

NIH POLICY MANUAL

1742 - TRANSFER, WITHDRAWAL AND DESTRUCTION OF RECORDS AT THE WASHINGTON NATIONAL RECORDS CENTER

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1. **Explanation of Material Transmitted:** This chapter includes additional responsibilities for IC RMOs and OD Administrative Officers and revises instructions for completing paperwork for transfer of records to the Washington National Records Center and for destruction of records stored at the Records Center as they relate to the freeze on tobacco related records.
2. **Filing Instructions:**
 - Remove:** NIH Manual 1742 dated 01/26/98. (Keep this transmittal sheet as long as **any** pages of this chapter are in effect.)
 - Insert:** NIH Manual 1742 dated 8/30/2000 .

PLEASE NOTE: For information on:

- o **content of this chapter**, contact the **issuing office listed above**.
- o **NIH Manual System**, contact the **Division of Management Support (DMS), OMA**, on **301-496-2832**.
- o **on-line information** on the NIH Manual System and on-line chapter text, use:
 - o **INTERNET** (<http://www3.od.nih.gov/oma/manualchapters/>)

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A. **PURPOSE:** This chapter describes how to transfer inactive records from NIH to the Washington National Records Center (WNRC) for storage, how to retrieve records stored at WNRC, and how to arrange for disposal of records stored at WNRC.

B. **REFERENCES:**

1. General Records Schedules (GRS);
Internet: <http://ardor.nara.gov/grs/index.html>
2. NIH Manual 1743 "Keeping and Destroying Records," Appendix 1, NIH Records Control Schedule (NIH RCS);
Internet: <http://www3.od.nih.gov/oma/manualchapters/management/1743/>

C. **DEFINITIONS:**

1. **Accession** - a group of records transferred to WNRC as a unit. All the records in one accession (a) must originate in the same organization; (b) must come under a single item in the General Records Schedule (GRS) or the NIH Records Control Schedule (RCS); (c) must have the same disposition; and (d) must be eligible for disposition in the same month or year.
 - a. **GRS** - provides disposal authorization for temporary records common to agencies of the Federal Government, such as: procurement, personnel, printing, and other general administrative records.
 - b. **NIH RCS** - provides disposal authorization for permanent and/or program-specific NIH records, such as: policy, research, committee records, grants.
2. **Disposition** - the final action taken by NIH on official records. It may be either: (a) offer of the records to the National Archives for permanent preservation; (b) transfer to another agency in connection with a transfer of functions; or (c) destruction. Disposition must follow the specific instructions in the GRS or the NIH RCS. Records authorized for destruction may be donated to a person or organization outside of the Federal government only with the specific written approval of the National Archives

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and Records Administration (NARA).

3. **Non-Record Materials** - certain documentary materials are specifically excluded by law (44 U.S.C. 3301) from the records of the Federal government. Such materials are called "non-record." Any one or more of three factors may determine whether something is record or non-record. These factors are: (a) the nature of the material; (b) the relationship to records; and (c) the use of the material.
 - a. **Nature** - some items by their very nature are non-records. They include blank forms, routing sheets, transmittal sheets and reproduction materials such as stencils and offset plates.
 - b. **Relationship to Records** - documents such as transcribed stenographic materials, working papers and drafts, that are used in creating official records are non-record. Identical duplicates of all records maintained in the same file are non-record. Follow-up materials, such as "tickler" or suspense copies of correspondence, that are used to facilitate operations, but not to document those operations, are non-record. However, indexes and other finding aids to records are themselves record materials.
 - c. **Use** - any materials used exclusively for reference purposes are non-record. They include library collections, vendor catalogs, journals and similar materials. Copies of records which are maintained solely for reference purposes are also non-record if no administrative action is taken on them. Materials used solely for exhibit or display are non-record, unless they describe the operations, policies, procedures or accomplishments of NIH.

Stocks of publications and processed documents kept for distribution are non-record, but one copy of each publication must be kept as a record in the office responsible for issuing the publication.

Documents created or used in fringe activities, such as carpool locators, charitable fund drives, and employee recreation and welfare activities are not government records.

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Caution should be used in applying the term "non-record." Improper application of this qualification may be equivalent to the illegal disposition of government records.

4. **Records** - any papers, books, photographs, magnetic tapes, machine readable materials, microfilm, or other materials which document official actions, decisions, policies or procedures.

D. RESPONSIBILITIES:

1. **NIH Records Management Officer (RMO), Division of Management Support, Office of Management Assessment:**

- a. provides instructions and assistance for sending, withdrawing and disposing of records at WNRC;
- b. reviews and approves the SF 135, "Records Transmittal and Receipt" <http://forms.cit.nih.gov/adobe/misc/SF135.PDF> and submits to the WNRC; and
- c. coordinates authorizations for disposal of records at WNRC.

