admissions policies and procedures,	Temporary		NC1-90-78-9 Item 7b	Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		general administrative documents, or any other documents related to the official duties of the Director, Clinical Center. Location: CC, Office of the Director All other copies						
1100-B	**2a**	**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 Recordkeeping Copy	Permanent	Offer to National Archives when 7 years old.	NC1-90-78-9 Item 7a	Superseded	1100-B-6	DAA-0443-2017-0004-0001
1100-C		**1100-C 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.						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-C	**15b**	Research Analysis and Evaluation Files. All other copies 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 reporting on the status of support and accomplishments.	Temporary	Destroy when no longer needed for administrative reference.	NC1-90-77-2 Item 39	Rescinded		
1100-C	**16**	**National Trends in Health R & D Support** - This machine-readable data system contains data on national and Federal obligations for the support of health research and development. The file includes information on Federal health R & D by performance component (grants/contracts), fields of science, and individual medical school or institution of higher education, as well as summary data on industry, state governments, and private non-profit health R & D by source and performer. Interagency Reports are the source for Federal information, and there are various sources in the other sectors for the national data. The file provides data for the NIH Almanac and for the publication, Dollars for Health R & D. Federal totals are updated	Temporary	Destroy when no longer needed for administrative purposes.	NC1-90-77-2 Item 74	Superseded	GRS 5.2 Item 020	DAA-GRS2017-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		annually, with breakdown bi-annually. The data for the other sectors is updated annually.						
1100-C	**17**	**Reporting of DHHS Obligations to Institutes of Higher Education and Other Non-Profit Organizations** - This is a system of data on obligations for all DHHS agencies by recipient, object and fields of science for science training grants, fellowships and R & D in universities and colleges. Input is from IMPAC for NIH data, financial management and budget offices for other DHHS agencies and from other sources. The system serves as the DHHS portion of a government-wide annual review of Federal obligations to institutions of higher education and other non-profit organizations as required by the National Science Foundation Act of 1950.	Temporary	All files - Destroy when no longer needed for administrative purposes.	NC1-90-77-2 Item 75	Superseded	GRS 5.2 Item 020	DAA-GRS2017-0003-0002
1100-F		**1100-F Directives**						
1100-F	**1a**	**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	Permanent	Transfer to Federal Records Center 5 years after becoming superseded or obsolete. Offer to National Archives 15 years after superseded or obsolete.	NC1-90-77-2 Item 9a1	Superseded	1100-B-6	DAA-0443-2017-0004-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		by Office of Management Assessment.						
1100-F	**1b**	**NIH Guide for Grants and Contracts:** Record set maintained by OER.	Permanent	Transfer to Federal Records Center 5 years after becoming superseded or obsolete. Offer to National Archives 15 years after superseded or obsolete.	NC1-90-77-2 Item 9a1	Superseded	1100-B-6	DAA-0443-2017-0004-0001
1100-F	**1c**	**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.	Temporary	Destroy when related documents are sent to the Federal Records Center.	NC1-90-77-2 Item 9a2	Superseded	1100-B-8	DAA-0443-2017-0004-0003
1100-F	**2a**	**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.	Temporary	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.	NCI-90-77-2, Item 9b	Superseded	1100-B-7	DAA-0443-2017-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-F	**2b**	**Directives issued at a IC or program level** 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.	Temporary	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.	NC1-90-77-2 Item 9b	Superseded	1100-B-7	DAA-0443-2017-0004-0002
1100-F	**2c**	**Directives issued at an IC or program level** Reference copies of directives and issuances.	Temporary	Destroy when superseded, obsolete or no longer needed for reference.	NC1-90-77-2 Item 9b	Rescinded		-
1100-F	**2d**	**Directives issued at a IC or program level** Background documents for directives and issuances such as studies, suggestions, reports, determinations of committees, instructions from higher authority and other documents which result	Temporary	Destroy when related documents are sent to the Federal Records Center.	N/A	Superseded	1100-B-8	DAA-0443-2017-0004-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		in establishment of, revision to, or termination of policies and procedures.						
1100-H		**1100- H Committee Management: Other Organized Groups** Committee Files created in the establishment, operation and documentation of the activities of NIH committees, boards, commissions, ad hoc groups and other appointed or organized bodies, and of outside groups with which NIH operations interface. Included are charters or authorities, membership lists, agendas, minutes, reports, directives, correspondence and supporting papers related to the committee's operations. All of the records named do not necessarily pertain to all committees. EXCLUDED from this section are: 1. Committee files maintained by Committee Management Offices						
1100-H	**4a**	**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.	Temporary	Destroy when 5 years old.	NC1-90-77-2 Item 72	Superseded	GRS 2.3 Item 030	DAA-GRS-2015-0007-0006
1100-I		**1100-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).						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-I	**1a**	**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).	Permanent	Cut off when superseded or obsolete. Offer to National Archives, in 10 year blocks, when latest record in block is 15 years old.	NC1-90-77-2 Item 9a1	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-I	**1b**	**NIH Emergency Planning and Operations Manual,** with related background papers. b. Located in all other offices.	Temporary	Destroy when superseded or obsolete.	NC1-90-77-2 Item 9a1	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-I	**2a**	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.	Permanent	Cut off when superseded or obsolete. Offer to National Archives in 10 year blocks, when latest record in block is 15 years old.	NC1-90-77-2 Item 9a2	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-I	**2b**	Emergency Planning Directives, Plans and Related Case Files, including background papers, reports and correspondence	Temporary	Destroy 3 years after issuance of a new plan or directive.	NC1-90-77-2 Item 9a2	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		created in the development of directives and plans. Located in NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS). b. Case Files of plans and directives issued as NIH Manual chapters or Information and Instruction Memoranda.						
1100-I	**3**	Emergency Preparedness Test Reports: Consolidated or Comprehensive reports reflecting NIH-wide results of operational tests conducted under emergency plans. Located in files of the NIH Emergency Management Branch, Division of Public Safety, Office of Research Services (ORS).	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.	N/A	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-I	**4**	**Emergency Operations Test Files** such as instructions to participants, staff assignments, messages, tests by communications and facilities, and copies of test reports (excluding consolidated or comprehensive reports covered by item 1100-I-3). Located in files of the NIH Emergency Management Branch,	Temporary	Destroy when 3 years old.	GRS 18 Item 28	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Division of Public Safety, Office of Research Services (ORS).						
1100-I	**5**	**Emergency Preparedness Administrative Correspondence Files** relating to administration and operation of the emergency preparedness program, not covered elsewhere in this section.	Temporary	Destroy when 2 years old.	GRS 18 Item 26	Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-I	**6**	**Emergency Directives Reference Files:** copies of NIH directives and plans (other than those maintained in case files described in Item 1100-I-1 above), as well as those issued by Federal Emergency Management Administration (FEMA), other Federal agencies, State and local governments, and the private sector.	Temporary	Destroy when obsolete or superseded.		Superseded	GRS 5.3 Item 010	DAA-GRS-2016-0004-0001
1100-J		**1100-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 section, 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).						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		4. Records concerning liaison with Congress; (see items 1100-A-1 to A-3).						
1100-J	**3a**	Special Foreign Currency Program (P.L. 480) files. The official case file for each foreign program containing the signed agreement, award documents, a copy of each published document, and final reports or project summaries documenting all NIH P.L. 480 projects in the biomedical sciences.	Temporary	Transfer to Federal Records Center 3 years after fiscal year in which project is terminated. Destroy 3 years after termination.	NC1-90-77-2 Item 53a	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
1100-J	**3b**	Special Foreign Currency Program (P.L. 480) files Progress reports, correspondence, statistical data, and copies of payment records documenting all NIH P.L. 480 projects in the biomedical sciences.	Temporary	Destroy 3 years after fiscal year in which project is terminated. Earlier disposal is authorized for all but payment records.	NC1-90-77-2 Item 53a1	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
1100-J	**4a**	**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	Permanent	Review files every 3 years and transfer inactive files to Federal Records Center. Offer to National Archives 15 years after transfer.	NC1-90-77-2 Item 33	Superseded	1100-B-6	DAA-0443-2017-0004-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		used in NIH program considerations. a. Files which influenced changes in NIH policy or procedures:						
1100-J	**4b**	**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. b. All others	Temporary	Destroy when no longer needed for administrative reference or no later than when 3 years old.	NC1-90-77-2 Item 33	Superseded	1100-B-6	DAA-0443-2017-0004-0001
1100-J	**5**	**Sponsoring agency files** relating to private organizations sponsoring clinical patient volunteers containing copies of contractual agreements and related reports and correspondence. (For records on individual volunteers, see section 3000-E.) Located in CC, Clinical Research Volunteer Program.	Temporary	Destroy 3 years after participation of sponsoring agency ends.	NC1-90-78-9 Item 91	Superseded	I-0013	DAA-0443-2018-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-J	**6**	**Agreements and MOUs with foreign countries, relating to biomedical information activities.** Agreements and memoranda of understanding with foreign countries, relating to biomedical information activities. Located in NLM - Office of the Director.	Temporary	Destroy 3 years after agreement or memorandum of understanding is no longer valid.	NC1-90-78-12 Item 77	Superseded	GRS 4.4 Item 010	DAA-GRS2015-0003-0001
1100-J	**7**	**MOUs and agreements with institutions concerning the use of on-line bibliographical services.** Memoranda of understanding and agreements with institutions concerning the use of on-line bibliographical services. Located in NLM.	Temporary	Destroy 3 years after memorandum or agreement is no longer valid.	NC1-90-78-12 Item 97	Superseded	GRS 4.4 Item 010	DAA-GRS2015-0003-0001
1100-L		**1100-L Technology Transfer Records** This section covers records developed and/or supported by NIH involved in the implementation of the Federal Technology Transfer Act. NOTE: Patents, Inventions, and Licensing records retrieved by individual identifiers are part of Privacy Act system of records 09-25-0168, "Inventions, Patent and Licensing Documents Submitted to the Public Health Service by its Employees, Grantees, Fellowship Recipients and Contractors, DHHS/NIH/OTT."						
1100-L	**1**	Records of experimental and statistical data Logs or notebooks used to record observations and data which contain evidence for establishing patents or inventions rights. Located in intramural program files.	Temporary	Transfer records to Federal Records Center upon issuance of patent. Destroy 30 years after issuance of patent.	NC1-443-94-1	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-L	**2**	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. 2. Non-executed Agreements: The request letter and all other related record material including correspondence, documents, drafts and logs created.	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 N1-443-01-01, item 1100-L-11-B-1)	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004
1100-L	**2-1**	**EIRs** on which a Patent or Patent Cooperation Treaty (PCT) application(s) has been filed.	Temporary	Incorporate into the first filed application file. (Filing Instruction only)	NC1-443-94-1, Item 1100-L-2a	Superseded	1100-L 12	DAA-0443-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-L	**2-2**	**EIRs** on which a Patent or PCT application will not be filed but has been licensed.	Temporary	Cut off at the end of the fiscal year after expiration of last active license. Destroy 10 years after cut off. (Supersedes N1-443-94-1, Item 1100-L-2-b)	NC1-443-94-1, Item 1100-L-2b	Superseded	1100-L 12	DAA-0443-2016-0002-0001
1100-L	**2-3**	**EIRs** on which a Patent or PCT application will not be filed and for which no license has been executed	Temporary	Cut off at the end of the fiscal year after docketed by OTT. Destroy 10 years after cut off. (Supersedes N1-443-94-1, Item 1100-L-2-b)	NC1-443-94-1, 1100-L-2-b	Superseded	1100-L 12	DAA-0443-2016-0002-0001
1100-L	**3**	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.	Temporary	Destroy when the Agreement is closed. (Supersedes N1-443-01-1, item 1100-L-11-A-3 and N1-443-01-1, item 1100-L-11-B-2)	N1-443-10-1c	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1100-L	**3-1a**	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. a. Issued Patent Files	Temporary	TEMPORARY. Cut off at the end of the fiscal year after expiration or lapse of the patent. Destroy 10 years after cut off. (Supersedes N1-443-94-1, Item 1100-L-3-a-1 and N1-443-94-1, Item 1100-L-4-a-1)	NC1-443-94-1	Superseded	1100-L 12	DAA-0443-2016-0002-0001
1100-L	**3-1b**	Patent Application Files, including U.S., PCT and foreign applications, containing copies of patent applications, drawings, evaluations, Summary of Invention Data, published articles,	Temporary	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 N1-443-94-1,	NC1-443-94-1	Superseded	1100-L 12	DAA-0443-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. b. Inactive Patent Application Files (i.e., Abandoned, Withdrawn, Expired). Patent application files where no patent has been issued.		Item 1100-L-3-a-2 and N1-443-94-1, Item 1100-L-4-a-2)				
1100-L	**3-1b-a**	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. b. Inactive Patent Application Files (i.e., Abandoned, Withdrawn, Expired). Patent application files	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 N1-443-94-1, item 1100-L-3-b)	NC1-443-94-1	Superseded	1100-L 12	DAA-0443-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		where no patent has been issued. (a) Official File (except abandoned cases and cases that involve a Publication Bar)						
1100-L	**3-1b-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. b. Inactive Patent Application Files (i.e., Abandoned, Withdrawn, Expired). Patent application files where no patent has been issued. (b) Abandoned cases and cases involving a Publication Bar	Temporary	Cut off at the end of the fiscal year following receipt of notice from Contractor/Grantee. Destroy 1 year after cut off. (Supersedes N1-443-94-1, item 1100-L-3-b)	NC1-443-94-1	Superseded	1100-L 12	DAA-0443-2016-0002-0001
1100-L	**3-1c**	Patent Application Files, including U.S., PCT and foreign applications, containing copies of patent applications, drawings, evaluations,	Temporary	Cut off at the end of the fiscal year when case is abandoned, withdrawn, or expires. Destroy 1 year after	NC1-443-94-1	Superseded	1100-L 12	DAA-0443-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. c. Located in IC Technology Transfer Office		cut off. (Supersedes N1-443-94-1, Item 1100-L-4-b)				
1100-L	**4-1a**	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,	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)	NC1-443-94-1	Superseded	1100-L 13a or1100-L 13c	DAA-0443-2016-0002-0002 or DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		transmittal documents and inquiries.						
1100-L	**4-1b**	Located in the NIH Office of Technology Transfer. 1. Executed agreements and associated amendments. 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.	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)	NC1-443-94-1	Superseded	1100-L 13a or1100-L 13c	DAA-0443-2016-0002-0002 or DAA-0443-2016-0002-0004
1100-L	**4-2a**	Located in the NIH Office of Technology Transfer. 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.	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.	NC1-443-94-1	Superseded	1100-L 13c	DAA-0443-2016-0002-0004
1100-L	**4-2b**	**Located in the NIH Office of Technology Transfer.** Non-executed license agreement	Temporary	Cut off at the end of the fiscal year after resolution of the appeal. Destroy 7 years after cut off.	NC1-443-94-1	Superseded	1100-L 13b	DAA-0443-2016-0002-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and amendments. The application and all other related record material, including correspondence, documents, drafts, and logs. b. Applications that are appealed						
1100-L	**5-1a**	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. 1. Executed Agreements a. Located in the NIH Office of Technology Transfer	Temporary	Cut off at the end of the fiscal year following termination or expiration of the CRADA. Destroy 3 years after cut off. (Apply N1-443-07-3, Item 1100-L-6-A-2)	N1-443-07-003	Superseded	1100-L 13a or1100-L 13c	DAA-0443-2016-0002-0002 or DAA-0443-2016-0002-0004
1100-L	**5-1b**	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	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)	N1-443-07-003	Superseded	1100-L 13a or1100-L 13c	DAA-0443-2016-0002-0002 or DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		reports, financial reports, negotiations, and inquiries. 1. Executed Agreements b. Located in IC Technology Transfer Office.						
1100-L	**5-2**	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. 2. Non-executed Agreements. Located in IC Technology Transfer Office.	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 N1-443-07-3, Item 1100-L-6-B)	N1-443-07-003	Superseded	1100-L 13c	DAA-0443-2016-0002-0004
1100-L	**6**	**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.	Temporary	All copies - Destroy when no longer needed. (Apply N1-443-94-1, item 1100-L-7)	NC1-443-94-1	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-L	**7**	**Chronological File** consisting of copies of documents signed or prepared in the office, and maintained by date.	Temporary	Cut off at the end of the fiscal year in which signed or prepared. Destroy 5 years after cut off. (Apply N1-443-94-1, item 1100-L-8)	NC1-443-94-1	Rescinded		-
1100-L	**8**	**Data Files** containing statistical information about the Technology Transfer Program used for support of administration functions.	Temporary	All copies - Destroy when no longer needed for reference. (Apply N1-443-94-1, item 1100-L-9 or GRS 20, item 5 as appropriate)	NC1-443-94-1	Superseded	GRS 5.1 Item 020	DAA-GRS-2017-0003-0002
1100-L	**9-1**	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	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.	N1-443-10-001	Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		application. 1. If associated with an executed license.						
1100-L	**9-2**	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. 2. If no license is executed.	Temporary	Cut off at the end of the fiscal year after docketed by OTT. Destroy 10 years after cut off	N1-443-10-001	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
1100-L	**10-1a**	Technology Transfer Agreements Technology transfer agreements not covered in another section. The agreements include, but are not limited to, Material Transfer	Temporary	Cut off at the end of the fiscal year following the date of execution. Destroy 1 year after cut off. (Supersedes N1-	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.		443-01-1, item 1100-L-11-A-1)				
1100-L	**10-1b-1**	Technology Transfer Agreements Technology transfer agreements not covered in another section. The agreements include, but are not	Temporary	Cut off at the end of the fiscal year after expiration or termination of the agreement. Destroy 1year	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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: b. Final Executed Agreement File: The final executed Agreement and post execution correspondence and documents. (1) For Agreements with a fixed expiration date:		after cut off. (Supersedes N1-443-01-1, item 1100-L-11-A-2-a)				
1100-L	**10-1b-2a**	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),	Temporary	Cut off at the end of the fiscal year after notification by either party of termination. Destroy 1 year after cut off. (Supersedes N1-413-01-1, item 1100-L-11-A-2-b)	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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: b. Final Executed Agreement File: The final executed Agreement and post execution correspondence and documents. (2) For Agreements without a fixed expiration date: (a) If notification of termination is received:						
1100-L	**10-1b-2b**	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	Temporary	Cut off at the end of the fiscal year after execution. Destroy 8 years after cut off. (Supersedes N1-443-01-1, item 1100-L-11-A-2-b)	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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: b. Final Executed Agreement File: The final executed Agreement and post execution correspondence and documents. (2) For Agreements without a fixed expiration date: (b) If notification of termination is not received:						
1100-L	**10-1b-2b**	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	Temporary	Cut off at the end of the fiscal year after execution. Destroy 8 years after cut off. (Supersedes N1-443-01-1, item 1100-L-11-A-2-b)	N1-443-10-001	Superseded	1100-L 13c	DAA-0443-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		(MOU). NOTE: Disposition schedules for technology transfer agreements negotiated on behalf of contractors are covered in Section 2600-A. 1. Executed Agreements: b. Final Executed Agreement File: The final executed Agreement and post execution correspondence and documents. (2) For Agreements without a fixed expiration date: (a) If notification of termination is received.							
1100-M		**1100-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.							

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1100-M	**1a**	Administrative Files accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office. a. Recordkeeping copy: [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	Temporary	Destroy the recordkeeping copy when 2 years old.	GRS 23 Item 1	Superseded	GRS 5.1 Item 010	DAA-443-2016-0016-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		procedures of the office--see appropriate subject heading.]						
1100-M	**2a**	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.	Temporary	Destroy or delete when 2 years old.	GRS 23 Item 5a	Superseded	GRS 5.1 Item 010	DAA-443-2016-0016-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1100-M	**2b**	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	Temporary	Destroy or delete when no longer needed for convenience or reference.	GRS 23 Item 5b	Superseded	GRS 5.1 Item 010	DAA-443-2016-0016-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		an SF 115 to NARA. Contact the NIH Records Management Officer for assistance. 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						
1100-M	**3a**	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.	Temporary	Destroy after action is taken.	GRS 23 Item 6a	Superseded	GRS 5.2 Item 010	DAA-GRS-2017-0003-0001
1100-M	**3b**	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.	Temporary	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.	GRS 23 Item 6b	Superseded	GRS 5.2 Item 010	DAA-GRS-2017-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected						
1100-M	**4a**	**Transitory Files** Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are: a. Requests for information or publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply such as requests for publications or other printed material.	Temporary	Destroy when 3 months old.	GRS 23 Item 7	Superseded	GRS 4.2 Item 001	DAA-GRS-2016-0013-0003
1100-M	**4b**	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:	Temporary	Destroy when 3 months old.	GRS 23 Item 7	Superseded	GRS 5.2 Item 010	DAA-GRS-2017-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1100-M	**4c**	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: 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.	Temporary	Destroy when 3 months old.	GRS 23 Item 7	Superseded	GRS 5.2 Item 010	DAA-GRS-2017-0003-0001
1100-M	**5**	**Tracking and Control Records.** Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records charge out, and other similar records used solely to control work flow and to	Temporary	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.	GRS 38 item 8	Superseded	GRS 4.1 Item 010	DAA-GRS-2013-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		record routine and merely facilitative actions taken.						
1100-M	**6**	**Finding Aids** Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the NIH RCS or GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Temporary	Destroy or delete with the related records.	G39 item 9	Superseded	GRS 4.1 Item 010	DAA-GRS-2013-0002-0016
1300-A		**1300-A Space Management**						
1300-A	**1**	**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.	Temporary	Destroy when 2 years old.	GRS 11 Item 1	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
1300-A	**2a**	**Space Files.** Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.	Temporary	Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete.	GRS 11, item 2a	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.						
1300-A	**2b-1**	**Space Files.** Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA. 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.	Temporary	Destroy when 2 years old.	GRS 11, item 2b1	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
1300-A	**2b-2**	**Space Files.** Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA. b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.	Temporary	Destroy when 1 year old.	GRS 11, item 2b2	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		(2) Copies in subordinate reporting units and related work papers.						
1300-B		**1300-B Safety**						
1300-B	**5**	**Employee injury and compensation case files**	DISPOSAL NOT AUTHORIZED	[Disposition authority withdrawn per FPMR Bulletin B-136]	N/A	Superseded	GRS 2.4 Item 100 or 101	DAA-GRS2016-0015-0012 Or DAA-GRS2016-0015-0013
1300-B	**15**	**Safety** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.	DAA-GRS-2013-0001-0007	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
1300-C		**1300-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), 3. Records related to personnel security clearance and related matters; (see items 2300-730-1 to 6),						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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).						
1300-C	**1**	**Protection and Security** Management Administrative Correspondence Files.	Temporary	Destroy when 2 years old.	GRS 18 Item 8	Superseded	GRS 5.6 Item 010	DAA-GRS-2017-0006-0001
1300-C	**2**	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.	Temporary	Destroy when 3 years old or on discontinuance of facility, whichever is sooner.	GRS 18 Item 9	Superseded	GRS 5.6 Item 080 or GRS 5.6 Item 081	DAA-GRS-2017-0006-0010 or DAA-GRS-2017-0006-0011
1300-C	**3**	**Survey and inspection** of privately-owned facilities assigned security cognizance by NIH.	Temporary	Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.	GRS 18 Item 10	Superseded	GRS 5.6 Item 080 or GRS 5.6 Item 081	DAA-GRS-2017-0006-0010 or DAA-GRS-2017-0006-0011
1300-C	**4**	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.	Temporary	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).	GRS 18 Item 11	Superseded	GRS 5.6 Item 100	DAA-GRS-2017-0006-0013

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in offices which conduct investigations.						
1300-C	**5**	**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.	Temporary	Destroy 3 months after expiration or revocation.	GRS 18 Item 12	Superseded	GRS 5.6 Item 040	DAA-GRS-2017-0006-0005
1300-C	**6a**	**Guard Assignment files** related to guard assignments and strength. a. Ledgers.	Temporary	Destroy 3 years after final entry.	GRS 18 Item 13a	Superseded	GRS 5.6 Item 010	DAA-GRS-2017-0006-0001
1300-C	**6b**	**Guard Assignment files** related to guard assignments and strength. b. Requests, analyses, reports, change notices and other related papers.	Temporary	Destroy when 2 years old.	GRS 18 Item 13b	Superseded	GRS 5.6 Item 010	DAA-GRS-2017-0006-0001
1300-C	**7a**	**Police Functions Files** related to exercise of police functions. a. Ledgers of arrests, cars ticketed and outside police contracts.	Temporary	Destroy 3 years after final entry.	GRS 18 Item 14a	Superseded	GRS 5.6 Item 100	DAA-GRS-2017-0006-0013

