

1743 Keeping and Destroying Records
NIH Records Control Schedule

2300 Personnel

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

EXCLUDED from this chapter are

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

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

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

200 General Personnel Provisions

2300-200-1 Personnel Correspondence and Subject Files.

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

Disposition: Destroy when 3 years old.

- b. Correspondence, reports, memoranda, and other records relating to employment programs and function, and manpower management and evaluation, including experts and consultants, overseas

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employment, reemployment rights, employee transfer and detail,
and excepted positions.

Disposition: Destroy when 5 years old.

2300-200-2 Personnel Operations Statistical Reports: Statistical reports in the operating personnel office and subordinate units relating to personnel.

Disposition: Destroy when 2 years old.

292 TDCS - ARMS Personnel System

(Reserved)

293 Personnel Records and Files

2300-293-1 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 Recordkeeping for instructions relating to folders of employees transferred to another agency.
- b. Separated employees.

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

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.

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

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2300-293-3 Employment Applications. Applications, including OF 612, resumes, and any application that an agency may develop for unique jobs with specialized requirements, and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder.

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

2300-293-4 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.

a. Clinical Center Medical Staff.

Disposition: 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.) Destroy when 30 years old.

b. Data Files.

Disposition: Delete inactive information in the data base when no longer needed.

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

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

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300 Employment (General)

2300-300-1 Service Record Card (Standard Form 7 or its equivalent).

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

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

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

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

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

2300-300-2 Employee Record Cards used for informational purposes outside personnel offices (such as SF 7-B).

Disposition: Destroy on separation or transfer of employee.

2300-300-3 Special Employment Program Files on participants in special programs such as Upward Mobility, Junior Fellows, Management Interns, DHHS Fellows, etc.

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

320 Staff Fellowship Programs

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.

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

2300-320-2 Visiting Program Files

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

1. Located in sponsoring IC Personnel Office.

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

2. Located in FIC.

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

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

Located in FIC.

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

2300-320-3 Guest Worker Program Files: Case files on individual outstanding scientists who have been authorized by a IC to utilize NIH research facilities.

- a. Located in sponsoring IC.

Disposition: Destroy 2 years after year in which individual completes

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work at NIH.

b. Located in FIC.

Disposition: Destroy no later than 4 years after individual completes work at NIH.

2300-320-4 Expert Series Program Files: Case files on individual experts who are sponsored by a IC to conduct research at NIH.

a. Located in IC.

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

b. Located in FIC.

Disposition: Destroy no later than 4 years after individual completes work at NIH.

2300-320-5 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.

a. Located in FIC.

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

b. Other copies.

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

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2300-320-6 International Exchange Program: State Department Clearances for foreign individuals and American and foreign research contracts or grants. The official file is retained by the IC in the appropriate case or program file.

a. Located in IC.

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

b. Located in FIC.

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

2300-320-7 International Research Fellowships and Fogarty Scholars-in-Residence Case Files for awards made under the NIH Extramural Program, including applications, review actions, award notices, financial records, close-out documents, and audit reports, if any.

a. Accepted applications.

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

b. Rejected applications.

Disposition: Destroy 5 years after rejection.

2300-320-8 RESERVED. NC1-90-77-2 (79)

2300-320-9 RESERVED. NC1-90-77-2 (80)

2300-320-10 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

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papers.

Disposition: Destroy 2 years after associate leaves.

b. For rejected applicants.

Disposition: Destroy when 2 years old.

2300-320-11 NIH Associates Program Card Summaries, containing vital summary data on associates and their tours of duty.

Located in Office of Education.

Disposition: Destroy 10 years after associate leaves.

2300-320-12 NIH Associates Program Residents' Files, pertaining to qualified medical personnel appointed for special laboratory and clinical training: Contains application forms, correspondence, and related papers.

Located in Office of Education.

a. For selected applicants.

Disposition: Destroy 5 years after resident leaves.

b. For rejected applicants.

Disposition: Destroy when 2 years old.

2300-320-13 NIH Associates Program Card summaries on residents.

Located in Office of Education.

Disposition: Destroy 10 years after resident leaves.

2300-320-14 Staff Fellowship Programs

Electronic copies created on electronic mail and word processing systems.

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

330 Recruitment, Selection and Placement

2300-330-1 Offers of Employment Files: Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted offers.

Disposition: Destroy when appointment is effective.

b. Declined offers.

