

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-090-81-05

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/3/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are presumed active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 4a is superseded by DAA-0512-2014-0004-0061

Items 19.D.1 is superseded by DAA-0512-2014-0004-0059 and -0060.

Item 19.D.3 is superseded by DAA-0512-2014-0004-0026 and DAA-0512-2014-0004-0058.

Items 25.A.1 is superseded by DAA-0512-2014-0004-0039.

Item 25.C is superseded by N1-512-92-01, item 1.

Items 25.D is superseded by DAA-0512-2014-0004-0041.

Items 25H is superseded by DAA-0512-2014-0004-0036.

Items 25K and 25M are superseded by DAA-0512-2014-0004-0033.

Items 25.O.1 is superseded by DAA-0512-2014-0004-0040.

Item 25P superseded by N1-090-86-005.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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JOB NO

NC1-90-81-5

DATE RECEIVED

June 10, 1981

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

9-21-82

[Signature]

Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 144 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

4/9/81	Jacquelyn L. Tolson	PHS Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9.
SAMPLE OR
JOB NO.

10.
ACTION TAKEN

FOR A THOROUGH INTRODUCTION AND OUTLINE OF RECORDS CREATED
WITHIN THE HEALTH SERVICES ADMINISTRATION (HSA), SEE
APPENDIX B-351 **Attached.**

115-107

NO MASS DATA CHANGE SHEET IS NEEDED
Closed out: 9-27-82: CM
Copied to Agency, NNS + NNF

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

RECORDS CONTROL SCHEDULE

HEALTH RESOURCES AND SERVICES ADMINISTRATION
(Formerly Health Services Administration)
PUBLIC HEALTH SERVICE

Approved: The Archivist of the United States, Job Number NCI-90-81-5,
on September 21, 1982

INTRODUCTION

This schedule supersedes all previous authorizations for the disposition of record and nonrecord materials contained in HSA Records Control Schedule, Job No. NC-90-77-3 dated February 2, 1978.

Authorizations for the disposition of general administrative (housekeeping) records which are common to several or all agencies of the Federal Government are contained in the GSA General Records Schedules (GRS), Appendix A, Department Records Management Manual.

FEDERAL LAW REQUIREMENTS AND BACKGROUND DATA

The background data below summarizes the requirements of Federal law and related regulations and reminds all Federal components of their legal responsibility to (a) inform agencies, officials, and personnel about established procedures for maintaining personal papers and (b) ensure the security and integrity of Federal records.

a. 44 U.S.C. 3301 legally defines the word "records" to include--

. . . all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

b. FPMR 101-11.202-2(d) provides a legal definition of personal papers and prescribes standards for their maintenance--

Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a Federal official will be clearly designated by him/her as nonofficial and will at all times be filed separately from the official records of his/her office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files...

c. The definition of official records involves materials made or received either in pursuance of Federal law or in connection with the transaction of public business. The definition of personal papers covers material pertaining solely to an individual's private affairs. In other words, correspondence designated "personal," "confidential," or "private," etc., but relevant to the conduct of public business, is nonetheless an official record subject to the provisions of Federal law pertinent to the maintenance and disposal of such records. Official records are public records and belong to the office rather than to the officer.

d. The legal definition of records (44 U.S.C. 3301) specifically excludes "extra copies of documents preserved only for convenience of reference." Such extra copies of documents are commonly regarded as nonrecord materials and are disposable without reference to the requirements of Chapter 33, Title 44, United States Code. A Government official may accumulate for convenience of reference extra copies of papers and other materials which he/she has drafted, reviewed, or otherwise acted upon. When deposited in a research institution, extra copies can serve the needs of historical scholarship. Government officials may be permitted to retain these extra copies, provided that such retention would not (1) diminish the official records of the agency; (2) violate confidentiality required by national security, privacy, or other interests protected by law; or (3) exceed normal administrative economies.

e. Federal law (44 U.S.C. 3105) requires heads of Federal agencies to establish safeguards against the removal or loss of Federal records. Such safeguards include notifying agency officials that (1) the alienation and destruction of records in agency custody is governed by specific provisions of Chapter 33, Title 44, United States Code, and (2) criminal penalties are provided for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 793, 794, and 798).

f. Federal law (44 U.S.C. 3106) requires heads of Federal agencies to notify the Administrator of General Services of any actual or threatened unlawful removal or destruction of records in their custody. The Archivist of the United States has been delegated authority to assist agency heads in initiating action through the Attorney General for the recovery of records unlawfully removed.

Requested action to be taken by agencies.

a. Agency heads should review their records management programs and determine whether adequate safeguards exist against the inadvertent or unlawful loss of Federal records. Adequate safeguards include the following measures:

(1) Ensure that employees are acquainted with the Federal law governing the disposition of official records. Disposal of Federal records can occur only as a result of authorization of NARS approved records control schedules or provisions of general records schedules covering records common to one or more Federal agencies.

(2) Ensure that employees are aware of the criminal penalties that attach to the unlawful removal or destruction of Federal records. Employees also should be made aware of their legal responsibility for informing their records management officer of any actual or threatened unlawful loss or removal of official records.

(3) Ensure that employees are aware of the requirement for identifying and maintaining their personal papers separately from official records. Records management officers should monitor compliance with this requirement on a regular basis.

b. An effective means of bringing these legal requirements to the attention of agency personnel is incorporation of the requirements into agency files maintenance manuals and records control schedules. Adequate and proper separation and control of personal papers at the time of their creation offers the best approach for avoiding the problem of commingled personal and official papers. Widespread knowledge of the requirement for identifying and separating official from personal papers at the time of their creation can assist greatly in establishing adequate and proper control over personal papers.

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HEALTH SERVICES ADMINISTRATION
PUBLIC HEALTH SERVICE

The records described in this Records Control Schedule (RCS) are created by the Health Services Administration (HSA) which provides a national focus for programs and health services for all people of the United States with emphasis on achieving the integration of service delivery and public and private financing systems to assure their responsiveness to the needs of individuals and families in all levels of society.

To these ends, the HSA administers health service delivery programs supported by project grants, contracts or other arrangements; provides leadership to and supports efforts designed to integrate health service delivery programs with public and private health financing programs; administers formula grant-supported health services programs; assures quality and containment costs of service provided through the public financing programs; provides or arranges for personal health services, including both hospital and out-patient care, to designated beneficiaries; and provides advice and support to the Assistant Secretary for Health in the formulation of health policies. The HSA is comprised of the Office of the Administrator (OA), Bureau of Community Health Services (BCHS), Indian Health Service (IHS), the Bureau of Medical Services (BMS), and Bureau of Health Personnel Development and Service (BHPDS).

Official government records belong to the office where they are created, not to the employee. Federal legislation has set forth definitions and procedures that apply to all records created or maintained in government offices. Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government under Federal Law or in connection with the transaction of public business. Library and museum materials made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for conveniences or reference, and stocks of publications and of processed documents are not included.

Correspondence marked "personal, confidential or private" is not a personal paper when it relates to government business. Unlawful removal or destruction of government records is punishable by fine or imprisonment or both. All employees have a legal responsibility to safeguard government records, and to notify the HSA Records Management Officer of any actual or threatened removal or loss. No government records should be destroyed except in accordance with this Records Control Schedule which has been approved by the U.S. Archivist.

NOTE: All previous authorizations for the disposition of record and nonrecord materials covered by this schedule are hereby rescinded.

