

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-443-00-3	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 10.28.99	
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION National Institutes of Health			
3. MINOR SUBDIVISION Clinical Center			
4. NAME OF PERSON WITH WHOM TO CONFER Leslie Watson	5. TELEPHONE 301-496-2833	DATE 6-14-00	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>8</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE OCT 25 1999	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.		TITLE HHS Records Manager
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Approval is requested to revise/modify/update the NIH Manual 1743, covering Clinical Center records. These changes were necessitated by regulatory, procedural and/or operational considerations, (as noted). Some items include a disposition for electronic records.</p> <p>These items will appear in the NIH Records Control Schedule as follows:</p>		

Agency, NWM & NWMW

NOTE: ALL CROSSED OFF ITEMS ON THIS SCHEDULE ARE WITHDRAWN AND WILL BE PLACED ON A 99-04 SUBMISSION.

~~1100-B-2-b Clinical Center Central Files (NC1-90-78-9/7a)~~

~~Electronic copies created using electronic mail and word processing:~~

with drawn

12/13/99

per discussion w/agency SA.

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~1100-C-12-b-2 IC Program Analysis and Review Files (NC1-90-78-12/7a, 74)~~

~~Electronic copies created using electronic mail and word processing:~~

with drawn

12/13/99

per discussion w/agency SA

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~1100-D-1-d Organization and Functions files (a. NC1-90-78-9/7a); b. NC1-90-78-12/7a); c. NC1-90-77-2/3)~~

~~Electronic copies created using electronic mail and word processing:~~

*with drawn per discussion
12/13/99 w/agency.*

SA

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~1100-H-5-b Minutes of Meetings (NC1-90-78-19/7a)~~

~~Electronic copies created using electronic mail and word processing:~~

*with drawn per discussion
12/13/99 w/agency.*

SA.

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~1100-M-1-b Administrative Files (NC1-GRS-23/1; NC1-90-78-9/39)~~

~~Electronic copies created using electronic mail and word processing:~~

*with drawn per
discussion
12/13/99 w/agency
SA.*

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

1900-F-6 Patients' Emergency Fund Records, relating to the collection and disbursement of, and accounting for, funds donated to meet emergency needs of patients, summary records of withdrawals and deposits, and "thank you" letters from patients and their families. (NC1-90-78-9/122)

Located in CC, Social Work Department.

Disposition: Destroy when 3 years old.

~~2300-293-4-b Medical Staffs' credential files (NC1-443-93-1)~~

~~Electronic copy of files:~~

*withdrawn per discussion w/
12/13/99 agency.
ST*

~~Disposition: Computer files, maintained indefinitely; inactive information in the database deleted, when referencing or updating is completed.~~

2600-C-30 Blood Storage Records, showing temperatures maintained in preserving blood in the department. (NC1-90-78-9/14)

Located in CC, Transfusion Medicine Department.

a. Recordkeeping copy:

Disposition: Destroy the recordkeeping copy when 5 years old or when any blood components associated with these records have expired, whichever is later. (21CFR606)

b. Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.

~~2600-C-31 Blood distribution and disposition records, showing patients' name, blood types, and other data related to transfusion, name and address of consignees, final disposition of all blood components collected, manufactured, or stored in the department. (NC1-90-78-9/16)~~

~~(NOTE: These records are part of Privacy Act system of records 09-25-0011.)~~

~~Located in CC, Transfusion Medicine Department.~~

~~a. Recordkeeping copy:~~

~~Disposition: Retain the recordkeeping copy on-site for 50 years or upon notification of expiration of the patient or subject, whichever is~~

*Withdrawn per
memo dated
4/28/00.
JNB*

longer. Transfer to the Federal Records Center following the 50-year on-site retention or upon notification of expiration of the patient or subject. Destroy after 30 years of storage at the FRC. (21CFR606)

- b. Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when no longer needed for reference or updating.

3000-E-21-b Diagnostic Cardiac Records (NC1-443-96-1)

Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed. *withdrawn 12/13/99 per discussion w/ agency. SA*

3000-E-22

Medical Records Case Files of Patients of the NIH Clinical Center, filed by the unit system, using hospital number and patient name. Each medical record includes the complete record of admissions and medical treatment for a patient accepted in a research project. Inactive records for patients who have not received treatment for a period of five consecutive years will be microfilmed periodically. (NC1-90-78-4/1)

(NOTE: These records are part of Privacy Act System of records 09-25-0099)

Located in CC, Medical Record Department

- a. Recordkeeping Paper File:

Disposition: Destroy when microfilm has been accepted.