Disposition:

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

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 over a preference eligible and selecting a non-reference eligible.

Disposition: Destroy when 2 years old.

2300-330-3 Interview Records: Correspondence, reports and other records relating to interviews with employees.

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

2300-330-4 Retention Registers

a. Registers and related records used to effect reduction-in-force actions have been taken.

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Disposition: Destroy when 2 years old.

- b. Registers from which no reduction-in-force actions have been taken and related records.

Disposition: Destroy when superseded or obsolete.

2300-330-5 Pending Personnel Actions: Correspondence and forms relating to pending personnel actions.

Disposition: Destroy when action is completed.

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.

2300-330-7 Examining and Certification Records: Records created under delegated agreements under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.

- a. Delegated agreements.

Disposition: Destroy 3 years after termination of agreement.

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

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

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

Disposition: Destroy when test is superseded or obsolete.

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

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

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

Disposition: Destroy 5 years after termination of related register.

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

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

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

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

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

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

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

- i. Test Answer Sheets. Written test answer sheets for both eligibles

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and ineligible. Filed by date of processing.

Disposition: Destroy when 6 months old.

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

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

- k. Eligible applications.

- (1) On active register.

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

- (2) On inactive register.

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

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

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

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

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actions taken in the event of appeal or legal action.

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

n. Certification request control index.

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

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

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

p. DEP control cards, if maintained.

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

q. Reports of audits of delegated examining operations.

Disposition: Destroy 3 years after date of the report.

355 Promotion and Internal Placement

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

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

410 Training

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

EXCLUDED from this section are:

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

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

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

(1) Correspondence, memoranda, agreements, authorizations, reports, requirements reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

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

(2) Background and working files.

Disposition: Destroy when 3 years old.

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

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

430 Performance Evaluation

2300-430-1 Performance Rating Board Case Files: Copies of case files forwarded to OPM relating to Performance Rating Board Reviews.

Disposition: Destroy 1 year after case is closed.

2300-430-2 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

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proposed demotion or removal is issued but not effected,
and all related documents.

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

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

Disposition: Destroy when superseded.

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

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

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

- (b) All other performance plans and ratings.

Disposition: Destroy when 4 years old.

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

Disposition: Destroy 4 years after date of appraisal.

- (5) Supporting Documents.

Disposition: Destroy 4 years after date of appraisal.

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

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

Disposition: Destroy when superseded.

- (2) Performance-related records pertaining to a former SES appointee.
 - (a) Latest rating of record that is less than 5 years old, performance plan upon which it is based and any summary rating.

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

- (b) All other performance ratings and plans.

Disposition: Destroy when 5 years old.

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

Disposition: Destroy 5 years after date of appraisal.

- (4) Supporting documents.

Disposition: Destroy 5 years after date of appraisal.

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

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2300-450-1 General Awards Records.

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

Disposition: Destroy 2 years after approval or disapproval.

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

Disposition: Destroy when 2 years old.

2300-450-2 Length of Service and Sick Leave Awards File including correspondence, memoranda, reports, computations or service and sick leave, and list of awardees.

Disposition: Destroy when 1 year old.

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.

Disposition: Destroy when 2 years old.

2300-450-4 Lists or Indexes to Agency Award Nominations: Lists of nominees and winners, and indexes of nominations.

Disposition: Destroy when superseded or obsolete.

2300-450-5 Incentive Awards Program Reports pertaining to the operation of the Incentive Awards Program.

Disposition: Destroy when 3 years old.

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

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requirements.

Disposition: Destroy when superseded or obsolete.

2300-500-2 Classification Standards Development: Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the NIH and OPM approval or disapproval.

a. Case file.

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

b. Review File.

Disposition: Destroy when 2 years old.

2300-500-3 Position Descriptions: Files describing established positions including information on title, series, grade, duties and responsibilities and related documents.

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

2300-500-4 Survey Files.

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

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

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

Disposition: Destroy when obsolete or superseded.

2300-500-5 Appeals Files: Case files relating to classification appeals.

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Disposition: Destroy 3 years after case is closed.

2300-500-6 Position Identification Strips: Strips such as Standard Form 7D, used to provide summary data on each position occupied.

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

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

537 NIH Office of Loan Repayment and Scholarship (OLRS)

2300-537-1 General Program Information Files, on the NIH Loan Repayment and Scholarship Programs, maintained by the Office of Loan Repayment and Scholarship (OLRS). Included are program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators and compilation of application ratings.