2. **IC RMOs and OD Administrative Officers:**

- a. may issue supplemental guidance for implementing the instructions of this chapter in their organizations. Such supplements may only be in addition to this chapter; they may not change, abridge or delete the requirements of this chapter;
- b. must inform the NIH RMO of any supplemental guidance issued;
- c. review, initial and transmit, to the NIH RMO, the Records Transmittal and Receipt, Form SF 135, for transferring records to the WNRC;

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- d. review and transmit reference requests, Form OF 11, for withdrawing records from WNRC;
- e. assist IC staff in sending, withdrawing, or disposing of records at WNRC; and
- f. maintains a current listing of all IC records sent and stored at the WNRC.

3. Each office:

- a. initiates requests to transfer records to WNRC or withdraw records from WNRC;
- b. boxes its records and marks the boxes, as instructed in Section E.5.b. and 5.c., before transfer to WNRC; and
- c. prepares forms and other paperwork necessary for sending, withdrawing or disposing of records at WNRC and transmits the paperwork to their respective IC Records Officer for review and clearance.

**E. TRANSFERRING RECORDS TO THE WASHINGTON NATIONAL RECORDS
CENTER FOR STORAGE:**

1. Forms Required*:

SF 135, "Records Transmittal and Receipt"	NSN 7540-00-634-4093
SF 135-A, "Continuation"	NSN 7540-00-823-7952

*Both forms are available from the NIH RMO, x62832, GSA, or on-line:

<http://forms.cit.nih.gov/>

2. Packaging Material Required:

Standard-size record box for legal- or letter-size files:

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14-3/4" x 12" x 9-1/2"

NIH Stock No. 8115-00-117-8344

14-3/4" x 12" x 9-1/2"

NSN 8115-00-117-8249

Special-purpose boxes:

Half-size box

14-3/4" x 9-1/2" x 4-7/8"

NSN 8115-00-117-8338

Magnetic tape box

14-3/4" x 11-3/4" x 11-3/4"

NSN 8115-00-117-8347

(Lock bottom) Microfiche box

14-3/4" x 6-1/2" x 4-1/2"

NSN 8115-01-025-3254

Microfiche box (archival)

14-3/4" x 6-1/2" x 5"

NSN 8115-01-132-1932

(Assembled) X-ray box

18" x 15" x 5-1/2"

NSN-8115-00-290-3386

NOTE: Use the proper size box when packing records. For legal- and letter-size material, use standard-size boxes. Use half-size or other boxes only for microfilm, index cards, or other odd-size material. Contact your IC RMO or the WNRC for assistance in selecting the proper container for odd-size materials.

When using **“special-purpose boxes,”** indicate the size of the boxes in item 6.f. of the SF 135.

Use nylon filament tape for sealing box **bottoms.**

3. Selecting Records for Transfer:

- a. Separate records from non-record materials. Non-record materials are defined in Section C of this chapter. Non-record materials may not be stored in WNRC.
- b. Select groups of closed files or other groups of files which are used less than once a month.

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- c. Separate groups of files according to the item and disposition instruction in the GRS or the NIH RCS which applies to these groups.
- d. Divide these groups into subgroups which must be destroyed, or reviewed for disposal, or offered to the NARA, in the same month and year. Calculate the month and year from the dates of the records and the disposition instruction which apply to them. Each of these subgroups is a separate accession.

4. Completing Paperwork for Transfer of Records:

- a. **Transmittal Form.** Accessions to be transferred to WNRC must be listed and described on an SF 135, "Records Transmittal and Receipt." (See Appendix 1 for an example). Complete the SF 135 as follows:

<u>Item</u>	<u>Entry</u>
1	"Washington, DC Stop 386"
2	NIH Records Management Officer
3	Name, telephone number, and building and room number of an official responsible for the records.
4	Leave blank
5	NIH Records Management Officer National Institutes of Health MSC 7669 6011 Executive Boulevard, Rm 601 Rockville, MD 20892-2075
6 a-c	The NIH RMO maintains a log and assigns the accession number. Call the NIH RMO (301-496-2832) to obtain an accession number for each accession to be transferred.

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For each accession, provide the following information:

Item Information

- 6d Total volume. A standard-size box equals one cubic foot. This is equal to the number of cartons if the standard cartons for legal or letter-sized files, as specified in E.2., are used.
- 6e First and last box numbers separated by a slash. (For example, if there is only one box in an accession, enter "1/1"; if there are 30 boxes enter "1/30".)
- 6f Series Description.
- (1) At the top of 6f identify the IC and the division/branch/section which has the records.
 - (2) Describe the records in sufficient detail to allow the NIH RMO to verify compliance with the GRS or the NIH RCS which describes the records, e.g., for research data covered by item NIH RCS 3000-G-3-b, identify the research project in which they were used and the particular type of records. No description is completed without the closing date (or inclusive dates) of the records. Specify the earliest and most recent dates of records in the accession by calendar or fiscal year, as appropriate.
 - (3) Identify the basis of any restriction or use of the records as specified in 6.g. (For example, for records subject to the Privacy Act, enter "Privacy Act System of Records" and give the system number.) Restrictions are not allowed unless permitted by the Freedom of Information Act.

