



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

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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		<p>1100-A Legislation & Regulations</p> <p>A. Legislation and Regulations Files related to the development, formulation, laws and regulations governing matters related to NIH's mission.</p> <p>EXCLUDED from this section are: Records related to implementation of or compliance with laws and regulations. (See appropriate subject/functional sections.)</p>			
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	Temporary	Transfer case files of legislation to inactive file when superseded or terminated.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		<p>1100-C Program Planning Files</p> <p>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</p> <p>EXCLUDED from this section are:</p> <p>(1) Files related to planning individual biomedical research projects or experiments; see items 3000-G through J.</p> <p>(2) Files related to planning individual ADP applications; see section 2800-A.</p> <p>(3) Files related specifically and solely to budget planning; see section 2100.</p> <p>(4) Plans for management, housekeeping and other services not specifically related to NIH programs; see appropriate subject/function headings.</p>			
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	<p>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.</p> <p>a. Reports not duplicated in another permanent file and not included in a publications series as described by 8000-A-1.</p> <p>Located in issuing office</p>	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	<p>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.</p> <p>All other copies.</p>	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	<p>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.</p>	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	<p>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</p> <p><i>Located in CC, Office of the Director</i></p>	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	<p>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</p>	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
		<i>Located in (1) Office of Management Assessment. (2) Official files of all IC's.</i>			
1100-D	1c	<p>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</p> <p><i>All other copies and correspondence or papers which are not related to the decision process for determining organizational structures and functions.</i></p>	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 Center 3 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		<p>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.</p> <p>EXCLUDED from this section are:</p> <ol style="list-style-type: none"> 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	<p>Gorgas Memorial Institute of Tropical Diseases and Preventive Medical files documenting FIC role in its operation and financing.</p> <p>a. Statements of policy, congressional correspondence which affected decisions on policy, instructions for conducting research programs.</p>	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	<p>Gorgas Memorial Institute of Tropical Diseases and Preventive Medical files documenting FIC role in its operation and financing.</p> <p>b. Memoranda requesting payment, copies of allowance documents, and copies of annual reports to congress.</p>	Temporary	Destroy when 5 years old.	NC1-90-77-2 Item 52b
1100-J	8a	<p>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.</p> <p>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</p>	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	<p>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.</p> <p>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.</p>	Temporary	Destroy when 3 years old, or when no longer needed, whichever is sooner.	NC1-443-84-1, Item 12.b
1100-L	<p>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.</p> <p>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."</p>				

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
		<p>a. Executed Agreements with Financial Terms - - Records includes CRADAs with common account numbers (CANs) and Licenses.</p>			
1100-L	13b	<p>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.</p> <p>b. Denied License Applications That Are Under Appeal -- Records include non-executed license applications that are under appeal.</p>	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	<p>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.</p> <p>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.</p>	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	<p>Environmental control program: subject files related to coordination of environmental control activities at NIH, containing correspondence reports, published materials and related papers.</p> <p>Located in Division of Safety.</p>	Temporary	Destroy when 5 years old.	UNAUTHORIZED
1300-B	2	<p>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.</p> <p>Located in Occupational Safety and Health Branch.</p>	Temporary	Destroy when 6 years old.	NC1-90-78-12 Item 43
1300-B	3	<p>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.</p> <p>Located in Occupational Safety and Health Branch.</p>	Temporary	Destroy when 5 years old.	NC1-90-78-12 Item 44
1300-B	7	<p>Radioactive contamination survey sheets: Room surveys for radioactive contamination.</p> <p>Located in Radiation Safety Branch.</p>	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	8a	<p>Radiation Safety Training Records. These records are subject to the Privacy Act.</p> <p>Located in Radiation Safety Branch.</p> <p>a. Radiation Safety Training Record Card (NIH 88-15).</p>	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	<p>Radiation Safety Training Records. These records are subject to the Privacy Act.</p> <p>Located in Radiation Safety Branch.</p> <p>b. Radiation Safety Refresher Training Attendance Records.</p>	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	9	<p>Exposure incident files contain reports and all other data relating to the investigation of radioactivity exposure incidents in NIH.</p> <p>Located in Radiation Safety Branch.</p>	Temporary	Destroy when 10 years old	NC1-90-78-12 Item 64
1300-B	10	<p>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.</p> <p>Located in Radiation Safety Branch.</p>	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	<p>NIH requests for the purchase and use of radio nuclides.</p> <p>Located in Radiation Safety Branch.</p>	Temporary	Destroy when 3 years old.	NC1-90-78-12 Item 67
1300-B	12	<p>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.</p> <p>in Radiation Safety Branch.</p>	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	<p>Notifications of transfer of radioactive material to other institutions.</p> <p>Located in Radiation Safety Branch.</p>	Temporary	Destroy when 3 years old.	N1-443-98-2
1300-B	14	<p>Records relating to the disposal of radioactive waste.</p> <p>Located in Radiation Safety Branch.</p>	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		<p>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.</p> <p>EXCLUDED from this section are:</p> <ol style="list-style-type: none"> 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.) <p>1700-A: Management Appraisal Records related to management analyses, studies, reviews, audits and investigations.</p> <p>EXCLUDED from this section are:</p> <ol style="list-style-type: none"> 1. Program planning and review records. (See section 1100-C or appropriate program heading.) 2. Personnel evaluations. (See item 2300-430.) 			
1700-A	1a	<p>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,</p>	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
		<p>supporting documentation and data.</p> <p>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.</p>			
1700-A	1b	<p>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.</p> <p>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.</p>	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	<p>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.</p> <p>c. Other copies</p>	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	<p>Research Integrity Files:</p> <p>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.</p> <p>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.</p> <p>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.</p>	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	<p>Research Integrity Files:</p> <p>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.</p> <p>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.</p> <p>b Final ORI Reports:</p>	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	<p>Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.</p> <p>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.</p> <p>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;</p>	Permanent	<p>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.</p>	N1-443-99-3