Recordkeeping copy:

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

Electronic copies created on electronic mail and word processing systems.

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

2300-537-2 Correspondence and/or subject files relating to routine operations and daily activities in administration of OLRS programs.

Disposition: Destroy when 2 years old.

2300-537-3 Data Files: Computer-generated output maintained for the purpose of summarizing, analyzing, coordinating, planning, and tracking OLRS payments.

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

2300-537-4 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 executed by a designee of the Secretary, DHHS. Participants must have submitted a completed Contract, agreeing to the conditions therein, along with a complete application package.

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

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

a. Participant Case Files

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

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b. Applicant Case Files

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

2300-537-5 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.

1. Official Case file.

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

2. Other copies.

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

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

1. Official Case file.

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

2. Other copies.

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

709 Career Guidance and Counseling

2300-709-1 Personnel Counseling Records.

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

Disposition: Destroy 3 years after termination of counseling records.

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

Disposition: Destroy when 3 years old.

711 Labor Management Relations

2300-711-1 Labor Management Relations General and Case Files: correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.

- a. Located in Office negotiating agreement.

Disposition: Destroy 5 years after expiration of agreement.

- b. Located in other offices.

Disposition: Destroy when superseded or obsolete.

2300-711-2 Labor Arbitration General and Case Files: Correspondence, forms, and background papers, relating to labor arbitration cases.

Disposition: Destroy 5 years after final resolution of case.

2300-711-3 Negotiated Agreements

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

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

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

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

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).

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

2300-730-2 Security Clearance Administration Correspondence Files relating to administration and operation of the personnel security clearance program.

Disposition: Destroy when 2 years old.

2300-730-3 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 questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigating agency.

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

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

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

c. Index to the Personnel Security Case Files.

Disposition: Destroy with related case file.

2300-730-4 Personnel Security Clearance Status Files: lists or rosters showing the current security clearance status of individuals.

Disposition: Destroy when superseded or obsolete.

2300-730-5 Security Violation Files: Case files of investigations of alleged violations of Executive Orders, laws, or regulations for the safeguarding of national security information.

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

Disposition: Destroy 5 years after close of case.

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

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

2300-730-6 Classified or Classifiable Information Non-disclosure 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 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).

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- a. If maintained separately from the individual's official personnel folder.

Disposition: Destroy when 70 years old.

- b. If maintained in the individual's official personnel folder.

Disposition: Apply the disposition for the official personnel folder.

2300-730-7 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.

Disposition: 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.

2. All other records including SF 278.

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

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

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

2300-730-8 Standards of Conduct Files: Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.

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Disposition: Destroy when obsolete or superseded.

750 Discipline and Adverse Action

2300-750-1 Adverse Action File

a. Official Reprimands.

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

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

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

c. Admonishments, warnings and similar disciplinary action records.

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

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

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

2300-750-2 Grievance, Appeals Files (5 CFR 771): Records originating in the review of grievances and appeals raised by agency employees, except EEO complaints (item 2200-A-5). These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Disposition: Destroy 3 years after case is closed.

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792 Health Program

2300-792-1 Individual Non-Occupational Health Record Files: Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by item 2300-792-3 of this schedule.

Disposition: Destroy 6 years after date of last entry.

2300-792-2 Health Unit Control File: Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

a. If information is summarized on statistical reports.

Disposition: Destroy 3 months after last entry.

b. If information is not summarized.

Disposition: Destroy 2 years after last entry.

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

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

(1) Transferred employees.

Disposition: See 5 CFR part 293, subpart E for instructions.

(2) Separated employees.

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

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

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

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

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

2300-792-4 Employees' radiological records: These records consist of original radiology imaging studies.

- a. Film

Located in CC, Diagnostic Radiology Department, Film Library.

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

- b. All other records

Located in NIH, Occupational Medical Services (OMS).

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

2300-792-5 Statistical Summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

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

2300-792-6 Alcohol and Drug Abuse Program: Records created in planning, coordinating and directing an alcohol and drug abuse program.

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Disposition: Destroy when 3 years old.

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.

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

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.

Disposition: Destroy when 6 months old.

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.

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

2300-990-3 Duplicate Documentation: Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this chapter.

Disposition: Destroy when 6 months old.

2300-990-4 Complaints, Inquiries and Debt Correspondence received about individual employees.

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

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