

NIH POLICY MANUAL

26101-42-F SHIPPING POLICIES AND PROCEDURES

ISSUING OFFICE: OD/OA/OLAO/DLS (301) 496-5921

RELEASE DATE: 08/15/02

1. **Explanation of Material Transmitted:** This chapter contains policies and procedures for outbound and inbound shipments from and to the Bethesda and Rockville, Maryland areas.
2. **Filing Instructions:**

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PLEASE NOTE:

- ! For questions on this chapter, contact the issuing office listed above.
- ! For on-line information on the NIH Manual System, go to <http://www1.od.nih.gov/oma/manualchapters/>

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SHIPPING POLICIES AND PROCEDURES

A. PURPOSE

This NIH Manual Chapter contains policies and procedures for outbound and inbound shipments from and to the Bethesda and Rockville, Maryland areas. Compliance with these guidelines will ensure efficient, cost-effective services.

B. DEFINITIONS

Bill of Lading – Contract between a shipper and a carrier that lists the items or commodities shipped, their quantities, any special transportation requirements such as inside delivery required, special equipment required, as well as the terms and conditions of the contract.

Carrier means the Transportation Company

Commercial Bill of Lading means the commercial version of the bill of lading contract.

Consignor means the shipper or shipping activity.

Consignee means the designated receiving activity or individual

Courier Service is a company that provides door-to-door delivery services.

Express Service is a carrier that provides delivery services by a specified date and time.

FOB Destination is when the transportation carrier works for the shipper and the property becomes NIH property when delivered.

FOB Origin means the transportation carrier works for NIH and the transported property becomes NIH property at pickup.

Freight is property that is moving via a carrier, usually in large quantities or volumes.

Government Bill of Lading is The Government version of the bill of lading contract. The Federal Property Management Regulations require that Government agencies use this form because its use automatically incorporates various negotiated Government wide discounts (special tariffs) with carriers.

Local means within the Washington/Baltimore Metropolitan Area

Messenger Service means local courier services.

Office Move means local or on-site movement of Government property between Government locations.

Requestor is the Individual who requires shipping services.

Shipper is the office or individual responsible for arranging transportation services, preparation of transportation contract documents, and processing of property for shipment.

Ship To is the designated location for delivery of a shipment.

Transportation Officer is the individual responsible for the overall operation of the Shipping Activities at an agency.

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C. POLICY

1. Shipping Authority

- a. The Director, Division of Logistics Services, OLAO is the NIH Transportation Officer.
- b. This issuance rescinds authority previously delegated to the IC's Executive and Administrative Officers to procure delivery services via the Delegated Procurement (DELPRO) system. The NIH Freight Forwarding Section (301) 496-5921 is the central activity responsible for most of NIH's outbound shipping activities. All activities that have not received a specific delegation (see section C Paragraph 1.c., below) must route their outbound shipments through this office. This includes all packages containing infectious substances and hazardous materials. The Freight Forwarding Section, Division of Logistics Services (DLS), Office of Logistics and Acquisition Operations (OLAO) is the only office except as delegated in C. 1. c.(below) authorized to:
 - Use BPA vendors that provide delivery services via DELPRO or other appropriate mechanisms;
 - Procure shipping services and issue Government Bills of Lading (GBL); or,
 - Use other appropriate mechanisms to pay delivery charges.
- c. The following NIH locations/activities are delegated specific authority to procure shipping services and issue Government Bills of Lading (GBL) or to use other appropriate mechanisms to pay delivery charges. These locations/activities must produce written procedures to assure compliance with this policy and will forward those procedures to the Director, Division of Logistics Services for approval. The locations/activities will provide reports of their shipping activity as required by the Director, DLS.
 - Gerontology Research Center (GRC), NIA, Baltimore, MD;
 - FCRDC, NCI, Ft. Detrick, MD;
 - NIEHS, Research Triangle Park, NC;
 - Rocky Mountain Labs, NIAID, Hamilton, MT;
 - NIDDK, Phoenix, AZ;
 - Poolesville Animal Center, NCRR, Poolesville, MD;
 - Addiction Research Center, NIDA, Baltimore, MD;
 - NCI, Biomarkers and Prevention Research Branch, 9610 Medical Center Dr., Rockville, Md. (Shady Grove);
 - Building 21 (Radiation Safety Branch, DS), NIH campus; and,
 - Acquisition Activities may obtain transportation services in connection with a contract, purchase order, or other procurement method in accordance with FAR Part 47 and this guidance.