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- (4) **All records related to smoking tobacco, the tobacco industry and tobacco products, and research on health effects of smoking, smoking cessation programs, and nicotine addiction, are frozen and must be identified and retained indefinitely. Therefore, indicate in this section if any of these records are related to tobacco, by entering “These Records are/are NOT Tobacco Related” (circle one) and the requestor, Principle Investigator or IC Records Officer needs to sign next to this text (see Appendix 1).**
- (5) Indicate “**special-purpose boxes,**” if applicable (i.e., half-size; magnetic tape; microfiche; and X-ray boxes).
- (6) **Special description requirements apply for certain records:**

Site Audit Records. State “GAO Site Audit” if the records have been so designated by the General Accounting Office and indicate whether the site audit records do or do not pertain to Native Americans.

Non-textual Records. Descriptions of non-textual records must include the non-textual code. See the following list of codes.

Codes	Description
ARF	Artifacts (include museum items)
AVM	Audiovisual material
BND	Bound volumes
DRA	Architectural and engineering drawings
EDD	Electronic data processing, flexible disks
EDH	Electronic data processing, hard disks
EDO	Electronic data processing, optical digital data disks

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EDP	Electronic data processing, unspecified
EDT	Electronic data processing, magnetic tape
EIR	Electronic imaging records
FDN	Microfiche, diazo negative
FDP	Microfiche, diazo positive
FON	Microfiche, other negative
FSN	Microfiche, silver halide negative
FSP	Microfiche, silver halide positive
FUN	Microfiche
FVN	Microfiche, vesicular negative
FVP	Microfiche, vesicular positive
GRA	Graphic arts
MAP	Map
MBN	Motion picture film, black-and-white negative
MBP	Motion picture film, black-and-white positive
MCN	Motion picture film, color negative
MCP	Motion picture film, color positive
MDN	Microfilm, diazo negative
MDP	Microfilm, diazo positive
MIC	Microfilm, unspecified
MON	Microfilm, other negative
MOP	Microfilm, other positive
MPF	Motion picture film, unspecified
MSN	Microfilm, silver halide negative
MSP	Microfilm, silver halide positive
MVN	Microfilm, vesicular negative
MVP	Microfilm, vesicular positive
MYL	Mylar sheets
PBN	Photographs, black-and-white negative
PBO	Photographs, black-and-white other
PBP	Photographs, black-and-white prints
PCN	Photographs, color negatives
PCO	Photographs, color other
PCP	Photographs, color prints

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PHA	Photographs, aerial
PHO	Photographs, unspecified
PRM	Printed material
ROX	Rock, core, and petrographic samples
SEI	Seismograms
SRC	Sound recordings, tape cassette
SRD	Sound recordings, disc
SRE	Sound recordings, 8-track cartridge
SRF	Sound recordings, 45 rpm
SRL	Sound recordings, LP
SRO	Sound recordings, other
SRT	Sound recordings, open tape (reel to reel)
SRU	Sound recordings, unspecified
TEX	Textual
TRN	Transparencies
VDB	Video recordings, Beta format tape cassette
VDP	Video recordings, "professional" tape cassette
VDV	Video recordings, VHS format tape cassette
VID	Video recordings, unspecified
XRA	X rays

Permanent Electronic Records. The detailed folder-title listing must include information about tape format and size. Permanent electronic records must be either on open-reel magnetic tape or on tape cartridges, and must distinguish between the two. Open-reel magnetic tape must be on 1/2-inch 7- or 9-track tape reels recorded at 800, 1,600, or 250 bpi.

Permanent Microforms. The detailed folder-title listings must include information identifying the NIH and organization; the title of the records; the number or identifier for each unit of film; the security classification, if any; and the inclusive dates, names, or other data identifying the records. Any finding aids relevant to the microforms that are not

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contained in the microforms, as well as the inspection log forms and inspection reports, must be attached to the SF 135.

- 6g (“Restriction”) Use the codes which are defined on the back of the form to indicate any restrictions identified in 6f. Code “W” should be used for Privacy Act system records.
- 6h Enter GRS or NIHM (NIH Manual) and give the number of the item in either the GRS or the NIH RCS which applies to the records in the accession.
- 6i Calculate the month and year in which the records must be destroyed or offered to the NARA, from the disposition instruction in the GRS or the NIH RCS, and the most recent dates of the records in the accession.

Disposable Records. Because disposal is accomplished in quarterly cycles, you may advance the date to the beginning of the next calendar quarter (for example, 1/97, 4/97, 7/97, 10/97) to obtain the actual date of disposal.