This schedule has separate sections for each classification of records, as follows:

Part 1A, Items 1-19 - Permanent and Nonpermanent Program and Administrative Records describes record materials accumulated at Headquarters and field offices to comply with HSA policies. This schedule provides the time-table for which these records are to be transferred to the Federal Records Center (FRC) for a specified period of time and then offered to the National Archives for permanent retention. The records are grouped according to function. In all cases, the official permanent program and administrative records will be maintained in the OA staff office responsible for that function.

Part 1B, Item 20 - Bureau of Community Health Services (BCHS) Permanent and nonpermanent program records pertaining to contracts, loans, and grants which provides for the distribution of Federal money for various types of health care programs, which are designed to meet the total health needs of the community it serves.

Part 1C, Item 21 - Indian Health Service Permanent and non-permanent program records. Files for hospitals, health centers, etc. are covered under PHS Hospitals and Clinics.

Part 1D, Items 22-24 - Bureau of Medical Services Permanent and nonpermanent program records. Files including Public Health Service Hospitals and Outpatient Clinics.

Part 1E, Items 25 - Bureau of Health Personnel Development and Service Permanent and nonpermanent records pertaining to student loans and scholarship programs including National Health Service Corp.

Part II, Item 26 - Nonrecord Materials preserved solely for purposes of reference.

This RCS should be used in conjunction with the General Records Schedule (GRS) published by GSA (Appendix A of the HHS Records Management Manual). Records for which disposition instructions are available in the GRS will be referenced, as necessary. (For the most part, items listed in the GRS are not included in this RCS.)

Any file system not listed in this schedule is not authorized for disposal.

Part IA: PERMANENT AND NONPERMANENT PROGRAM AND
ADMINISTRATIVE RECORDS

1. ORGANIZATION PLANNING AND DEVELOPMENT

A. Authority, Organization and Functions

Formal documents which affect the authority, organization, and functions of HSA. These records establish, or substantively change, the organization functions and/or relationships of HSA components. Included are copies of proposed and approved organization function and mission statements, staffing plans, organizational charts, and codes. Record copies are retained by the OA. Each major HSA component has duplicated copies in addition to original internal supporting documents written during the development phases of their organization and function proposals. Files are arranged alphabetically by subject and annual estimated volume 1/2 cu. ft.

Disposition: Permanent

1. Office of record: OA/OMP - Transfer a complete official set of agency's organization statements, charts, and codes to the FRC when superseded or obsolete and offer to the National Archives 10 years thereafter.
2. HSA major components: Forward to OA all original supporting documents pertaining to Bureau organizations to be included in the official record package. Destroy reference copies 5 years after superseded or obsolete. Earlier disposal authorized when no longer needed for administrative purposes.

B. HSA Issuance Management

1. Files consist of manuals, directives and other formal policy and procedural issuances prepared and published by HSA and major components. Included are Bureau issuances, a publication which introduces establishment of a HSA General Circular Series, and HSA supplements to the PHS and Department Staff Manual Chapters, Circulars and Guides. Files are arranged alphabetically by subject and annual estimated volume is 3 cu. ft.

Disposition: Permanent

- (a) Office of Record: Office responsible for preparation of the issuances - Transfer to the FRC when superseded or discontinued. Offer to National Archives 10 years thereafter.

- (b) Other Offices: Destroy 1 year after the issuance is superseded, discontinued or no longer needed for reference, whichever is first.

2. Issuance Background

Files accumulated in the preparation, clearance, publication, and/or interpretation of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are clearances, comments, recommendations, and similar records which provide a basis for publication or contribution to the contents of issuances.

Disposition: Nonpermanent

- (a) Office of Record: Preparing offices destroy when 2 years old, or when no longer needed for administrative purposes whichever is appropriate.

- (b) Other Offices: Destroy when obsolete, but within 2 years.

3. Distribution Control Files

Files contain mailing lists/keys and similar documents which govern the distribution of HSA, PHS, and DHHS staff manuals, supplements, circulars, and other printed materials, publications, and issuances to HSA components.

Disposition: Nonpermanent

All offices destroy when obsolete, but within 2 years.

2. COMMUNICATIONS, AND PUBLIC AFFAIRS

A. Communications Program

These files consist of a complete set of formal informational releases and publications such as press releases, press conference transcripts, official speeches, graphic progress presentations, public affairs policies and procedures which document the development of public affairs activities within the HSA staff offices and bureaus. Files are arranged alphabetically and annual volume estimated at 2 cu. ft. by topic.

Disposition: Permanent

1. Office of Record: OA - Cut off files annually and hold. Retain one complete set of formal information publications: press releases, official speeches. Transfer to the FRC in 5 year blocks. Offer to the National Archives Records Services (NARS) 10 years thereafter.
2. Other Offices: Destroy when 1 year old or when administrative value ends.

B. Communications, Conventions and Exhibits

Includes exhibits, graphic designs, publications and other materials documenting the production and execution of HSA graphic presentations, audiovisual exhibits, displays at conventions, conferences, or other special showings. Also included are correspondence, drawings, planning documents, photographs of completed exhibits, and related material. Files are arranged alphabetically and annual estimated volume is 2 cu. ft.

Disposition: Permanent

1. Office of Record: Other highly significant exhibits of historical value to NARS for appraisal every 10 years or sooner if volume permits.

Disposition: Nonpermanent

1. All other files and exhibit materials: Retain for 5 years after presentation, then destroy. Earlier disposal is authorized, if necessary.
2. Other offices: Destroy 3 years after presentation. Earlier disposal is authorized.

C. Publication Card Index for Public Inquiry

1. Publications Card Index - Card files of HSA publications by number and title for reference and inquiry response purposes. Constantly updated.

2. Publications Distribution Files - Copies of correspondence relating to general inquiries and requests for HSA publications. (Current available HSA publications, and other related borchures and publications are maintained as ready reference and for distribution.)

Disposition: Nonpermanent

All requests for publications are returned with the order.
Other files destroy when 2 years old.

3. AUDIOVISUAL

(Records described under this item are used for public information purposes.)

A. Motion Picture Film Productions

1. Motion Picture Film

The original negative or color original plus optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each motion picture used to document, carry on, promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically/chronologically and annual volume estimated is 2-3 cu. ft.

Disposition: Permanent

Offer to the NARS when obsolete or after five years whichever occurs first.

2. Film Project Case Files

Documents relating to motion picture productions including requests for approvals, justifications, authorizations, film requirements, contracts, scripts, clearances and releases, and other records relating to the origin, acquisition, and ownership of the production.

Disposition: Permanent

Offer to the NARS with related film in accordance with instructions in (A.1.).

3. Additional duplicate prints of items identified in (A.1.).

Disposition: Nonpermanent

Destroy when obsolete or after five years whichever occurs first.

4. Motion picture films having limited administrative use or interest such as productions whose subject matter is transitory or is of a purely local interest nature as well as film of subjects and activities not directly related to agency operations or responsibilities.

Disposition: Nonpermanent

B. Sound Recordings and Video Recordings

1. Sound Recordings: The master tape, matrix or stamper, and one disc pressing for each conventional mass-produced multiple copy disc recording and the original tape for each magnetic audio tape recording used to document, carry on, or promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically and annual volume estimate is 3-4 cu. ft. for a-c.

Disposition: Permanent

Offer to the NARS when obsolete or after five years whichever occurs first.

2. Video Recordings

The original recording or the earliest generation of the recording (or a kinescope of the recording) used to document, carry on, or promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically and annual volume estimate is 1-1/2 cu. ft.