2. Excepted Shipments

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Requestors do not need to process the following types of shipments through the Freight Forwarding Section :

- U.S. Postal Service shipments via the NIH Mail System (301) 496-1950, including non-urgent letters in accordance with the Private Express Statutes;
- Shipments to Post Office Boxes;
- Local BPA Courier deliveries;
- Radioactive shipments (301) 496-3277;
- Messenger service (301) 496-3426,
- Office moves (301) 496-1546; and,
- Domestic Express Delivery Service Contract shipments (excluding infectious substances and hazardous material).

3. Personal Property Requirements

The IC's Property Custodial Officer (PCO) must record and the Supervisor of the activity requesting shipment must approve the shipment of all personal property. The PCO must sign in the appropriate space on the Form NIH 1884 for all personal property that will be shipped. Requestors, PCOs, Managers, Supervisors and DPPS must provide additional documentation and approvals for:

- Property Loans;
- Exchanges or Trades of Property;
- Property returned for repair or replacement;
- International Shipments.

See the Personal Property Management Guide at <http://www1.od.nih.gov/oma/manualchapters/acquisitions/26101-25-2/> and related subchapters for more information.

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D. PROCEDURES

1. Procedures Common to All Shipments

- a. Requestors will process all shipments through the NIH Freight Forwarding Section, Building 13, Platform E, Room 1771, MSC 5725 unless one of the delegations or exceptions in C. apply.
- b. Requestors will complete Form NIH 1884 "Request for Shipment"(NIH Supply Stock No. 7530-00-L07-2350). They must bring the request and, if they are able, any non-hazardous package(s) to Building 13, Room 1771 before 2:30 p.m. on business days or call (301) 496-5921 before 1:00 p.m. for same day pickup.
- c. When a shipment of non-hazardous material weighs over 50 pounds, the requestor should call a local BPA courier or the Relocation Services Section on (301) 496-1546 to arrange pickup service. Note: The Relocation Services Section requires 24 hour advanced notice.
- d. If the shipment is too cumbersome to send through Freight Forwarding, send Form NIH 1884 to the Freight Forwarding Section, Building 13, Room 1759 with instructions for the carrier to pick up at the location of the shipment.
- e. Requestors must label all packages with both return and destination addresses. Using complete addresses (including name, building and room number, street address, zip code and phone number) will help facilitate swift deliveries. Post Office Box numbers are not acceptable. Requestor must send packages with PO Box addresses through the NIH Mail System.
- f. When a shipment requires construction of a wooden crate, requestors must coordinate the construction of the crate with the Program Management Office, Division of Engineering Services at (301) 496-4895. Crates must be prepared *before* sending the shipment to Freight Forwarding.
- g. When air courier express service is required, requestors must send the letter/package in an addressed envelope to the Freight Forwarding Section with a Form NIH 1884.

2. Shipments with Additional Requirements

- a. Shipping Biological Materials
 - 42 CFR Part 72.2, Interstate Shipment of Etiologic Materials, prescribes minimum packing requirements for diagnostic specimens and biological products. The part specifies that such material must be packaged "to withstand leakage of contents, shocks, pressure changes, and other conditions incident to ordinary handling in transportation."
 - Materials known or presumed to contain a viable microorganism or its toxin that causes or may cause human disease are subject to additional packaging and shipping requirements.
 - Section 72.3 of the PHS Interstate Shipment of Etiologic Agents regulation describes packaging, labeling, and shipping requirements based on the volumes of the primary container.
 - For more information and training schedules regarding handling of hazardous material, call the Division of Safety (301) 496-3353 and refer to NIH Manual Chapter 1340-1 "Permits for Import or Export of Biological Materials."