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1300-C	**7b**	**Police Functions Files** related to exercise of police functions. b. Reports, statements of witnesses, warning notices and other case papers relating to arrests, commitments and traffic violations.	Temporary	Destroy when 2 years old.	GRS 18 Item 14b	Superseded	GRS 5.6 Item 100	DAA-GRS-2017-0006-0013
1300-C	**7c**	**Police Functions Files** related to exercise of police functions. c. Reports on contact of outside policy with building occupants.	Temporary	Destroy when 1 year old.	GRS 18 Item 14c	Superseded	GRS 5.6 Item 100	DAA-GRS-2017-0006-0013
1300-C	**8a**	**Personal Property Loss** or Theft Files concerning accountability for personal property lost or stolen. a. Ledgers.	Temporary	Destroy 3 years after final entry.	GRS 18 Item 15a	Superseded	GRS 5.6 Item 060 or GRS 5.6 Item 061	DAA-GRS-2017-0006-0007 or DAA-GRS-2017-0006-0008
1300-C	**8b**	**Personal Property Loss** or Theft Files concerning accountability for personal property lost or stolen. b. Reports, loss statements, Form NH254, receipts and other related documents relating to lost and found articles.	Temporary	Destroy when 1 year old.	GRS 18 Item 15b	Superseded	GRS 5.6 Item 060 or GRS 5.6 Item 061	DAA-GRS-2017-0006-0007 or DAA-GRS-2017-0006-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1300-C	**9a**	**Key Accountability files.** Files relating to accountability for keys issued. These records are subject to the Privacy Act. a. For areas under maximum security.	Temporary	Destroy 3 years after turn-in of key.	GRS 18 Item 16a	Superseded	GRS 5.6 Item 020	DAA-GRS-2017-0006-0002
1300-C	**9b**	**Key Accountability files.** Files relating to accountability for keys issued. These records are subject to the Privacy Act. Destroy 6 months after turn-in of key.	Temporary	Destroy 6 months after turn-in of key.	GRS 18 Item 16b	Superseded	GRS 5.6 Item 021	DAA-GRS-2017-0006-0003
1300-C	**10a**	**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.	Temporary	Destroy 5 years after final entry or 5 years after date of document.	GRS 18 Item 17a	Superseded	GRS 5.6 Item 110	DAA-GRS-2017-0006-0014
1300-C	**10b**	**Visitor Control Records** used to record names of outside contractors, service personnel, visitors, employee admitted to areas, and reports on automobiles and passengers. b. For other areas.	Temporary	Destroy 2 years after document is created or 2 years after date of document, as appropriate.	GRS 18 Item 17b	Superseded	GRS 5.6 Item 111	DAA-GRS-2017-0006-0015

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1300-C	**11a**	**Facilities Checks files related to periodic guard facility checks.** a. Data sheets, door slip summaries, check sheets.	Temporary	Destroy when 1 year old.	GRS 18 Item 18a	Superseded	GRS 5.6 Item 090	DAA-GRS-2017-0006-0012
1300-C	**11b**	**Facilities Checks files related to periodic guard facility checks.** b. Reports of routine after-hours security checks where no security violations are involved.	Temporary	Destroy when 1 month old.	GRS 18 Item 18b	Superseded	GRS 5.6 Item 090	DAA-GRS-2017-0006-0012
1300-C	**12a**	**Guard Service Control Files.** a. Control center key or code records, emergency call reports, building records and employee identification cards.	Temporary	Destroy when superseded or obsolete.	GRS 18 Item 19a	Superseded	GRS 5.6 Item 090	DAA-GRS-2017-0006-0012
1300-C	**12b**	**Guard Service Control Files.** b. Round reports, service reports on interruptions and tests, punch clock dial sheets.	Temporary	Destroy when 1 year old.	GRS 18 Item 19b	Superseded	GRS 5.6 Item 090	DAA-GRS-2017-0006-0012
1300-C	**12c**	**Guard Service Control Files.** c. Automatic machine patrol charts and registers of patrol and alarm services.	Temporary	Destroy when 1 year old.	GRS 18 Item 19c	Superseded	GRS 5.6 Item 090	DAA-GRS-2017-0006-0012
1300-C	**12d**	**Guard Service Control Files.** d. Arms distribution sheets, charge records and receipts.	Temporary	Destroy 3 months after return of arms.	GRS 18 Item 19d	Superseded	GRS 5.6 Item 030	DAA-GRS-2017-0006-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1300-C	**13a**	**Logs and Registers.** a. Master logs.	Temporary	Destroy 2 years after final entry.	GRS 18 Item 20a	Superseded	GRS 5.6 Item 110 or GRS 5.6 Item 111	DAA-GRS-2017-0006-0014 or DAA-GRS-2017-0006-0015
1300-C	**13b**	**Logs and Registers.** b. Guard Station logs of concurrences also entered in master logs.	Temporary	Destroy 1 year after final entry.	GRS 18 Item 20b	Superseded	GRS 5.6 Item 110 or GRS 5.6 Item 111	DAA-GRS-2017-0006-0014 or DAA-GRS-2017-0006-0015
1300-C	**14a**	**Credentials and Identification Files.** a. Identification cards and badges, parking permits, and other identification credentials. These records are subject to the Privacy Act.	Temporary	Destroy credentials 3 months after return to issuing office.	GRS 11 Item 4a	Superseded	GRS 5.6 Item 120 or GRS 5.6 Item 130	DAA-GRS-2017-0006-0016 or DAA-GRS-2017-0006-0018
1300-C	**14b**	**Credentials and Identification Files.** b. Receipts, indices, listings and accountable records.	Temporary	Destroy after all listed credentials are accounted for.	GRS 11 Item 4b	Superseded	GRS 5.6 Item 120 or GRS 5.6 Item 130	DAA-GRS-2017-0006-0016 or DAA-GRS-2017-0006-0018
1300-D		**1300-D Protection and Security**						
1300-D	**1**	Quarters Management Files including expenditures, survey, collection and other statistical and narrative data.	Temporary	Destroy when 2 years old.	GRS 15 Item 3	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
1300-D	**2**	Quarters - General Correspondence pertaining to management and maintenance of staff quarters.	Temporary	Destroy when 2 years old.	GRS 15 Item 1	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1300-D	**3**	Housing Leases, renewals, termination notices and related papers.	Temporary	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.	GRS 15 Item 4	Superseded	GRS 5.4 item 080	DAA-GRS-2016-0011-0010
1300-D	**4a**	**Housing Assignments and Vacancy Files.** a. Individual tenant record.	Temporary	Destroy when tenant vacates unit.	GRS 15 Item 5a	Superseded	GRS 5.4 item 080	DAA-GRS-2016-0011-0010
1300-D	**4b**	**Housing Assignments and Vacancy Files.** b. Housing unit record.	Temporary	Destroy 3 years after end of fiscal year in which unit is closed.	GRS 15 Item 5b	Superseded	GRS 5.4 item 080	DAA-GRS-2016-0011-0010
1300-D	**5**	**Furnishings inventories** of staff quarters.	Temporary	Destroy 3 years after end of fiscal year in which inventory is superseded.	GRS 15 Item 6	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
1300-D	**6a**	**Housing Applications** (Does not apply to copies filed with leases: see item 1300-D-3.) a. Rejected applications.	Temporary	Destroy 1 year after rejection.	GRS 15 Item 7a	Superseded	GRS 5.4 item 080	DAA-GRS-2016-0011-0010
1300-D	**6b**	**Housing Applications** (Does not apply to copies filed with leases: see item 1300-D-3.) b. Others.	Temporary	Destroy when 2 years old.	GRS 15 Item 7b	Superseded	GRS 5.4 item 080	DAA-GRS-2016-0011-0010

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1500-A		**1500-A 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.)						
1500-A	1a	**Passenger Transportation Files** including paid copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting documents. a. Located in OFM.	Temporary	Destroy when 6 years old.	DAA-GRS-2013-0003-0001	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1500-A	1b	**Passenger Transportation Files** including paid copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting documents. b. Obligation copy.	Temporary	Destroy when funds are obligated.	DAA-GRS-2013-0003-0001	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1500-A	1c	**Passenger Transportation Files** including paid copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers,	Temporary	Destroy 3 years after the year in which the transaction is completed	DAA-GRS-2013-0003-0001	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and all supporting documents. c. Unused ticket redemption forms.						
1500-A	**2a**	**Passenger Reimbursement Files** such as travel orders, per diem vouchers, transportation requests, hotel reservations and all supporting papers documenting official travel. a. Located in IC travel office.	Temporary	Destroy when 6 years old.	GRS 9 Item 3e	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1500-A	**2b**	**Passenger Reimbursement Files** such as travel orders, per diem vouchers, transportation requests, hotel reservations and all supporting papers documenting official travel. b. Obligated copy.	Temporary	Destroy when funds are obligated.	GRS 9 Item 3b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1500-A	**3a**	**General Travel and Transportation Files.** a. Accountability records.	Temporary	Destroy 1 year after all entries are cleared	GRS 9 Item 4b	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1500-A	**3b**	**General Travel and Transportation Files.** b. Correspondence, forms and related records, not covered above, pertaining to NIH travel and transportation of persons.	Temporary	Destroy when 2 years old.	GRS 9 Item 4a	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1500-A	**4**	**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.	Temporary	Destroy when 6 years old.	GRS 9 Item 2	Superseded	GRS 5.5 Item 040	DAA-GRS-2016-0012-0004
1500-A	**5a**	**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.	Temporary	Destroy when 3 years old or upon separation of the bearer, whichever is sooner.	GRS 9 Item 5a	Superseded	GRS 2.2 Item 090	DAA-GRS-2017-0007-0013
1500-A	**5b**	**Records Relating to Official Passports.** b. Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters.	Temporary	Destroy when 1 year old.	GRS 9 Item 5b	Superseded	GRS 2.2 Item 010	DAA-GRS-2017-0007-0001
1500-A	**5c**	**Records Relating to Official Passports.** c. Passport registers. Registers and lists of agency personnel who have official passports.	Temporary	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.	GRS 9 Item 5c	Superseded	GRS 2.2 Item 010 or GRS 2.2 Item 091	DAA-GRS-2017-0007-0001 or DAA-GRS-2017-0007-0014

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
				(2) Item 5b does not pertain to copies of the annual reports held by the Department of State.]				
1500-A	**6a**	**Non-Federally Funded Travel.** a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive Branch agencies to the Office of Government Ethics. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses for an employee who attends a meeting or similar function relating to official duties.	Temporary	Destroy when 4 years old.	GRS 25 Item 5a	Superseded	GRS 2.8 Item 030	DAA-GRS-2014-0005-0003
1500-A	**6b**	**Non-Federally Funded Travel.** b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.	Temporary	Destroy 1 year after submission of report to the Office of Government Ethics.	GRS 25 Item 5b	Superseded	GRS 2.8 Item 031	DAA-GRS-2014-0005-0004
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,	Temporary	Destroy when 3 years old.	GRS 9 Item 7	Superseded	GRS 2.4 Item 130 or GRS 2.4 Item 131	DAA-GRS-2016-0015-0017 or DAA-GRS-2016-0015-0018

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.						
1500-A	**8a**	**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. 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.	Temporary	Destroy/delete within 180 days after the recordkeeping copy has been produced.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1500-A	**8b**	**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. b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Temporary	Destroy/delete when dissemination, revision, or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
1700-A		**1700-A Management Appraisal**						
1700-A	**1d**	**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	Temporary	Delete when recordkeeping copy has been created.	N1-443-99-3	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		data. d. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.						
1700-A	**3c**	**Research Integrity Files:** Inquiry and Investigative Case Files: These case files contain copies of records, located in all NIH (Office of the Director and IC) offices, related to or collateral to pending, current, or completed allegations, inquires, investigations or findings of research misconduct, and/or to actions that the Office of Research Integrity (ORI) has taken in connection with such allegations, inquiries, investigations and findings. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals,	Temporary	Delete when recordkeeping copy has been created.	N1-443-99-3	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-A	**4a-2**	**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. 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	Temporary	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.	GRS 16 Item 5	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1700-A	**4d**	**Investigative/Audit Case Files** documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance. d. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are	Temporary	Delete when recordkeeping copy has been created.	NC1-443-84-1	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		maintained for updating, revision, or dissemination.						
1700-A	**5**	**Project Control Files.** Memoranda, reports documenting assignments, progress and completion of projects	Temporary	Destroy 1 year after the year in which the project is closed.	GRS 16 Item 11	Rescinded		-
1700-A	**6**	Feasibility Studies and Systems analyses conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Temporary	Destroy when the completed study is 5 years old.	GRS 16 Item 9	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-A	**7a**	**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.	Temporary	Destroy after completion of subsequent organizational assessment, or if organization is abolished, then destroy 3 years after abolition.	GRS 16 Item 14a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1700-A	**7b**	**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. b. Located in organization subject to assessment.	Temporary	Destroy 6 months after final action.	GRS 16 Item 14b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1700-A	**8a**	**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.	Temporary	Destroy when superseded or obsolete.	GRS 16 Item 14c	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-A	**9**	**Correspondence pertaining to routine administration**, internal procedures, and other materials relating to OMB Circular A-76. Located in Office of Management Assessment.	Temporary	Destroy after 5 years, or sooner if no longer needed.	GRS 16 Item 14d	Superseded	GRS 5.7 Item 010	DAA-GRS-2017-0008-0001
1700-A	**10**	**IRM Triennial Review Files.** Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.	Temporary	Destroy when 7 years old.	GRS 16 Item 14e	Superseded	GRS 5.7 Item 020	DAA-GRS-2017-0008-0002
1700-A	**11**	**Information Collection Budget Files.** Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.	Temporary	Destroy when 7 years old.	GRS 16 Item 14f1	Superseded	GRS 5.7 Item 030	DAA-GRS-2017-0008-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-A	**12a**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. a. Policy, procedure, and guidance files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.	Temporary	Destroy when superseded.	GRS 16 Item 14f2	Rescinded		-
1700-A	**12b**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act.	Temporary	Destroy when superseded.	GRS 16 Item 14f2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. b. Management control plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.						
1700-A	**12c**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. 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	Temporary	Cut off closed files annually. Destroy after next review cycle.	GRS 16 Item 14f2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		information, and illegal and unethical actions.						
1700-A	**12d**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. 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.]	Temporary	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.]	GRS 16 Item 14f2	Rescinded		-
1700-A	**12e**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management	Temporary	Destroy 1 year after report is completed.	GRS 16 Item 14f2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. Tracking files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.						
1700-A	**12f-1**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. Review files. [See note after item	Temporary	Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.	GRS 16 Item 14f2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1700-A	**12f-2**	**Management Control Records.** Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.	Temporary	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	GRS 16 Item 14f2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. (2) Copies maintained by other offices as internal reviews.		maintained as internal reviews.]				
1700-B		**1700-B Records Management**						
1700-B	**1a**	**Records Disposition Files:** Descriptive inventories, disposition authorizations, records schedules and reports. a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority, SF 135, Records Transmittal and Receipt and related documentation,	Temporary	Destroy when related records are destroyed or transferred to the National Archives, or when no longer needed for administrative or reference purposes.	GRS 16 Item 2-a-1	Superseded	GRS 4.1 Item 020	DAA-GRS-2013-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.						
1700-B	**1b**	**Records Disposition Files:** Descriptive inventories, disposition authorizations, records schedules and reports. b. Extra copies and routine correspondence and memoranda.	Temporary	Destroy when no longer needed for reference.	GRS 16 Item 2-a-1	Rescinded		
1700-B	**1c**	**Records Disposition Files:** Descriptive inventories, disposition authorizations, records schedules and reports. c. Working papers and background material.	Temporary	Destroy 6 months after final action on project, after completion of report, if no action is taken.	GRS 16, Item 2b	Superseded	GRS 4.1 Item 020	DAA-GRS-2013-0002-0007
1700-B	**2**	**Records Holdings Files:** Statistical reports on records holdings by NIH required by GSA, including feeder reports from all offices and data on volume of records disposed of.	Temporary	Destroy when 1 year old.	GRS 16 Item 4b	Superseded	GRS 4.1 Item 020	DAA-GRS-2013-0002-0007
1700-B	**3**	**Records Management Files**: Documents related to all aspects of managing records of NIH, including management of files, forms, correspondence, mail, reports, microfilm, machine-readable records and all other aspects of	Temporary	Destroy when 6 years old.	GRS 16 Item 7	Superseded	GRS 4.1 Item 020	DAA-GRS-2013-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		records management not covered elsewhere in this schedule.						
1700-B	**4a**	**Forms Management Files** a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope and purpose of the form.	Temporary	Destroy 5 years after related form is discontinued, superseded, or canceled.	GRS 16 Item 4a	Superseded	GRS 4.1 Item 040	DAA-GRS-2013-0002-0009
1700-B	**4b**	**Forms Management Files** b. Working papers, background materials, requisitions, specifications, processing data, and control records.	Temporary	Destroy when related form is discontinued, superseded, or canceled.	GRS 16 Item 4b	Superseded	GRS 4.1 Item 040	DAA-GRS-2013-0002-0009
1700-B	**5**	**Reports Control Files:** Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Temporary	Destroy 1 year after the year in which the report is closed or discontinued.	GRS 16 Item 5	Rescinded		-
1700-C		**1700-C Correspondence**						
1700-C	**1a**	**Correspondence with the Public** a. Information Requests Files. Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of	Temporary	Destroy 3 months old.	GRS 14 Item 1	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0007-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		publications, photographs, and other information literature.						
1700-C	**1b**	**Correspondence with the Public** b. Acknowledgment Files. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.	Temporary	Destroy 3 months after acknowledgement and referral.	GRS 14 Item 2	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0007-0001
1700-C	**1c**	**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.	Temporary	Destroy when 3 months old.	GRS 14 Item 5	Superseded	GRS 6.4 Item 020	DAA-GRS-2016-0005-0002
1700-C	**3a**	**Information copies** of correspondence, reports, minutes of meetings and other documents. a. Located in OD files for source reference for the Director and staff.	Temporary	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	NC1-90-77-2 Item 64	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
				specifically identified by subject in this schedule.				
1700-C	**3b**	**Information copies** of correspondence, reports, minutes of meetings and other documents. b. Located in all other offices.	Temporary	Destroy when no longer needed for reference, not later than 1 year.	NC1-90-77-2 Item 64	Rescinded		-
1700-C	**4**	**Tickler, follow-up** or suspense copies of correspondence.	Temporary	Destroy when action in each case is completed, or when 1 year old, whichever is sooner.	GRS 23 Item 6a	Superseded	GRS 5.2 Item 010	DAA-GRS-2017-0003-0001
1700-D		**1700-D Communication Services** Included are records on messenger service, telecommunications service control and operations, summaries of long distance telephone reports, postal and related records which pertain to the movement of messages as physical units. EXCLUDED from this section are: 1. Messages and communications in any media (See section 8000, or appropriate subject/functional sections), 2. Control and tracking systems used by the Executive Secretariat or by offices sending, receiving or responding to communications (See section 1700-B or appropriate subject/functional section).						
1700-D	**1**	**Messenger Service Files:** Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Temporary	Destroy when 2 months old.	GRS 12 Item 1	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**2**	**Communications correspondence** and related records pertaining to internal administration and operation of communications services.	Temporary	Destroy when 2 years old.	GRS 12 Item 2a	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-D	**3**	**Telecommunications general files** including plans, reports and other records pertaining to equipment requests, telephone service and similar matters.	Temporary	Destroy when 3 years old.	GRS 12 Item 2b	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
1700-D	**4**	**Telecommunications Statistical Reports** including cost and volume.	Temporary	Destroy when 1 year old.	GRS 12 Item 2c	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**5a**	**Telecommunications Reference Vouchers Files.** a. Reference copies of vouchers, bills, invoices, etc.	Temporary	Destroy when 1 fiscal year old.	GRS 12 Item 2d2	Superseded	GRS 1.1 Item 011	DAA-GRS-2013-0003-0002
1700-D	**5b**	**Telecommunications Reference Vouchers Files.** b. Records relating to installation, change, removal and servicing of equipment.	Temporary	Destroy when 1 fiscal year old.		Superseded	GRS 5.5 Item 010	DAA-GRS-2016-0012-0001
1700-D	**6**	**Copies of Agreements for telecommunication services** with background data and other related records	Temporary	Destroy 2 years after expiration or cancellation of agreement.	GRS 12 Item 3a	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
1700-D	**7a**	**Telecommunication Operation Files** a. Message registers, logs, performance reports, daily load reports and related similar records.	Temporary	Destroy when 6 months old.	GRS 12 Item 3b	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-D	**7b**	**Telecommunication Operation Files** 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.	Temporary	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.		Rescinded		
1700-D	**8**	**Telephone Use Records** Initial reports of use of telephone lines (e.g., telephone calls facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Excluded are records accumulated in connection with substantive investigations and audits.	Temporary	Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.	GRS 12 Item 4	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
1700-D	**9a**	**Postal Records: Post** Office forms supporting papers, exclusive of records held by the United States Postal Service. a. Records related to incoming or	Temporary	Destroy when 1 year old.	GRS 12 Item 5a	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		outgoing registered mail pouches and registered, certified, insured and special delivery mail, including receipts.						
1700-D	**9b**	**Postal Records:** Post Office forms supporting papers, exclusive of records held by the United States Postal Service. b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.	Temporary	Destroy when 1 year old.	GRS 12 Item 5b	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**9c**	**Postal Records:** Post Office forms supporting papers, exclusive of records held by the United States Postal Service. c. Reports of loss, delay, wrong delivery, or other improper treatment of mail matter.	Temporary	Destroy when 1 year old.	GRS 12 Item 5c	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10a**	**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.)	Temporary	Destroy when 1 year old.	GRS 12 Item 6a	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10b**	**Mail Delivery Control Files.** b. Statistical reports of postage on	Temporary	Destroy when 6 months old.	GRS 12 Item 6b	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		outgoing mail and fees for private delivery.						
1700-D	**10c**	**Mail Delivery Control Files.** c. Requisitions for stamps (does not apply to copies used to support payment vouchers).	Temporary	Destroy when 6 months old.	GRS 12 Item 6c	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10d**	**Mail Delivery Control Files.** d. Statistical reports and data on mail handling and volume of work performed.	Temporary	Destroy when 1 year old.	GRS 12 Item 6d	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10e**	**Mail Delivery Control Files.** e. Records on checks, cash, stamps, money orders or other valuables remitted to NIH by mail.	Temporary	Destroy when 1 year old.	GRS 12 Item 6e	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10f**	**Mail Delivery Control Files.** f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	Temporary	Destroy when 6 months old.	GRS 12 Item 6f	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**10g**	**Mail Delivery Control Files.** g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Temporary	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.	GRS 12 Item 6g	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-D	**10h**	**Mail Delivery Control Files.** h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Temporary	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.	GRS 12 Item 6h	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**11**	**Metered Mail Report Files:** Official metered mail reports and all related papers.	Temporary	Destroy when 6 years old.	GRS 12 Item 7	Superseded	GRS 5.5 Item 030	DAA-GRS-2016-0012-0003
1700-D	**12**	**Postal Irregularities File:** Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Temporary	Destroy 3 years after completion of investigation.	GRS 12 Item 8	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-D	**13**	**Telephone and Service Directory:** Correspondence, forms and other records related to the compilation of the NIH Telephone and Service Directory.	Temporary	Destroy 2 months after issuance of directory.	GRS 11 Item 3	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
1700-E		**1700-E: Printing and Reproduction** Records relating to printing, binding, duplicating and distribution located throughout NIH. EXCLUDED from this section are: 1. Record copy of each publication, directive, form, press release and similar material maintained in issuing office. (See section 8000-A or appropriate subject/functional headings). 2. Accountable officer's accounts and other GAO records. (See section 1900-A.)						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1700-E	**1**	**Stocks of publications,** except record copy retained in issuing office, maintained solely for distribution.	Temporary	Destroy when superseded, obsolete or no longer needed.		Rescinded		
1700-E	**2**	**Administrative Correspondence Files**: Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication and distribution matters, and related papers.	Temporary	Destroy when 2 years old.	GRS 13 Item 1	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
1700-E	**3a**	**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.	Temporary	Destroy 1 year after completion of job.	GRS 13 Item 2a	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-E	**3b**	**Project Files:** Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.	Temporary	Destroy when 3 years old.	GRS 13 Item 2a	Superseded	GRS 5.5 Item 010	DAA-GRS-2016-0012-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		b. Files pertaining to planning and other technical matters.						
1700-E	**4**	**Control Files:** Control registers pertaining to requisitions and work orders.	Temporary	Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.	GRS 13 Item 3	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
1700-E	**5a**	**Mailing Lists.** a. Correspondence, request forms and other records relating to changes in mailing lists.	Temporary	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.	GRS 13 Item 4a	Superseded	GRS 6.5 Item 020	DAA-GRS-2016-0005-0002
1700-E	**5b**	**Mailing Lists.** b. Card lists.	Temporary	Destroy individual cards when canceled or revised.	GRS 13 Item 4b	Superseded	GRS 6.5 Item 020	DAA-GRS-2016-0005-0002
1700-E	**6a**	**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.	Temporary	Destroy when 3 years old.	GRS 13 Item 5a	Superseded	GRS 5.7 Item 050	DAA-GRS-2017-0008-0005
1700-E	**6b**	**JCP Reports Files:** Reports to Congress and related records.	Temporary	Destroy 1 year after date of report.	GRS 13 Item 5b	Superseded	GRS 5.7 Item 050	DAA-GRS-2017-0008-0005