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		<p>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.</p>			
1700-A	4a-3	<p>Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.</p> <p>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.</p> <p>3. All other investigative case files: except those that are unusually significant or documenting ethical standards by NIH officials or others.</p>	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	<p>Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.</p> <p>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.</p>	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	<p>Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.</p> <p>c. All other correspondence working papers, working drafts, and report related materials for audits and investigations.</p>	Temporary	Destroy 1 year after final agency action has received OMA concurrence.	NC1-443-84-1
1700-C		<p>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.</p> <p>EXCLUDED from this section are:</p> <ol style="list-style-type: none"> 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	<p>Correspondence with the Public</p> <p>d. Letters of complaint or other matter involving prospective litigation, including administrative claims.</p>	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 reproducible 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
		<p>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.</p>			
2600-B	2a-1	<p>Architectural and Engineering Drawings and Models consisting of master tracings and acceptable reproduces 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.</p> <p>Refer to NIH Records Management Officer, OMA, for guidance on all files in this series.</p> <p>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.</p>	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		1. Drawings			
2600-B	2a-2	<p>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.</p> <p>Refer to NIH Records Management Officer, OMA, for guidance on all files in this series.</p> <p>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</p>	DISPOSAL NOT AUTHORIZED	DISPOSAL NOT AUTHORIZED.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
		<p>Isolation Facility, the DNA Facility and others. This is not necessarily a complete list.</p> <p>2. Models</p>			
2600-B	2b	<p>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.</p> <p>Refer to NIH Records Management Officer, OMA, for guidance on all files in this series.</p> <p>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.</p>	Temporary	Destroy when no longer needed for administrative purposes.	N/A

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
2800 Data Processing					
2800		<p>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.*</p> <p>*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</p>			
2800-A		<p>2800-A ADP Management and Research</p> <p>Records related to the management of ADP operations and applications and to research in ADP hardware and software development.</p> <p>EXCLUDED from this chapter are:</p> <ol style="list-style-type: none"> 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	<p>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.</p> <p>a. Final reports.</p>	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	<p>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.</p>	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		<p align="center">3000 Biomedical Research Activities</p> <p align="center">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.</p> <p align="center">EXCLUDED from this section are:</p> <p align="center">(1) Files which document administrative management to service activities covered by Part 1.</p> <p align="center">(2) Files created or used to provide information on program activities to the public (see section 8000).</p>				
3000-C		<p>3000-C Veterinary Services Records of the Veterinary Resources Branch of the Office of Research Services.</p> <p>EXCLUDED from this section are Administrative records of the branch (see item 1100-M-1-b).</p>				
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		<p>3000-H Clinical Research</p> <p>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.</p> <p>EXCLUDED from this section are:</p> <p>(1) Records kept for clinical care rather than research (see section 3000-E).</p> <p>(2) Records of biomedical research not directly related to specific clinical applications (see section 3000-G, I or J).</p> <p>(3) Records of the Veterinary Resources Branch (see section 3000-C).</p> <p>i. Drug Testing and Development Records of the Clinical Center Pharmaceutical Development Service.</p> <p>ii. Registries.</p>			
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		<p>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.</p> <p>Records relating to CoCs include:</p> <ul style="list-style-type: none"> • 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	<p align="center">7000 Protection from Biohazards, Contaminants, Pollutants, and Research Risks</p> <p align="center">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.</p> <p align="center">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).</p>				
7000-A	<p>7000-A Protection of Research Subjects</p> <p>Records of the Office for Protection from Research Risks.</p> <p>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.</p>				