Permanent Records. Permanent records are offered to NARA on an annual basis; no month is shown in the disposition date field. Place a “P” after the offer year.

6 j-m Leave blank.

- b. **Box List.** For each accession, prepare a detailed folder-title listing for each box. If the records are boxed according to a straightforward filing order, such as alphabetical or numerical, the box list should simply identify the first and last file in each box. (For example, "Box 1: Adams to Casey," or "Box 10: Grant No. 1R01-22-8888 to 1R01-22-9999.")

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- c. **Clearances and Copies.** Send the original SF 135 and box list to your IC Records Officer. The IC Records Officer will review and clear, and forward the original and two copies of the SF 135, and two copies of the box list to the NIH RMO, 6011 Exec. Blvd., Rm. 601, MSC 7669. The IC Records Officer is responsible for maintaining a record of all IC accessions sent to the WNRC.

5. Preparing Records for Transfer:

- a. Remove and destroy all duplicates, routing slips, unofficial notes and other non-record materials from the files before packing them for transfer.
- b. **Packing the Records:**
 - (1) Seal the bottom of the box with nylon filament tape.
 - (2) Pack the records in the same order in which they were originally filed.
 - (3) Place letter-size material in the box facing the end of the carton, or place legal-size material in the box facing the side of the carton.
 - (4) Arrange undersized records, such as cards or papers 3" x 5", 4" x 6", 5" x 8", etc. in small "packages" and bind with heavy rubber bands or tie with string. Arrange the packages in rows within the cartons and place cardboard dividers between the layers.
 - (5) An accession **must** fill a box (3/4 full) to be accepted by the Records Center.
 - (6) Close the box by interlocking the top flaps. Do not seal the top of the box.
- c. **Marking the Boxes.** Mark boxes on the front (12" x 9-1/2") end with black felt pen or equivalent. Accession number and box number must be at least 1 1/2 inches high and written directly onto the box, so that they can be easily read.

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Do not use "paste-on" labels; write directly on the box. An example is shown in Appendix 2.

- (1) **Place box numbers** in the upper right corner, showing the box number and the total boxes in the accession. Begin with box number 1, and include the total number in the accession, such as 1/10, 2/10, and so forth.
 - (2) **Place accession numbers** assigned by the NIH Records Management Officer in the upper left corner. The numbers stand for the record group (443), a fiscal year (00) and the four-digit sequence number (e.g., 443-00-0010).
 - (3) **Show Agency Identification**, including NIH, IC, and the organization sending the files, below the accession number (e.g., NIH/NHLBI/DEA).
6. **Shipment of Records:** ICs are responsible for arranging the actual shipment of the records within 90 days after receipt of the approved SF 135. It is recommended that ICs use either NIH Transportation or WNRC trucks to pick up and deliver boxes to the WNRC.
- a. Using NIH Transportation to pick up and deliver boxes--
 - (1) After the receipt of the approved SF 135 from the WNRC, which authorizes shipment of the boxes, the NIH RMO will provide the IC with a copy of the approved SF 135 to be placed in the first box of each accession to be transferred.
 - (2) Once the IC receives the approved SF 135 for transfer, they should call the NIH Transportation Branch at 301-496-1546 and provide the following information to the NIH Transportation Branch:

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Name

Location of Boxes (Bldg./Rm)

CAN No. 8-8xxxxxx

Accession Number: (443-xx-xxxx)

Volume: xx

Address of WNRC: Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

- (3) NIH Transportation staff will provide and load the skids and/or pallets for IC staff.
 - (4) The WNRC will return a copy of the SF 135 to the NIH RMO, annotated with a location number, as a receipt after the records have been shelved. The NIH RMO will forward a copy to both the IC RMO and the originating office.
- b. Using the WNRC trucks to pick up and deliver boxes (**NOTE:shipments must be 24 boxes or more**):
- (1) After the receipt of the approved SF 135 from the WNRC, which authorizes shipment of the boxes, the NIH RMO will provide the IC with a copy of the approved SF 135 to be placed in the first box of each accession to be transferred.
 - (2) To arrange pickup service, call the WNRC Control Unit at 301-457-7065. The WNRC will furnish skids (low wooden platforms mounted on wheels) and skid jacks.
 - (3) **IC staff must load the skids; this service is not provided by the truck driver.** The boxes are loaded so that box number 1 is at the top left front position on the skid. An example is shown in Appendix 3.

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- (4) The WNRC will return a copy of the SF 135 to the NIH RMO, annotated with a location number, as a receipt after the records have been shelved. The NIH RMO will forward a copy to both the IC RMO and the originating office.

NOTE: Boxes may also be sent by mail, United Parcel Service (UPS), or other common carriers on pallets (portable wooden platforms without wheels). An example is shown in Appendix 3. Call the WNRC for questions concerning these and other options at 301-457-7065.