- b. Microfilm File:

Disposition: PERMANENT. Transfer microfilm master copy to the National Underground Storage. These records must be microfilmed in accordance with FPMR 101-11.504.

- c. Diagnostic By-Products copy:

*Withdrawn per
MEMO dated
3/21/00.
JMB*

~~Disposition: Transfer to the Federal Records Center 1 year after inactivity.
— Destroy when 30 years old. —~~

~~3000-E-24 Patient Report Files: Reports of findings in laboratory analysis for reference and research. (NC1-90-78-9/23)~~

~~Located in CC, Clinical Pathology Department.~~

~~a. Recordkeeping copy:~~

~~Disposition: Destroy the recordkeeping copy when 2 years old.~~

~~b. Electronic copies created using electronic mail and word processing:~~

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~(NOTE: New Laboratory Information System will be installed in March 1999, which will eliminate the need to retain patient report files any longer than 2 years. Microfilming is no longer needed as patient data is now captured electronically and will be a permanent record on line for physician retrievals.)~~

*Withdrawn
per memo
dated
4/28/00.
JMB*

~~3000-E-26 Diagnostic Radiological Records and Radionuclide Scans, comprising X-rays and other roentgenographic images produced by various devices and procedures such as body and head scans created by computerized transaxial tomography and following use of isotopes. Files include positive photographic images resulting from ultrasound procedures and related studies and interpretations. (NC1-90-78-9/40)~~

~~Located in CC, Diagnostic Radiology Department.~~

~~Disposition: Retain in Diagnostic Radiology Department for 5 years from latest patient activity. Transfer to intermediate storage after 5 years of inactivity. Transfer records to the Federal Records Center after 10 years of inactivity. Destroy when 30 years old.~~

*Withdrawn
per Memo
dated
4/28/00.
JMB*

~~3000-E-30 Radiopharmaceutical Records, showing the amount, nature, dates and purposes of radionuclides dispensed to patients in testing. (NC1-90-78-9/42)~~

~~Located in CC, Nuclear Medicine Department.~~

*Withdrawn per memo
dated 4/28/00.
JMB*

a. Recordkeeping copy:

Disposition: Retain the recordkeeping copy in the Nuclear Medicine Department for 5 years from latest patient activity. Destroy when 5 years old.

b. Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.

(NOTE: Documentation and record retention requirements dictated by Nuclear Regulatory Commission (NRC) and the NIH Radioactive Materials License administered by the NIH Radiation Safety Officer.)

3000-E-36 Serological Test Records for Clinical Center patients: showing results of blood typings, antibody screening and compatibility testing. (NC1-90-78-9/11)

(NOTE: These records are part of Privacy Act system of records 09-25-0011).

Located in CC, Transfusion Medicine Department.

a. Recordkeeping copy:

Disposition: Destroy the recordkeeping copy 5 years after patient is discharged.

b. Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.

3000-E-37 Transfusion Service Records: Interpretations of adverse reactions to transfusion, identification of clinically significant antibodies, and special transfusion requirements for Clinical Center patients. NOTE: These records are part of Privacy Act system of records 09-25-0011). (NC1-90-78-9/12)

Located in CC, Transfusion Medicine Department.

a. Recordkeeping copy:

Disposition: Retain the recordkeeping copy on site for 50 years or upon notification of expiration of the patient or subject, whichever is longer. Transfer to the FRC following on site retention for 50 years or notification of expiration of the patient or subject. Destroy after 30 years retention at the Federal Records Center.

b. Electronic copies created using electronic mail and word processing:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.

3000-E-50

Blood Donor History and consent records, showing name of donor, medical history and physical data. Inactive records for donors will be microfilmed periodically. (NOTE: These records are part of Privacy Act System of records 09-25-0011) (NC1-90-78-9/10)

Located in CC, Transfusion Medicine Department.

a. Donor Medical History Cards:

Disposition: File by calendar year. Microfilm inactive records at the end of each calendar year. Destroy after microfilming and verification of film.

b. Original Microfilm copy:

Disposition: File original copy of microfilmed records in Transfusion Medicine Department. ~~Maintain indefinitely~~ for reference.

Destroy when no longer needed

*St. 2/2/00
re: L.W.*

c. Other Microfilm copy:

Disposition: Transfer to the Federal Records Center for 30 years. Destroy when 30 years old.