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
7000-A	1a	<p>Special assurance files and Single Project Assurance files for individual DHHS-supported projects, grants and contracts with supporting papers, including grant or contract application, revisions or amendments to the assurance, and related correspondence.</p> <p>a. Office file.</p>	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	<p>Special assurance files and Single Project Assurance files for individual DHHS-supported projects, grants and contracts with supporting papers, including grant or contract application, revisions or amendments to the assurance, and related correspondence.</p> <p>b. Other copies.</p>	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	<p>General Assurance files, Multiple Project Assurance files, Cooperative Project Assurance, Animal Welfare Assurance files, and all other OPRR Assurance files covering DHHS-supported projects, grants or contracts of an organization. Included are records related to preliminary negotiations, signed assurances with revisions or amendments, related correspondence, and other supporting documents.</p> <p>a. Official file.</p>	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	<p>General Assurance files, Multiple Project Assurance files, Cooperative Project Assurance, Animal Welfare Assurance files, and all other OPRR Assurance files covering DHHS-supported projects, grants or contracts of an organization. Included are records related to preliminary negotiations, signed assurances with revisions or amendments, related correspondence, and other</p>	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	<p>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.</p> <p>b. All other memoranda files.</p>	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 , including 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		<p>8000-A Public Affairs, Publications and Communications</p> <p>Records created or used in providing information about NIH to outside audiences.</p> <p>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).</p>			

Section	Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
8000-A	1a	<p>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.</p> <p>a. Official file.</p>	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	<p>NIH Basic Data Book, fiscal history data, bibliographies and biographies of NIH Directors. Located in Office of Program Planning and Evaluation.</p>	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	<p>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.</p>	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	<p>Publications prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office.</p> <p>a. Located in public affairs and communications offices (see item 8000-A-1).</p>	Permanent	PERMANENT. Offer to the National Archives when 15 years old.	NC1-90-78-9 Item 29
8000-A	4b	<p>Publications prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office.</p> <p>b. Located in CC, Office of Clinical Reports and Inquiries, including publications such as Clinical Center Close-up, Director's Update and others.</p>	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	<p>Publications prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office.</p> <p>c. Located in NLM.</p>	Permanent	PERMANENT. Offer to the National Archives when 20 years old.	NC1-90-78-12 Item 79
8000-A	4d	<p>Publications prepared and issued by NIH components. Disposition instructions apply to one record copy of each publication maintained by the issuing office.</p> <p>d. Located in CIT, Office of the Director (excluding technical publications).</p>	Permanent	PERMANENT. Offer to the National Archives when 20 years old.	NC1-90-78-12 Item 11
8000-A	9a	<p>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.</p> <p>a. FIC copy.</p>	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	<p>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.</p>	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		<p>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.</p> <p>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).</p>								
		8000-G				1	<p>Clinical Center Training administrative files, consisting of correspondence, memoranda, and reports pertaining to training techniques, plans, materials, and related matters.</p>	Temporary	Destroy when 3 years old.	NC1-90-78-9 Item 6
		8000-G				2a	<p>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.</p> <p>a. Files for successful applicants who later join the Library staff.</p>	Temporary	Files for successful applicants who later join the Library staff.	NC1-90-78-12 Item 90
		8000-G				2b	<p>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.</p> <p>b. All other files.</p>	Temporary	Destroy 6 months after close of files.	NC1-90-78-12 Item 90
		8000-G				3	<p>On-Line Bibliographic Systems Training Records containing lists of students, lesson plans, and related papers.</p>	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 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 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
		<p>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.</p> <p>a. Still pictures including:</p> <ol style="list-style-type: none"> 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	<p>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</p>	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
		<p>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.</p> <p>b. Motion pictures:</p> <ol style="list-style-type: none"> 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	<p>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.</p> <p>c. Sound recordings on tapes or discs.</p> <ol style="list-style-type: none"> 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	<p>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.</p> <p>d. Video recording.</p>	Permanent	PERMANENT. Offer to National Archives when no longer needed for administrative purposes or when 5 years old.	N/A