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		b. Copies in subordinate reporting units and related work papers.						
1700-E	**7**	**Internal Management Files:** Records relating to internal management and operation of the Printing and Reproduction Branch.	Temporary	Destroy when 2 years old.	GRS 13 Item 6	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
1900-A		**1900-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	**1a**	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	Temporary	Destroy 1 year after exception has been reported as cleared by GAO.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
1900-A	**1b**	**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	Temporary	Destroy when 3 years old.	GRS 6 Item 4	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. b. All other records described under 1.a. above.						
1900-A	**2**	**Memorandum or extra copies of accountable officers'** returns including statements of transactions	Temporary	Destroy when 1 year old.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this section excluding freight records covered by part 2600-E and payroll records covered by part 1900-D.						
1900-A	**5a**	**Certification Settlement Files:** Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records. a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Temporary	Destroy 2 years after date of settlement.	GRS 6 item 3a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-A	**5b**	**Certification Settlement Files:** Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records. b. Certificates covering periodic settlements.	Temporary	Destroy when subsequent certificate of settlement is received.	GRS 6 item 3b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-A	**7a**	**Accounting Administrative Files:** Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	Temporary	Destroy when 2 years old.	GRS 6 Item 5a	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Files used for workload and personnel management purposes.						
1900-A	**7b**	**Accounting Administrative Files:** Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. b. All other files.	Temporary	Destroy when 3 years old.	GRS 6 Item 5b	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001
1900-A	**8a-1**	**Federal Personnel Surety Bond Files.** a. Official copies of the bond and attached powers of attorney. 1. Bonds purchased prior to January 1, 1956.	Temporary	Destroy 15 years after bond becomes inactive.		Rescinded		
1900-A	**8a-2**	**Federal Personnel Surety Bond Files.** a. Official copies of the bond and attached powers of attorney. 2. Bonds purchased after December 31, 1955.	Temporary	Destroy 15 years after the end of the bond premium period.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-A	**8b**	**Federal Personnel Surety Bond Files.** b. Other bond files, including other copies of bonds and related papers.	Temporary	Destroy when bond becomes inactive or after the end of the bond premium period.		Rescinded		
1900-A	**9**	**Gasoline Sales Tickets:** Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6 item 7	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-A	**10**	**Telephone Toll Tickets:** Originals and copies of toll tickets filed in support of telephone toll call payments.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6 item 8	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-A	**11**	**Telegrams**: Originals and copies of telegrams filed in support of telegraph bills.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.		Rescinded		
1900-A	**12**	**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.	Temporary	Transfer case files to Federal Records Center one year after receipt of subsequent audit report. Destroy 6 years after receipt of subsequent audit report.	NC1-90-79-7 Item 1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-A	**13a**	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	Temporary	Destroy when 6 years, 3 months old.	GRS 6 Item 10a	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		the amount awarded, EXCLUDING claims covered by sub-item c below.						
1900-A	**13b-1**	Administrative Claims Files. 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 Part103.	Temporary	Destroy when 6 years, 3 months old.	GRS 6 Item 10b1	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-A	**13b-2a**	Administrative Claims Files. 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. (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.	Temporary	Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.	GRS 6 Item 10b2a	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-A	**13b-2b**	Administrative Claims Files. 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. (2) Claims for which collection action has been terminated under 4 CFR Part 104. (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.	Temporary	Destroy 3 months after the end of the extended period.	GRS 6 Item 10b2b	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-A	**13b-3**	Administrative Claims Files. 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. (3) Claims which the agency administratively determines are not owed to the United States after collection action was initiated.	Temporary	Destroy when 6 years, 3 months old.	GRS 6 Item 10b3	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001
1900-A	**13c**	**Administrative Claims Files.** c. Claims files that are affected by a court order or that are subject to litigation proceedings.	Temporary	Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.	GRS 6 Item 10c	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-A	**14a**	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).	Temporary	Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.	GRS 6 Item 11a	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001
1900-A	**14b**	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,	Temporary	Destroy with related claims files in accordance with items 13b and 13c of this schedule.	GRS 6 Item 11b	Superseded	GRS 1.1 Item 080	DAA-GRS-2017-0005-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records. b. Denied waivers.						
1900-B		**1900-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). 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.	Temporary	Destroy when 2 years old.	GRS 7 Item 1	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001
1900-B	**2**	**General Accounting Ledgers:** General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Temporary	Destroy 6 years and 3 months after the close of the fiscal year involved.	GRS 7 item 2	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-B	**3**	**Appropriation Allotment Files:** Allotment records showing status of obligations and allotments under each authorized appropriation.	Temporary	Destroy 6 years and 3 months after the close of the fiscal year involved.	GRS 7 item 3	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-B	**4a**	**Expenditure Accounting Posting and Control Files:** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule. a. Original records.	Temporary	Destroy when 3 years old.	GRS 7 item4a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-B	**4b**	**Expenditure Accounting Posting and Control Files:** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule. b. Copies.	Temporary	Destroy when 2 years old.	GRS 7 item4b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-B	**5**	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.	Temporary	Destroy 5 years after fiscal year in which expenditure is made or final payment is made on grant or contract.	NC1-90-77-2	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-C		**1900-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) 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.	Temporary	Destroy when 3 years old.	GRS 8 Item 1	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001
1900-C	**2**	**Stores Invoice Files:** Invoices or equivalent papers used for stores accounting purposes.	Temporary	Destroy when 3 years old.	GRS 8 Item 2	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
1900-C	**3**	**Stores Accounting Files:** Stores accounting returns and reports.	Temporary	Destroy when 3 years old.	GRS 8 Item 3	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
1900-C	**4**	**Stores Accounting Work Papers**: Work papers used in accumulating stores accounting data.	Temporary	Destroy when 2 years old.	GRS 8 Item 4	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-C	**5a**	**Cost Accounting Reports.** a. Copies in units receiving reports.	Temporary	Destroy when 3 years old.	GRS 8 Item 6a	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
1900-C	**5b**	**Cost Accounting Reports.** b. Copies in reporting units, and related work papers.	Temporary	Destroy when 3 years old.	GRS 8 Item 6b	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
1900-C	**6a**	**Cost Report Data files:** Ledgers, forms, and machine-records used to accumulate data for use in cost reports. a. Ledgers and forms.	Temporary	Destroy when 3 years old.	GRS 8 Item 7a	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
1900-C	**6b-1**	**Cost Report Data files:** Ledgers, forms, and machine-records used to accumulate data for use in cost reports. b. Automated records. 1. Detail cards:	Temporary	Destroy when 6 months old.		Rescinded		
1900-C	**6b-2**	**Cost Report Data files:** Ledgers, forms, and machine-records used to accumulate data for use in cost reports. b. Automated records. 2. Summary cards:	Temporary	Destroy when 6 months old.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-C	**6b-3**	**Cost Report Data files:** Ledgers, forms, and machine-records used to accumulate data for use in cost reports. b. Automated records. 3. Tabulations:	Temporary	Destroy when 1 year old.		Rescinded		
1900-C	**7**	**Equipment Accounting Files:** Account cards and ledgers pertaining to physical plant exclusive of structures. (For buildings see section 2600-B).	Temporary	Destroy 3 years after item is withdrawn from plant account.	GRS 8 item 5	Superseded	GRS 1.1 Item 040	DAA-GRS-2013-0003-0012
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.	Temporary	Destroy 4 years after completion of project.	NC1-90-78-12 Item 9	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-D		**1900-D Payroll**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-D	**1a**	**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.	Temporary	Update elements and/or entire record as required.	GRS 2 Item 1a	Rescinded		-
1900-D	**1b**	**Individual Employee Pay Record.** 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.	Temporary	Transfer to National Personnel Records Center. Destroy when 56 years old.	GRS 2 Item 1b	Superseded	GRS 2.4 Item 040	DAA-GRS-2016-0015-0004
1900-D	**2**	**Noncurrent Payroll Files.** Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.	Temporary	Destroy 15 years after close of pay year in which generated.	GRS 2 Item 2	Rescinded		-
1900-D	**6a**	**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.	Temporary	Destroy at end of following pay period.	GRS 2 Item 6a	Superseded	GRS 2.4 Item 030	DAA-GRS-2016-0015-0003
1900-D	**6b**	**Leave Application Files.** SF 71 or equivalent plus any supporting documentation of requests and approvals of leave. b. If employee has not initialed time card or equivalent.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 6b	Superseded	GRS 2.4 Item 030	DAA-GRS-2016-0015-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
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.	Temporary	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2 Item 7	Superseded	GRS 2.4 Item 030	DAA-GRS-2016-0015-0003
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.	Temporary	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2 Item 8	Superseded	GRS 2.4 Item 030	DAA-GRS-2016-0015-0003
1900-D	**9a**	**Leave Record.** a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.	Temporary	File on right side of the Official Personnel Folder (OPF). See GRS 1, item 1.		Rescinded		
1900-D	**9b**	**Leave Record.** b. Creating agency copy, when maintained.	Temporary	Destroy when 3 years old.	GRS 2 item 9	Superseded	GRS 2.5 Item 020	DAA-GRS-2014-0004-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-D	**13a**	**Tax Files.** a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.	Temporary	Destroy 4 years after superseded or obsolete or upon separation of employee.	GRS 2 Item 13a	Superseded	GRS 2.4 Item 020	DAA-GRS-2016-0015-0002
1900-D	**13b**	**Tax Files.** b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.	Temporary	Destroy when 4 years old.	GRS 2 Item 13b	Superseded	GRS 2.4 Item 050	DAA-GRS-2016-0015-0005
1900-D	**13c**	**Tax Files.** 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.	Temporary	Destroy when 4 years old.	GRS 2 Item 13c	Superseded	GRS 2.4 Item 050	DAA-GRS-2016-0015-0005
1900-D	**14a**	**Savings Bond Purchase Files.** a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.	Temporary	Destroy when superseded or after separation of employee.	GRS 2 Item 14a	Rescinded		-
1900-D	**14b**	**Savings Bond Purchase Files.** b. Bond registration files: issuing agent's copies of bond registration stubs.	Temporary	Destroy 4 months after date of issuance of bond.	GRS 2 Item 14b	Rescinded		-
1900-D	**14c**	**Savings Bond Purchase Files.** c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.	Temporary	Destroy 4 months after date of issuance of bond.	GRS 2 Item 14c	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-D	**15a**	**Combined Federal Campaign and Other Allotment Authorizations.** a. Authorization for individual allotment to the Combined Federal Campaign.	Temporary	Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 15a	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001
1900-D	**15b**	**Combined Federal Campaign and Other Allotment Authorizations.** b. Other authorizations, such as union dues and savings.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 15b	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001
1900-D	**16**	**Thrift Savings Plan Election Form.** Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.	Temporary	Destroy when superseded or after separation of employee.	GRS 2 Item 16	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001
1900-D	**17**	**Direct Deposit Sign-up Form (SF 1199A).**	Temporary	Destroy when superseded or after separation.	GRS 2 Item 17	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001
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.	Temporary	Destroy 3 years after garnishment is terminated.	GRS 2 Item 18	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-D	**22a**	**Payroll System Reports.** a. Error reports, ticklers, system operation reports.	Temporary	Destroy when related actions are completed or when no longer needed, not to exceed 2 years.	GRS 2 Item 22a	Superseded	GRS 2.4 Item 060	DAA-GRS-2016-0015-0006
1900-D	**22b**	**Payroll System Reports.** b. Reports and data used for agency workload and or personnel management purposes.	Temporary	Destroy when 2 years old.	GRS 2 Item 22b	Superseded	GRS 2.4 Item 060	DAA-GRS-2016-0015-0006
1900-D	**22c**	**Payroll System Reports.** c. Reports providing fiscal information on agency payroll.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 22c	Superseded	GRS 2.4 Item 061	DAA-GRS-2016-0015-0007
1900-D	**23a**	**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.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 23a	Superseded	GRS 2.4 Item 010	DAA-GRS-2016-0015-0001
1900-D	**23b**	**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. b. All other copies.	Temporary	Destroy 1 month after end of related pay period.	GRS 2 Item 23b	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-D	**23b**	**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. All Other Copies	Temporary	Destroy 1 month after end of related pay period.	GRS 2 Item 23b	Rescinded		-
1900-D	**24**	**Payroll Correspondence.** Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.	Temporary	Destroy when 2 years old.	GRS 2 Item 24	Superseded	GRS 2.4 Item 060	DAA-GRS-2016-0015-0006
1900-D	**28**	**Retirement Files.** Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.	Temporary	For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.	GRS 2 item 28	Superseded	GRS 2.5 Item 010	DAA-GRS-2014-0004-0001
1900-D	**31a**	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	Temporary	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 2 Item 31	Superseded	GRS 6.1 Item 010 or GRS 6.1 Item 011	DAA-GRS-2014-0001-0001 or DAA-GRS-2014-0001-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		processing systems that are maintained for updating, revision, or dissemination. 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.						
1900-D	**31b**	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. b. Copies used for dissemination,	Temporary	Destroy/delete when dissemination, revision, or updating is completed.	GRS 2 Item 31	Superseded	GRS 6.1 Item 010 or GRS 6.1 Item 011	DAA-GRS-2014-0001-0001 or DAA-GRS-2014-0001-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		revision, or updating that are maintained in addition to the recordkeeping copy.						
1900-E		**1900-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, l.604l-l. 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 l. 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 l099 (NEC), Statement for Recipients of Non-employee Compensation and l099 (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.	Temporary	Destroy 4 years after the year of issuance.	NC1-90-82-6 Item 1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-E	**2**	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 used by the Office of Financial Management to generate comprehensive reports and to prepare Information Returns (Form IRS l099) as required by IRS. Located in Originating IC.	Temporary	Destroy after 1 year or when no longer needed for administrative purposes.	NC1-90-82-6 Item 2	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-E	**3**	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 l099. Located in Offices responsible for payment.	Temporary	Destroy 4 years after the calendar year in which the payment was made.	NC1-90-82-6 Item 3	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-E	**4a**	**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.	Temporary	Destroy 4 years after the date of the report.	NC1-90-82-6 Item 4a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-E	**4b**	**Output Reports** from non-employee compensation reporting system, including cumulative, monthly and year-to-date listings of non-employee compensation payments. b. Other copies.	Temporary	Destroy after 1 year or when no longer needed.	NC1-90-82-6 Item 4b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-E	**5**	**Posting and Control files** for non-employee compensation reporting system such as data entry records, vendor coding sheets and error listings.	Temporary	Destroy once data has been accepted as error-free into the WYLBUR data set.	NC1-90-82-6 Item 5	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-E	**6**	**Non-Employee Compensation** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Rescinded		
1900-F		**1900-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)						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-F	**1a**	**Gift Fund Plans** submitted annually to the Division of Financial Management. a. Located in Office of Financial Management	Temporary	Destroy when 5 years old. Inactive records may be transferred to the Federal Records Center when 1 year old.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**1b**	**Gift Fund Plans** submitted annually to the Division of Financial Management. b. Located in originating budget office.	Temporary	Destroy when 3 years old or when no longer needed, whichever is sooner.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**1c**	**Gift Fund Plans** submitted annually to the Division of Financial Management. c. Other copies.	Temporary	Destroy in 1 year, or when no longer needed, whichever is sooner.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**2a**	**Periodic Reports on gift funds.** a. Located in Office of Financial Management.	Temporary	Transfer to Federal Records Center when 2 years old. Destroy when 7 years old.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**3a**	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.	Temporary	Destroy 2 years after refusal of the bequest.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Original copies: When legal advice or action is necessary, forward to the office of the NIH Legal Advisor. Otherwise follow appropriate instructions below.						
1900-F	**3b**	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. b. Records relating to bequests which are refused. Located in components receiving offer of bequest.	Temporary	Destroy 2 years after refusal of the bequest.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**3c**	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.	Temporary	Destroy 6 years after disbursement of funds or, in the case of non-monetary gifts, 6 years after acceptance.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		c. Records related to unconditional bequests which are accepted. Located in components benefiting from the bequest.						
1900-F	**3d**	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. d. Records related to conditional bequests which are accepted. Located in components receiving offer of bequest.	Temporary	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.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
1900-F	**4a**	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.	Temporary	Destroy when 2 years old.	NC1-443-84-1	Superseded	GRS 1.1 Item 001	DAA-GRS-2016-0013-0001
1900-F	**4b**	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. b. Related to acceptance of gifts.	Temporary	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.	NC1-443-84-1	Superseded	GRS 1.1 Item 001	DAA-GRS-2016-0013-0001
1900-F	**5**	**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.	Temporary	Destroy data when information is updated or superseded, or no later than 1 year after final action on a gift or offer of gift.	NC1-443-84-1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in organization benefiting from the gift.						
1900-F	**6**	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.	Temporary	Destroy when 3 years old.	N1-443-00-3	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
1900-F	**7**	**Gift Administration** **Electronic copies** created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Rescinded		
2100		**2100 Budgeting**						
2100-A		2100-A 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.						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2100-A	**1**	**Budgeting Policy Files:** Correspondence or subject files documenting NIH policy and procedures governing budget administration. Located in the NIH Office of Budget.	Temporary	Transfer to the Federal Records Center 5 years after the close of the fiscal year covered by the budget. Destroy when 15 years old.	N1-443-98-3	Superseded	1100-B-7	DAA-0443-2017-0004-0002
2100-A	**2**	**Budget Estimates and Justifications Files** 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.	Permanent	Retire to the Federal Records Center when no longer needed for reference or administrative purposes. Transfer to NARA when 20 years old.	N1-443-98-3	Superseded	GRS 1.3 Item 010	DAA-GRS-2015-0006-0001
2100-A	**3**	**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.	Temporary	Destroy when 2 years old.	GRS 5 Item 1	Superseded	GRS 1.3 Item 050	DAA-GRS-2015-0006-0007
2100-A	**4a**	**Budget Reports:** Periodic reports on the status of appropriation accounts and apportionment. a. Annual report at end of fiscal year.	Temporary	Destroy when 5 years old.	GRS 5 Item 3a	Superseded	GRS 1.3 Item 030	DAA-GRS-2015-0006-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2100-A	**4b**	**Budget Reports:** Periodic reports on the status of appropriation accounts and apportionment. b. All other budget reports.	Temporary	Destroy 3 years after end of the fiscal year.	GRS 5 Item 3b	Superseded	GRS 1.3 Item 031	DAA-GRS-2015-0006-0004
2100-A	**5**	**Budget Apportionment Files:** Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Temporary	Destroy 2 years after the close of the fiscal year	GRS 5 Item 4	Superseded	GRS 1.3 Item 020	DAA-GRS-2015-0006-0002
2100-A	**6**	**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.	Temporary	Destroy 1 year after the close of the fiscal year covered by the budget.	GRS 5 Item 2	Superseded	GRS 1.3 Item 010 GRS 1.3 Item 040 GRS 1.3 Item 041	DAA-GRS-2015-0006-0001 DAA-GRS-2015-0006-0005 DAA-GRS-2015-0006-0006
2200		**2200 Equal Employment Opportunity Files**						
2200-A	**1a**	2200-A-1 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.	Temporary	Destroy 5 years from date of plan.	GRS 1 Item 25h1	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Consolidated NIH-wide plans.						
2200-A	**1b**	2200-A-1 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. b. IC or lower level feeder plans.	Temporary	Destroy 5 years from date of plan, or sooner if no longer needed for administrative purposes.	GRS 1 Item 25h2	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011
2200-A	**1c**	2200-A-1 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. c. Report of on-site reviews of Affirmative Action Programs.	Temporary	Destroy 5 years from date of report.	GRS 1 Item 25h3	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2200-A	**1d**	2200-A-1 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. d. Agency copy of annual report of Affirmative Action accomplishments.	Temporary	Destroy 5 years from date of report.	GRS 1 Item 25h4	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011
2200-A	**2**	**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.	Temporary	Destroy all copies when 5 years old. Copies in the ICs or other locations may be destroyed earlier if no longer needed for reference.	NC1-90-77-2 Item 67	Superseded	GRS 2.3 Item 030	DAA-GRS-2015-0007-0006
2200-A	**3a**	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 09-90-0015 and 09-90-0009).	Temporary	Destroy 4 years after final decision on case when resolved within DHHS.	GRS 1 Item 25a	Superseded	GRS 2.3 Item 010 or GRS 2.3 Item 032	DAA-GRS-2015-0007-0007 or DAA-GRS-2015-0007-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Official Discrimination Complaint Case Files.						
2200-A	**3b**	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 09-90-0015 and 09-90-0009). b. Duplicate case files or documents pertaining to cases files retained in Official Discrimination Complaint Case Files.	Temporary	Destroy 1 year after resolution of case.	GRS 1 Item 25b	Rescinded		-
2200-A	**3c-1**	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 09-90-0015 and 09-90-0009).	Temporary	Destroy 2 years after final adjustment.	GRS 1 Item 25c1	Superseded	GRS 2.3 Item 033	DAA-GRS-2015-0007-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		c. Preliminary and Background Files (1) Background documents related to the case but not included in the Official Discrimination Complaint Case File						
2200-A	**3c-2**	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 09-90-0015 and 09-90-0009). c. Preliminary and Background Files (2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.	Temporary	Destroy when 2 years old.	GRS 1 Item 25c2	Superseded	GRS 2.3 Item 033	DAA-GRS-2015-0007-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2200-A	**3d-1**	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 09-90-0015 and 09-90-0009). d. Compliance Records. (1) Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.	Temporary	Destroy when 7 years old.	GRS 1 Item 25d1	Superseded	GRS 2.3 Item 034	DAA-GRS-2015-0007-0010
2200-A	**3d-2**	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 09-90-0015 and 09-90-0009). c. Preliminary and Background Files (2) EEO Compliance Reports.	Temporary	Destroy when 3 years old.	GRS 1 Item 25d2	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2200-A	**3e**	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 09-90-0015 and 09-90-0009). e. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.	Temporary	Destroy when 1 year old.	GRS 1 Item 25e	Rescinded		-
2200-A	**3f**	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 09-90-0015 and 09-90-0009). f. Employment Statistics Files. Employment statistics relating to race and sex.	Temporary	Destroy when 5 years old.	GRS 1 Item 25f	Superseded	GRS 2.3 Item 035	DAA-GRS-2015-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2200-A	**4**	**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 09-90-0014	Temporary	Official EEO file - Destroy 4 years after settlement of the complaint. Other copies - Destroy 1 year after settlement of complaint.	N/A	Superseded	GRS 2.3 Item 031	DAA-GRS-2015-0007-0007
2200-A	**5**	**Grievances Files:** These are individual case files of employee grievances, which include the original grievance and documents developed in investigating and resolving the case.	Temporary	All copies - Destroy 4 years after the file is closed.	NC1-90-77-2 Item 70	Superseded	GRS 2.3 Item 060	DAA-GRS-2015-0007-0017
2200-A	**6**	**Adverse Action Files:** These are individual case files on adverse actions. Included are all supporting and related papers.	Temporary	All copies - Destroy 4 years after the file is closed.	GRS 1 item 30a	Superseded	GRS 2.3 Item 061	DAA-GRS-2015-0007-0018
2200-A	**8**	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).	Temporary	Destroy 5 years after the date of the record.	GRS 1 Item 30b	Rescinded		-
2300-200		**2300-200 General Personnel Provisions**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-200	**1**	Personnel Correspondence and Subject Files. 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.	Temporary	Destroy when 3 years old.		Superseded	GRS 2.2 Item 010	DAA-GRS-2017-0007-0001
2300-200	**2**	**Personnel Operations Statistical Reports**: Statistical reports in the operating personnel office and subordinate units relating to personnel.	Temporary	Destroy when 2 years old.	GRS 1 Item 16	Superseded	GRS 2.2 Item 010	DAA-GRS-2017-0007-0001
2300-293		**2300-293 Personnel Records and Files**						
2300-293	**1a**	1 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. a. Transferred employees: See Chapter 7 of The Guide to Personnel	Temporary	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.	GRS 1 Item 1a	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Recordkeeping for instructions relating to folders of employees transferred to another agency.						
2300-293	**1b**	1 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. b. Separated employees.	Temporary	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.	GRS 1 Item 1b	Superseded	GRS 2.2 Item 040	DAA-GRS-2017-0007-0004
2300-293	**2**	**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.	Temporary	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.	GRS 1 Item 10a	Superseded	GRS 2.2 Item 041	DAA-GRS-2017-0007-0005
2300-293	**3**	Employment Applications. Applications, including OF 612, resumes, and any application that an agency may develop for unique jobs with specialized requirements,	Temporary	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.	N/A	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder.						
2300-293	**4a**	Clinical Center Medical Staff - Medical Staffs' credential files, documenting approval by Clinical Center Administration of physicians, dentists, and other health professionals involved in patient treatment or other contacts. The files contain record of participation in patient care, signed agreements to abide by Medical Staff by laws, delineations of clinical privileges, and related papers. (NOTE: These records are part of Privacy Act system of records 09 25 0169.) Located in CC, Medical Records Department. Clinical Center Medical Staff - Medical Staffs' credential files, documenting approval by Clinical Center Administration of physicians, dentists, and other health professionals involved in patient treatment or other contacts. The files contain record of participation	Temporary	Purge hard copy files immediately after medical staff member leaves patient care. Transfer hard copy files of medical staff members employed in Clinical Center departments to the Federal Records Center in 5 year blocks by retiring all materials through the fiscal year, ending September 30. Retire all materials through FY 1998, then in 5 year blocks thereafter by fiscal year. (For example, in fiscal year 1999, transfer files closed out in fiscal years 1984 1998; in fiscal year 2004, transfer files closed out in fiscal years 1999 2003; in fiscal year 2009, transfer files closed out in fiscal years 2004-2008.) Destroy when 30 years old.	N1-443-93-1	Superseded	I-0011 Medical Staff Credentialing Records	DAA-0443-2012-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		in patient care, signed agreements to abide by Medical Staff by laws, delineations of clinical privileges, and related papers. (NOTE: These records are part of Privacy Act system of records 09 25 0169.) Located in CC, Medical Records Department.						
2300-294	**4b**	Data Files - Medical Staffs' credential files, documenting approval by Clinical Center Administration of physicians, dentists, and other health professionals involved in patient treatment or other contacts. The files contain record of participation in patient care, signed agreements to abide by Medical Staff by laws, delineations of clinical privileges, and related papers. (NOTE: These records are part of Privacy Act system of records 09 25 0169.) Located in CC, Medical Records Department. Data Files - Medical Staffs' credential files, documenting approval by Clinical Center Administration of physicians, dentists, and other health professionals involved in patient	Temporary	Delete inactive information in the database when no longer needed.	N1-443-93-1	Superseded	I-0011 Medical Staff Credentialing Records	DAA-0443-2012-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		treatment or other contacts. The files contain record of participation in patient care, signed agreements to abide by Medical Staff by laws, delineations of clinical privileges, and related papers. (NOTE: These records are part of Privacy Act system of records 09 25 0169.) Located in CC, Medical Records Department.						
2300-293	**5**	**Investigatory Material from the Office of Personnel Management** on employees or potential employees in non-sensitive positions.	Temporary	Destroy after the decision is made on hiring or retention of the employee	N/A	Superseded	GRS 2.1 Item 140	N/A
2300-300		**2300-300 Employment**						
2300-300	**1a**	**Service Record Card** (Standard Form 7 or its equivalent). a. Cards of employees separated or transferred on or before December 31, 1947.	Temporary	Transfer to NPRC (CPR) St. Louis, Missouri. Destroy 60 years after earliest personnel action date.	GRS 1 Item 2a	Rescinded		-
2300-300	**1b**	**Service Record Card** (Standard Form 7 or its equivalent). b. Cards for employees separated or transferred on or after January 1, 1948.	Temporary	Destroy 3 years after separation or transfer of employee. [NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]	GRS 1 Item 2b	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-300	**2**	**Employee Record Cards** used for informational purposes outside personnel offices (such as SF 7-B).	Temporary	Destroy on separation or transfer of employee.	GRS 1 Item 6	Rescinded		-
2300-300	**3**	**Special Employment Program Files** on participants in special programs such as Upward Mobility, Junior Fellows, Management Interns, DHHS Fellows, etc.	Temporary	Destroy either when there is no further administrative need for the file, or 2 years after participant leaves the program, whichever comes first.	N/A	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320		**2300-320 Staff Fellowship Programs**						
2300-320	**1**	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.	Temporary	Destroy 2 years after completion of grants associate appointment.	NC1-90-77-2 Item 38b	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**2a-1**	**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.	DISPOSAL NOT AUTHORIZED	Maintain and transfer to Federal Personnel Records Center in accordance with instructions in Federal Personnel Manual.	NC1-90-77-2 Item 54a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**2a-2**	**Visiting Program Files** a. Case files on Visiting Scientists or Associates (service fellows) who are sponsored by an IC to conduct research at NIH. 2. Located in FIC.	Temporary	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	NC1-90-77-2 Item 54a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**2b**	**Visiting Program Files** b. Case files on Visiting Fellows (regular fellows) who are sponsored by an IC to receive postdoctoral research training. Located in FIC.	Temporary	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.	NC1-90-77-2 Item 54b	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**3a**	**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.	Temporary	Destroy 2 years after year in which individual completes work at NIH.	NC1-90-77-2 Item 55	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**3b**	**Guest Worker Program Files:** Case files on individual outstanding scientists who have been authorized by a IC to utilize NIH research facilities. b. Located in FIC.	Temporary	Destroy not later than 4 years after individual completes work at NIH.	NC1-90-77-2 Item 55	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**4a**	**Expert Series Program Files:** Case files on individual experts who are sponsored by a IC to conduct research at NIH. a. Located in IC.	Temporary	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.	NC1-90-77-2 Item 56	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**4b**	**Expert Series Program Files:** Case files on individual experts who are sponsored by a IC to conduct research at NIH. b. Located in FIC.	Temporary	Destroy not later than 4 years after individual completes work at NIH.	NC1-90-77-2 Item 56	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**5a**	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 Fellowship Selection Committee, Swedish Medical Research Council Fellowships, Swiss National Science Foundation Fellowships, and other international exchange programs.	Temporary	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.	NC1-90-77-2 Item 58	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Located in FIC.						
2300-320	**5b**	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 Fellowship Selection Committee, Swedish Medical Research Council Fellowships, Swiss National Science Foundation Fellowships, and other international exchange programs. b. Other copies.	Temporary	Destroy 2 years after the fiscal year in which case is closed.	NC1-90-77-2 Item 58	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**6a**	**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.	Temporary	Destroy 6 years after fiscal year in which related activity is completed.	NC1-90-77-2 Item 58a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**6b**	**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. b. Located in FIC.	Temporary	Destroy 1 year after fiscal year in which related activity is completed.	NC1-90-77-2 Item 58a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**7b**	International Research Fellowships and Fogarty Scholars in Residence Case Files Rejected applications for awards made under the NIH Extramural Program, including applications, review actions, award notices, financial records, close out documents, and audit reports, if any.	Temporary	Destroy 5 years after rejection.	NC1-90-77-2 Item 59	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
2300-320	**10a**	**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.	Temporary	Destroy 2 years after associate leaves.	NC1-90-78-9 Item 1a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**10b**	**NIH Associates Files for clinical, research, or staff associates.** Located in Office of Education. b. For rejected applicants.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 1b	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**11**	**NIH Associates Program Card Summaries,** containing vital summary data on associates and their tours of duty. Located Office of Education.	Temporary	Destroy 10 years after associate leaves.	NC1-90-78-9 Item 2	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**12a**	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.	Temporary	Destroy 5 years after resident leaves.	NC1-90-78-9 Item 3a	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-320	**12b**	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. b. For rejected applicants.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 3b	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**13**	**NIH Associates Program Card summaries on residents.** Located in Office of Education.	Temporary	Destroy 10 years after resident leaves.	NC1-90-78-9 Item 4	Superseded	GRS 2.1 Item 120	DAA-GRS-2014-0002-0016
2300-320	**14**	**Staff Fellowship Programs** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
2300-330		**2300-330 Recruitment, Selection and Placement**						
2300-330	**1a**	**Offers of Employment Files**: Correspondence, letters, and telegrams offering appointments to potential employees. a. Accepted offers.	Temporary	Destroy when appointment is effective.	GRS 1 Item 4a	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**1b-1**	**Offers of Employment Files**: Correspondence, letters, and telegrams offering appointments to potential employees. b. Declined offers. 1. When name is received from certificate of eligibles		Return to Office of Personnel Management with reply and application.	GRS 1 Item 4b1	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011
2300-330	**1b-2**	**Offers of Employment Files**: Correspondence, letters, and telegrams offering appointments to potential employees. b. Declined offers. 2. Temporary or excepted appointment:		File inside application. (See item 2300-293-3).	GRS 1 Item 4b2	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011
2300-330	**1b-3**	**Offers of Employment Files**: Correspondence, letters, and telegrams offering appointments to potential employees. b. Declined offers. 3. All others:	Temporary	Destroy immediately.	GRS 1 Item 4b3	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011
2300-330	**2**	**Certificates of Eligibles Files**: Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence and statement of reasons for passing	Temporary	Destroy when 2 years old.	GRS 1 Item 5	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		over a preference eligible and selecting a non-preference eligible.						
2300-330	**3**	**Interview Records:** Correspondence, reports and other records relating to interviews with employees.	Temporary	Destroy 6 months after transfer or separation of employee.	GRS 1 Item 8	Superseded	GRS 2.1 Item 090	DAA-GRS-2014-0002-0008
2300-330	**4a**	**Retention Registers** a. Registers and related records used to effect reduction-in-force actions have been taken.	Temporary	Destroy when 2 years old.	GRS 1 item 17b	Superseded	GRS 2.5 Item 011	DAA-GRS-2014-0004-0002
2300-330	**4b**	**Retention Registers** b. Registers from which no reduction-in-force actions have been taken and related records.	Temporary	Destroy when superseded or obsolete.	GRS 1 item 17b2	Superseded	GRS 2.5 Item 011	DAA-GRS-2014-0004-0002
2300-330	**5**	**Pending Personnel Actions:** Correspondence and forms relating to pending personnel actions.	Temporary	Destroy when action is completed.	NC1-64-77-10 item 17a	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2300-330	**6**	**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.		Maintained in Official Personnel Folders.	N/A	Superseded	GRS 2.2 Item 040 or GRS 2.2 Item 041	DAA-GRS-2017-0007-0004 or DAA-GRS-2017-0007-0005