Disposition: See B-1 above.

3. Documentation accumulated in the preparation and production of items identified in (B.1.) and (B.2.) including scripts, transcripts, releases, and other records related to the origin, acquisition, and ownership of the sound or video recordings. Files are arranged alphabetically and annual estimate is 1-2 cu. ft.

Disposition: Permanent

Offer to the NARS with the recordings in accordance to the instructions in (B.1.) and (B.2.).

4. Sound and Video Recordings

Having limited administrative use or interest such as productions whose subject matter is transitory or is of purely local interest nature as well as recordings of subjects and activities not directly related to agency operations or responsibilities.

Disposition: Nonpermanent

Destroy when obsolete or after 5 years whichever occurs first.

C. Still Pictures

1. Still photographs depicting substantive agency activities, procedures, programmatic responsibilities and developments, and significant personalities. Files arranged alphabetically by programs and annual volume estimate is 1 cu. fta

Disposition: Permanent

Break files every five years and offer to NARS the original negative and a captioned print or its equivalent for each black and white image and the original color transparency or color negative, a captioned print or its equivalent, and an internegative (if one exists) for each color image when obsolete or when 10 years old, whichever occurs first.

2. Still photography having limited administrative use or interest such as photographs whose subject matter is transitory or is of a purely local interest nature as well as photographs of subjects and activities not directly related to agency operations and responsibilities.

Disposition: Nonpermanent

Destroy after 5 years or when obsolete, whichever occurs first.

3. Additional duplicate prints of items identified in (C.1.).

Disposition: Nonpermanent

Destroy after 5 years or when obsolete, whichever occurs first.

D. Finding Aids for Audiovisual Records

Existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of the audiovisual records identified in (A.1.), (B.2.a), and (C.1.) and filed appropriately therein. Annual volume is 1 cu. ft.

Disposition: Permanent

Offer to the NARS with related audiovisual records in accordance with instructions in (A.1.), (B.1.), (B.2.), and (C.1.).

4. HSA ADMINISTRATOR'S REFERENCE CORRESPONDENCEA. General Correspondence of the Administrator

These files are maintained in the Executive Secretariat for general reference and retrieval purposes. Such files do not constitute a complete record of related activities, but merely document the Administrator's direct involvement in such correspondence as follows:

1. Correspondence originating with the Administrator or responded to by him/her.
2. Filed with item 1: General information items which are returned from the Office of the Administrator for reference filing.
3. Copies of all correspondence from within HSA logged in the ES/HSA whether for direct reply on behalf of the Administrator or for signature of the Administrator.
4. Correspondence control records for above. Files are arranged alphabetically by subject and annual volume is 4-6 cu. ft.

Disposition: Permanent

Those documents pertaining to policy and significant matters. Offer to NARS when no longer needed for administrative purposes or when 10 years old.

Disposition: Nonpermanent

Destroy when no longer needed for administrative purposes, those documents that are not policy documents or of significance.

B. Controlled Correspondence of the Administrator

Files which are maintained for general reference, retrieval, and control purposes. Such files constitute a record of ongoing responses to PHS and OS, controlled correspondence for signature at the Assistant Secretary for Health (ASH), Under Secretary (U) and Secretary (S) levels, or for direct reply on behalf of such addressees.

1. Congressional correspondence controlled for direct reply at the program office (Bureau) level within HSA, regardless of addressee.

2. Copies of all ASH, U, and S correspondence controlled through the Executive Secretariat for either direct reply or for signature of ASH, U, or S.
3. Copies of all HSA-prepared correspondence responded to by the ES.

Disposition: Nonpermanent

Office of Record: OA - May often have to be determined on a case-by-case basis by the Director, Executive Secretariat. Otherwise destroy when administrative value ends or after 2 years.

5. DELEGATIONS OF AUTHORITYA. Administrative/Financial and Program Delegations of Authority

These files contain formal documents that define policy and criteria governing the delegations of authority. The administrative delegations of authority include annual leave, procurement, printing, travel, etc. The program delegations of authority are unique to HSA programs and include procedures for delegating authority, (i.e., format and content of delegations), transmittal of delegations, procedural instructions, delegation code sheets, multidelegate delegations, revised and cancelled delegations.

Disposition: Nonpermanent

1. Office of Record: OA -Administrative Delegations - Transfer those documents that pertain specifically to the delegation to the FRC 2 years after superseded or when program/administrative value ends. Destroy 5 years thereafter. Program Delegations are of archival value. However, if they are published in the Federal Register, the Federal Register is offered to NARS and all other documents are disposed of 5 years after receipt into the FRC.
2. Program Delegations (below the agency level) that are not published in the Federal Register: Transfer those documents that pertain specifically to the delegation to the FRC 2 years after superseded or when program value ends. Offer to NARS in 10 year incrementsa
3. Other Offices with duplicate copies - Destroy 1 year after authority is redelegated unless needed for administrative purposes.

6. HSA REGULATIONS

- A. Files consist of records which establish policies and procedures pertaining to developing and processing HSA Regulations. All Agency regulations (those pending or published in final form) are included in addition to the format for developing and processing General Notices, Notices for Proposed Rule Making, and Final Regulations for publication in the Federal Register.

Disposition: Nonpermanent

- (1) Office of Record: HSA Component initiating the regulations -
Transfer all official documents for each regulation, in addition to the final regulation, to the FRC when 5 years old or no longer needed for administrative purposes. Destroy 5 years thereafter.
- (2) Other Offices: Destroy 1 year after regulation(s) becomes
obsolete or superseded.

7. DOCUMENTATION ON CONGRESSIONAL LEGISLATION

A. HSA Legislative History

Individual case histories describing the administration of all HSA legislative interpretations, requests for Agency representation at scheduled congressional hearings, final copies of prepared opening statements and testimonies given before all congressional committee hearings including appropriation hearings, written comments on Agency-related bills, compilations of historical summaries of laws applicable to the Agency's mission and functions, legislation establishing or amending. Agency programs, copies of all Agency-related bills and reports, including all final bills as approved by the President, backup files and related materials from the Department, OMB, and Congress.

Disposition: Nonpermanent

1. Office of Record: Office of Legislation close-out files (COF) at the end of each calendar year (CY). Retain all documents in active file area for 2 years or until no longer needed for administrative purposes. Transfer files to the FRC 3 years after each Congressional session ends and destroy when 8 years old.
2. Other Offices: Destroy when no longer needed for reference and/or distribution.

B. HSA Legislative Proposals

Individual case files which include backup documents from all HSA components, essential working documents, and final legislative proposals from HSA (with any modifications), PHS, the Department, or OMB.

Disposition: Nonpermanent

1. Office of Record: Retain for reference and working purposes. When administrative value ends, combine as part of HSA Legislative History Files and transfer to FRC 3 years after each Congressional session ends and destroy when 8 years old.
2. Other Offices: Destroy when no longer needed for reference and/or distribution.

C. Bills: Requests for Comments

Individual case files consists of requests from the Congress to comment on proposed legislation impacting on the program of HSA, and final comments (if Department/OMB clearance has been received).

Disposition: Nonpermanent

1. Office of Records: COF at end of CY and retain in active files area. Comments on bills enacted become a part of the HSA Legislative History Files (dispose of as stated above)n
2. All Others: COF end of Congressional session. Destroy when no longer needed for reference.