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b. Hazardous or Infectious Shipments:

- Requestors must make arrangement for the pickup of all shipments containing hazardous materials by the Freight Forwarding Section unless the items can be hand carried to Building 13. You may fax the Form NIH 1884 to the Shipping Officer at (301) 402-1857.
- Requestors must properly pack the substance or arrange to have it properly packed when shipped by ground.
- When shipping by air, requestors must assure that packaging is tested and marked according to the United Nations performance standards. The International Civil Aviation Organization's (ICAO) Technical Instructions for the Safe Transport of Dangerous Goods by Air and the International Air Transport Association's (IATA) Dangerous Goods Regulations outline these requirements.
- Requestors must provide a detailed description (proper scientific name) of the material and the amount (in milliliters or kilograms) on the Form NIH 1884.
- Requestors must provide a recipient's phone number, along with the typical address information, for all hazardous or infectious shipments.
- Requestors must coordinate all radioactive shipments with the Radiation Safety Branch (301) 496-3277.

c. Live Animal Shipments (Domestic):

Generally, the airline's courier express companies will provide door-to-door pickup and delivery service. However, they will not transport live animals when the temperature is below 45 degrees Fahrenheit or above 85 degrees Fahrenheit. For more information, refer to the NIH Animal Transportation Guidelines or call the Office of Animal Care and Use, OD (301) 496-5424.

To ship live animals:

- Requestors must send or fax (301) 402-1857, Form NIH 1884 "Request for Shipment," to the Freight Forwarding Section, Building 13, Room 1759, MSC 5725.
- Requestors must notify the Freight Forwarding Section at least 48 hours in advance to ensure acceptance by the selected carrier. The Freight Forwarding Section will notify the sender when routing and shipping documents are ready.
- Requestors must complete NIH Form 1192 "Animal Health and Shipping Certificate". The form is available on-line at <http://forms.cit.nih.gov/adobe/animals/NH1192.pdf>.

Commercial airlines will only provide airport-to-airport service. If the animals are shipped by commercial airline:

- The requestor must call the Veterinary Services Branch (301) 496-8184 at least 24 hours in advance to arrange transportation to the local airport when using commercial airlines.
- The requestor must arrange to have the animals picked up at the destination airport

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by the consignee.

d. **Insurance**

The Government rarely insures shipments beyond the limited liability of the carrier/courier. However, if such action is necessary and in the Government's best interest, note the dollar value and a brief justification for increasing carrier liability on Form NIH 1884 in the "Additional Information, Instructions, or Justification" section. See FAR 47.102, "Transportation Insurance".

e. **After Hours Shipments:**

It is sometimes necessary to ship materials after the close of regular business, on weekends and on holidays.

Whenever after hour shipments are known in advance, the requestor must call the Freight Forwarding Section (301) 496-5921 for instructions.

For emergency shipments after hours, requestors should:

- Procure the required service at a competitive rate;
- Note the appropriate CAN in the Billing Reference Section of the air waybill or freight bill
- Note the sender's name and phone number in the appropriate section of the air waybill or freight bill.

On receipt of the invoice, the cognizant AO must:

- Mark the invoice with the words "I AUTHORIZE THIS INVOICE TO BE PROCESSED FOR PAYMENT";
- Type his/her name, phone number, IC, Common Account Number (CAN), and date on this invoice;
- Note the NIH contact (if different) for receipt and their phone number;
- Sign the authorization statement;
- Provide a brief justification; and,
- Send the invoice and other documentation to the Shipping Officer, Freight Forwarding Section, DLS, OLAO, Building 13, Room 1759, MSC 5725 for processing.

3. International Shipments:

a. **Procedures common to all international shipments**

- The Postal Service can provide express delivery at significantly lower prices than commercial courier express carriers. When a letter or item will not lose its value by shipment via U.S. Postal Service, the U.S. Postal Service should be the first carrier selected. Contact the NIH Mail System at (301) 496-1950.