F. WITHDRAWAL OF RECORDS FROM WNRC:

Any office which has a need to retrieve records from WNRC may do so by using either a Reference Request Form (OF 11) or through an emergency request, as explained in Section F.2. Records may be retrieved by accession, by box(es) within an accession or by file folder(s) within a box.

1. Preparing a Reference Request Form (OF 11):

- a. **Obtaining Forms.** Forms are available from the NIH Records Management Officer on X62832, GSA, or on-line: <http://forms.cit.nih.gov>. Offices which frequently use or need to retrieve records from WNRC should obtain a supply of Reference Request Forms (OF 11) by ordering them from **the GSA Supply Catalog, stock number 7540-00-682-6423--unit of issue is 100 hd.** An example of the OF 11 is found in Appendix 4.
- b. **Completing the OF 11—Instructions apply to OF 11, dated 7/87:**
 - (1) Use a separate form for each non-consecutive item requested. Complete Section I and Section III.
 - (2) Under "Accession Number," enter the numbers from 6.a., 6.b. and 6.c. of the SF 135 (443-00-0010).

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- (3) Under "Agency Box Number," enter the box or boxes desired. If more than one box is requested, the boxes can be ordered on the same OF 11, provided the boxes are in consecutive order, i.e., 1-3 of 15. If only folders will be retrieved, enter the box number that contains the folder.
- (4) Under "Records Center Location Number," enter the location from the receipted copy of the SF 135.
- (5) Under "Description of Records," briefly identify the record, include number and title. Only one record can be requested per one OF 11, unless the records are filed in consecutive order in the same accession and box.
- (6) Under "Nature of Service," check "Temporary Loan of Records" if the records will be returned to WNRC after they are used.

If the records will be altered by substantial additions to or deletions from an accession, check "Permanent Withdrawal." Records permanently withdrawn may later be returned to WNRC as a new accession.

If the records are close to the authorized disposal date, check "Permanent Withdrawal" and keep the records until the disposal date.

- (7) In Section III, under "Name of Requester," "Telephone No.," and "Date," the requester identified on the OF 11 should be the same as the organization identified at the top of 6f on the SF 135.
- (8) Under "Name and Address of Agency," the requester should provide NIH IC organization and address. Ordinarily it would be the agency contact official identified in item 3 of the SF 135.

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- c. **Sending the OF 11.** Keep the middle (pink) copy of the completed OF 11, and send the top and bottom copies to the IC RMO for transmittal to WNRC. Photocopies of OF 11 are acceptable.

Records will be returned directly from WNRC to the requester.

2. Emergency Withdrawal of Records from WNRC:

- a. Any office which has an emergency request to retrieve records from WNRC should complete and send/fax a copy of the OF 11 to the IC RMO and provide the following information:
 - (1) **The Nature of the Emergency.** The WNRC will only accept emergency requests pertaining to congressional requests, Privacy Act, Freedom of Information Act requests, and audits.
 - (2) **Identification of Congressional Office.** WNRC will send records directly to the Congressional office requesting them. However, the NIH offices must ensure that the specific disclosure to Congress is authorized for any records subject to the Privacy Act before directing WNRC to send the records to a Congressional office.
 - (3) **Mail-outs.** The requester will need to supply its IC Federal Express number for express mail services.
 - (4) **Courier.** Whether a courier service or an NIH employee, a notation to that effect must be made in the "REMARKS" section of Section 1 of the OF 11.

3. Returning Loaned Records to WNRC:

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Records which have been withdrawn from WNRC as a "Temporary Loan of Records" may be returned to WNRC when no longer needed. Records returned must have the original accession number, box number(s) and location clearly identified. A copy of the OF 11 should be included with the records with the instruction "RETURN TO WNRC" in the remarks section. If only a few folders were withdrawn, they may be mailed directly to WNRC through regular mail, as follows:

Washington National Records Center
Accessions and Disposals Branch
4205 Suitland Road
Suitland, MD 20746-8001

If one or more boxes have been withdrawn, the records must be re-packed into the original boxes before returning to WNRC. Follow the same instruction provided under E.6., Shipment of Records to arrange for return of a box(es) to WNRC.

4. **Using Records at WNRC.** Records stored at WNRC may be viewed in their reference room. The WNRC requires a letter of authorization from the agency contact in item 3 of the SF 135, or higher authority. An OF 11 identifying the records which the user is authorized to consult, must be submitted through the IC RMO to the WNRC at least one day before the user goes to the reference room. IC RMOs may fax requests to the WNRC in order to expedite short turnaround times.

G. DESTRUCTION OF RECORDS AT WNRC:

At least two months before the disposal date given for an accession on an SF 135, the NIH RMO will send to the originating office, through the IC RMO, a memorandum stating that the records in the accession are scheduled for destruction. If the originating office has no objection to the destruction, the IC RMO returns the *signed* memorandum to the NIH RMO authorizing destruction.