D. Legislative Reports

Files consist of periodic, statutorily-required reports to Congress and the Secretary, and intermittent reports with pertinent supporting documentation.

Disposition: Nonpermanent

1. Office of Record: OA - COF yearly and retain in active files area until succeeding report is transmitted to the Congress or for 1 year, whichever is earlier, then place in inactive file (PIF)n Transfer file to the FRC 3 years after each Congressional session ends and destroy when 8 years old.
2. Other Offices: Destroy when no longer needed for referencen

E. Program Legislative Planning/Implementation

Files contain plans and other documents, including written opinions from Office of the General Counsel (OGC) relating to the implementation of specific Public Laws that concern HSA programs both at Headquarters and in the Regional Offices. The files contain separate folders for each major component (bureau) and records accumulated in drafting or commenting on proposed legislation for each bureau.

Disposition: Nonpermanent

1. Office of Record: Transfer files to the FRC 3 years after each Congressional session ends and destroy when 8 years old.
2. Other Offices: Destroy when administrative value ends.

8. PROGRAM PLANNING, DEVELOPMENT AND IMPLEMENTATION

A. HSA Five-Year Forward Plan

Files contain guidelines, procedures, and definitions of issues necessary to develop the HSA Forward Plan. The Plan provides for major strategies and specific programmatic activities to be undertaken by major HSA components. These strategies suggest the priorities and directions for the resources planning and development process of HSA. Draft papers and the final HSA Forward Plan are maintained by fiscal year. Files are arranged chronologically and annual estimated volume is 3-4 cu. ft.

Disposition: Permanent

1. Office of Record: OA/OPEL - Cut off at end of FY and retain in active files for 2 years thereafter. Transfer one record copy of each Forward Plan, with the applicable Regional Office Work Plan to the FRC when 5 years old or no longer needed for administrative functions. Offer to NARS 10 years thereafter.
2. Other Offices: Destroy when obsolete or no longer needed for reference or working purposes.

B. Regional Office Work Plans and Guidance

Work plans (based on HSA Forward Plan) on regionalized basis maintained as a subpart to the HSA Forward Plan activities. Include correspondence with Regional Offices, and other HSA and PHS components regarding developing the Regional Office Work Plan, as well as modifications and other input from Regional Offices. Volume is 1/2 cubic ft. annually.

Disposition: Same as A. above.

C. Operational Planning System (OPS)

Files document the inception, scope and accomplishments of individual study and survey projects involving HSA's organizational structure, operating procedures, and management practices. Included are records reflecting the request or authorization to undertake the survey, survey plans, final reports, and followup reports on actions taken.

Disposition: Nonpermanent

1. Office of Record: Cut off files annually and hold for 2 years. Transfer to the FRC when administrative value ends or every 3 years. Destroy 3 years thereafter.
2. Other Offices: Destroy when no longer needed for reference or every 2 years.

D. HSA Evaluation Plan

Files include a complete HSA Evaluation Plan by fiscal year, beginning with 1974 (the first year for which a formal Evaluation Plan was developed for HSA), along with background materials and working documents from each Bureau; also included are consolidated Plans for HSA and PHS. Files are arranged chronologically and annual estimated volume is 3 - 4 cu. ft.

Disposition: Permanent

1. Office of Record: Division of Evaluation - Cut off files at end of FY and retain current plan in active files until completion of subsequent year plan at the HSA level; then retain in active files for one year. Transfer to the FRC when 5 years old or when no longer needed. Offer to the NARS 10 years thereafter.
2. Other Offices: Destroy when no longer needed for reference or every 2 years.

E. Agency Accomplishment Reports

These records include Agency Assessment Reports, Agency Development Plans, and Status Reports which are used to monitor Agency's progress. Files are arranged alphabetically by subject and annual estimate volume is 1 cu. ft.

Disposition: Permanent

Office of Record: Transfer to FRC when 5 years old or no longer needed for day-to-day activities. Offer to NARS 10 years thereafter.

9. COMMITTEE MANAGEMENTA. NSA Program Committees and Policy Councils (Division Level

and Above)

Individual files on Councils and Committees, arranged alphabetically by agency/program/committee. Includes agendas and minutes of meetings, authority for establishment, statements of missions, original charters, memberships, committee reports, (including financial expenditures of each members), written policies, procedures, management guidelines, modifications, pending actions, and related correspondence. Bureau/Office retains records copies. Files arranged alphabetically by title and annual volume estimate is 3 cu. ft.

Disposition: Permanent

1. Office of Record: Bureau/Office is responsible for the (Committee's overall Management)-Cut off files annually and hold in the active files area until Council Committee is **abolished, terminated, or transferred.**

Retire to FRC every 3 years or sooner if volume requires. Offer to NARS when 10 years old.

2. Other Offices: Destroy after 2 years.

10. EQUAL EMPLOYMENT OPPORTUNITY PROGRAM (EEO)A. EEO Policies and Procedures

These files document EEO regulations and are organized by major program thrust. Specific and general information include files on the following:

1. EEO Planning and Coordination
2. Federal Women's Program
3. EEO Education and Training
4. Hispanic Employment Program
5. Research, Evaluation, and Planning documents, and forward planning.

Disposition: Nonpermanent

(a) Office of Record: EEO - Destroy when 3 years old or when administrative value ends.

(b) Other Offices: Destroy when 2 years old or when administrative value ends.

B. Affirmative Action Plan (AAP)

Files contain guidelines and procedures issued by U.S. Office of Personnel Management (OPM) for developing the Agency AAP. This Plan is responsive to the overall needs of HSA and requires action by subordinate organizational units to assure equal employment within HSA. Included are working papers and comments submitted by HSA components at all levels. AAPs are updated every fiscal year and assessment reports written which describe action items achieved or not achieved for the previous FY.

Disposition: Nonpermanent

Office of Record: See GRS 1, No. 26-h.

C. Education and Training

Includes basic procedures, policies, and restrictions on EEO activities and those materials which were developed for EEO training agencywide.

Disposition: Nonpermanent

Office of Record: OA - Retain in active files area for 2 years or until no longer needed then destroy.

D. EEO Case Documentation

Consist of case files with all applicable documentation of basic complaints and all subsequent dispositions, affidavits, and other supporting documentation which may terminate at the (1) informal level, (2) the formal agency level, (3) the formal departmental level, or (4) resolution by court hearing for cases which go beyond agency level. Only records of resolution are returned for inclusion in agency files.

Disposition: Nonpermanent

Office of Record: See GRS 1, No. 26-a.

E. Program Activity Reports

Files consist of periodic recurring reports required by PHS, DHHS, and OPM for EEO activities. Some examples include monthly Pre-Complaints Counseling Reports, reports reflecting status of minority groups, changes in the minority data files, quarterly Time Cost Analysis, EEO Management Audit Reports, and other reports similar in content.

Disposition: Nonpermanent

1. Office of Record: OEEO - Destroy 5 years after consolidating data from Bureaus for each report.
2. Other Offices: Destroy 3 years after reports are submitted to OEEO or sooner if not needed for reference purposes.

11. MANPOWER MANAGEMENT SURVEY PROGRAM (MMSP)

A. Quality Control Procedures and Forms for Survey

Production logs, coding transcription sheets, and other documentation containing information on feedback, productivity, and other factors related to quality of survey methodology.

Disposition: Nonpermanent

1. Destroy original paper records 1 year after transfer to magnetic tapes.
2. Erase magnetic tapes after 6 years. Do not transfer to a FRC.