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7a**	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.	Temporary	Destroy 3 years after termination of agreement.	GRS 1 Item 33a	Superseded	GRS 2.1 Item 150	DAA-GRS-2014-0002-0021
2300-330	**7b**	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. 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	Temporary	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33b	Superseded	GRS 2.1 Item 050 orGRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		examinations and shipment of test materials.						
2300-330	**7c**	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. c. Stock control records of examination test material including running inventory of test material in stock.	Temporary	Destroy when test is superseded or obsolete.	GRS 1 Item 33d	Rescinded		-
2300-330	**7d**	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. d. Application Record Card (OPM Form 5000A, or equivalent).	Temporary	Cut off after examination. Destroy no later than 90 days after Cut off.	GRS 1 Item 33e	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7e**	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. 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).	Temporary	Destroy 5 years after termination of related register.	GRS 1 Item 33f	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7f**	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. f. Register of eligibles (OPM Form 5001-C, or equivalent document that records eligibility for an individual for Federal jobs).	Temporary	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.)	GRS 1 Item 33g	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007
2300-330	**7g**	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. g. Letters to applicants denying transfer of eligibility (OPM Form 4896, or equivalent).	Temporary	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33h	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7h**	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. h. Cancelled and ineligible applications (the applications, supplemental forms, and attachments).	Temporary	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.	GRS 1 Item 33k	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011
2300-330	**7i**	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. i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Temporary	Destroy when 6 months old.	GRS 1 Item 33i	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7j**	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. j. Lost or Exposed Test Materials Case Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required.	Temporary	Cut off files annually. Destroy 5 years after Cut off.	GRS 1 Item 33j	Superseded	GRS 2.1 Item 070	DAA-GRS-2014-0002-0012
2300-330	**7k-1**	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. k. Eligible applications. l. On active register.	Temporary	Destroy upon termination of the register (except applications that may be brought forward to new register, if any).	GRS 1 Item 33 l1	Superseded	GRS 2.1 Item 060	DAA-GRS-2014-0002-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7k-2**	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. k. Eligible applications. 2. On inactive register.	Temporary	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.	GRS 1 Item 33f	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007
2300-330	**7l**	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. 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.	Temporary	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33o	Superseded	GRS 2.1 Item 080	DAA-GRS-2014-0002-0013

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7m**	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. 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.	Temporary	Cut off annually. Destroy 5 years after cut off.	GRS 1 Item 33p	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-330	**7n**	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. n. Certification request control index.	Temporary	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33q	Superseded	GRS 2.1 Item 050 or GRS 2.1 Item 051	DAA-GRS-2014-0002-0006 or DAA-GRS-2014-0002-0007
2300-330	**7o**	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. o. Interagency Placement Program (IPP) application and registration sheet.	Temporary	Destroy upon expiration of employee's DEP eligibility.	GRS 1 Item 33r	Superseded	GRS 2.3 Item 071	DAA-GRS-2015-0007-0020
2300-330	**7p**	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	Temporary	Cut off annually. Destroy 2 years after cut off.	GRS 1 Item 33s	Superseded	GRS 2.3 Item 070	DAA-GRS-2015-0007-0019

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		for the examination and certification of applicants for employment. p. DEP control cards, if maintained.						
2300-330	**7q**	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. q. Reports of audits of delegated examining operations.	Temporary	Destroy 3 years after date of the report.	GRS 1 Item 33t	Superseded	GRS 2.1 Item 160	DAA-GRS-2014-0002-0022
2300-355		**2300-355 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.	Temporary	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.	GRS 1 Item 32	Superseded	GRS 2.1 Item 050	DAA-GRS-2014-0002-0006
2300-410		**2300-410 Training**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-410	**2a-1**	**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.	Temporary	Destroy when 5 years old or 5 years after completion of a specific training program.	GRS 1 Item 29a1	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
2300-410	**2a-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.	Temporary	Destroy when 3 years old	GRS 1 Item 29a2	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		2. Background and working files.						
2300-410	**2b**	**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.	Temporary	Destroy when 5 years old or when superseded or obsolete whichever is sooner.	GRS 1 Item 29b	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
2300-430		**2300-430 Performance Evaluation**						
2300-430	**1**	**Performance Rating Board Case Files:** Copies of case files forwarded to OPM relating to Performance Rating Board Reviews.	Temporary	Destroy 1 year after case is closed.	GRS 1 Item 9	Superseded	GRS 2.2 Item 072	DAA-GRS-2017-0007-0010
2300-430	**2a-1**	**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.	Temporary	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.	GRS 1 Item 23a1	Superseded	GRS 2.2 Item 071	DAA-GRS-2017-0007-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-430	**2a-2**	**Employee Performance File System Records** a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 2. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Temporary	Destroy when superseded.	GRS 1 Item 23a2	Superseded	GRS 2.2 Item 073	DAA-GRS-2017-0007-0011
2300-430	**2a-3**	**Employee Performance File System Records** a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 3. Performance-related records pertaining to a former employee.	Temporary	Destroy when 3 years old or when no longer needed, whichever is sooner.	GRS 1 Item 23a3a	Superseded	GRS 2.2 Item 070	DAA-GRS-2017-0007-0008
2300-430	**2a-3a**	Employee Performance File System Records a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 3. Performance-related records pertaining to a former employee. (a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.		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).	GRS 1 Item 23a3a	Superseded	GRS 2.2 Item 070	DAA-GRS-2017-0007-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-430	**2a-3b**	**Employee Performance File System Records** a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 3. Performance-related records pertaining to a former employee. (b) All other performance plans and ratings.	Temporary	Destroy when 4 years old.	GRS 1 Item 23a3b	Superseded	GRS 2.2 Item 070	DAA-GRS-2017-0007-0008
2300-430	**2a-4**	**Employee Performance File System Records** a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 4. All summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.	Temporary	Destroy 4 years after date of appraisal.	GRS 1 Item 23b4	Superseded	GRS 2.2 Item 072	DAA-GRS-2017-0007-0010
2300-430	**2a-5**	**Employee Performance File System Records** a. Non-SES appointees [as defined in 5 U.S.C. 4301(2)]. 5. Supporting Documents.	Temporary	Destroy 4 years after date of appraisal.	GRS 1 Item 23a4	Superseded	GRS 2.2 Item 070	DAA-GRS-2017-0007-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-430	**2b-1**	**Employee Performance File System Records** b. SES appointees (as defined in 5 USC 3132a(2)]. 1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Temporary	Destroy upon superseded.	GRS 1 Item 23a5	Superseded	GRS 2.2 Item 070	DAA-GRS-2017-0007-0008
2300-430	**2b-2a**	**Employee Performance File System Records** b. SES appointees (as defined in 5 USC 3132a(2)]. 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.		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.	GRS 1 Item 23b1	Superseded	GRS 2.2 Item 073	DAA-GRS-2017-0007-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-430	**2b-2b**	**Employee Performance File System Records** b. SES appointees (as defined in 5 USC 3132a(2)]. 2. Performance-related records pertaining to a former SES appointee. (b) All other performance ratings and plans.	Temporary	Destroy when 5 years old.	GRS 1 Item 23b2a	Superseded	GRS 2.2 Item 072	DAA-GRS-2017-0007-0010
2300-430	**2b-3**	**Employee Performance File System Records** b. SES appointees (as defined in 5 USC 3132a(2)]. 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).	Temporary	Destroy 5 years after date of appraisal.	GRS 1 Item 23b3	Superseded	GRS 2.2 Item 072	DAA-GRS-2017-0007-0010

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-430	**2b-4**	**Employee Performance File System Records** b. SES appointees (as defined in 5 USC 3132a(2)]. 4. Supporting documents.	Temporary	Destroy 5 years after date of appraisal.	GRS 1 Item 23b4	Superseded	GRS 2.2 Item 072	DAA-GRS-2017-0007-0010
2300-450		**2300-450 Employee Recognition and Incentives**						
2300-450	**1a**	**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.	Temporary	Destroy 2 years after approval or disapproval.	GRS 1 Item 12a1	Superseded	GRS 2.2 Item 030	DAA-GRS-2017-0007-0003
2300-450	**1b**	**General Awards Records** b. Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Temporary	Destroy when 2 years old.	GRS 1 Item 12a2	Superseded	GRS 2.2 Item 030	DAA-GRS-2017-0007-0003
2300-450	**2**	**Length of Service and Sick Leave Awards** File including correspondence, memoranda,	Temporary	Destroy when 1 year old.	GRS 1 Item 12b	Superseded	GRS 2.2 Item 030	DAA-GRS-2017-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		reports, computations or service and sick leave, and list of awardees.						
2300-450	**3**	**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.	Temporary	Destroy when 2 years old.	GRS 1 Item 12c	Superseded	GRS 2.2 Item 030	DAA-GRS-2017-0007-0003
2300-450	**4**	**Lists or Indexes to Agency Award Nominations:** Lists of nominees and winners, and indexes of nominations.	Temporary	Destroy when superseded or obsolete.	GRS 1 Item 12d	Superseded	GRS 2.2 Item 030	DAA-GRS-2017-0007-0003
2300-450	**5**	**Incentive Awards Program Reports** pertaining to the operation of the Incentive Awards Program.	Temporary	Destroy when 3 years old.	GRS 1 Item 13	Rescinded		-
2300-500		**2300-500 Position Classification, Pay and Allowances**						
2300-500	**1**	**Position Classification Standards:** Federal personnel standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	Temporary	Destroy when superseded or obsolete.	GRS 1 Item 7a1	Rescinded		-
2300-500	**2a**	**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.	Temporary	Destroy 5 years after position is abolished or description is superseded.	GRS 1 Item 7a2a	Superseded	GRS 2.1 Item 010	DAA-GRS-2014-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Case file.						
2300-500	**2b**	**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. b. Review File.	Temporary	Destroy when 2 years old.	GRS 1 Item 7a2b	Rescinded		-
2300-500	**3**	**Position Descriptions:** Files describing established positions including information on title, series, grade, duties and responsibilities and related documents.	Temporary	Destroy 2 years after position is abolished or description is superseded.		Superseded	GRS 2.1 Item 020	DAA-GRS-2014-0002-0002
2300-500	**4a**	**Survey Files.** a. Classification survey reports on various positions prepared by classification specialists including periodic reports.	Temporary	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.	GRS 1 Item 7c1	Rescinded		-
2300-500	**4b**	**Survey Files.** b. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating	Temporary	Destroy when obsolete or superseded.	GRS 1 Item 7c2	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		to inspections, surveys, desk audits and evaluations.						
2300-500	**5**	**Appeals Files:** Case files relating to classification appeals, excluding OPM classification certificate.	Temporary	Destroy 3 years after case is closed.	GRS 1 item 7d1	Superseded	GRS 2.1 Item 030	DAA-GRS-2014-0002-0004
2300-500	**6**	**Position Identification Strips**: Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Temporary	Destroy when superseded or obsolete.	GRS 1 Item 11	Rescinded		-
2300-537		**2300-537 NIH Office of Loan Repayment and Scholarship (OLRS)**						
2300-537	**1a**	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. a. Recordkeeping copy:	Temporary	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.	N1-443-00-2	Superseded	GRS 2.4 Item 090	DAA-GRS-2016-0015-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-537	**1b**	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. b. Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.	N1-443-00-2	Rescinded		-
2300-537	**2**	**Correspondence and/or subject files** relating to routine operations and daily activities in administration of OLRS programs.	Temporary	Destroy when 2 years old.	N1-443-91-1	Superseded	GRS 5.1 Item 010	DAA-443-2016-0016-0001
2300-537	**3**	Data Files: Computer-generated output maintained for the purpose of summarizing, analyzing, coordinating, planning, and tracking OLRS payments.	Temporary	Destroy when superseded, obsolete, or no longer needed for administrative purposes.	N1-443-91-1	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-537	**4a**	Case Files: Loan Repayment and Scholarship Programs Definitions: 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	Temporary	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.	N1-443-91-1	Superseded	GRS 2.4 Item 090 (NIH staff) or GRS 1.1 Item 010 (Grantees)	DAA-GRS-2016-0015-0011 or DAA-GRS-2016-0015-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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							

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-537	**4b**	Case Files: Loan Repayment and Scholarship Programs Definitions: 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	Temporary	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.	N1-443-91-1	Superseded	GRS 2.4 Item 090 (NIH staff) or GRS 1.1 Item 010 (Grantees)	DAA-GRS-2016-0015-0011 or DAA-GRS-2016-0015-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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. b. Applicant Case Files							
2300-537	**5a-1**	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	Temporary	Destroy 6 years after calendar year in which case is closed.	N1-443-91-1	Superseded	2.4 Item 090 (NIH staff) or 1.1 Item 010 (Grantees)	DAA-GRS-2016-0015-0011 or DAA-GRS-2016-0015-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		documentation of final decision. 1. Official Case file.						
2300-537	**5a-2**	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. 2. Other copies.	Temporary	Destroy 2 years after calendar year in which case is closed.	N1-443-91-1	Rescinded		-
2300-537	**5b-1**	OLRS Program Appeals and Litigations 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.	Temporary	Destroy 6 years after calendar year in which case is closed.	N1-443-91-1	Superseded	2.4 Item 090 (NIH staff) or 1.1 Item 010 (Grantees)	DAA-GRS-2016-0015-0011 or DAA-GRS-2016-0015-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-537	**5b-2**	**OLRS Program Appeals and Litigations** b. OLRS Litigation Case Files, consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents. 2. Other copies.	Temporary	Destroy 2 years after calendar year in which case is closed.	N1-443-91-1	Rescinded		-
2300-709		**2300-709 Career Guidance and Counseling**						
2300-709	**1a**	**Personnel Counseling Files:** a. Counseling Files. Reports of interviews, analyses and related records.	Temporary	Destroy 3 years after termination of counseling records.	GRS 1 Item 26a	Superseded	GRS 2.7 Item 091	DAA-GRS-2017-0010-0015
2300-709	**1b**	**Personnel Counseling Files:** b. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.	Temporary	Destroy when 3 years old.	GRS 1 Item 26b	Superseded	GRS 2.7 Item 080	DAA-GRS-2017-0010-0013
2300-711		**2300-711 Labor Management Relations**						
2300-711	**1a**	**Labor Management Relations General and Case Files:** correspondence, memoranda, reports and other records relating to the relationship between management and employee unions	Temporary	Destroy 5 years after expiration of agreement.	GRS 1 Item 28a1	Superseded	GRS 2.3 Item 050	DAA-GRS-2015-0007-0014

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		or other groups. a. Located in Office negotiating agreement.						
2300-711	**1b**	**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. b. Located in other offices.	Temporary	Destroy when superseded or obsolete.	GRS 1 Item 28a2	Superseded	GRS 2.3 Item 051	DAA-GRS-2015-0007-0015
2300-711	**2**	**Labor Arbitration General and Case Files**: Correspondence, forms, and background papers, relating to labor arbitration cases.	Temporary	Destroy 5 years after final resolution of case.	GRS 1 Item 28b	Superseded	GRS 2.3 Item 052	DAA-GRS-2015-0007-0016
2300-711	**3a**	**Negotiated Agreements** a. Written contract between management and a union which defines the working relationship between the parties to the agreement.	Temporary	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.'	N/A	Superseded	GRS 2.3 Item 050, GRS 2.3 Item 051, or GRS 2.3 Item 052	DAA-GRS-2015-0007-0014 or DAA-GRS-2015-0007-0015 or DAA-GRS-2015-0007-0016
2300-711	**3b**	**Negotiated Agreements** b. Records pertaining to the bargaining of a negotiated agreement, including one copy of the negotiated agreement.	Temporary	Destroy when no longer needed for administrative purposes or at the bargaining unit.	N/A	Superseded	GRS 2.3 Item 050, GRS 2.3 Item 051, or GRS 2.3 Item 052	DAA-GRS-2015-0007-0014 or DAA-GRS-2015-0007-0015 or DAA-GRS-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
								2015-0007-0016
2300-730		**2300-730 Suitability, Security and Conduct**						
2300-730	**1**	**Suitability or Qualifications Information** on employees or potential employees (exclusive of investigatory records from OPM; see item 2300-293-5).	Temporary	Destroy when employee separates, or after 1 year, or when no longer needed for administrative use, whichever comes first.	N/A	Rescinded		-
2300-730	**2**	**Security Clearance Administration Correspondence Files** relating to administration and operation of the personnel security clearance program.	Temporary	Destroy when 2 years old.	GRS 18 Item 21	Superseded	GRS 5.6 Item 010	DAA-GRS-2017-0006-0001
2300-730	**3a**	Personnel Security Clearance Files. Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency. 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	Temporary	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.	GRS 18 Item 22a	Superseded	GRS 5.6 Item 181	DAA-GRS-2017-0006-0025