NOTE: ICs will continue to be charged for storage of "frozen" records stored at the Federal Records Center (FRC) that have exceeded their authorized disposal

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date. ICs that wish to extend the disposal date of inactive records stored at the FRC must provide the NIH RMO with the required information, as indicated on the disposal memorandum, i.e., name and address of IC official authorized to execute the reimbursable agreement with NARA.

The destruction of records on the authorized disposal date is required by law unless the originating office identifies a program or administrative need for the records, or unless the records are required for litigation. In either case, the reason for not destroying the records should be stated on the memorandum and returned to the NIH RMO at 6011 Executive Blvd., Rm. 601, MSC 7669.

- H. 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, <http://www3.od.nih.gov/oma/manualchapters/management/1743/> "Keeping and Destroying Records, Appendix 1, "NIH Records Control Schedule," Item 1700-B-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 considered Federal records. These records must be maintained in accordance with current NIH Records Management guidelines. Contact your IC RMO for additional information.

All e-mail messages are considered Government property, and, if requested for a legitimate Government purpose, must be provided to the requester. 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.

E-mail messages must also be provided to members of Congress or Congressional committees if requested and are subject to Freedom of Information Act requests. Since most e-mail systems have back-up files that are sometimes retained for significant periods of time, e-mail messages and attachments may be retrievable from a back-up file after they have been deleted from an individual's computer. The back-up files are subject to the same requests as the original messages.

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- I. MANAGEMENT CONTROLS:** This chapter describes how to transfer inactive records from NIH to the Washington National Records Center (WNRC) for storage, how to retrieve records stored at WNRC, and how to arrange for disposal of records stored at WNRC.

The NIH RMO, Division of Management Support, Office of Management Assessment is accountable to ensure that these processes are implemented and working, as applicable. The method used to maintain oversight and a system of management controls ensuring effective implementation and compliance with the guidelines/instructions will be regular on-going feedback from the WNRC on NIH compliance. Any policy compliance issue that can not be resolved with the IC, will be reported to the NIH Deputy Director for Management.

1. TO *(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)*
Federal Records Center

2. AGENCY TRANSFER AUTHORIZATION
 TRANSFERRING AGENCY OFFICIAL *(Signature and title)* DATE

3. AGENCY CONTACT
 TRANSFERRING AGENCY LIAISON OFFICIAL *(Name, office and telephone No.)*

4. RECORDS CENTER RECEIPT
 RECORDS RECEIVED BY *(Signature and title)* DATE

5. FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)*

SAMPLE

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(With inclusive dates of records)</i>	R E C O R D S T O B A C C O R E L A T E D	DISPOSAL AUTHORITY <i>(Schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	S P L E A N F	C O P Y I N T E	A D D I T I O N S
<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>	<i>(g)</i>	<i>(h)</i>	<i>(i)</i>	<i>(j)</i>	<i>(k)</i>	<i>(l)</i>	<i>(m)</i>
					These Records are/are NOT Tobacco Related: <i>(Circle appropriate option)</i>		Signature					

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARA record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.
- (e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<i>Code</i>	<i>Restrictions</i>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use--witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use--witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

- (h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

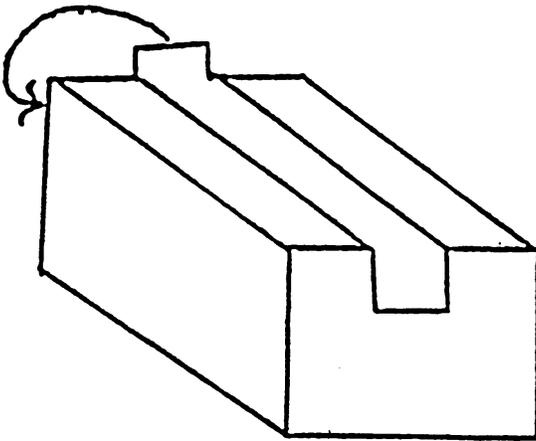
Col.

- (j) *Location.* The records center annotates the shelf location of the first carton for each series of records.
- (k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A), to reflect the type of container in which the records are retired.
- (m) *Automatic Disposal.* The records center enters either *Y* (yes) to indicate automatic disposal applies or *N* (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

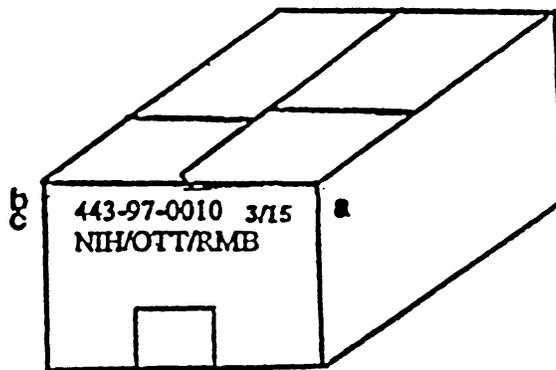
Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