B. Work Measurement Studies and Manpower Surveys

File consist of periodic Manpower Management Reports which specify organization/workload analysis relating to current or projected (measurable and nonmeasurable) outputs, manpower available/required, productivity indexes, and trends. Also included are instructions and guidelines on developing the MMSP Annual Plan and conducting studies/surveys, quarterly status reports, and similar work measurement data prepared at operating levels and consolidated at the agency level. Reports are used to forecast budgetary requirements and justify position increases to PHS, DHHS, and OMB.

Disposition: Nonpermanent

1. Office of Record: OA - Destroy when reports are 10 years old.
2. Other Offices: Destroy 2 years after reports are submitted to OA for consolidation.

C. Study and Survey Working Papers

Files contain working papers accumulated in the preparation, clearance, and issuance of final survey reports. Included are notes, drafts, feeder reports, clearance comments, and similar records.

Disposition: Nonpermanent

1. Office of Record: Destroy when reports are 10 years old.
2. Other Offices: Destroy 2 years after reports are submitted to OA for consolidation of final report.

11/D. Supporting Manpower Zero Base Budget Documentation

Final manpower forms and supporting papers.

Disposition Nonpermanent

Destroy when documents are 3 years old.

11/E. Other

Regional Work Program Guidance, updates and direct correspondence OMB Circular A-76 direct correspondence and studies.

Disposition: Nonpermanent

1. Destroy original paper records 1 year after transfer to magnetic tapes.
2. Erase magnetic tapes after 10 years Do not transfer to a FRC.

12. MANAGEMENT PROJECTS

Management Projects File

Projects working papers including background materials, studies, analysis, notes, rough drafts, interim reports, copies of final reports which include, organizational and special studies, internal management reporting work standards, work simplification, management improvement and systematic review of programs and operations.

Disposition: Nonpermanent

Destroy 2 years after completion of project.

13. HSA PAPERWORK MANAGEMENT PROGRAM

A. Forms Management

Files are arranged numerically and annual estimated volume is 1 cu. ft. Records contain data showing the history of HSA forms, and the related procedures instituted, revised, superseded, or the cancellation of a form. A case file is maintained on each HSA form including background material. The DMPS/OA is responsible for file materials relating to guidance furnished the HSA bureaus in carrying out their forms management responsibilities, and supervision of the overall HSA forms management program.

Disposition: Nonpermanent

See GRS 16, Item 4.

Disposition: Nonpermanent

1. All Other Material

(a) Files consisting of instruction and documentation showing inception, scope, and purpose of forms and related materials - transfer to inactive file, when superseded or obsolete, for 2 years then send to the FRC. Destroy 10 years after obsolescence.

(b) Destroy duplicate copies of forms when they become obsolete.

2. Sponsoring Office

Destroy 2 years after form is obsolete or superseded.

3. Other Offices

Destroy when form is obsolete or superseded.

B. Form and Form Letters History

1. Office forms and form letter materials relating to origin, scope function and purpose of form, printed copies of the form and all revisions, requests for new or revised forms, or form letters, and related correspondence.

Disposition: Nonpermanent

Destroy 5 years after forms or form letters are discontinued, cancelled, or disapproved.

2. Forms and Form Letters Stock Control

Advisory and procurement cards, back orders, stock control cards, title inserts, and local or equivalent forms used for the same purpose.

Disposition: Nonpermanent

Destroy after the cards have been replaced by a new card or after the form to which the card pertains becomes obsolete or is superseded.

13/B/3. Forms and Publications Requisitions

Requisitions for Administrative Publications, requisitions for forms, and related materials.

Disposition: Nonpermanent

Destroy 1 year after requisition has been filled or cancelled.

13/B/4n Mailing or Distribution Lists

Files relating to mailing or distribution lists.

Disposition: Nonpermanent

Destroy 1 year after mailing or distribution list is replaced by a new list.

C. Records

1. Filing Equipment

Requests and justifications for filing equipment (copies), equipment inventory records, and other related material.

Disposition: Nonpermanent

(a) Office of Record: OA - Destroy requisition and inventory records after 1 year.

(b) Other Offices: Destroy requests 3 months after equipment is received and equipment inventory completed.

2. Indispensable Records

Notices of shipment of HSA indispensable records and related materials.

Disposition: Nonpermanent

Destroy 1 year after disposition of related records at HSA Security Depository.

3. Records Disposition File (Records Control Schedule)

Certifications of records disposition containing records destruction, retirement and storage data.

Disposition: Nonpermanent

Retain as long as it is useful then destroy.

4. Records Maintenance

Records used to maintain a control and inventory over active records series and to initiate prompt disposition action upon expiration of retention periods.

Disposition: Nonpermanent

Destroy after purpose has been served.

5. Records Retirement and Shipment

Records transmittal and receipt SF 135, record shelf lists, requests for official personnel folders, shipping lists, GSA Form 7015 and other related materials.

Disposition: Nonpermanent

Dispose of after retention period of related records has expired and after submission of the annual records status report for the year in which the records were disposed of.

13/D Reports Management

1. These records consists of listings of recurring reports required and responded to by HSA. Also included are backup materials to these listings. Each HSA activity is required to maintain a file on each report from which periodic listings are furnished. These listings/files include such information as name or report, cost and manhours to prepare report, requiring or responding office, etcn

Disposition: Nonpermanent

Destroy listings of report when superseded. Destroy files no later than 1 year after report requirement is terminated.

2. Internal and Interagency Recurring Reports' Case Files (Required by the office creating the report)

Included are files which provide standards and guidelines for the creation and use of reports, copies of the report and its format or form, procedures describing reporting requirements, internal contracts for review and clearance of proposed reports, justification and other materials constituting the request for approval and clearance of a report, completed cost effectiveness evaluation data recorded on SF 360, optional form 101 and summary worksheets, and backup materials.

Disposition: Nonpermanent

- (a) Office of Record: OA - Bureau and staff offices that require internal and interagency recurring reports destroy 2 years after report is terminated.
- (b) Other Offices: Destroy immediately after report is terminated.

3. Nonrecurring Reports (one-time reports) submitted to higher echelons.

Disposition: Nonpermanent

Destroy copies 1 year after report is submitted to requesting office.

E. Freedom of Information Act (FOIA) Request Files

Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files including the originals or copies of the records being requested.

Disposition: See GRS 14, No. 16.

F. Freedom of Information Act Appeals Files

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency consisting of the appellants letter, a copy of the reply thereto, and related supporting documents, including the originals or copies of denied records.

- 1. Correspondence and support documents (exclusive of the originals or copies of the records denied)

Disposition: Nonpermanent

Dispose of 4 years after final action by agency or 3 years after final adjudication by courts, whichever is later.

2. Originals or copies of denied records.

Disposition: Nonpermanent

Dispose of in accordance with approved agency disposition instructions for related records, or with the related FOIA request, whichever is later.

G. FOIA Control Files

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request and name and address of requestor.

1. Registers or listings:

Disposition: Nonpermanent

Dispose of 5 years after date of last entry.

2. Other files:

Disposition: Nonpermanent

Dispose of 5 years after final action by the agency or after final adjudication by courts, whichever is later.

H. FOIA Report Files

Recurring reports and one-time information requirements relating to agency implementation of the Freedom of Information Act, including annual reports to the Congress.

1. Annual reports at Departmental or agency level:

Disposition: Nonpermanent

Dispose of when 5 years old or sooner if no longer needed for administrative use.