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- The Freight Forwarding Section will assure that the State Department processes shipments to foreign countries in accordance with Federal Property Management Regulations.
 - NIH employees, who must ship property while overseas, will request shipping assistance from the nearest United States Embassy or Consulate.
 - Commercial Invoice Shipments: Customs Service regulations change constantly. To ensure expeditious delivery, include NIH Form 1884-1 "Commercial Invoice" with Form NIH 1884 for all non-letter shipments. NIH Form 1884-1 is available at <http://forms.cit.nih.gov/adobe/procurement/NH1884-1.pdf>.
- b. Imports or Exports of Biological Materials:
- NIH Manual Chapter 1340-1 "Permits for Import or Export of Biological Materials" sets forth the requirements and procedures for obtaining permits for the importation or shipment of etiologic agents, their vectors, animals and plants, and for the exportation of biological materials.
 - Individuals who fail to comply with import and export requirements may experience delays in obtaining the release of the shipment or may experience confiscation and/or destructions of the shipment by the quarantine officer at the port of entry.
 - Requestors must assure that biological, hazardous, infectious, and perishables packed on dry ice, ice packs, are prepared according to Government guidelines with proper inner and outer packaging and absorbent material. Requestors must pack perishable shipments with enough dry ice to last several days in case of possible Customs delays. Requestors must bring the packages to the Freight Forwarding Section in the beginning of the week (Monday-Wednesday) by 10:30 a.m.
 - When shipping by air, infectious substances require the use of packaging that is tested and marked according to the United Nations performance standards.
 - The Commercial Invoice must include a detailed description of the material, the origin, (if animal, specify species), the number of vials, the amount per vial and any identification numbers on the vials.
 - The Division of Safety's Quarantine Permit Service Office (QPSO) must clear hazardous and infectious etiologic, biologic, toxins, vaccines, viruses, serum, human and animal tissue, etc.
 - Requestors must complete an NIH Form 2388 "Declaration for Exportation of Biological Materials" and send it to the QPSO as stated in the NIH Manual Chapter 1340-1. The form is available at: <http://forms.cit.nih.gov/adobe/procurement/NH2388.pdf>.
 - A copy of NIH Form 2388 must accompany the shipment. For additional information regarding permits and proper packaging and labeling of etiological and biological material, or training schedules regarding handling of hazardous materials, call the Division of Safety (301) 496-3353.
- c. Dry Ice Shipments:
- Pack perishable shipments with enough dry ice to last several days in case of possible Customs delays. Requestors should bring these packages to the Freight Forwarding

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Section in the beginning of the week (Monday-Wednesday) by 10:30 a.m.

d. Direct-to-Receiver or Airport Delivery:

Overseas "Direct-to-Receiver" delivery service may take between two to five business days, excluding weekends and holidays, depending on the destination and possible Customs delays. Airport deliveries usually reach the nearest Customs airport in one to two days. For flight information, call the Freight Forwarding Section during the afternoon of the shipment (301) 496-5921. The consignee is responsible to clear airport deliveries through Customs and arrange for pickup and delivery from the airport. Note, in writing, the preference of service on the Form NIH 1884.

e. Live Animal Shipments (International):

- Freight Forwarding Section books all international animal shipments directly on commercial airlines;
- Requestors must send Forms NIH 1884 and NIH 1884-1 to the Freight Forwarding Section.
- The Freight Forwarding Section will notify the shipper when they complete the arrangements for the shipment.
- Follow instructions under D.2.c., Live Animal Shipments, for transportation and temperature guidelines.

f. Personal Property:

For outbound personal property shipments:

- In addition to the normal shipping document, requestors must submit a copy of a completed and approved property transaction document (loan form, property pass, etc.).
- Requestors must note the Export Commodity Control Number (ECCN) of the property identified for shipment on the Forms NIH 1884 and NIH 1884-1. If the requestor does not know the ECCN for their particular commodity, they should contact the manufacturer to obtain it.