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SAMPLE OF CORRECT BOX IDENTIFICATION AND ASSEMBLY



TAPING BOTTOM OF BOX

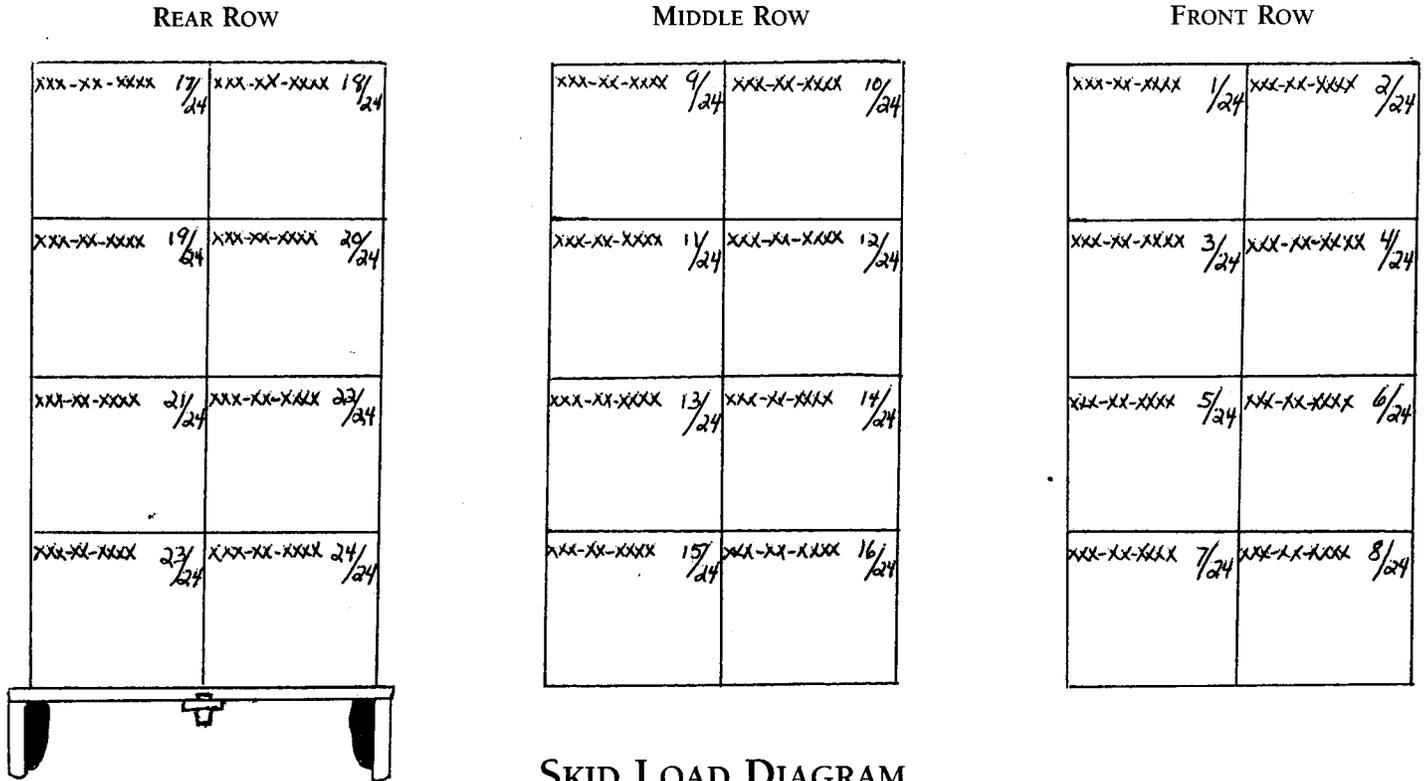


MARKING AND CLOSING OF BOX

- a Place box numbers in the upper right corner, showing the box number and the total boxes in the accession (e.g., 3/15 is box 3 of 15 boxes).
- b Place accession numbers assigned by the NIH Records Management Office in the upper left corner (e.g., 443-97-0010).
- c Show Agency Identification, including NIH, BID and the organization sending the files, below the accession number (e.g., NIH/OTT/RMB).

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SAMPLE OF A PROPERLY LOADED SKID



SKID LOAD DIAGRAM

INSTRUCTIONS

1. Load skids with highest box number on rear (over wheels) bottom, and build the rows vertically as shown in the diagram. All boxes should be numbered as shown.
2. All boxes should face forward (jack hookup point).
3. Security-classified records should not be on the same skid as unclassified records. Nor should refiles be on the same skid with new accessions.
4. When records are boxed before skids are available, keep boxes in numerical order so they can be loaded on skids properly.
5. Failure to load skids properly will be cause for the Center to refuse the records.