2. Other reports:

Disposition: Nonpermanent

Dispose of when 2 years old or sooner if no longer needed for administrative use.

I. Freedom of Information Act Administrative Files

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Disposition: Nonpermanent

Destroy when 2 years old or sooner if no longer needed for administrative use.

J. Privacy Act - Accounting of Disclosure Files

Files maintained under the provision of 5 U.S.C. 552a (c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Nonpermanent

Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

K. Privacy Act Amendment Case Files

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d) (2); and to an individual's request for a review of an agency's refusal of the individual's 552a(d) (3). Includes all actions from the initial request to amend a records through the final appeal.

Disposition: See GRS 14, No. 26.L. Privacy Act Reports Files

Recurring reports and one-time information requirements relating to agency implementation, including annual reports to the Office of Management and Budget and Congress and the Report on New Systems.

1. Annual reports at Departmental or agency level:Disposition: Nonpermanent

Dispose of when 5 years old or sooner if no longer needed for administrative purposes.

2. Other reports:Disposition: Nonpermanent

Dispose of when 2 years old.

M. Privacy Act-General Administrative Files

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Nonpermanent

Dispose of when 2 years old or sooner if no longer needed for administrative use.

14. OFFICE SERVICES

A. Reproduction

1. Requisitions, production control and distribution records of individual duplicating or reproduction jobs.

Disposition: Nonpermanent

Destroy after 1 year.

2. Printing and Publication Vouchers

Posting media to the books of original entry consisting of requests for reproduction services, requests for Open Jacket Services, forms or publications, requisitions and shipping documents, adjustment vouchers or the equivalent, and related papers.

Disposition: Nonpermanent

See GRS Schedule 13, Items 2-4

3. Memoranda, copies of vouchers paid, and related papers, covering passenger transportation charges.

Disposition: Nonpermanent

Destroy 3 fiscal years after period covered by related account.

B. Messenger Service

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, related and similar material

Disposition: Nonpermanent

Destroy after 2 months.

C. Postal Service Control File

Headquarters, PHS and IHS Hospital records including: records received and dispatched, registered, insured and special delivery mail, applications for postal registrations and certificates of declared value, returned receipts, records of postage used (airmail, special delivery, foreign, parcel post, etc.), requisitions for stamps (excluding copies used to support paid vouchers), receipts for mail and messenger service, records of volume of mail handled, and related materials.

Disposition: Nonpermanent

Destroy after 1 year.

D. Mail and Distribution Management

These files include materials relating to fiscal year mail and postage cost estimates reported to the USPS (feeder reports from HSA staff offices and bureaus, together with support documentation); establishment of new mailing keys; deletions, changes, and additions to existing mailing keys; as well as rosters of HSA Distribution Control Officers (DCO)

Disposition Nonpermanent

1. Mail and postage cost-estimates - Destroy when 3 years old.
2. Rosters of DCOs - Destroy when superseded.
3. All other material - Destroy when 1 year old unless needed for day-to-day operations.

E. Telecommunication File

Incoming and outgoing messages, teletype circuit number sheets, log sheets, message registers, tapes, daily load reports, related and similar material.

Disposition: Nonpermanent

Destroy all records, except tapes, after 90 days. Destroy tapes after message is dispatched.

F. Telephone Control File

1. Records of long-distance and message unit calls/copies of GSA records on leased circuit calls.
2. Telephone equipment record cards, orders for telephone service, floor plans, service and installation records including telephone company work orders.
3. Telephone work records including numerical distribution of phone numbers, type and location, and related material. (Directory working records)

Disposition Nonpermanent

1. Destroy telephone long-distance call records 3 fiscal years after close of fiscal year involved.
2. Destroy telephone service records after 1 year
3. Destroy telephone work records when changes or deletions render the material obsolete.

G. Transcription File

1. Shorthand notes, including stenographic notebooks and stenotype tapest
2. Recordings of telephone conversations, requesting from the nearest relative permission to perform autopsy.

Disposition: Nonpermanent

1. Dispose of after notes and information have been transcribed and verified for accuracy.
2. Dispose of by burning or mutilation after 15 years.

H. Lost and Found

Records of lost and found articles and related documents.

Disposition: Nonpermanent

Destroy records of found articles after 5 years.
Destroy records of lost articles not found after 90 days.

I. Employee Accident, Health, and Loss or Theft of Property

These documents relate to employee health projects, such as blood donations, prevention shots, physical examinations, and related correspondence. Included is Form HEW-516, Accident Report, which is submitted quarterly. Also included is GSA Form 182, Report of Loss or Theft, prepared after each occurrence.

Disposition: Nonpermanent

1. Form HEW-516 - Destroy when 5 years old.
2. All other material - Destroy when 1 year old.

J. Security and Protective Services

These files pertain to security and protective measures taken regarding classified information, facilities, and personnel. They include memorandums, plans, studies, evaluations, recommendations, and reports relating to administration of security and protective services programs.

Disposition: Nonpermanent

Close file every 2 years and transfer to FRC. Destroy when 10 years old or earlier if no longer needed for administrative purposes.

K. Property Disposal Records

These records pertain to the sale of real and personal property surplus to the needs of the Government. Included are casetfiles on disposal of surplus real and related personal property and reports of excess real property. Three forms are prescribed for use in selling surplus personal property under GSA regulations; (a) SF-114, Sale of Government Property, Invitation, and Bid, and Acceptance, and related papers that are maintained, usually in case fashion, consisting of correspondence, bids, and other notices of sale, invoices, and sale slips; (b) SF-120, Report of Excess Personal Property; and (c) SF-121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. SF-120 reports personal property that is excess to the Department, to the Regional GSA Offices, which initiate screening action. SF-121 reports are submitted to the Office of Personal Property, Utilization and Disposal Service, GSA, which consolidates the data.

1. Case files on disposal of surplus real and related personal property.

Disposition: Nonpermanent

Transfer to FRC 3 years after the file is closed
Destroy when 10 years old unless needed longer
for legal purposes.

2. Reports of excess real property.

Disposition: Nonpermanent

Transfer to FRC when 3 years old. Destroy when 10
years old or earlier if no longer needed for adminis-
trative purposes.

L. Military Personnel and Civilian Employees Claims

These are claims presented by commissioned officers and civilian employees of PHS for damage to, or loss of, personal property while acting within the scope of their office of employment. The files contain correspondence with claimants, moving companies, and appropriate facilities; supporting evidence necessary to substantiate the claims with recommendations and final determinations, logs and other case control systems; and materials showing final disposition on each case.

Disposition: Nonpermanent

Destroy 4 years after claim is closed.

M. Federal Claims Collection Act

The claims covered under this act apply to administrative collections of monies due PHS. These records document how the claims arose, amounts, circumstances of debtors, and collection efforts made; basis for compromise, suspension, or termination of claims; logs and other case control systems; and materials showing final disposition on each case.

Disposition: Nonpermanent

Transfer to FRC when claim is closed. Destroy 6 years thereafter.

N. Civil Suits

This activity pertains to a civil action by a plaintiff upon disallowance of administrative claim or when six months has elapsed without final disposition of administrative claim. A third party suit arises when an American seaman commences a civil action against a shipping company for injuries sustained while aboard a vessel, based on allegation that treatment rendered the seaman by a PHS facility aggravated injury and therefore constituted medical malpractice. These records contain legal pleadings and all reports and correspondence between PHS Claims Office, plaintiff's legal representative, Office of the General Counsel, Department of Justice, and U.S. Attorney's Office including all court documents, logs and other case control systems, and materials showing final disposition on each case.