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
2300-730	**3b**	Personnel Security Clearance Files. Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency. b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.	Temporary	Destroy in accordance with the investigating agency's instructions.	GRS 18 Item 22b	Superseded	GRS 5.6 Item 170	DAA-GRS-2017-0006-0022
2300-730	**3c**	**Personnel Security Clearance Files**. Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency. c. Index to the Personnel Security Case Files.	Temporary	Destroy with related case file.	GRS 18 Item 22c	Superseded	GRS 5.6 Item 190	DAA-GRS-2017-0006-0026
2300-730	**4**	**Personnel Security Clearance Status Files:** lists or rosters showing the current security clearance status of individuals.	Temporary	Destroy when superseded or obsolete.	GRS 18 Item 23	Superseded	GRS 5.6 Item 190	DAA-GRS-2017-0006-0026
2300-730	**5a**	Security Violation Files: Case files of investigations of alleged violations of Executive Orders, laws, or	Temporary	Destroy 5 years after close of case.	GRS 18 Item 24a	Superseded	GRS 5.6 Item 200	DAA-GRS-2017-0006-0027

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
2300-730	**5b**	Security Violation Files: Case files of investigations of alleged violations of Executive Orders, laws, or regulations for the safeguarding of national security information. 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.	Temporary	Destroy 2 years after completion of final corrective or disciplinary action.	GRS 18 Item 24b	Superseded	GRS 5.6 Item 200	DAA-GRS-2017-0006-0027
2300-730	**6a**	**Classified or Classifiable Information Nondisclosure Agreements**: Copies of Non-disclosure agreements, such as SF 312, Classified Information Non-disclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for civilian employees working for elements of	Temporary	Destroy when 70 years old.	GRS 18 item 25	Superseded	GRS 4.2 Item 121	DAA-GRS-2015-0002-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees). a. If maintained separately from the individual's official personnel folder.						
2300-730	**6b**	**Classified or Classifiable Information Nondisclosure Agreements**: Copies of Non-disclosure agreements, such as SF 312, Classified Information Non-disclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be	Temporary	Apply the disposition for the official personnel folder.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees). b. If maintained in the individual's official personnel folder.						
2300-730	**7a-1**	**Financial Disclosure Reports.** a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521). 1. Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.	Temporary	Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	GRS 25 Item 2b1	Superseded	GRS 2.8 Item 070	DAA-GRS-2014-0005-0011
2300-730	**7a-2**	**Financial Disclosure Reports.** a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521). 2. All other records including SF 278.	Temporary	Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.	GRS 25 Item 2b1	Superseded	GRS 2.8 Item 061	DAA-GRS-2014-0005-0008
2300-730	**7b**	**Financial Disclosure Reports.** b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.	Temporary	Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.	GRS 25 Item 2b1	Superseded	GRS 2.8 Item 070	DAA-GRS-2014-0005-0011

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-730	**8**	**Standards of Conduct Files**: Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.	Temporary	Destroy when obsolete or superseded.	GRS 25 Item 1a	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0006-0001
2300-750		**2300-750 Discipline and Adverse Action**						
2300-750	**1a**	Adverse Action File Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	GRS 1 Item 30b	Superseded	GRS 2.3 Item 061 or GRS 2.3 Item 062	DAA-GRS-2015-0007-0018 or DAA-GRS-2015-0007-0023
2300-750	**1b**	**Adverse Action File** b. Notices of proposed adverse actions or reprimands that were officially proposed but not effected.	Temporary	Destroy when the proposal is drawn, when decision is made not to proceed, or 1 year after date of proposal notice, whichever comes first.	N1-GRS-92-1 Item 30b	Superseded	GRS 2.3 Item 061 or GRS 2.3 Item 062	DAA-GRS-2015-0007-0018 or DAA-GRS-2015-0007-0023

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-750	**1c**	**Adverse Action File** c. Admonishments, warnings and similar disciplinary action records.	Temporary	Destroy when employee separates, or as specified in the record, or when no longer needed, or after 1 year, whichever comes first.	N1-GRS-92-1 Item 30b	Superseded	GRS 2.3 Item 061 or GRS 2.3 Item 062	DAA-GRS-2015-0007-0018 or DAA-GRS-2015-0007-0023
2300-750	**1d**	**Adverse Action File** d. Other documents, letters, memoranda concerning possible disciplinary or adverse action against individual employees.	Temporary	Destroy when employee separates, or when no longer needed, or after 1 year, whichever comes first.	N1-GRS-92-1 Item 30b	Superseded	GRS 2.3 Item 061 or GRS 2.3 062	DAA-GRS-2015-0007-0018 or DAA-GRS-2015-0007-0023
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). 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.	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	GRS 1 item 30a	Superseded	GRS 2.3, Item 060	DAA-GRS-2015-0007-0017
2300-792		**2300-792 Health Program**						
2300-792	**1**	**Individual Non-Occupational Health Record Files:** Forms, correspondence, and other records, including summary records, documenting an individual	Temporary	Destroy 6 years after date of last entry	GRS 1 Item 19	Superseded	GRS 2.7 Item 070	DAA-GRS-2017-0010-12

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
2300-792	**2a**	**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.	Temporary	Destroy 3 months after last entry.	GRS 1 Item 20a	Superseded	GRS 2.7 Item 010	DAA-GRS-2017-0010-0001
2300-792	**2b**	**Health Unit Control File:** Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. b. If information is not summarized.	Temporary	Destroy 2 years after last entry.	GRS 1 Item 20b	Superseded	GRS 2.7 Item 010	DAA-GRS-2017-0010-0001
2300-792	**3a-1**	**Employee Medical Folder (EMF).** a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293. 1. Transferred employees.		See CFR part 293, subpart E for instructions.	GRS 1 Item 21a1	Rescinded		-
2300-792	**3a-2**	**Employee Medical Folder (EMF).** a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293. 2. Separated employees.	Temporary	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	GRS 1 Item 21a2	Superseded	GRS 2.7 Item 060	DAA-GRS-2017-0010-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
				earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, which is later.				
2300-792	**3b**	**Employee Medical Folder (EMF).** b. Temporary or short-term records as defined in the FPM.	Temporary	Destroy 1 year after separation or transfer of employee. Do not transfer to the FRC.	GRS 1 Item 21b	Superseded	GRS 2.7 Item 061	DAA-GRS-2017-0010-0010
2300-792	**4a**	**Employees' Radiological Records – Film** Employees' radiological records: These records consist of original radiology imaging studies. a. Film Located in CC, Diagnostic Radiology Department, Film Library.	Temporary	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	NC1-90-78-9 Item 32b	Superseded	GRS 2.7 Items 060, 061, 062, or 070	
2300-792	**4b**	**Employees' radiological records - Other Copies** Employees' radiological records: These records consist of original radiology imaging studies. b. All other records Located in NIH, Occupational Medical Services (OMS).	Temporary	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.	NC1-90-78-09 Item 09	Superseded	GRS 2.7 Items 060, 061, 062, or 070	

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-792	**5**	**Statistical Summaries** and reports with related papers pertaining to employee health, retained by the reporting unit.	Temporary	Destroy 2 years after date of summary or report.	GRS 1 Item 22	Rescinded		-
2300-792	**6**	**Alcohol and Drug Abuse Program**: Records created in planning, coordinating and directing an alcohol and drug abuse program.	Temporary	Destroy when 3 years old.	GRS 1 Item 26b	Superseded	GRS 2.7 Item 080	DAA-GRS-2017-0010-0013
2300-792	**7**	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 made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.	Temporary	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.	GRS 1 Item 31	Superseded	GRS 2.4 Item 100	DAA-GRS-2016-0015-0012
2300-990		**2300-990 Miscellaneous**						
2300-990	**1**	**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.	Temporary	Destroy when action is completed.	NC1-64-77-10 item 17a	Superseded	GRS 5.1 Item 010 or GRS 5.2 Item 020	DAA-443-2016-0016-0001 or DAA-GRS-2017-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2300-990	**2**	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.	Temporary	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.	GRS 1 Item 18a	Superseded	GRS 2.2 Item 080	DAA-GRS-2017-0007-0012
2300-990	**3**	**Duplicate Documentation:** Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this chapter.	Temporary	Destroy when 6 months old.	GRS 1 Item 18b	Superseded	GRS 2.2 Item 080	DAA-GRS-2017-0007-0012
2300-990	**4**	**Complaints, Inquiries and Debt Correspondence** received about individual employees.	Temporary	Destroy when employee separates, or when no longer needed, or 1 year after final action, whichever comes first.	N/A	Superseded	GRS 5.1 Item 010 or GRS 5.2 Item 020	DAA-443-2016-0016-0001 or DAA-GRS-2017-0003-0002
2600-A		**2600-A Procurement** 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. EXCLUDED form this section are 1. Feasibility studies and systems analyses (1700-A-6)						
2600-A	**1**	**General Correspondence Files** of operating procurement units concerning internal operations and	Temporary	Destroy when 2 years old.	GRS 3 Item 2	Superseded	GRS 1.1 item 001	DAA-GRS-2016-0013-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		administration matters not covered elsewhere in this section.						
2600-A	**2a**	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.	Temporary	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.	GRS 3 Item 1a	Superseded	GRS 5.4 Item 020	DAA-GRS-2016-0011-0002
2600-A	**2b**	**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. b. Abstract or certificate of title.	Temporary	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.	GRS 3 Item 1b	Superseded	GRS 5.4 item 020	DAA-GRS-2016-0011-0002
2600-A	**3**	**Contract records relating to major biomedical information systems** Located in NLM, Office of the Director.	Temporary	Destroy 6 years after completion of contract.	NC1-90-78-12 Item 75a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-A	**4a-1**	**Routine Procurement Files**: Contract requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 2600-A-2,5,6). a. Audit record maintained by procurement or purchase organization, or by ordering office in the case of delegated procurements, and related papers. 1. Transactions of more than $25,000 and all construction contracts exceeding $2,000.	Temporary	Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years.	GRS 3 Item 3a1a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-A	**4a-2**	**Routine Procurement Files**: Contract requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 2600-A-2,5,6). a. Audit record maintained by procurement or purchase organization, or by ordering office in the case of delegated procurements, and related papers.	Temporary	Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except those files which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)	GRS 3 Item 3a1b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		2. Transactions of $25,000 or less and construction contracts under $2,000.						
2600-A	**4b**	**Routine Procurement Files**: Contract requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 2600-A-2,5,6). b. Obligation copy.	Temporary	Destroy when funds are obligated.	GRS 3 Item 3a2b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-A	**4c**	**Routine Procurement Files**: Contract requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 2600-A-2,5,6). c. Other copies of records described above used by component elements	Temporary	Destroy upon termination or completion.		Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		of a procurement office for administrative purposes.						
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.	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.		Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-A	**6**	**Tax Exemption Files:** Tax exemption certificates and related papers.	Temporary	Destroy 3 years after period covered by related account.	GRS 3 Item 12	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-A	**7a**	**Solicited and Unsolicited Bids and Proposals Files.** a. Successful bids and proposals.	Temporary	Destroy when related contract file (2600-A-4) is destroyed.		Superseded	GRS 1.1 Item 010 or GRS 1.1 Item 012	DAA-GRS-2013-0003-0001 or DAA-GRS-2016-0001-0002
2600-A	**7b-1**	**Solicited and Unsolicited Bids and Proposals Files.** b. Solicited and unsolicited unsuccessful bids and proposals. 1. Relating to small purchases as defined in the Federal Acquisition Regulation; 48 CFR, part 13.	Temporary	Destroy one year after date of award or final payment, whichever is later.		Superseded	GRS 1.1 Item 010 or GRS 1.1 Item 012	DAA-GRS-2013-0003-0001 or DAA-GRS-2016-0001-0002
2600-A	**7b-2**	**Solicited and Unsolicited Bids and Proposals Files.** b. Solicited and unsolicited unsuccessful bids and proposals.	Temporary	Destroy with related contract case files (2600-A-4).		Superseded	GRS 1.1 Item 010 or	DAA-GRS-2013-0003-0001 or DAA-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		2. Relating to transactions above the small purchase limitations in 48 CFR, Part 13, when filed separately from the contract file.					GRS 1.1 Item 012	GRS-2016-0001-0002
2600-A	**7b-3**	**Solicited and Unsolicited Bids and Proposals Files.** b. Solicited and unsolicited unsuccessful bids and proposals. 3. Relating to transactions above the small purchase limitations in 48 CFR, Part 13, when filed contract case file.	Temporary	Destroy with related contract case files (2600-A-4).		Superseded	GRS 1.1 Item 010 or GRS 1.1 Item 012	DAA-GRS-2013-0003-0001
2600-A	**7c-1**	**Solicited and Unsolicited Bids and Proposals Files.** c. Canceled Solicitations Files. 1. Formal solicitation of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include pre-solicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.	Temporary	Destroy 5 years after date of cancellation.	GRS 3 Item 5c1	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-A	**7c-2**	**Solicited and Unsolicited Bids and Proposals Files.** c. Canceled Solicitations Files. 2. Unopened Bids.	Temporary	Return to bidder.	GRS 3 Item 5c2	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-A	**7d**	**Solicited and Unsolicited Bids and Proposals Files.** d. Lists or cards of acceptable bidders.	Temporary	Destroy when superseded or obsolete.	GRS 3 item 5d	Superseded	GRS 1.1 Item 070 OR GRS 1.1 Item 071	DAA-GRS-2016-0001-0004 or DAA-GRS-2016-0001-0005
2600-A	**9**	**Non-personal Requisition File**: Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officer's accounts; see section 1900-A).	Temporary	Destroy when 1 year old.	GRS 13 Item 1	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
2600-A	**10a**	**Inventory Requisition File:** Requisitions for supplies and equipment for current inventory. a. Stockroom copy.	Temporary	Destroy 2 years after completion or cancellation of requisition.	GRS 3 Item 8a	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-A	**10b**	**Inventory Requisition File:** Requisitions for supplies and equipment for current inventory. b. All other copies.	Temporary	Destroy when 6 months old.	GRS 3 Item 8b	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-A	**11**	**Telephone statements and toll slips**	Temporary	Destroy 3 years after period covered by related account.	GRS 12 Item 4	Superseded	GRS 5.5 item 010	DAA-GRS-2016-0012-0001
2600-A	**12**	**Contract Appeals Case Files.** Contract appeals case files consisting of notices of appeal and	Temporary	Destroy 10 years after final action or decision.		Superseded	GRS 1.1 Item 060	DAA-GRS-2016-0001-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		acknowledgements thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.						
2600-A	**13**	**Contractor's Statement of Contingent or Other Fees:** SF 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	Temporary	Destroy when superseded, obsolete, or no longer needed, whichever is sooner.	GRS 3 Item 16	Rescinded		
2600-A	**8a**	**Public Printer Files**: Records relating to requisitions on the Printer, and all supporting papers. a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Temporary	Destroy 3 years after completion or cancellation of requisition.	GRS 13 Item 2a	Superseded	GRS 5.5 Item 020	DAA-GRS-2016-0012-0002
2600-A	**8b**	**Public Printer Files**: Records relating to requisitions on the Printer, and all supporting papers. b. Accounting copy of requisition.	Temporary	Destroy 3 years after period covered by related account.		Rescinded		
2600-B		**2600-B Public Buildings and Space**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-B	**1**	**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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 5.4 Item 070	DAA-GRS-2016-0011-0008
2600-B	**3**	**Finding aids** for design and construction files.		Apply the disposition instructions applicable to the related architectural and engineering drawings		Superseded	GRS 4.1 Item 010	DAA-GRS-2013-0002-0016
2600-B	**4a**	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.	Temporary	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.	NC1-90-77-2 Item 61a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-B	**4b**	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	Temporary	Destroy 3 years after fiscal year in which final payment is made.	NC1-90-77-2 Item 61b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		of existing buildings and grounds. b. Transactions of $2,000 or less.						
2600-B	**4c**	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. c. Task orders on master contracts.	Temporary	Destroy 3 years after related work is completed.	NC1-90-77-2 Item 61c	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-B	**5**	**Contractors' Payroll Files:** **Contractors**' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers	Temporary	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.		Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
2600-B	**6a**	**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.	Temporary	Destroy 1 year after related work is completed.	NC1-90-77-2 Item 62a	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-GRS-2016-0011-0009
2600-B	**6b**	**Work request files** for buildings and equipment construction, alteration and maintenance services,	Temporary	Destroy 3 months after work is completed.	NC1-90-77-2 Item 62b	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		excluding fiscal copies of the Office of Financial Management. b. Maintenance order.						GRS-2016-0011-0009
2600-B	**6c**	**Work request files** for buildings and equipment construction, alteration and maintenance services, excluding fiscal copies of the Office of Financial Management. c. Single shop order.	Temporary	Destroy 3 years after work is completed.	NC1-90-77-2 Item 62c	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-GRS-2016-0011-0009
2600-B	**6d**	**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.	Temporary	Destroy 4 years after work is completed.	NC1-90-77-2 Item 62d	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-GRS-2016-0011-0009
2600-B	**6e**	**Work request files** for buildings and equipment construction, alteration and maintenance services, excluding fiscal copies of the Office of Financial Management. e. Canceled documents related to any of the above.	Temporary	Destroy 2 years after cancellation.	NC1-90-77-2 Item 62f	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-GRS-2016-0011-0009
2600-B	**7**	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	Temporary	Destroy when related equipment is replaced or no longer used.	NC1-90-77-2 Item 63	Superseded	GRS 5.4 Item 070 or GRS 5.4 Item 071	DAA-GRS-2016-0011-0008 or DAA-GRS-2016-0011-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		the preventive maintenance program on them.						
2600-C		**2600-C Property and Supply Management**						
2600-C	**1a**	**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.	Temporary	Destroy when 2 years old.	GRS 3 Item 4a	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-C	**1b**	**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). b. Copies in other reporting units, and related work papers.	Temporary	Destroy when 1 year old.	GRS 3 Item 4b	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-C	**2a**	**Inventory Files.** a. Inventory lists.	Temporary	Destroy 2 years from date of list.	GRS 3 Item 9a	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-C	**2b**	**Inventory Files.** b. Inventory cards.	Temporary	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.	GRS 3 Item 9b	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-C	**2c**	**Inventory Files.** c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the schedule.	Temporary	Destroy 2 years after date of survey action or date of posting medium.	GRS 3 Item 9c	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-C	**10**	**Central kitchen issues** (daily requisition - main kitchen and metabolic kitchens).	Temporary	Destroy when 4 months old (retain records 3 months plus current month).	NC1-90-78-9 Item 64	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**11a**	**Patient meal census records** a. Detail reports, showing number of meals served.	Temporary	Destroy when 6 months old.	NC1-90-78-9 Item 65a	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**11b**	**Patient meal census records** b. Summary reports, showing number of meals served by institute.	Temporary	Destroy when 5 fiscal years old.	NC1-90-78-9 Item 65b	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**12a**	**Physical inventories** a. Work copies.	Temporary	Destroy at end of current fiscal year.	NC1-90-78-9 Item 66a	Superseded	I-0013	DAA-0443-2018-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-C	**12b**	**Physical inventories** b. Summary sheets.	Temporary	Destroy when 6 fiscal years old.	NC1-90-78-9 Item 66b	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**13**	**Monthly meat inventories**	Temporary	Destroy at end of current fiscal year.	NC1-90-78-9 Item 67	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**14**	**Emergency cash orders (petty cash)**	Temporary	Destroy when 4 fiscal years old.	NC1-90-78-9 Item 74	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**15**	**Telephone charge orders**	Temporary	Destroy when 4 fiscal years old.	NC1-90-78-9 Item 75	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**16**	**Records of food prices**	Temporary	Destroy when 4 fiscal years old.	NC1-90-78-9 Item 76	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**17**	**Small equipment requisitions**	Temporary	Destroy at end of current fiscal year.	NC1-90-78-9 Item 77	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**18a**	**Census records** a. Detail census sheets, showing workload of each floor unit.	Temporary	Destroy when 1 year old.	NC1-90-78-9 Item 78a	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**18b**	**Census records** b. Monthly census reports, summarizing data on the detail reports.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 78b	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**19**	Computer printouts of physicians' dietary orders, posted to patients' cards Description not required.	Temporary	Destroy when 1 month old.	NC1-90-78-9 Item 79	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**20**	Inpatient cards, showing dietary requirements of each inpatient. Description not required.	Temporary	Destroy 5 years after patient is discharged	NC1-90-78-9 Item 80	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-C	**21**	Outpatient cards, showing dietary requirements of each outpatient. Description not required.	Temporary	Destroy when 5 years old.	NC1-90-78-9 Item 81	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**22**	**Special event orders, relating to picnics and the like for mental health patients.**	Temporary	Destroy when 1 year old.	NC1-90-78-9 Item 82	Superseded	I-0013	DAA-0443-2018-0002-0001
2600-C	**30a**	Blood Storage Records Showing temperatures maintained in preserving blood in the department. Located in: CC, Transfusion Medicine Department (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 21 CFR 606.)	Temporary	Destroy the recordkeeping copy when 5 years old or when any blood components associated with these records have expired, whichever is later. (21 CFR 606)	N1-443-00-3	Superseded	I-0009 Blood Product Manufacture, Storage or Distribution Records	DAA-0443-2012-0007-0009
2600-C	**30b**	Blood Storage Records Showing temperatures maintained in preserving blood in the department. Electronic version (NOTE: Expanded description of	Temporary	Delete after recordkeeping copy has been produced or when referencing or updating is completed.	N1-443-00-3	Superseded	I-0009 Blood Product Manufacture, Storage or Distribution Records	DAA-0443-2012-0007-0009

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		records to include documentation required for all blood components manufactured, stored, or distributed by DTM. Record retention requirements are dictated by federal regulation under 21 CFR 606.)						
2600-C	**31**	Records of blood sent to operating room Showing patients' name, blood types, and other related data.	Temporary	Destroy when 5 years old.	NC1-90-78-9 Item 16	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**32**	Logs of donor appointments Description not required.	Temporary	Destroy when 1 year old.	NC1-90-78-9 Item 17	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**41**	Doctors' Orders Files Prescriptions. Located in CC, Pharmacy Department.	Temporary	File by fiscal year. Place in inactive file at end of fiscal year. Transfer to the Federal Records Center after 1 year in inactive file. Destroy when 5 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**42**	Microfilm and microfiche copies of doctors' orders Description not required.	Temporary	Destroy when 15 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**43**	Bulk Compounding Records Including control logs, worksheets, and card control records pertaining to the compounding of drugs in bulk quantities. Located in CC, Pharmacy Department.	Temporary	File by fiscal year. Place in inactive file at end of each fiscal year. Retain inactive files in Pharmacy Department for 3 years and destroy.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-C	**44a**	Pharmacy Parenteral Records As ordered by doctors. Located in CC, Pharmacy Department. Intravenous.	Temporary	File by fiscal year. Place in inactive file at end of each fiscal year. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy when 3 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**44b**	Pharmacy Parenteral Records As ordered by doctors. Located in CC, Pharmacy Department. Blood.	Temporary	File by fiscal year. Place in inactive file at end of each fiscal year. Transfer each fiscal year file to the Federal Records Center after 2 years in inactive file. Destroy when 10 years old.	NC1-443-98-1	Superseded	I-0009 Blood Product Manufacture, Storage or Distribution Records	DAA-0443-2012-0007-0009
2600-C	**44c**	Pharmacy Parenteral Records As ordered by doctors. Located in CC, Pharmacy Department. Investigational.	Temporary	File by fiscal year. Place in inactive file at end of each fiscal year. Transfer each fiscal year file to the Federal Records Center after 2 years in inactive file. Destroy when 5 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**45c**	Nursing Unit Requisitions for Pharmaceutical Items Located in CC, Pharmacy Department.	Temporary	File by fiscal year. Place in inactive file at end of each fiscal year. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy when 3 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
2600-C	**46**	Certificates of disposition for narcotics and hypnotics Documenting movement of those	Temporary	Destroy when 3 years old.	NC1-443-98-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		drugs and their receipt by nursing units.						
2600-D		**2600-D Motor Equipment Management**						
2600-D	**1**	**Motor Vehicle Correspondence Files:** Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Temporary	Destroy when 2 years old.	GRS 10 Item 1	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-D	**2a**	**Motor Vehicle Operating and Maintenance Files** a. Operating records including those relating to gas and oil consumption, dispatching and scheduling.	Temporary	Destroy when 3 months old.	GRS 10 Item 2a	Superseded	GRS 5.4 item 090	DAA-GRS-2016-0011-0011
2600-D	**2b**	**Motor Vehicle Operating and Maintenance Files** b. Maintenance records, including those relating to service and repair.	Temporary	Destroy when 1 year old.	GRS 10 Item 2b	Superseded	GRS 5.4 item 090	DAA-GRS-2016-0011-0011
2600-D	**3**	**Motor Vehicle Cost Files:** Motor Vehicle ledger and work sheets providing cost and expense data.	Temporary	Destroy 3 years after discontinuance of ledger or date of work sheet.	GRS 10 Item 3	Superseded	GRS 5.4 item 090	DAA-GRS-2016-0011-0011
2600-D	**4**	**Motor Vehicle Report Files:** Reports on motor vehicles (other than accident, operating and maintenance reports), including SF-82, agency report of motor vehicle data.	Temporary	Destroy 3 years after date of report.	GRS 10 Item 4	Superseded	GRS 5.4 Item 010	DAA-GRS-2016-0011-0001
2600-D	**5**	**Motor Vehicle Accident Files**: Records relating to motor vehicle	Temporary	Destroy 6 years after case is closed.	GRS 10 Item 5	Superseded	GRS 5.4 item 140	DAA-GRS-2016-0011-0017