3000-E-51

Blood Donation Records, including blood collection data and results of testing performed to qualify the donor and the collection product. (NC1-90-78-9/13)

Located in CC, Transfusion Medicine Department.

a. Product Cards:

*Withdrawn per
memo dated
4/28/00.*

JMB

Disposition: File by calendar year. Microfilm inactive records at the end of each calendar year. Destroy after microfilming and verification of film.

b. Original Microfilm copy

Disposition: File original copy of microfilmed records in Transfusion Medicine Department. Maintain indefinitely for reference.

c. Other Microfilm copy:

Disposition: Transfer to the Federal Records Center for 30 years. Destroy when 30 years old.

~~3000-E-61 Clinical Research Student Volunteer Program Files, containing medical histories and admission information. (NC1-90-78-9/92)~~

~~(NOTE: These records are part of Privacy Act system of records 09-25-0012)~~

~~Located in CC, Clinical Research Volunteer Program.~~

~~Disposition: Destroy 3 years after volunteer period ends~~

*Previous Authority
still applies.
JMB
5/8/00.*

~~3000-E-62 Copies of Clinical Research Volunteer Visit Reports, showing time spent by the volunteer, and payment made to the volunteer. (NC1-90-78-9/93)~~

~~(NOTE: These records are part of Privacy Act system of records 09-25-0012)~~

~~Located in CC, Clinical Research Volunteer Program.~~

~~Disposition: Destroy when 2 years old.~~

*Previous Authority
still applies.
JMB
5/8/00.*

3000-E-78 Operating Room Memoranda. Originals are maintained in the department. Copies are forwarded to the Medical Record and Information Systems Departments. (NC1-90-78-9/60)

Located in, CC, Surgical Services Department

Disposition: Destroy when 2 years old.

~~3000-E-90-b Volunteer Services Case Files, containing applications, discharges, agreements and related correspondence regarding persons donating their services to the Clinical Center. (NC1-90-78-9/8)~~

~~Located in: CC, Volunteer Services Office.~~

*withdrawn per discussion w/agency
12/13/99 SA.*

~~Electronic version:~~

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~3000-F-1-b Quality Control Records (NC1-90-78-9/25)~~

~~Electronic copies created using electronic mail and word processing:~~

withdrawn 12/13/99 per discussion w/agency.

~~Disposition: Delete when 2 years old.~~

~~3000-F-2-b Instrument Maintenance Records (NC1-90-78-9/26)~~

~~Electronic copies created using electronic mail and word processing:~~

withdrawn 12/13/99 per discussion w/agency. SA

~~Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.~~

~~3000-F-3 Log books, recorder charts, and other working papers used to prepare reports or analyses. (NC1-90-78-9/27)~~

~~Located in CC, Clinical Pathology Department.~~

*Withdrawn per memo dated 4/28/00.
JNB*

~~Disposition: Destroy when 2 years old.~~

~~3000-F-10 Media Preparation Case Files and Indexes (HEW-B-370/4g)~~

~~Electronic copies created using electronic mail and word processing:~~

withdrawn 12/13/99 per discussion w/agency. SA

~~Disposition: Destroy when 10 years old.~~

~~3000-G-2~~

~~b. Clinical Center Protocol files, documenting proposals made by the Institutes and approved by the Director of the Clinical Center for use of human subjects in research, development, and related activities. Each file normally contains the~~

*PREVIOUS Authority still applies.
JNB 5/8/00.*

official copy of the protocol, describing the nature of the proposed research, the methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. (NC1-90-77-9/116)

Previous Authority still applies. JMB 5/18/00

Located in CC Medical Record Department.

Disposition: PERMANENT. Transfer files of terminated protocols to the Federal Records Center on an annual basis by fiscal year, ending September 30. (For example, in fiscal year 1999, transfer files closed out in fiscal year 1998). Transfer to the National Archives after 20 years. *after transfer to the FRC.*

d. Electronic files:

Disposition: Computer files maintained indefinitely; inactive information in the database deleted, when referencing or updating is completed.

Withdrawn per memo dated 4/28/00. LNB

3000-H-4-b Investigational Drug Service Requests (NC1-90-77-9/114)

withdrawn - 12/13/99 per discussion w/ agency. JTB

Electronic copies created using electronic mail and word processing systems:

Disposition: Delete after recordkeeping copy has been produced or when referencing or updating is completed.

NIH Clearances:

Leslie Watson:

Leslie Watson
NIH Records Officer

11/18/99
Date