Disposition: Nonpermanent

Destroy 4 fiscal years after claim is closed.

O. Administrative Tort Claims

These are claims filed pursuant to the Federal Tort Claims Act for damage to or loss of property or for personal injury or death, caused by alleged negligence or wrongful act or omission of any employee of HSA while acting within the scope of employment, under circumstances where the United States, if private person, would be liable to claimant for such damage, loss, injury or death in accordance with law of place where act or omission occurred. These files contain the formal claims on which the basis of claims and amounts demanded in damages is set forth; all correspondence with claimants, legal representatives and appropriate facilities; all evidence and documentation; written legal analysis and evaluation in the form of final determinations or recommendations regarding disposition of claims; logs and other case control systems; and materials showing final disposition on each case.

Disposition Nonpermanent

Destroy 4 fiscal years after claim is closed.

15. AUTOMATIC DATA PROCESSING (ADP) SYSTEMSA. Office of the Administrator1. HSA Contracts System (HSA 030)

Provides data on HSA and OASH contracts for management and reporting purposes.

Disposition: Nonpermanent

(a) Punched Cards - Transaction cards used to create Transaction Tapes are disposed immediately after verification that data has been properly transferred.

(b) Transaction Records - Dispose 1 month after creation.

(c) Master Records - Dispose 12 months after creation.

2. HSA Management Control System (HSA 010)

System has been discontinued.

3. Manpower Information Control System (HSA 010)

Contains data retrieved from data bases maintained by DHHS or PHS concerning personnel employed by HSA. The system is used for producing personnel reports and for projecting employment trends.

Disposition: Nonpermanent

(a) Master Monthly Extract Records - Dispose 24 months after extraction.

(b) Quarterly Extract Records - Dispose 10 years after extraction.

(c) Administrative Code Records - Dispose 2 months after creation.

(NOTE: This System's data is extracted from DHHS systems and internal personnel management reports are generated for use at various operating levels within HSA. Punched cards are not used since data is not created or updated via this system.)

4. HSA Nonexpendable Control Program (HSA 040)

Contains the property accountability, control, and dollar value of all capitalized nonexpendable items in select HSA accountable areas.

Disposition: Nonpermanent

See GRS 20, Section 3, item 1.

5. HSA Supply Control Program (HSA 045)

Contains the accountability, control, and dollar value for supply items maintained in inventory. The system covers 1800 supply items maintained for issue to 1500 requisitioning points.

Disposition: Nonpermanent

Punched EAM Cards - Transaction cards used to update property records under the existing EAM system are disposed 12 months after update. All other supporting EAM cards destroyed 12 months after they become inactive.

6. HSA Environmental Health and Safety Administrative System (HSA 050)

Will collect HSA accident, injury and occupational illness data on employees for use in planning programs to reduce occupational hazards.

Disposition: Nonpermanent

Not applicable since automated systems work has not been initiated.

15/B. Bureau of Community Health Services

1. Division of Monitoring and Analysis

(a) Bureau of Community Health Services Common Reporting System HSP 012 this system is designed to improve the way the Bureau of Community Health Services manages the following programs for which it is responsible and to assure compliance with the legislative intent of each of these programs: (1) Community Health Centers Program; (2) Family Planning Program; (3) Health Underserved Rural Area Program; (4) Maternal and Child Health Program of Projects; and (5) Migrant Health Program. These programs are required by the Public Health Service Act or the Social Security Act.

Disposition: Nonpermanent

Transfer to FRC after 3 years. Destroy when 6 years old.

- (b) Migrant Health Project Report System (HSC 011)
collects summary data from clinics treating migrant workers under BCHS grants. This reporting system for migrant health projects will be replaced by the BCHS Common Reporting System (No.1) (a) above Data collection ended in September 1976 but a few reports are still being completed.

Disposition: Nonpermanent

Destroy 2 years after no longer needed for agency use.

- (c) Migrant Hospitalization Reporting System (HSC 010)
collects data on each admission of a migrant farm worker to a hospital serviced by a BCHS Migrant Hospitalization Project. The systems began in 1974, and includes the following data: beneficiary number, sex, date of birth, marital status, general reason for admission, days in hospital, and cost data. There is no data on diagnosis or treatment. The system is used to analyze the effective use of grant funds in migrant hospital projects.

Disposition: Nonpermanent

Destroy 2 years after no longer needed for agency use.

- (d) Family Planning Compliance Reporting System (HSC 034)
stores family planning service utilization totals for Title X of the PHS Act and Title V of the Social Security Act grants to be used as input into the National Reporting System for Family Planning Services, Projects and Clinics.

Disposition: Nonpermanent

Destroy 2 years after no longer needed for agency use.

- 15/B/1/(e) Medically Underserved Areas Data Base (HSP 009) this data system is designed to provide a means for identifying and designating medically underserved areas. Designated areas will be used by programs with legislated mandates to allocate Health Services Administration resources of a preferential basis. Data input to the system are obtained from the National Center for Health Statistics, U. S. Census, American Medical Association, American Osteopathic Association, and other agencies. The data base includes information on Infant Mortality, active physicians, and population characteristics.

Disposition: Nonpermanent

Transfer to FRC after 3 years. Destroy when 6 years old.

15/B/1/(f) BCHS Data Management and Production Control System (HSP 004) this system provides for the acquisition, editing, error correction, updating, maintenance, management and documentation of all automated data bases required for information proposed by the Bureau of Community Health Services (BCHS) in pursuit of its program goals and objectives. The system also provides the manpower and facilities required to execute automated systems necessary to the operations of BCHS.

Disposition: Nonpermanent

Transfer to FRC after 3 years. Destroy when 6 years old.

15/B/1/(g) General Health Information System (HSP 013) this system was created to process the special one-time only requests to satisfy special reporting requirements of the Bureau of Community Health Services' management staff. Output is various to provide special health-related reports including data on Health Care Facilities, socioeconomic, Health Manpower, and Health Status for all categorical programs managed by the Bureau.

Disposition: Nonpermanent

Transfer to FRC after 3 years. Destroy when 6 years old.

15/B/1/(h) BCHS Administrative Data System (HSC 006) maintains allocations and expenditures on grants in order to keep track of bureau resources.

Disposition: Nonpermanent

Destroy 2 years after no longer needed for agency use

15/B/1/(i) BCHS Management Information System (HSP 005) this system consists of a series of sub-systems that provide personal data on employees, organizational data, staffing patterns, etc., necessary to the operation of the Bureau. Printouts and reports are generated regularly to meet various management and other appropriate Bureau staff requirements and to expedite mailing of publications.

Disposition: Nonpermanent

Transfer to FRC after 3 years. Destroy when 6 years old.

C. Bureau of Medical Services

1. Office of Health System Management

- (a) Inpatient Data System (HSM 05) collects inpatient data from the 8 Public Health Service Hospitals (Data from the National Hansen's Disease Center are not included in this system). Data, available since 1969, includes name, patient number, beneficiary classification, admission and discharge date, age, sex, diagnosis, surgical procedures. Input is taken from daily admission and discharge abstracts. The system is used to prepare statistical reports and an index of diagnoses and operations.

Disposition: Nonpermanent

Source documents (A&D Sheets) destroy every 2 years; tape records: Destroy 2 years after program value ends. Destroy A&D punch cards every 3 months.