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		accidents, maintained by transportation offices.						
2600-D	**6**	**Motor Vehicle Release Files:** Records relating to transfer, sale, donation or exchange of vehicles.	Temporary	Destroy 4 years after vehicle leaves agency custody.	GRS 10 Item 6	Superseded	GRS 5.4 item 040	DAA-GRS-2016-0011-0004
2600-D	**7**	**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.	Temporary	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.	GRS 10 Item 7	Superseded	GRS 5.4 item 110	DAA-GRS-2016-0011-0014
2600-F		**2600-F Property Disposal**						
2600-F		2600-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.						
2600-F	**1**	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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 5.4 Item 040	DAA-GRS-2016-0011-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-F	**2**	**Property Disposal Case Files:** Case files on disposal of surplus real and related personal property.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 5.4 Item 040	DAA-GRS-2016-0011-0004
2600-F	**3**	**Excess Real Property Reports**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescind		
2600-F	**4**	**Property Disposal Correspondence Files:** Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Temporary	Destroy when 2 years old.	GRS 4 Item 1	Superseded	GRS 5.4 item 040	DAA-GRS-2016-0011-0004
2600-F	**5**	**Excess Personal Property Reports**	Temporary	Destroy when 3 years old.	GRS 4 Item 2	Superseded	GRS 5.4 item 040	DAA-GRS-2016-0011-0004
2600-F	**6a**	**Surplus Property Case Files:** Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 2600-F-1 and 2600-F-2). a. Transactions of more than $25,000.	Temporary	Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)	GRS 4 Item 3a	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2600-F	**6b**	**Surplus Property Case Files:** Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 2600-F-1 and 2600-F-2). b. Transactions of $25,000 or less.	Temporary	Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)	GRS 4 Item 3b	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
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	Temporary	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.	GRS 4 Item 4	Superseded	GRS 5.4 item 020	DAA-GRS-2016-0011-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
2800-A		**2800-A ADP Management and Research**						
2800-A	**1a**	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.	Temporary	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.	NC1-90-78-12 Item 20a	Superseded	GRS 3.1 Item 010	DAA-GRS-2013-0005-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2800-A	**1b**	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	Temporary	Destroy 4 years after completion of study, or when data are of no further value for research, as appropriate.	NC1-90-78-12 Item 20b	Superseded	GRS 3.1 Item 010	DAA-GRS-2013-0005-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		comprise papers relating to project planning, procedures, and other aspects of the project. b. Materials accumulated in research studies, not related to formal projects.						
2800-A	**2**	**Programmer trouble reports and requests for refunds,** pertaining to technological or administrative problems which may result in refunds to users	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 10	Superseded	GRS 3.1 Item 020	DAA-GRS-2013-0005-0004
2800-A	**3**	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.	Temporary	Destroy 6 years after completion of project.	NC1-90-78-9 Item 18	Superseded	GRS 3.1 Item 010	DAA-GRS-2013-0005-0006
2800-A	**5**	**Clinical information utility search reports**, which request data on the treatment of former patients, from machine-readable tapes.	Temporary	Destroy when 4 years old.	NC1-90-78-9 Item 20	Superseded	GRS 3.1 Item 020	DAA-GRS-2013-0005-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in CC, Office of Clinical and Management Systems.						
2800-B		**2800-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.						
2800-B	**1a**	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.	Temporary	Destroy 1 year after final action.	N/A	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007
2800-B	**1b-1**	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. b. For systems which are implemented. 1. When all related machine-	Temporary	Destroy one year after system is discontinued.	N/A	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		readable data are authorized for disposal.						
2800-B	**1b-2**	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. b. For systems which are implemented. 2. When related data is not authorized for disposal.	Permanent	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.	N/A	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007
2800-B	**2a**	**System Test Documentation** including test plans and test results analyses. a. For a system which is implemented.	Temporary	Destroy 1 year after completion of testing.	N/A	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2800-B	**2b**	**System Test Documentation** including test plans and test results analyses. b. For a system which is not implemented.	Temporary	Destroy as soon as no longer needed.	N/A	Superseded	GRS 3.1 Item 011	DAA-GRS-2013-0005-0007
2800-B	**3**	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.		Follow disposition instructions which apply to the data files.	N/A	Superseded	GRS 3.1 Item 050 or GRS 3.1 Item 051	DAA-GRS-2013-0005-0002 or DAA-GRS-2013-0005-0003
2800-B	**4a**	**User Guides and Manuals** a. Located in users' files.		Follow disposal instructions which apply to related data.	N/A	Rescinded		-
2800-B	**4b**	**User Guides and Manuals** b. Located in CIT.	Temporary	Retain as long as needed in user relationships, then destroy.	NC1 90-78-12 Item 22	Superseded	GRS 3.1 Item 050 or GRS 3.1 Item 051	DAA-GRS-2013-0005-0002 or DAA-GRS-2013-0005-0003
2800-B	**5**	**Output Specifications** listing each type of output by title, and tag, format, selection criteria, volume and frequency, media, graphic		Follow disposition instructions which apply to related data.	N/A	Superseded	GRS 3.1 Item 050 or GRS 3.1 Item 051	DAA-GRS-2013-0005-0002 or DAA-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		displays and symbols, security and privacy restrictions. Located in users' files.						GRS-2013-0005-0003
2800-B	**6a**	**Reports** a. Published reports of findings including methodological discussions, analyses and statistical tabulations.		Retain or destroy with related file specifications.	N/A	Superseded	GRS 3.1 Item 040	DAA-GRS-2013-0005-0010
2800-B	**6b**	**Reports** b. Other output.		Follow disposition instructions applicable under appropriate subject/function headings.	N/A	Superseded	GRS 3.1 Item 040	DAA-GRS-2013-0005-0010
2800-B	**7**	**Copies of Documentation**, except test documentation (2800-11) and users' guides and manuals (2800-13). Located in CIT branches and laboratories.	Temporary	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.	N/A	Superseded	GRS 3.1 Item 050 or GRS 3.1 Item 051	DAA-GRS-2013-0005-0002 or DAA-GRS-2013-0005-0003
2800-B	**8**	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	Temporary	Destroy when 2 years old.	N1-443-99-5	Superseded	GRS 3.1 Item 020	DAA-GRS-2013-0005-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
2800-C		**2800-C Computer Programs**						
2800-C	**1a**	**Information Retrieval Routines** a. General purpose programs.	Temporary	Dispose of when no longer needed.	N/A	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-C	**1b**	**Information Retrieval Routines** b. Input/output routines necessary to retrieve data from specific data systems.	Permanent	Retain with related data. If data file is permanent, offer one copy of the program to the National Archives together with the data.	N/A	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D		**2800-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						
2800-D	**1**	**Test Data:** Routine or benchmark data sets constructed or used for testing ADP systems (EXCLUDING data derived from experimental tests in biomedical research).	Temporary	Destroy when no longer needed.		Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
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.	Temporary	Dispose of in accordance with instructions applicable to hard copy.	N/A	Rescinded		-
2800-D	**3a**	**Input/Source Files i**n computer-compatible form used to enter data into a system. a. Non-magnetic records, e.g., punch cards, which are converted to magnetic media.	Temporary	Destroy after verification of data on related magnetic media.		Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**3b**	**Input/Source Files i**n computer-compatible form used to enter data into a system. b. Files used for updating and required to support reconstruction of a master file.	Temporary	Destroy after third update cycle.		Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**3c**	**Input/Source Files i**n computer-compatible form used to enter data into a system. c. Files maintained by ADP operational elements as back-up.	Temporary	Destroy when no longer needed.		Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**3d**	**Input/Source Files i**n computer-compatible form used to enter data into a system. d. Files not used as input to another file and not required as backup to	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		support reconstruction of a master file.						
2800-D	**3e**	**Input/Source Files i**n computer-compatible form used to enter data into a system. e. Data created by another agency and routinely made available to other agencies or the public.	Temporary	Dispose of as reference material.		Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**3f**	**Input/Source Files i**n computer-compatible form used to enter data into a system. f. Special tabulation, extract or master files created by another agency at the request of an NIH component.	Permanent	DISPOSAL NOT AUTHORIZED.		Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**3g**	**Input/Source Files i**n computer-compatible form used to enter data into a system. g. Files officially designated as record copy in lieu of source documents or other hard copy.	Temporary	Dispose of in accordance with instructions applicable to the records according to subject category.	N/A	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**4a**	**Valid Transaction Files** used solely to update master files in on-going systems.	Temporary	Destroy after third update cycle.	N/A	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		a. Used solely to update master files in on-going systems.						
2800-D	**4b**	**Valid Transaction Files** used solely to update master files in on-going systems. b. Used for analysis independently of the master file.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
2800-D	**5**	**Work Files** used to facilitate processing of data through steps such as sort/merge, checkpoint, edit, correction, etc.		Release for reuse upon successful completion of job.	N/A	Rescinded		-
2800-D	**6**	**Intermediate input/output files** manipulated, sorted, and/or moved from one run to a subsequent run in creating or updating a master file.	Temporary	Dispose of after master file has been proven satisfactory.	N/A	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**7**	**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.	Temporary	Destroy upon publication or when no longer needed for republication	N/A	Superseded	GRS 5.2 Item 020	DAA-GRS-2017-0003-0002
2800-D	**8**	**Print Files** of data extracted from a data base or another file to produce printouts of tabulations, ledgers, tables, registers or other reports.	Temporary	Destroy when superseded or obsolete.		Rescinded		
2800-D	**9**	**Security Back-up File i**dentical in format to a master file and retained	Temporary	Retain or destroy as provided for related master file.	GRS 24 Item 4a1	Superseded	GRS 3.2 Item 040	DAA-GRS-2013-0006-0005

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		in case master file is inappropriately damaged, destroyed or lost.						
2800-D	**10**	**Reformatted File** created for information exchange containing data duplicated in a master file, but written with different technical specifications.	Temporary	Retain or destroy as provided for related master file.		Rescinded		
2800-D	**11**	**Audit Trail File** containing statistical data generated during creation of a master file and used to validate a master file during a processing cycle.	Temporary	Dispose of in accordance with instructions for each appropriate cycle of the master file.		Rescinded		
2800-E		**2800-E Master Files**						
2800-E	**1a**	**General Administrative Files** of data used for 'housekeeping' functions such as fiscal accountability, payroll, supply management, etc. a. Required for GAO site audit or designated as record copy in lieu of hard copy.	Temporary	Retain or destroy as required for equivalent hard copy		Superseded	GRS 1.1 Item 001	DAA-GRS-2016-0013-0001
2800-E	**1b**	**General Administrative Files** of data used for 'housekeeping' functions such as fiscal accountability, payroll, supply management, etc. b. Not required for GAO audit and not designated as record.	Temporary	Destroy when no longer needed for reference.		Superseded	GRS 1.1 Item 001	DAA-GRS-2016-0013-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
2800-E	**2**	**Indexes or tacking systems** used for management, control or access to record materials.	Temporary	Retain or destroy according to instructions for related records.		Superseded	GRS 4.1 Item 010	DAA-GRS-2013-0002-0016
2800-E	**3**	**Reference indexes** used to facilitate access to non-record materials such as library collections.	Temporary	Destroy when superseded or obsolete.		Superseded	GRS 4.1 Item 010	DAA-GRS-2013-0002-0016
2800-E	**4a**	**Summary, Sample or Sub-sample Files** aggregated or selected from a larger file. a. Created from files authorized for disposal.	Temporary	Destroy as provided for source file		Rescinded		
2800-E	**4b**	**Summary, Sample or Sub-sample Files** aggregated or selected from a larger file. b. Created from files not authorized for disposition.	N/A	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		
3000-A		**3000-A Medical Arts and Photography**						
3000-A	**1**	Slides and other visual materials Used in exhibits, publications, and other media. Located in ORS, Medical Arts and Photography Branch.	Temporary	Destroy when superseded or when no longer needed for branch purposes.	NC1-90-78-12 Item 41	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-A	**2**	Photographic Materials Consisting of still and motion pictures relating to patients' physical conditions, manifestations, and treatment. Biomedical data revealed by these pictures are summarized in permanently retained patients' clinical charts. Some, however, may	Permanent	DISPOSAL NOT AUTHORIZED.	NC1-90-78-12 Item 41	Superseded	I-0001 Records of Intramural Research Projects of Historical Significance	DAA-0443-2012-0007-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		be involved in later research, either in general biomedical areas or in relation to the specific patient. Located in ORS, Medical Arts and Photography Branch.						
3000-A	**3**	Videotapes of medical research procedures In the Clinical Center.	Temporary	Erase tapes for reuse when 3 years old.	NC1-90-78-9 Item 96	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-A	**4**	Medical taping record sheets Listing patient videotape made, dates made, and related data.	Temporary	Destroy when 5 years old.	NC1-90-78-9 Item 98	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-C		**3000-C Veterinary Services**						
3000-C	**1**	Animal research project data files Concerning various aspects of animal pathology, accumulated by each researcher and containing a variety of statistical and analytical data. Results of research are published in professional journals.	Temporary	Destroy when data are obsolete or when no longer needed in research.	NC1-90-78-12 Item 48	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-C	**8**	Hospital surgery, treatment, and autopsy records Description not required.	Temporary	Destroy when investigator involved leaves NIH, or when 5 years old, whichever is later.	NC1-90-78-12 Item 55	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-C	**10**	Experiment Protocol Files Agreements by investigators and experimenters that certain standards and procedures will be observed.	Temporary	Destroy when protocol is no longer in force.	NC1-90-78-12 Item 57	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-D		**3000-D Biomedical Engineering and Instrumentation**						
3000-D		3000-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.	Temporary	Destroy 3 years after completion of service.	NC1-90-78-12 Item 30	Superseded	GRS 5.4 Item 070 or 071	DAA-GRS2016-0011-0008 or or DAA-GRS2016-0011-0009
3000-D	**2**	**Commercial catalogs and similar reference materials.**	Temporary	Destroy when superseded or obsolete.	NC1-90-78-12 Item 31	Rescind		
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	Temporary	Destroy when data are of no further technical and research value.	NC1-90-78-12 Item 32c	Rescind		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-D	**3a**	Project Folders Files that, in the opinion of the Section Chief, may be involved in later patent problems, or that relate to systems still in use or likely to be in use for the indefinite future, or that may have special applications in the future.	Permanent	DISPOSAL NOT AUTHORIZED. Review closed files every 5 years for possible destruction.	NC1-90-78-12 Item 32a1	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002
3000-D	**3b**	Project Folders. All other project files.	Temporary	Destroy 2 years after close of project.	NC1-90-78-12 Item 32a2	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002
3000-D	**4a**	Engineering Drawings Developed in Connection with Projects Drawings that, in the opinion of the Section Chief, have continuing value for technical, research, or legal purposes.	N/A	DISPOSAL NOT AUTHORIZED. Review closed files every 5 years for possible destruction.	NC1-90-78-12 Item 32b1	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002
3000-D	**4b**	Engineering Drawings Developed in Connection with Projects All other drawings.	Temporary	Destroy 5 years after completion of project.	NC1-90-78-12 Item 532b2	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002
3000-E		**3000-E Clinical Care**						
3000-E	**10**	**Occurrence Reports**, prepared as part of the Clinical Center quality assurance and safety programs, covering quality assurance records,	Temporary	Destroy the recordkeeping copy when 2 years old. Electronic version: Delete		Superseded	I-0013	DAA-0443-2018-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		FDA device reports, and FDA drug interaction reports. (formerly Incident and accident reports 1300-B-6) Location: All IC's		after recordkeeping copy has been produced or when no longer needed for reference or updating.				
3000-E	**10a**	Incident and accident reports, prepared as part of the Clinical Center safety program Incident and accident reports, prepared as part of the Clinical Center safety program. Electronic copies created on word processing systems.	Temporary	Destroy when 5 years old.	NC1-90-78-9	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**10b**	Incident and accident reports, prepared as part of the Clinical Center safety program Incident and accident reports, prepared as part of the Clinical Center safety program. Electronic mail records described as records elsewhere in this section, and any attachments to the records.	Temporary	Destroy when 5 years old.	NC1-90-78-9	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**20a**	**Pre-admission files, r**elating to referrals of potential patients by physicians and Members of Congress, containing incoming and outgoing correspondence. Located in Office of Clinical Reports	Temporary	Destroy when 3 years old.	NC1-90-78-9 Item 28a	Superseded	I-0013	DAA-0443-2018-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and Inquiries. a. Files on Congressional Referrals.						
3000-E	**20b**	**Pre-admission files, r**elating to referrals of potential patients by physicians and Members of Congress, containing incoming and outgoing correspondence. Located in Office of Clinical Reports and Inquiries. b. All other files.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 28b	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-E	**21**	Diagnostic Cardiac Records Comprising EKG and Holter Tracings (tracing by products). NOTE: Formal reports are maintained as a permanent part of the Clinical Center medical record.	Temporary	Transfer to the Federal Records Center when 10 years old. Destroy when 20 years old.	N1-443-96-1	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**22a**	Medical Records Case Files of Patients of the NIH Clinical Center Recordkeeping Paper File.	Temporary	Destroy when microfilm has been accepted.	NC1-90-78-4 Item 1a	Superseded	I-0010 Patient Medical Records	DAA-0443-2012-0007-0010
3000-E	**22b**	Medical Records Case Files of Patients of the NIH Clinical Center Microfilm File.	Temporary	Destroy when the Director of the Clinical Center determines that it is no longer needed for scientific reference. These records must be microfilmed in accordance with FPMR 101 11.504.	NC1-90-78-4 Item 1b	Superseded	I-0010 Patient Medical Records	DAA-0443-2012-0007-0010

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**23**	Requests for Medical Records Description not required.	Temporary	Destroy when 1 month old.	NC1-90-78-9 Item 38	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**24**	Patient Report Files Reports of findings in laboratory analysis, placed on microfiche for reference and research. Located in CC, Clinical Pathology Department.	Temporary	Destroy the recordkeeping copy 6 months after report is microfiched.	NC1-90-78-9 Item 23	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**25**	Microfiche copies of patient reports Located in Clinical Pathology Department.	Temporary	Destroy when 7 years old.	NC1-90-78-9 Item 24	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**26a**	Diagnostic radiological records Patients' radiological records.	Temporary	Retain in Diagnostic Radiology Department for 10 years from (1) latest patient activity, or (2) reference request for the film, or (3) request from appropriate clinical program for retention of the record. Transfer records to the Federal Records Center when file becomes inactive. Destroy 30 years after files become inactive.	NC1-443-85-1 Item 1a	Superseded	I-0007 Radiology or Imaging Records	DAA-0443-2012-0007-0007
3000-E	**26b**	Diagnostic radiological records Extra copies of radiological interpretations.	Temporary	Destroy when 1 year old.	Non-record	Rescinded		

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**27**	Diagnostic Radiology Patient control cards Maintained as an index of patients from 1953 to 1976, when an automated machine-readable hospital information system was installed. Shows patient name, number, physician, and admission and discharge dates. Data from these cards were placed retroactively into the system. Located in Diagnostic Radiology Department.	Temporary	Destroy in 1981.	NC1-90-78-9 Item 34	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**28**	Positron Emission Tomography (PET) Files Consisting of various electronic images of body and organ PET scans on patients. Files include interpretations. Located in CC, Positron Emission Tomography Department.	Temporary	Official electronic copy: Retain on-site for 50 years or expiration of the patient or subject, whichever is longer. Destroy when 50 years old.	N1-443-99-4	Superseded	I-0007 Radiology or Imaging Records	DAA-0443-2012-0007-0007
3000-E	**29**	Nuclear Medicine Patient card files Summarizing essential data on each patient tested in the department. Used for quick reference. Located in Nuclear Medicine Department.	Temporary	Destroy 4 years after patient is deceased, or after last scanning, whichever is applicable.	NC1-90-78-9 Item 43	Superseded	I-0010 Patient Medical Records	DAA-0443-2012-0007-0010

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**30**	Daily radionuclide dosage logs Showing the amount, nature, dates, and purposes of radionuclides dispensed to patients in testing. Located in Nuclear Medicine Department.	Temporary	Destroy when 1 year old.	NC1-90-78-9 Item 42	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**32**	Patient temperature, pulse, and respiration (TPR) sheets posted to patients' folders. Located in Nursing Services.	Temporary	Destroy when posted.	NC1-90-78-9 Item 53	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**33**	Intake Output records Showing amounts ingested and excreted by patients. Posted to patients' folders. Located in Nursing Services.	Temporary	Destroy when posted.	NC1-90-78-9 Item 54	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**34**	Plan of care for each patient in surgery Located in Surgical Services Department.	Temporary	Destroy when 1 month old	NC1-90-78-9 Item 57	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**35**	Receiving Records Including identification and description of blood products for transfusion received from other collection facilities. Located in CC, Transfusion Medicine Department.	Temporary	Retain on-site for 50 years or expiration of the patient or subject, whichever is longer. Transfer to the Federal Records Center for 30 years. Destroy when 30 years old. (21CFR606)	N1-443-99-4	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**36a**	Serological Test Records for Clinical Center patients Recordkeeping copy.	Temporary	Destroy the recordkeeping copy 5 years after patient is discharged.	N1-443-00-3	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**36b**	Serological Test Records for Clinical Center patients Electronic copies created on electronic mail and word processing systems.	Temporary	Delete after recordkeeping copy has been produced or when referencing or updating is completed.	N1-443-00-3	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**37a**	Transfusion Service Records Recordkeeping copy.	Temporary	Retain the recordkeeping copy on site for 50 years or upon notification of expiration of the patient or subject, whichever is longer. Transfer to the FRC following on-site retention for 50 years or notification of expiration of the patient or subject. Destroy after 30 years' retention at the Federal Records Center.	N1-443-00-3	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008
3000-E	**37b**	Transfusion Service Records Electronic copies created on electronic mail and word processing systems.	Temporary	Delete after recordkeeping copy has been produced or when referencing or updating is completed.	N1-443-00-3	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008
3000-E	**38**	Patient Rehabilitation Files Pertaining to patients treated in the department, and containing physician referrals, progress notes, copies of X ray interpretations, daily progress notes, copies of laboratory	Temporary	Destroy 10 years after last visit, or when patient is deceased, if the record is not involved in an ongoing study.	NC1-90-78-9 Item 119	Superseded	I-0010 Patient Medical Records	DAA-0443-2012-0007-0010