4. Inbound Shipments:

a. Information common to all inbound shipments

NIH may also be the "shipper" for inbound shipments. Though there are many circumstances in which this could take place, typical examples occur when: purchases of property are designated "FOB (Free On Board) Origin"; NIH personnel return ship property or documents from the field; and when NIH activities direct shipments between each other.

- Prior guidance in parts D.2.a. through c. regarding transportation of hazardous items, biological items or animals applies to all shipments, regardless of the direction (outbound or inbound) when NIH is the shipper.
- Whenever possible, NIH personnel who require shipping services while working in

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the field should contact the Freight Forwarding Section before contracting for transportation service. This affords the opportunity to route the freight by the most cost-effective method and carrier, to assist the NIH personnel in preparation of documentation, etc..

b. Campus and Local Deliveries:

The NIH campus and NIH activities in the surrounding area have no designated central receiving areas or activity. As a rule, shippers must route inbound shipments directly to the receiver's room or laboratory as described in this section. Individuals or activities consigned deliveries must complete receiving activities as described in part 5. Receiving.

- Transportation documents generated by shippers other than the Freight Forwarding Section must specify "Inside Delivery to a specific building, room and individual.
- Procurement officials must require "Inside Delivery" to a specific building and room on acquisition documents or credit card orders.

If shipment to a loading dock is necessary, requestors must arrange for all personnel and equipment needed to assist in unloading and redistributing the property. If resources are not available in the building, the requestor may call the Relocation Services Section on (301) 496-1546.

- The requestor must assure the completion of receiving; the preparation of receiving documents, and redistribution of all items, within one day of receipt.
- If the requestor cannot coordinate or arrange for these activities, they must specify "Inside delivery" to a specific building, room and individual.

c. Inbound "Collect" Shipments:

Purchasing activities may include the cost of delivery for NIH purchases in the purchase price or may specify delivery instructions and payment terms elsewhere in the acquisition document. They should allow extra charges, if any, for inside direct delivery.

There are occasions when NIH is responsible for the delivery charges for material not received as the result of a purchase. It is possible for shippers, including NIH personnel in the field, to consign property to NIH or to a third party. NIH may be responsible for shipping charges. For example, an NIH official sends exhibit material at a show in Chicago back to NIH in Bethesda or to a second show in Kansas.

When this occurs, the IC receives a "collect" invoice from the trucking company or the air express courier that rendered the service. To arrange for payment of the carrier, the responsible Administrative Officer (AO) should:

- Mark the invoice with the words " I AUTHORIZE THIS INVOICE TO BE PROCESSED FOR PAYMENT";
- Type his/her name, phone number, IC, Common Account Number (CAN), and date on this invoice;
- Note the NIH contact (if different) for receipt and their phone number;
- Sign the authorization statement;

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- Provide a brief justification; and,
- Send the invoice to the Shipping Officer, Freight Forwarding Section, DLS, OLAO, Building 13, Dock E, Room 1759, MSC 5725 for processing.

5. Receiving:

Receiving is a critical administrative activity. When the delivered items are property, it forms the critical juncture between the procurement, financial and property administrative processes. Receiving completes the initial procurement process by confirming that vendor or manufacturer delivered the requested products. It opens the accounts payable process by releasing the financial management officials to pay the vendor or manufacturer. It also begins the record keeping and management control process for property assets. The property record system uses information collected during the receiving process. Receiving officials are responsible for correct recording and prompt reporting of receiving transactions. Receiving consists of three basic activities: receipt, inspection and acceptance.

a. Receipt

Receipt is the physical act that occurs when an individual takes possession of items as the carrier delivers them. This can and often does involve a physical effort and specialized equipment.

b. Inspection

Individuals who accept packages from a carrier must:

- Inspect the documentation as well as the packages.
- Identify any discrepancies in number as well as any visible damage to the packages BEFORE releasing the carrier.
- Annotate any discrepancies in quantity and any visible damage on the carrier's documentation BEFORE releasing the carrier.
- Advise the procuring activity of discrepancies on an acquisition or shipping activity of discrepancies on other shipments.
- Advise the appropriate Property Custodial Officer if the receipt contains "accountable" property. Accountable property is property that NIH records and controls. It typically consists of equipment items valued over \$5,000 or items that have a history or risk of pilferage, such as computers, monitors, and laptops. It includes items that are generally assigned to a single individual while they are being used such as cell phones, Personal Digital Assistants, etc. It also includes items that pose a hazard to life, health or property, such as firearms, items with hazardous components, and items that require calibration and regular maintenance in order to safely treat patients.
- If the individual who accepts the packages from a carrier is not the requestor of the items, they must notify the requestor (specified on the purchasing document) as soon as possible after receipt.

c. The individual requestor specified on the purchase document is responsible for acceptance of any received property. If that property is accountable (recorded in the

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Property Management System) the individual will be held accountable for the property unless and until they can provide written proof that the items were transferred to another NIH employee or until the Property Custodial Officer designates another accountable user for the property. **See the Personal Property Management Guide and its subchapters for more information on data collection requirements for Property Receipts.**

- d. Ordering officials must verify the receipts against acquisition documents and enter undisputed receipt transaction into the DELPRO computer system no later than seven calendar days from actual complete delivery.
 - Payment for Items procured by the Government is subject to the Prompt Payment Act. This act requires the Government to pay within 30 days of correct receipt of the property or the invoice whichever is later. It provides monetary and other penalties when we do not meet the time limit. It is imperative that receiving officials process the receipt in DELPRO as early as possible in order to facilitate prompt payment.
 - Other NIH business systems, such as the property system are dependent upon information collected with the entry of a receipt. Prompt entry assures that these systems function as efficiently as possible.

- e. Claims for Damaged Material or Discrepancies:

Often, damage or shortage is apparent at receipt. Sometimes, individuals do not detect discrepancies until the items are fully inspected (opened and tested or installed). Whenever the receiving official discovers damaged property, or finds that the property is missing parts or is short on quantity, he or she must:

- Contact the Office of Logistics and Acquisition Operations, OA (301) 496-5212 for instructions if the order is from GSA.
- Contact the appropriate IC procurement official immediately for purchase orders or other contract vehicles.
- Retain the original carton, and containers in the event the carrier/courier decides to inspect damaged material; and,
- Retain all relevant documentation.
- A photograph of any damaged carton and material is advisable for high dollar value items.

E. Records Retention and Disposal

All records (e-mail and non-e-mail) pertaining to this chapter must be retained and disposed of under the authority of NIH Manual 1743, "Keeping and Destroying Records, Appendix 1, NIH Records Control Schedule, " 1100-M-5, Tracking and Control Records.

1. NIH e-mail messages (messages, including attachments, that are created on NIH computer systems or transmitted over NIH networks) that are evidence of the activities of the agency or have informational value are Federal records. Responsible parties must maintain these records in accordance with current NIH Records Management guidelines. Contact your IC Records Officer for additional information.
2. The regulations consider all e-mail messages to be Government property, and, if requested for a legitimate Government purpose, the message holder(s) must provide them to the requester.

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Employees' supervisors, NIH staff conducting official reviews or investigations, and the Office of Inspector General may request access to or copies of the e-mail messages. Holders of E-mail messages must also provide them to members of Congress or congressional committees if requested. They may be subject to Freedom of Information Act requests. Since most e-mail systems have back-up files that are sometimes retained for significant periods, e-mail messages and attachments may be retrievable from a back-up files after they have been deleted from an individual's computer. The back-up files are subject to the same request as the original messages.

F. Management Controls

This manual issuance contains policies and procedures for outbound and inbound shipments from and to NIH locations and shipments made by NIH personnel in the field.

1. Office Responsible for Reviewing Management Controls Relative to this Chapter- Division of Logistics Services

2. Frequency of Review- Ongoing

3. Method of Review

Screen all incoming calls

Review documentation to verify that shipments are official, not personal

Communicate to the NIH community all changes in procedures and policies through memoranda and manual issuances.

Generate reports and review data for all shipping transactions captured in the Transportation Management System.

4. Review Reports- Actual reports are developed on an exception basis as needed.