TRANSFER, WITHDRAWAL AND DESTRUCTION OF RECORDS
 AT THE WASHINGTON NATIONAL RECORDS CENTER

SAMPLE OF A PROPERLY LOADED PALLET

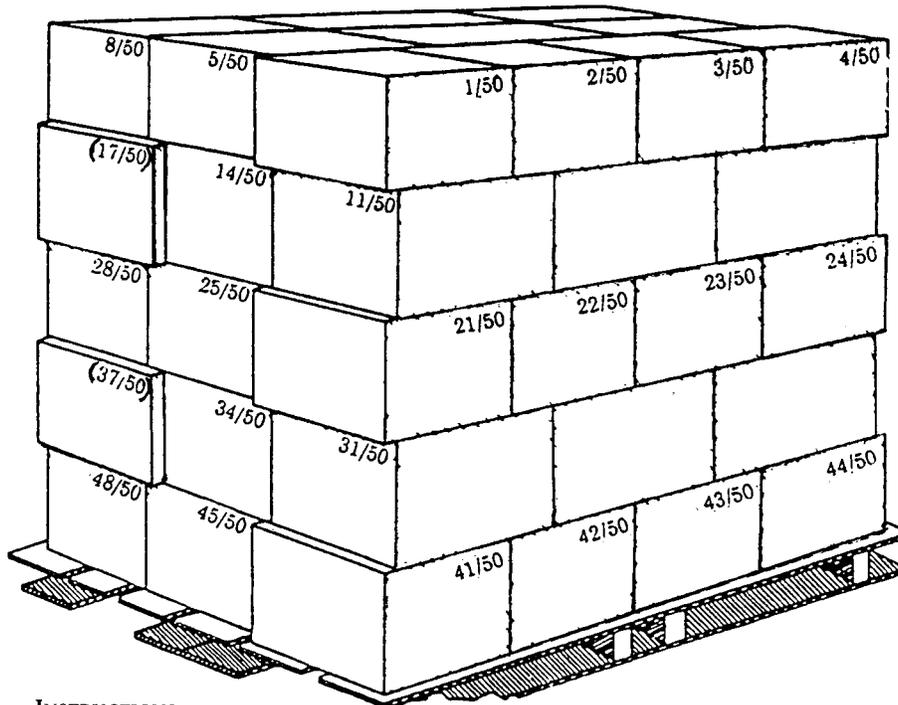
EXAMPLE OF PROPERLY STACKED PALLET
 SHOWING AGENCY BOX NUMBERS

8th	9th	10th	
5th	6th	7th	
Box # 1	2nd	3rd	4th

Top View of Top Row

17th	18th	19th	20th
14th	15th	16th	
11th	12th	13th	

Top View of Second Row



INSTRUCTIONS

1. Face the boxes as shown in diagram.
2. Stacking pattern for palletized records is 10 standard records center cartons per row, 5 rows per pallet, 50 cartons per pallet. Box 50 is in the bottom row, and box 1 is in the top row.
3. Four boxes on each row are placed perpendicular to the rest of the boxes in that row.
4. Numbered end not facing the front of the pallet should face right.
5. When records are boxed before pallets are available, keep the boxes in numerical order so they can be loaded on pallets properly.
6. Failure to load pallets properly will be cause for the Center to refuse the records.
7. Pallets should be banded with steel, plastic, or cord strapping before shipping.

REFERENCE REQUEST--FEDERAL RECORDS CENTERS

NOTE: Use a separate form for each request.

SECTION I--TO BE COMPLETED BY REQUESTING AGENCY

ACCESSION NO.

AGENCY BOX NUMBER

RECORDS CENTER LOCATION NUMBER

OF

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED

BOX

FOLDER (include file number and title)

REMARKS

NATURE OF SERVICE

- FURNISH COPY OF RECORD(S) ONLY
 PERMANENT WITHDRAWAL
 TEMPORARY LOAN OF RECORD(S)
 REVIEW
 OTHER (Specify)

SECTION II--FOR USE BY RECORDS CENTER

- RECORDS NOT IN CENTER CUSTODY
 RECORDS DESTROYED
 WRONG ACCESSION NUMBER--PLEASE RECHECK
 WRONG BOX NUMBER--PLEASE RECHECK
 WRONG CENTER LOCATION--PLEASE RECHECK
 ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED
 MISSING (Neither record(s), information nor charge card found in container(s) specified)
 RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):

REMARKS

DATE

SERVICE

TIME REQUIRED

SEARCHER'S INITIALS

SECTION III--TO BE COMPLETED BY REQUESTING AGENCY

NAME OF REQUESTER

TELEPHONE NO. FTS DATE

RECEIPT OF RECORDS

NAME AND ADDRESS OF AGENCY

(Include street address, building, room no. and ZIP Code) →

Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center.

SIGNATURE

DATE