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		test results, and copies of outside physical therapy reports. Record copies of key documents are in the patients' folders in the Medical Records Department. Located in CC, Rehabilitation Department.						
3000-E	**39**	Social work patients' records Containing copies of social work history sheets showing summaries of work done, patient responses, and related comments and papers. Record copies of the history sheets are in the patients' folders in the Medical Records Department. Located in Social Work Department.	Temporary	Destroy 5 years after patient is discharged.	NC1-90-78-9 Item 121	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**40**	Spiritual Ministry Patient Name Files Identifying Clinical Center patients.	Temporary	Destroy 6 months after patient is discharged or deceased.	NC1-90-78-9 Item 124	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**41**	Patients' travel and transportation records.	Temporary	Destroy when 3 years old.	NC1-90-78-9 Item 87	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-E	**50a**	Blood Donors: Donor History and Consent Records History and physical data, and donor's consent portions.	Temporary	Destroy after microfilming and verification of film.	NC1-90-78-9 Item 10a	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**50b**	Blood Donors: Donor History and Consent Records Microfilm copies.	Permanent	DISPOSAL NOT AUTHORIZED. Review with NIH Records Management Officer for disposition when 15 years old.	NC1-90-78-9 Item 10b	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008
3000-E	**50c**	Blood Donors: Donor History and Consent Records Receipt portions.	Temporary	Transfer to the Federal Records Center annually; destroy when 5 years old.	NC1-90-78-9 Item 10c	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008
3000-E	**51**	Blood Donors: Donor history sheets Showing results of blood tests. Data are posted to computer. However, data for employee donors are removed from computer when employee leaves. On reemployment, antigen data are needed. Located in CC, Transfusion Medicine Department.	Permanent	DISPOSAL NOT AUTHORIZED at this time. Review in 5 years for possible retention period.	NC1-90-78-9 Item 12	Superseded	I-0008 Blood Donor or Receiving Records	DAA-0443-2012-0007-0008
3000-E	**61**	Normal Volunteers: Inpatient normal volunteer files Containing medical histories, appointment papers, admission sheets, and related correspondence and data.	Temporary	Destroy 3 years after volunteer period ends.	NC1-90-78-9 Item 92	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-E	**62**	**Copies of normal volunteer visit reports,** showing time spent by the volunteer, and payment made to the volunteer.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 93	Superseded	I-0013	DAA-0443-2018-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-E	**71**	Administrative nursing reports and related papers Submitted daily by each nursing unit, showing the number of patients, admissions, discharges, deaths, and other information about the patients.	Temporary	Destroy when 3 months old.	NC1-90-78-9 Item 46	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**72**	**Daily nursing service reports,** showing employee absence and tardiness, and personnel reassignment and utilization.	Temporary	Destroy when 3 months old.	NC1-90-78-9 Item 47	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-E	**73**	Patient Care Audit records Relating to audits of the quality of patient care in the Nursing Department.	Temporary	Destroy when 5 years old.	NC1-90-78-9 Item 49	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**74**	**Nursing unit reports**	Temporary	Destroy when 6 months old.	NC1-90-78-9 Item 56	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-E	**75**	**Volunteer Services**	Temporary	Destroy 18 months after end of volunteer's service.	NCI-90-78-9, Item 8	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-E	**76**	Operating room log Ledger records of operations performed, showing surgeon, assistants, and other vital data on each operation.	Temporary	Destroy when 8 years old.	NC1-90-78-9 Item 58	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**77**	Surgical scheduling requests. Description not required.	Temporary	Destroy when 3 months old.	NC1-90-78-9 Item 59	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**78**	Operating room memoranda Originals are maintained in the department. Copies are forwarded to the Medical Record and Information Systems Departments.	Temporary	Destroy when 2 years old.	N1-443-00-3	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in CC, Surgical Services Department						
3000-E	**79**	Daily operations listing Description not required	Temporary	Destroy when 3 years old.	NC1-90-78-9 Item 61	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**80**	Daily schedules of outpatients Located in Outpatient Department.	Temporary	Destroy when 2 months old.	NC1-90-78-9 Item 85	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**81**	General patient activities files Containing correspondence, memoranda, reports, purchase orders, and related papers pertaining to activities developed for patients.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 89	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**82**	Patients' library card files Showing patients who may charge library materials.	Temporary	Destroy when patient is discharged.	NC1-90-78-9 Item 90	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**90**	Volunteer services case files Containing applications, discharges, agreements, and related correspondence regarding persons donating their services to the Clinical Center.	Temporary	Destroy 18 months after end of volunteer's service.	NC1-90-78-9 Item 8	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-E	**91**	**Administrative files concerning volunteer services**, containing correspondence, reports and related papers concerning daily operations.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 9	Superseded	I-0013	DAA-0443-2018-0002-0001
3000-F		**3000-F Laboratory Operations, Materials and Resources**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-F	**1**	Quality Control Records Consisting of charts, graphs, and other records showing the quality of laboratory performance, and reflecting the adequacy of laboratory procedures and/or equipment. Located in CC, Clinical Pathology Department.	Temporary	Destroy when 2 years old.	NC1-90-78-9 Item 25	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-F	**2**	Instrument Maintenance Records Documenting repairs or other adjustments made to instruments used in the department. Located in CC, Clinical Pathology Department.	Temporary	Destroy when instrument is no longer used.	NC1-90-78-9 Item 26	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-F	**3**	Log Books, Recorder Charts, and Other Working Papers used to prepare reports or analyses. Located in CC, Clinical Pathology Department.	Temporary	Destroy when 30 days old.	NC1-90-78-9 Item 27	Superseded	I-0012 Pathology Test Records	DAA-0443-2012-0007-0012
3000-F	**4**	Laboratory Testing Records Includes documentation of pre- and post-¬analytical phases of testing process and all laboratory data generated in the analytical phase, including quality control, observed values, and interpretations associated with patient testing. Used for reference and research.	Temporary	Destroy when 2 years old, or when no longer useful for research. (42 CFR 493)	N1-443-99-4	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in CC, Transfusion Medicine Department.						
3000-F	**5**	Process Control Records Laboratory and manufacturing control records associated with patient testing, donor testing, or blood product manufacturing. Includes documentation related to validation, maintenance, and quality assurance of equipment, supplies, reagents, and processes. Used for reference and research. Located in CC, Transfusion Medicine Department.	Temporary	Destroy after 5 years, or 6 months after any blood product associated with these records has expired, or when the data is no longer useful for research, whichever is the latest date. (21 CFR 606)	N1-443-99-4	Superseded	I-0009 Blood Product Manufacture, Storage or Distribution Records	DAA-0443-2012-0007-0009
3000-F	**10**	Media Preparation Case Files and Indexes related to requisitions for laboratory media and cells, including description of the method of preparation and the ingredients used. Located in CC, Clinical Pathology Department.	Temporary	Destroy after 10 years.		Superseded	I-0012 Pathology Test Records	DAA-0443-2012-0007-0012
3000-F	**11**	Media Formulas Located in CC, Clinical Pathology Department.	Temporary	Destroy after 10 years.	UNAUTHORIZED	Superseded	I-0012 Pathology Test Records	DAA-0443-2012-0007-0012

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-G		**3000-G Biomedical Research Projects: General**						
3000-G	**1**	Planning and Development Records for Research Projects Included are objectives, plans and protocols, clearances and authorizations schedules, directives, and other records accumulated by the ICs in establishing research projects. (Excluding research protocols specified in item 3000 G 2.)	Temporary	Transfer to Federal Records Center 2 years after the project is completed or discontinued. Destroy 17 years after termination. Earlier disposal is authorized if the project leader determines they are no longer needed for scientific reference.	NC1-90-77-2 Item 30a	Superseded	I-0002 Research records that Support Intellectual Property Rights	DAA-0443-2012-0007-0002
3000-G	**2a**	Research Protocols Concerning standards and procedures to be followed in use of animals in research. Include records documenting protection of personnel who work with nonhuman primates (Manual Chapter 3044-2) and animal care and use in the intramural program (Manual Chapter 3040-2).	Temporary	Destroy when protocol is no longer in force.	UNAUTHORIZED	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-G	**2b**	Research Protocols Clinical Center Protocol files, documenting proposals made by the institutes and approved by the Director of the Clinical Center for use of human subjects in research, development, and related activities. Each file normally contains the official copy of the protocol, describing the nature of the proposed research, the methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Include protocol files documenting the protection of rights and safeguarding of welfare of human subjects who participate in research conducted or supported by the Intramural Research Program (IRP) (Manual Chapter 3014). Located in CC Medical Record Department.	Permanent	Review closed 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 5 years after transfer to the Records Center.	NC1-90-78-9 Item 116	Superseded	I-0001 Records of Intramural Research Projects of Historical Significance	DAA-0443-2012-0007-0001
3000-G	**2c**	Research Protocols Copies of research protocols, showing the research purposes for which normal volunteers are to be used.	Temporary	Destroy 1 year after end of research project.	NC1-90-78-9 Item 95	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in CC, Office of Normal Volunteers.						
3000-G	**3a**	Records of Basic Experimental and Statistical Data original full sized copies of records which have been microfilmed, when the microfilming has been done in accordance with the standards set forth in 36 CFR 1230.	Temporary	Destroy originals when microfilm copies have been examined and shown to be acceptable.	NC1-443-84-2	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-G	**3b**	Records of Basic Experimental and Statistical Data Original records that have not been microfilmed and microfilm or microfiche masters produced in accordance with the standards set forth in 41 CFR 101 11.506.	Temporary	Destroy when the project leader or principal investigator determines that the records are no longer useful for research. Inactive records which need to be kept for more than 3 years may be transferred to a Federal Records Center for storage, provided that the project leader specifies in advance of transfer the month and year when the records are to be destroyed.	NC1-443-84-2	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-G	**4**	End Products of each research project which report findings and conclusions, document advancements in treatment of disease or development of new medical devices, or are unique clinical records which have potential value in continuing research. Included are summary or final project reports, article reprints, monographs, graphic compilations, and analyses.	Permanent	Transfer one complete set to the Federal Records Center. Offer to National Archives when 20 years old.	NC1-90-77-2 Item 30c	Superseded	I-0001 Records of Intramural Research Projects of Historical Significance	DAA-0443-2012-0007-0001
3000-H		**3000-H Clinical Research**						
3000-H	**1**	Statements of Responsibility and Certifications of Drug Release By signing this form, a physician assumes responsibility for the use of drugs not yet fully tested. Located in CC, Pharmacy Department.	Temporary	Destroy when 5 years old.	NC1-90-78-9 Item 111	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-H	**2**	Pyrogen Test Records Showing the results of testing drugs for certain harmful characteristics. Located in CC, Pharmacy Department.	Temporary	Destroy 2 years after new drug application is approved or disapproved; if no new drug application is filed, destroy 2 years after study is completed.	NC1-90-78-9 Item 112	Superseded	I-0004 FDA Regulated Research Records	DAA-0443-2012-0007-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
3000-H	**3**	Requests for Testing of Developmental Drugs Located in CC, Pharmacy Department.	Temporary	Destroy 2 years after new drug application is approved or disapproved; if no new drug application is filed, destroy 2 years after study is completed.	NC1-90-78-9 Item 113	Superseded	I-0004 FDA Regulated Research Records	DAA-0443-2012-0007-0004
3000-H	**4**	Investigational Drug Service Requests Doctors' notifications to the department of intent to use a drug not yet approved for general use. Located in CC, Pharmacy Department.	Temporary	Destroy 2 years after the new drug application is approved or disapproved; if no new drug application is filed, destroy 2 years after study is completed.	NC1-90-78-9 Item 114	Superseded	I-0004 FDA Regulated Research Records	DAA-0443-2012-0007-0004
3000-H	**5**	Tally records of technical work done Used to prepare workload reports.	Temporary	Destroy when 1 month old.	NC1-90-78-9 Item 115	Superseded	I-0006 Clinical Care Services Records	DAA-0443-2012-0007-0006
3000-H	**10a**	Registries A central system used to collect and maintain the information for the purpose of which the registry was developed.	Temporary	Destroy when no longer needed for administrative use and/or scientific research.	N1-443-92-3	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-H	**10b**	**Registries.** b. Input/Source Files used for updating the registry. These records may be in electronic or hardcopy form.	Temporary	Destroy when information has been converted into the registry and verified. (GRS 20, items a. or b.)	GRS 20 Item a/b	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
3000-H	**10c**	Registries Other Components Records: Records maintained by other components that augment the registry records.	Temporary	Destroy when no longer needed for administrative use and/or scientific research.	N1-443-92-3	Superseded	I-0003 Records of All Other Intramural	DAA-0443-2012-0007-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
							Research Projects	
3000-H	**10d**	**Registries.** d. Procurement Files.	Temporary	Destroy with related contract case file (2600-A-4).	N1-443-92-3	Superseded	GRS 1.1 Item 010	DAA-GRS2013-0003-0001
3000-H	**10e**	Registries Reports that are prepared and submitted as required by the registry. For example: technical reports; quarterly, semi-annual, or annual reports; project summaries; final report. [Refer to section 6000-B-1-b for records which constitute a contract deliverable.]	Temporary	Transfer record copy of reports to the Federal Records Center in 5 year blocks. Destroy when 20 years old.	N1-443-92-3	Superseded	I-0003 Records of All Other Intramural Research Projects	DAA-0443-2012-0007-0003
4000-A		**4000-A General Program Information Files**						
4000-A	**1a**	General Program Information Files All grants and awards except construction grants and similar grants maintained by the grants management officers. Included are the program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators, and compilation of application ratings. Include records documenting successor in interest	Temporary	Place in inactive file at the close of each award cycle or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 10 years after closeout or audit resolution.	NC1-90-77-2 Item 36a	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and name change agreements (Manual Chapter 55205).						
4000-A	**1b**	General Program Information Files Construction and similar grants maintained by the grants management officers. Included are the program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators, and compilation of application ratings. Include records documenting successor in interest and name change agreements (Manual Chapter 55205).	Temporary	Place in inactive file at the close of each award cycle or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 20 years after closeout or audit resolution.	N1 443-92-2	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-A	**2**	Information for Management, Planning, Analysis, and Coordination (IMPAC) This is a central extramural data system administered by the Office of Policy for Extramural Research Administration (OPERA), NIH, which includes Office of Assistant Secretary of Health, Substance Abuse and Mental Health Services Administration, Agency for Health Care Policy and Research, Food and Drug Administration, and Center for	Temporary	Destroy when no longer needed for administrative purposes.	NC1-90-77-2 Item 76	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Disease Control and Prevention. It contains initial review group actions, council actions, awarding unit actions, and other individual grant information taken from applications, awards, and other grant and contract records. The data is used for preparing publications, listings, and tabulations; administrative purposes such as fiscal operations, budgeting, and program planning; public information and responses to inquiries; and research analysis. Include records documenting the establishment of new activities and new activity codes (C.R. 6304-2 and C.R. 54101) (Manual Chapters 54101 and 6304-2).						
4000-A	**3**	Computer Retrieval of Information on Scientific Projects (CRISP) This is a computer system containing information about the scientific and fiscal aspects of research contracts and grants supported by NIH and other Public Health Service agencies. It serves as a scientific database from which reports to all levels of management can be prepared and where scientists and administrators of science programs	Temporary	Destroy all files when no longer needed for administrative purposes.	NC1-90-77-2 Item 77	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		can obtain answers to a wide range of inquiries. It contains scientific descriptors, project identification, title, initial review group, principal investigator, fiscal year and award amounts taken from awarded grant applications and progress reports, negotiated contracts and progress reports, and intramural annual reports and individual project descriptions.						
4000-A	**4**	Research, Research Training, Fellowships, and Construction Applications and Awards These magnetic tapes contain information by IC (institute, center) which is extracted from the IMPAC System for individual IC use in administering the grants program and for responding to information requests. Included are grant applications and review history, awards, financial records, progress reports, and correspondence, which are obtained from the applicant, outside reviewers, and internal staff.	Temporary	Destroy magnetic tapes when superseded or no longer needed for reference.	NC1-90-77-2 Item 78	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-A	**5**	Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.	Temporary	Destroy when 2 years old	GRS 3 Item 14	Superseded	E-0003: Animal welfare assurance files	DAA-0443-2013-0004-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-A	**6**	Grant Control Files Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects applications and grants.	Temporary	Destroy when superseded or obsolete.	UNAUTHORIZED	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-A	**7a**	Grants and Awards - General Information Electronic copies created on word processing systems.	Temporary	Delete from word processing system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 13	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-A	**7b**	Grants and Awards - General Information Electronic mail records described as records elsewhere in this section, and any attachments to the records.	Temporary	Delete from the e-mail system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 14	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-B		**4000-B Official Case Files of Funded Grant and Award Applications**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-B	**1a**	Official Case Files of Funded Grant and Award Applications Electronic files - The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy Act. Electronic files should be treated in	Temporary	Cut off at end of FY of closeout. Delete 6 years after cutoff. NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest. In the event that records of this type are in electronic format and are scheduled for permanent retention in the	N1-443-03-01 Item a	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.		National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.				

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-B	**1b-1**	Official Case Files of Funded Grant and Award Applications Paper files - If copies to electronic images. The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy Act.	Temporary	Destroy upon verification of the electronic image. NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest. In the event that records of this type are in electronic format and are scheduled for permanent retention in the National Archives, the	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.		records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.				

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-B	**1b-2**	Official Case Files of Funded Grant and Award Applications Paper copies - If not copied to another medium. The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents, and all other supporting and related papers. Include records documenting successor in interest and name change agreements (Manual Chapter 55205), peer review process (Manual Chapter 4204-204B), and NIH support of scientific meetings and conferences by grants and cooperative agreements (Manual Chapter 54105). National Research Service Award files should include payback records. These records are subject to the Privacy	Temporary	Cut off at the end of FY of closeout and place in inactive file. Transfer to the Federal Records Center 1 year after cutoff. Destroy 6 years after cutoff. NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event that generates significant media, public, or historic interest. In the event that records of	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Act. Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.		this type are in electronic format and are scheduled for permanent retention in the National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.				

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-B	**2**	Initial Review Files of the Center for Scientific Review and IC initial review records and copies of the records from the official files.	Temporary	Destroy when no longer needed but not later than 1 year after the relevant official file is closed by the BID.	NC1-90-77-2 Item 37a	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-B	**3a**	Progress reports copies maintained in an organized subject file which are not part of the official grant file.	Temporary	Destroy when no longer needed.	NC1-90-77-2 Item 37a3a	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-B	**3b**	Progress reports copies filed by grant or award number which are not part of the official grant file.	Temporary	Destroy no later than 1 year after the relevant official file is closed by the IC.	NC1-90-77-2 Item 37a3b	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-B	**4**	NRSA Payback Files Established to document fulfillment of payback requirements for awards made under the National Research Service Award, when the official grant files for such awards are closed out following termination of support. These files include activation notices, appointment forms, signed payback agreements, termination	Temporary	Close file when all payback requirements have been fulfilled or formally waived. Transfer files closed in one fiscal year to Federal Records Center 1 year later. Destroy 6 years after close of files.	NC1-443-84-1	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		notices, annual payback activities certification forms, and related documents and correspondence.						
4000-B	**5a**	Grants and Awards - Funded Grant and Award Applications Electronic copies created on word processing systems.	Temporary	Delete from word processing system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 13	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-B	**5b**	Grants and Awards - Funded Grant and Award Applications Electronic mail records described as records elsewhere in this section, and any attachments to the records.	Temporary	Delete from the e-mail system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 14	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-C		**4000-C Official Files of Unfunded Grant and Award Applications**						
4000-C	**1a**	Official Files of Unfunded Grant and Award Applications Electronic files - also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.	Temporary	Cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Delete 3 years after cutoff.	GRS 3 Item 13	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-C	**1b-1**	Official Files of Unfunded Grant and Award Applications Paper files if copied to electronic images. Also may be in electronic or paper format. The official file should	Temporary	Destroy upon verification of the electronic image.	GRS 3 Item 13	Superseded	E-0002: Official case files of funded grants, unfunded grants, or	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		include the application, summary of review actions, official correspondence, and any other relevant documents.					award applications, appeals or litigation records	
4000-C	**1b-2**	Official Files of Unfunded Grant and Award Applications Paper files if not copied to another medium - also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.	Temporary	Cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Destroy 3 years after cutoff.	GRS 3 Item 13	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004
4000-C	**1c**	Official Files of Unfunded Grant and Award Applications. Also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents. Application Tracking System. Applications are tracked in database that includes input information such as award number, awardees, associated action dates, and are used solely to document the status of a grant.	Temporary	Update as necessary. Delete with related records or when no longer needed for administrative or reference purposes.	N1-443-03-1 Item 3	Superseded	E-0004: Extramural program or grants management oversight records	DAA-0443-2013-0004-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-C	**2**	Initial Review Files and copies of other records on unfunded applications held by Division of Research Grants and other initial review groups.	Temporary	Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.	NC1-90-77-2 Item 37b(2)	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-C	**3a**	Grants and Awards - Unfunded Grants and Award Applications 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. Electronic copies created on electronic mail and word processing systems.	Temporary	Delete within 180 days after the recordkeeping copy has been produced.	N1-443-03-1 Item 4a	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-C	**3b**	Grants and Awards - Unfunded Grants and Award Applications Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. Electronic copies created on	Temporary	Delete when dissemination, revision, or updating is complete.	N1-443-03-1 Item 4b	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		electronic mail and word processing systems.						
4000-D		**4000-D Official Case File for Construction and Similar Grants**						
4000-D	**1**	Official case file Containing total application, summary of review actions, award notices, terms and conditions of award, financial status report, closeout documents, and other related papers maintained as an identifiable entity.	Temporary	Place in inactive file on closeout of grant. Transfer each fiscal year file to Federal Records Center after 2 years in inactive file. Destroy 20 years after closeout. [NOTE: Closeout of grant should occur following occupancy of constructed or expanded space.]	N1-443-92-2	Superseded	E-0001: Official case files of construction, renovation, endowment or similar grants	DAA-0443-2013-0004-0001
4000-D	**2**	Other copies Description not required.	Temporary	Destroy when no longer needed for administrative reference and no later than 3 years after the official file is closed.	NC1-90-77-2 Item 37c(2)	Superseded	E-0001: Official case files of construction, renovation, endowment or similar grants	DAA-0443-2013-0004-0001
4000-D	**3a**	Grants and Awards - Construction and Similar Grants Electronic copies created on word processing systems.	Temporary	Delete from word processing system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 13	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-D	**3b**	Grants and Awards - Construction and Similar Grants Electronic mail records described as records elsewhere in this section, and any attachments to the records.	Temporary	Delete from the e-mail system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 14	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-E		**4000-E Grants Appeal Case Files**						
4000-E	**1a**	Grants Appeal Case Files Official case file containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions, and documentation of final decision.	Temporary	Destroy 6 years after calendar year in which case is closed.	NC1-90-77-2 Item 34	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-E	**1b**	Grants Appeal Case Files Other copies containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions, and documentation of final decision.	Temporary	Destroy 2 years after calendar year in which case is closed.	NC1-90-77-2 Item 34	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-E	**2a**	Grants Litigation Case Files Official Case file consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.	Temporary	Destroy 6 years after calendar year in which case is closed.	NC1-90-77-2 Item 35	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
							litigation records	
4000-E	**2b**	Grants Litigation Case Files Other copies consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.	Temporary	Destroy 2 years after calendar year in which case is closed.	NC1-90-77-2 Item 35	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-E	**3a**	ALERT System Records Concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts. Records of investigations where a determination is made not to impose any official sanction. Located in Division of Management Survey and Review.	Temporary	Destroy upon notification of completion of the investigation.	NC1-443-84-1 Item 1a	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-E	**3b**	ALERT System Records Concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts.	Temporary	Destroy when the sanction expires or terminates.	NC1-443-84-1 Item 1b	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Records of investigations which have resulted in imposition of official sanctions and records of such sanctions. Located in Division of Management Survey and Review.					applications, appeals or litigation records	
4000-E	**3c**	ALERT System Records Concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts. Other copies of the records described in “a” or “b.” Located in any component of PHS outside of ORI.	Temporary	Destroy, or return to the Office of Research Integrity as soon as the purpose for which the copy was provided is satisfied. Do not file with grant or contract files.	NC1-443-84-1 Item 1c	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-E	**4a**	Grants and Awards - Appeals and Litigation Electronic copies created on word processing systems.	Temporary	Delete from word processing system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 13	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-E	**4b**	Grants and Awards - Appeals and Litigation Electronic mail records described as records elsewhere in this section, and any attachments to the records.	Temporary	Delete from the e-mail system when file copy is generated and when referencing or updating is completed.	GRS 20 Item 14	Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
4000-F		**4000-F NHGRI Case Files**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-F	**1a**	NHGRI Funded Case Files Records dated April 2003 and forward.	Temporary	See 4000-B and 4000-C as applicable.	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-F	**1b**	NHGRI Funded Case Files Records prior to April 2003.	Temporary	Place in inactive file on closeout of grant. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy when 30 years old.	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
4000-F	**2a**	NHGRI Unfunded Case Files Records dated April 2003 and forward.	Temporary	See 4000-B and 4000-C as applicable.	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
4000-F	**2b**	NHGRI Unfunded Case Files Records prior to April 2003.	Temporary	Place in inactive file when applicant is notified that no award will be made or when the application is withdrawn. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy 15 years after notification or withdrawal.	N1-443-03-01	Superseded	E-0002: Official case files of funded grants, unfunded grants, or award applications, appeals or litigation records	DAA-0443-2013-0004-0002
6000-B		**6000-B Research Contracts Program Management**						
6000-B	**1a**	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:		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.	N/A	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
6000-B	**1b**	Project Officers' Files used in administration of research contracts. b. Duplicates of records described in item 6000-B-1a and progress reports, scientific and technical information, and other records	Temporary	Destroy 15 years after close-out of the last contract awarded in a research program, or when no longer needed, whichever is sooner	N/A	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		useful for health science administration of research programs, or to prepare reports, summaries or evaluations.						
6000-B	**1c**	**Project Officers' Files** used in administration of research contracts. c. Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
7000-A		**7000-A Protection of Biohazards, Contaminants, Pollutants, and Research Risks: Protection of Research Subjects**						
7000-A	**7**	**Biohazards - Protection of Research Subjects** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
7000-B		**7000-B Protection of Biohazards, Contaminants, Pollutants, and Research Risks: Biohazards**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
7000-B	**1c**	**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. c. Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
7000-C		**7000-C Protection of Biohazards, Contaminants, Pollutants, and Research Risks: Environmental Impact**						
7000-C	**3**	**Environmental Impact** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
8000-A		**8000-A Public Affairs and Communications**						
8000-A	**1b**	Formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations and indexes thereto,	Temporary	Destroy no later than 1 year after year in which published or presented.	NC1-90-77-2 Item 27	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		and the NIH Record. One complete set will be retained. Located in offices responsible for issuance. b. All other copies.						
8000-A	**5a**	**Background materials** for publications and informational releases. a. Background material including correspondence. Located in public affairs and communications offices.	Temporary	Destroy when no longer needed for reference or when record set of publication is transferred to Federal Records Center.	NC1-90-77-2 Item 27a	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8000-A	**5b**	**Background materials** for publications and informational releases. b. Source files for reference use in responding to inquiries and preparing articles, speeches and reports. Located in Office of Program Planning and Evaluation.	Temporary	Destroy when obsolete or when no longer needed for reference.	NC1-90-77-2 Item 19	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-A	**5c**	**Background materials** for publications and informational releases. c. Working papers, justifications, and other materials accumulated prior to publication. Located in NLM.	Temporary	Destroy 2 years after publication is released.	NC1-90-78-12 Item 81	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8000-A	**5d**	**Background materials** for publications and informational releases. d. Working papers, justifications and other material accumulated prior to publication. Located in CIT, Office of the Director.	Temporary	Destroy 2 years after publication is released.	NC1-90-78-12 Item 13	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8000-A	**5e**	**Background materials** for publications and informational releases. e. Manuscripts of articles, speeches, and other publications, including related clearances and other papers. Located in CIT branches and laboratories	Temporary	Destroy one year after speech is delivered or when material is published.	NC1-90-78-12 Item 21	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-A	**6**	**Daily press service teletype news** Located in public affairs and communications offices.	Temporary	Destroy when 3 months old. Earlier disposal is authorized.	GRS 14 Item 3	Rescinded		-
8000-A	**7**	**Bibliographies, check lists and indexes** of NIH publications and news releases, except those described in item 1 for formal informational releases. Located in public affairs and communications offices.	Temporary	Destroy when obsolete, superseded, or no longer needed for reference.	GRS 14 Item 6	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8000-A	**8a**	**Requests for information or publications** a. Located in CIT, NLM.	Temporary	Destroy when 3 months old.	NC1-90-78-12 Item 14	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0007-0001
8000-A	**8b**	**Requests for information or publications** b. Requests for information about toxicological information and information systems.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 88	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0007-0001
8000-A	**8c**	**Requests for information or publications** c. Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.	Temporary	Destroy 3 months after acknowledgement and referral.	N/A	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0007-0001
8000-A	**9b**	**International Conferences and Meetings files** consisting of official proceedings of international conferences and meetings sponsored, conducted or coordinated by FIC and published in	Temporary	Destroy no later than 2 years after year in which published. Earlier disposal is authorized.	NC1-90-77-2 Item 50	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		the FIC Proceedings series or other form. b. Other copies.						
8000-A	**10a**	**Visitors Program files** - Case files of individual or group visits to NIH to tour the facility, visit research areas, or for other informational purposes. a. Located in FIC.	Temporary	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.	NC1-90-77-2 Item 57	Superseded	GRS 6.4 Item 020	DAA-GRS-2016-0005-0002
8000-A	**10b**	**Visitors Program files** - Case files of individual or group visits to NIH to tour the facility, visit research areas, or for other informational purposes. b. Other copies.	Temporary	Destroy 1 year after year in which visit occurred.	NC1-90-77-2 Item 57	Superseded	GRS 6.4 Item 020	DAA-GRS-2016-0005-0002
8000-A	**12**	**Public Affairs, Publications and Communications** Electronic copies created on electronic mail and word processing systems.	Temporary	Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.		Superseded	GRS 5.1 Item 020	DAA-443-2016-0016-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-B		**8000-B Bibliographic and Other Reference Materials** Files and other aids in any form created and maintained in order to provide a comprehensive data base for reference locating information on a given subject, for example, bibliographic data bases and finding aids to record material. EXCLUDED from this section are: (1) Management information systems used for oversight, review and control of NIH programs (see appropriate subject/function headings); (2) Data systems that are created and used in conjunction with specific programs (see appropriate subject/function heading); (3) Information systems acquired from outside sources (see section 8000-H); (4) Requests for information (see item 8000-A-8). (5) Critically evaluated scientific reference data (see section 3000-K). (6) Correspondence control systems (see item 1700-C-2).							
8000-B	**1**	**Contract files**, relating to research and development and equipment contracts involving biomedical information systems, containing materials such as technical reports, correspondence, performance evaluations, and other matters pertaining to the technical aspects of contract administration. Located in NLM.	Temporary	Destroy 6 years after completion of contract.	NC1-90-78-12 Item 84	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
8000-B	**2a**	**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.	Temporary	Destroy when 7 years old, or when superseded, as appropriate.	NC1-90-78-12 Item 85a	Superseded	GRS 3.1 item 011	DAA-GRS-2013-0005-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		Located in NLM. a. Records containing data continuously needed for management of on-line systems.						
8000-B	**2b**	**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. b. All other records.	Temporary	Destroy when 5 years old.	NC1-90-78-12 Item 85b	Superseded	GRS 3.1 item 011	DAA-GRS-2013-0005-0007
8000-B	**3a**	**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	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 87a	Superseded	GRS 3.1 item 011	DAA-GRS-2013-0005-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		management of information systems.						
8000-B	**4a**	**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.	Temporary	Destroy when 1 year old.	NC1-90-78-12 Item 99a	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-B	**4b**	**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. b. Correspondence relating to index operations, concerning bibliographic requests from the public and foreign countries,	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 99b	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		prospective journal entries, and routine matters.						
8000-B	**5**	**Bibliographic and Other Reference Materials** Electronic copies created on electronic mail and word processing systems.	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
8000-D		**8000-D Library Records**						
8000-D	**1**	**Library program correspondence files**, involving professional activities such as meetings, relations with other institutions, and other professional and technical matters. Include working papers preliminary to final reports. Located in NLM.	Temporary	Destroy when 8 years old.	NC1-90-78-12 Item 76	Superseded	GRS 4.4 Item 010	DAA-GRS-2015-0003-0001
8000-D	**2a**	**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	Temporary	Destroy when 6 years old, or when superseded, as appropriate.	NC1-90-78-12 Item 89a	Superseded	GRS 4.4 Item 010	DAA-GRS-2015-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		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.						
8000-D	**2b**	**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.	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 89b	Superseded	GRS 4.4 Item 010	DAA-GRS-2015-0003-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		b. All other records.						
8000-D	**3**	**Statistical reports relating to various aspects of library operations.** Located in ORS, Library Branch.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 37	Superseded	GRS 4.4 Item 010	DAA-GRS-2015-0003-0001
8000-D	**4a**	**Reader Registration Cards** and application forms used to identify and register library users. a. Located in NLM.	Temporary	Destroy when patrons are re-registered.	NC1-90-78-12 Item 92	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**4b**	**Reader Registration Cards** and application forms used to identify and register library users. b. For permanent employees. Located in ORS, Library Branch.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 35b	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**4c**	**Reader Registration Cards** and application forms used to identify and register library users. c. For temporary employees. Located in ORS, Library Branch.	Temporary	Destroy on termination of temporary appointment.	NC1-90-78-12 Item 35a	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**4d**	**Reader Registration Cards** and application forms used to identify and register library users. d. For Clinical Center patients. Located in CC, Patient Activities Department.	Temporary	Destroy when patient is discharged.	UNAUTHORIZED	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-D	**5**	**Registration logs** of library patrons, used for daily statistical purposes and as a record of patrons arriving. Located in NLM.	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 93	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**6a**	**Reader Request Forms** a. Located in NLM.	Temporary	Destroy 1 calendar year after month of receipt.	NC1-90-78-12 Item 91	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**6b**	**Reader Request Forms** b. Located in ORS, Library Branch.	Temporary	Destroy when 1 year old.	NC1-90-78-12 Item 36	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**7**	**Borrower sign-out logs,** showing materials borrowed, names of borrowers, and related information. Located in NLM Library.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 18	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**8**	**Transaction History Files:** Computer listings of loan transactions. Located in NLM Library.	Temporary	Destroy when 3 months old.	NC1-90-78-12 Item 16	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**9a**	**Interlibrary Loan Requests** a. Located in NLM.	Temporary	Destroy 1 calendar year after month of receipt.	NC1-90-78-12 Item 94	Superseded	GRS 4.4 Item 030	DAA-GRS-2015-0003-0003
8000-D	**9b**	**Interlibrary Loan Requests** b. Located in ORS, Library Branch.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 38	Superseded	GRS 4.4 Item 030	DAA-GRS-2015-0003-0003
8000-D	**10**	**Correspondence received from the public** for bibliographical or other information. Located in NLM.	Temporary	Destroy 1 year after end of current year.	NC1-90-78-12 Item 95	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-D	**11**	**Library serial records:** Manual recordings of the receipt of serial publications. Located in NLM.	Temporary	Destroy when serial recording procedure is converted to a machine readable system.	NC1-90-78-12 Item 96	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**12**	**Requests for translating services and related papers**. Located in ORS, Library Branch.	Temporary	Destroy when 2 years old.	NC1-90-78-12 Item 39	Superseded	GRS 4.4 Item 020	DAA-GRS-2015-0003-0002
8000-D	**13**	**Library Records** Electronic copies created on electronic mail and word processing systems	Temporary	Delete when file copy is generated or when referencing or updating is completed.		Superseded	GRS 5.1 Item 020	DAA-GRS-2016-0016-0002
8000-E		**8000-E Freedom of Information Act**						
8000-E	**1**	**FOIA Reports Files**: Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level	Temporary	Destroy when 2 years old.	GRS 14 Item 14	Superseded	GRS 4.2 Item 070	DAA-GRS-2013-0007-0006
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.	Temporary	Destroy when 2 years old.	GRS 14 Item 15	Superseded	GRS 4.2 Item 001	DAA-GRS-2016-0013-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-E	**3a**	**FOIA Control Files:** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester. a. Registers or listing.	Temporary	Destroy 6 years after date of last entry.	GRS 14 Item 13a	Superseded	GRS 4.2 Item 040	DAA-GRS-2016-0002-0004
8000-E	**3b**	**FOIA Control Files:** Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester. b. Other files.	Temporary	Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.	GRS 14 Item 13b	Superseded	GRS 4.2 Item 040	DAA-GRS-2016-0002-0004
8000-E	**4**	**FOIA Requests when access is granted t**o requested record, including the original request, a copy of the reply and related supporting papers excluding the official file copy of the requested records.	Temporary	Destroy 2 years after date of reply.	GRS 14 Item11a1	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-E	**5**	**FOIA Requests when access is denied** to all or part of the requested records, including the original requests, a copy of the reply and related papers excluding the official file copy of the requested records.	Temporary	If there is no appeal, destroy 6 years after date of reply. If the case is appealed, see item 8000-E-7.	GRS 14 Item 11a3a/b	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-E	**6**	**FOIA Requests for records which do not exist,** or containing inadequate information about the records, or when reproduction fees are not paid: Original request, a copy of the reply and related papers excluding the official file copy of requested records.	Temporary	If there is no appeal, destroy 2 years after date of reply. If the case is appealed, see item 8000-E-7.	GRS 14 Item 11a2a/b	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-E	**7**	**FOIA Appeal Files** created in response to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, (EXCLUDING the official file copy of the records under appeal--see item 8000-E-8).	Temporary	Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.	GRS 14 Item 12a	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-E	**8**	**Official File Copy of Records Subject to FOIA Request**		Keep either a) according to disposition instructions for the records found in appropriate section of this schedule, or (b) as long as the records of the FOIA appeal (see item 8000-E-7), whichever is later.	GRS 14 Item 11b	Rescinded		
8000-F		**8000-F Privacy Act**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-F	**1**	**Official File Copy of Records subject to a request for access** under the Privacy Act. (Does not apply to cases where the request is for amendment of records about individuals: See items 8000-F-9 through F-10.)		Dispose of in accordance with approved NIH disposition instructions for the related records, or with the related Privacy Act request, whichever is later. WARNING: Records subject to the Privacy Act must be maintained and disposed of in a manner which protects the privacy of individuals (see DHHS, GAM 45-13).	GRS 14 Item 21b	Rescinded		
8000-F	**2**	**Privacy Act Report Files**: Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report of New Systems.	Temporary	Destroy when 2 years old.	GRS 14 Item 25	Superseded	GRS 4.2 Item 070	DAA-GRS-2013-0007-0006
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	Temporary	Destroy when 2 years old or sooner if no longer needed for administrative purposes.	GRS 14 Item 26	Superseded	GRS 4.2 Item 001	DAA-GRS-2016-0013-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-F	**4**	**Privacy Act Accounting of Disclosure Files** maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, (except if the disclosure is to an employee of HHS who has a need for the information in the conduct of official business or if the information is released under FOIA) including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Temporary	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after disclosure for which the accountability was made, whichever is later.	GRS 14 Item 23	Superseded	GRS 4.2 Item 050	NC1-64-771 item 27
8000-F	**5a**	**Privacy Act Control Files** maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester. a. Registers or listings.	Temporary	Destroy 5 years after date of last entry.	GRS 14 Item 24a	Superseded	GRS 4.2 Item 040	DAA-GRS-2016-0002-0004
8000-F	**5b**	**Privacy Act Control Files** maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.	Temporary	Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.	GRS 14 Item 24b	Superseded	GRS 4.2 Item 040	DAA-GRS-2016-0002-0004

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		b. Other files.						
8000-F	**6**	**Privacy Act Requests for Records** which contain inadequate or inaccurate information, or for records which do not exist, or when reproduction fees are not paid, including the request, a copy of the reply and related records except the official file copy of requested records (see item 8000-F-1).	Temporary	If there is no appeal, destroy 2 years after date or reply. If the case is appealed, see item 8000-F-11.	GRS 14 Item 21a2a/b	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-F	**7**	**Privacy Act Requests for Records when access is granted** including the request, a copy of the reply and related records except the official file copy of requested records (see item 8000-F-1).	Temporary	Destroy 2 years after date of reply.	GRS 14 Item 21a1	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-F	**8a**	**Privacy Act Request for Records when access is denied i**ncluding correspondence and supporting documents (excluding official copy of records requested). a. Request not appealed.	Temporary	Destroy 5 years after date of reply.	GRS 14 Item 21 a3a	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-F	**8b**	**Privacy Act Request for Records when access is denied i**ncluding correspondence and supporting documents (excluding official copy of records requested). b. Request appealed. Disposition: Dispose of according to disposition instruction for the records requested, or 3 years after final adjudication by the courts, whichever is later.	Temporary	Dispose of according to disposition instruction for the records requested, or 3 years after final adjudication by the courts, whichever is later.	GRS 14 item 21a 3b	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-F	**9**	**Privacy Act Requests to Amend Records when the request is granted,** including the requests, copies of replies and related records.	Temporary	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.	GRS 14 item 22a	Superseded	GRS 4.2 Item 090	DAA-GRS-2013-0007-0007
8000-F	**10**	**Privacy Act Requests to Amend Records when the request is denied, i**ncluding requests, copies of replies, statements of disagreement, NIH justification for refusal to amend and related records.	Temporary	Dispose of in accordance with the approved disposition instructions for the related subject individual's record; 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.	GRS 14 Item 22b	Superseded	GRS 4.2 Item 090	DAA-GRS-2013-0007-0007

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-F	**11**	**Privacy Act Appeals Case Files f**or all appeals of denials of access to records or denials of requests to amend records under the Privacy Act.	Temporary	Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.	GRS 14 Item 21 a3b	Superseded	GRS 4.2 Item 020	DAA-GRS-2016-0002-0001
8000-G		**8000-G Training and Educational Programs**						
8000-G	**4**	**Files relating to computer training for potential users,** comprising nomination forms, course materials, schedules, and related papers. Located in CIT.	Temporary	Destroy when 4 years old, or when training materials or other data are superseded or obsolete, as appropriate.	NC1-90-78-12 Item 23	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
8000-G	**7**	**General Files on NIH Training Programs** including correspondence, memorandum agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.	Temporary	Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.	N/A	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8000-G	**6**	Other NIH Training and Educational Programs manuals, syllabi, textbooks and any other training aids developed by NIH units.	Temporary	Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.	N/A	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
8000-G	**8**	**Background and Working Papers** for NIH training programs.	Temporary	Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.	N/A	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
8100-A		**8100-A Audiovisual Service Units**						
8100-A	**2**	**Audiovisual records** not having historical significance as described in 8000-A-1, and not covered by any other item in this section.	Temporary	Destroy when no longer needed for administrative use. If applicable, destroy in accordance with regulations governing salvaged film.	NC1-90-78-12 Item 3	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
8100-A	**3**	**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		Destroy or transfer to the National Archives as permanent records together with the related audiovisual records.	NC1-90-78-12 Item 4	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		or computer-compatible documentation.						
8100-A	**4**	**Production Files** or similar files which include production contracts, script, transcripts and related documents.		Either destroy or transfer to the National Archives as permanent records together with related audiovisual materials.	NC1-90-78-12 Item 5	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
8100-B		**8100-B Photographic Material**						
8100-B	**1**	**Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.**	Temporary	Destroy when one year old.	GRS 21 Item 1	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
8100-B	**2**	**Personnel identification or passport photographs.**	Temporary	Destroy when five years old.	GRS 21 Item 2	Superseded	GRS 2.2 Item 090, GRS 5.6 Item 120, or GRS 5.6 Item 130	DAA-GRS-2017-0007-0013, or DAA-GRS-2017-0006-0016, or DAA-GRS-2017-0006-0018
8100-B	**3**	**Internal personnel and administrative training filmstrips** and slide programs that do not reflect the mission of the agency.	Temporary	Destroy one year after completion of training program.	GRS 21 Item 3	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-B	**4**	**Other photographs** used for special events, publications, news conferences, and the like. Located in NLM; CIT; CC, Office of Clinical Reports and Inquiries.	Temporary	Destroy when superseded or when no longer needed for programs or activities.	NC1-90-78-12 Item 12	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-B	**5**	**Official portraits** of senior agency officials.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
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.*	Temporary	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.	N/A	Rescinded		-
8100-C		**8100-C Graphic Arts**						

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-C	**1**	**View graphs.**	Temporary	Destroy 1 year after use.	GRS 21 Item 5	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
8100-C	**2**	**Routine art work** for handbills, flyers, posters, letterhead and other graphics.	Temporary	Destroy when no longer needed for publication or reprinting.	GRS 21 Item 6	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-C	**3**	**Line and halftone negatives, screened paper prints and offset lithographic plates** used for photo-mechanical reproduction.	Temporary	Destroy when no longer needed for publication or reprinting.	GRS 21 Item 7	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-C	**4**	**Line copies of graphs and charts.**	Temporary	Destroy when no longer needed for publication or reprinting.	GRS 21 Item 8	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-C	**5**	**Other Art work** used for special events, publications, press releases and the like. Located in NLM; CIT; CC, Office of Clinical Reports and Inquiries.	Temporary	Destroy when superseded or when no longer needed for programs or activities.	N/A	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-C	**6**	**Posters** distributed agency-wide or to the public.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED. Retain 2 copies.	N/A	Rescinded		-
8100-C	**7**	**Original art work** of unusual or outstanding merit.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED. Retain original and a photographic copy, if one exists.	N/A	Rescinded		-
8100-D		**8100-D Motion Pictures**						
8100-D	**1**	**Films for personnel and management training**, acquired from outside sources.	Temporary	Destroy one year after completion of training program.	GRS 21 Item 9	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-D	**2**	**Films for personnel entertainment and recreation,** acquired from outside sources.	Temporary	Destroy when no longer needed.	N/A	Rescinded		-
8100-D	**3**	**Routine surveillance footage.**	Temporary	Destroy when 6 months old.	GRS 21 Item 11	Rescinded		-
8100-D	**4a**	**Routine scientific, medical or engineering footage.** (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;	Temporary	Destroy when two years old.	GRS 21 Item 12	Rescinded		-
8100-D	**4b**	**Routine scientific, medical or engineering footage.** (b) Acquired films: two projection prints or one projection print and video recording;	Temporary	Destroy when two years old.	GRS 21 Item 12	Rescinded		-
8100-D	**4c**	**Routine scientific, medical or engineering footage.** (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.	Temporary	Destroy when two years old.	GRS 21 Item 12	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-D	**5**	**Agency-sponsored films intended for public distribution,** including informational, educational, and recruiting films.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-D	**6**	**Agency-sponsored television news releases and information reports.**		DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-D	**7**	**Agency-sponsored television public service (or "spot") announcements.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 6.4 Item 040	DAA-GRS-2016-0005-0004
8100-D	**8**	Agency-sponsored training films that explain agency functions or activities intended for internal or external distribution.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-D	**9**	**Films produced under grant** that are submitted to NIH.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-D	**10**	**Films that document or are used to carry out agency programs**, acquired from outside sources.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-D	**12**	**Stock footage, out takes and trims** created during the course of an agency-sponsored production.	DISPOSAL NOT AUTHORIZED	Offer immediately for deposit in the Stock Film Library, Special Archives Division, and National Archives.	N/A	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006
8100-D	**13**	**Duplicate prints and pre-print elements** of all series in 8100-D, except items 8100-D-5 through	Temporary	Destroy when no longer needed.	N/A	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		8100-D-11. For those items, duplicates in addition to those copies required to be retained.						
8100-E		**8100-E Video Recordings**						
8100-E	**1**	**Programs for personnel and management training,** acquired from outside sources	Temporary	Destroy one year after completion of training program.	GRS 21 Item 14	Superseded	GRS 1.1 Item 010	DAA-GRS-2013-0003-0001
8100-E	**2**	**Programs for personnel entertainment and recreation**, acquired from outside sources.	Temporary	Destroy when no longer needed.	N/A	Rescinded		-
8100-E	**3**	**Rehearsal or practice tapes.**	Temporary	Destroy immediately.	GRS 21 Item 16	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-E	**4**	**Internal personnel and administrative training programs** that do not reflect the mission of the agency, including "role-play" sessions, management and supervisory instruction, etc.	Temporary	Destroy one year after completion of training program.	GRS 21 Item 17	Superseded	GRS 2.6 Item 010	DAA-GRS-2016-0014-0001
8100-E	**5**	**Routine surveillance recordings.**	Temporary	Destroy when 6 months old.	GRS 21 Item 18	Rescinded		-
8100-E	**6**	**Routine scientific, medical or engineering recordings.**	Temporary	Destroy when two years old.	GRS 21 Item 19	Rescinded		-
8100-E	**7**	**Recordings that document routine meetings and award presentations.**	Temporary	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.	GRS 21 Item 20	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-E	**8**	**Agency-sponsored video productions** intended for public distribution, including informational, educational, and recruiting productions.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-E	**9**	**Agency-sponsored television news releases or information reports.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 6.4 Item 040	DAA-GRS-2016-0005-0004
8100-E	**10**	**Agency-sponsored television public service** (or "spot") announcements.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 6.4 Item 040	DAA-GRS-2016-0005-0004
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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-E	**12**	**Internal management news or information programs.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-E	**13**	**Recording of public meetings or speeches,** agency-sponsored conferences, guest speakers, testimony of agency officials before Congress and at other hearings.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-E	**14**	**Programs produced under grant that are submitted to NIH.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-E	**15**	**Programs that document or are used to carry out agency programs**, acquired from outside sources.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-E	**16**	**Media appearances by top agency officials.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
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.*	Temporary	Destroy when no longer needed.	N/A	Rescinded		-
8100-F		**8100-F Sound Recording**						
8100-F	**1**	**Recordings of meetings** made exclusively for note taking or transcription.	Temporary	Destroy immediately after use.	GRS 21 Item 22	Rescinded		-
8100-F	**2**	**Dictation belts or tapes.**	Temporary	Destroy immediately after use.	GRS 21 Item 23	Rescinded		-
8100-F	**3**	**Pre-mix sound elements** created during the course of a motion picture, television or radio production.	Temporary	Destroy immediately after use.	GRS 21 Item 24	Superseded	GRS 6.4 Item 030	DAA-GRS-2016-0005-0003
8100-F	**4**	**Library sound recordings** (e.g., effects, music).	Temporary	Destroy when no longer needed.	N/A	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-F	**5**	**Daily or spot news** recordings available to local radio stations on a call-in basis.	Temporary	Destroy when 6 months old or when no longer needed. ***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.	GRS 21 Item 26	Superseded	GRS 6.4 Item 040	DAA-GRS-2016-0005-0004
8100-F	**6**	**Agency-sponsored radio programs intended for public broadcast.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**7**	**Agency-sponsored radio news releases and information programs.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**8**	**Agency-sponsored radio public service (**or "spot") announcements.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Superseded	GRS 6.4 Item 040	DAA-GRS-2016-0005-0004
8100-F	**9**	**Internal management news** or information programs.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
8100-F	**10**	**Recording of public meetings of speeches**, agency-sponsored conferences, and guest speakers, testimony of agency officials before Congress and at other hearings.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**11**	**Oral history collections.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**12**	**Recordings or programs produced under grant that are submitted to NIH.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**13**	**Recording or programs that document or are used to carry out agency programs, acquired from outside sources.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**14**	**Media appearances by top agency officials.**	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-F	**15**	**Documentary recordings** made for fact-finding or other studies.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
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.	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A	Rescinded		-
8100-G		**8100-G Documentation of Audiovisual Records**						
8100-G	**1**	**Production files** or similar files that document origin, development, acquisition, use and ownership;	Temporary	Dispose of according to the instructions covering the related audiovisual records.	GRS 21 Item 28	Superseded	GRS 6.4 Item 050	DAA-GRS-2016-0005-0006

Section	Item	Records Description	Record Type	Old Disposition Instructions	Old Disposition Authority	Superseded/Rescinded	New Item Number	New Disposition Authority
		(May include scripts, contracts, transcripts, releases, etc.)						
8100-G	**2**	**Finding aids** for identification, retrieval or use. (May include indexes, catalogs, shelf lists, log books, caption sheets, shot lists, continuities, etc. and may be in text, card, microform or machine-readable format.)	Temporary	Dispose of according to the instructions covering the related audiovisual records.	GRS 21 Item 29	Superseded	GRS 4.2 Item 010	DAA-GRS-2013-0002-0016