- (b) Dental Services Data System (HSM 06) A new system is now being devised to replace the current system implemented in 1974, includes only 4 dental clinics and employs an OCR (Optical Character Recognition) form. Data included the type of beneficiary and number of dental visits. The new Dental Information System, which is now in a developmental stage, will cover 29 dental clinics. Data will be taken from an encounter form and will include diagnoses and procedures.

Disposition: Nonpermanent

Source documents - destroy every 2 months. Destroy tape records 2 years after program value ends.

- (c) Non-Federal Contract Services Data System (HSM 01) provides statistical data to management on the contracting for medical care of PHS beneficiaries. Data includes summary workload data (number of admissions, number of days stay, inpatient or out-patient identification, and cost of care)t

Disposition: Nonpermanent

Destroy tape records 2 years after program value endst

2. Office for State Program Coordination

National Public Health Program Reporting System (HSC 015) collects summary data (expenditures by program, services by program, and source of funds) from state and territorial agencies dealing with health, mental health, and crippled children. The data is used in the publications, Services, Expenditures and Programs of State and Territorial Health Agencies, and Inventory of Health Programs.

Disposition: Nonpermanent

Destroy when no longer needed for agency use.

3. Program Office for Emergency Medical Services

EMS Bibliographic System (HSM 601) is an on-line bibliographical information system for retrieving citations to articles, books, etc. concerning emergency medical services.

Disposition: Nonpermanent

Disposable under GRS 20.

4. Office of Program Development, Program Services Branch

(a) Publication Catalog (listed in ADP Plan as Publication Services System) contains a list of publications available for distribution by BCHSn

Disposition: Nonpermanent

Disposable under GRS 20.

(b) Mailing Keys includes files of names and addresses of publication requesters, names and addresses of project directors, and names and addresses of regional staffn

Disposition: Nonpermanent

Disposable under GRS 20.

- (d) Clinical Laboratory Workload Reporting System (CLWRS) (HSM 02) covers the laboratories in all PHS hospital and clinics and includes data on the numbers of lab tests performed, and the number of hours worked in each laboratory section of each facility. The system is used for statistical analysis of laboratory activities and for determining staffing patterns and allocating resources. A new CLWRS Data System is near completion and will replace this one.

Disposition: Nonpermanent

Source Documents - retain for 3 years. Destroy tape records 2 years after program value ends.

- (e) Nonexpendable Equipment Data System (HSM 04) retains an inventory of receipts, issues and transfers of nonexpendable equipment located throughout all PHS hospitals and clinics.

Disposition: Nonpermanent

Transaction punched cards - destroy at the end of each FY. Tape records - destroy every 3rd quarter after creation.

- (f) Laboratory Workload Reporting System (HSM 064) Contains data on the number of laboratory tests done and the number of hours worked within each laboratory section on each facility. The system is used for management purposes by the laboratory directors.

Disposition: Nonpermanent

Source documents - destroy every 3rd quarter.
Tape records: Destroy every 2 years after value ends.

- (g) Management Information System (MIDS HSM 03)

Provides management with measures of productivity by cost. Data categories include hospital in-patient days, outpatient visits, ancillary service visits, expenditures, and personnel assigned

Disposition: Nonpermanent

Magnetic Tape input of cost center and payroll data.
Destroy every 2 months after process cycle.

15/C/4/(h) Drug Formulary (HSM 071) The function of this system is to print the drug formulary used by PHS Hospitals and Clinics. Data includes drug name, synonymst, pharmacological classification, dosage formt, and free test.

Disposition: Nonpermanent

Source documents - coded sheets and printouts destroyed immediately after publication of Drug Formularies, tape files are continually updated.

2. PHS Hospital, Baltimore, MD.

(a) Ambulatory Care Data System (HSM 07) Each record contains patient identifiers, beneficiary code, type of clinic, diagnosis, and services rendered.

Disposition: Nonpermanent

Encounter Forms (Source Documents) - destroy every 2 FY. Tape records: (Baltimore only) Destroy 2 years after program value ends.

(b) Health Hazard Appraisal (HSM 061) is a computer program which calculates health risks for selected patients at the PHS Hospital, Baltimore, Md. The patient fills out a questionnaire which includes questions on age, weight, smoking habits, drinking habits, etc. The pupose of the system is to motivate patients to reduce the risk of premature death. No data base is collected in this system.

Disposition: Nonpermanent

Questionnaire forms are key punched. Forms and cards are returned to users. Output - printout of results are returned to user. No data base is collected in this system.

(c) Antibiotic Sensitivity Summary (HSM 068) covers selected patients at PHS hospital in Baltimore, Nassau Bay, Norfolk and New Orleans. Data includes personal identifiers and sensitivity to specific antibiotics.

Disposition: Nonpermanent

Abstract form (OCR) are scanned, then returned to user. Data retained on Disk for 1 year, then destroyed.

- (d) Evaluation of Computerized Electrocardiogram Analysis Program (HSM 070). In this system, 1000 samples of raw ECG data analyzed by eight cardiologists are compared with analysis by the computer. ECG data is taken from a random selection of patients at the PHS Hospital, Baltimore, MD.

Disposition: Nonpermanent

Cards destroyed when entered onto disks. Disks records kept and overlaid for 2 years after program value ends.

- (e) Monthly Laboratory Accounting Report (HSM 062) tabulates the number of chemistry tests performed on inpatients and outpatients by month. Input is from an on-line laboratory terminal and includes personal identifiers and the tests performed.

Disposition: Nonpermanent

Destroy when no longer needed for agency use.

- (f) Computerized Supply and Inventory System (HSM 065) contains data on issues, purchases, vendors and stock on hand in PHS hospitals.

Disposition: Nonpermanent

Disposable under GRS 20.

- (g) Staffing and Fund Utilization (STAFU) (HSM 067) contains personnel data (budget status, grade, rank, salary, etc.) on all employees of the PHS Hospital, Baltimore, MD., and the clinics supervised by the Baltimore Hospital.

Disposition: Nonpermanent

Disposable under GRS 20.

3. PHS Hospital, Nassau Bay, Texas

The purpose of this system is the analysis of electrocardiograms by computer. ECGs from all inpatients and outpatients treated at the PHS Hospital, Nassau Bay, Texas are sent to the computer by standard telephone.

Disposition: Nonpermanent

No records maintained. Data collected by Tonal Telephone out to Computer Time Share and reports sent by teletype to station for insertion into patient's medical record.

4. Federal Employee Occupational Health Data System (FEOHDS) (HSM 501) includes three master files: (1) an occupational health data file, (2) a statistical file, and (3) a medical referral file. Data is obtained from occupational health screening tests and from clinical encounters of Federal employees served by the health units of the Division of Federal Employee Occupational Health. The system is used for program management.

Disposition: Nonpermanent

Magnetic - destroy 3 months after updating medical record profiles. Employee profiles - destroy 2 years after program value ends.

D. Indian Health Service

1. Health Information System (HIS) (HSN 001) collects a wide variety of medical data which is stored by patient. The system is now in operation in the Sells Service Area and in Alaska, and in October 1978 will be extended to the entire IHS service population of about 555,000 Indians. The lengthy records include data from all medical encounters. The data base contains personal identifiers, problem lists, test results, obstetrical data, medications and allergies, immunizations, clinical laboratory tests, medical surveillance information, hospitalization data including diagnosis and procedures, and ambulatory care data. The purpose of the system is to provide easily retrievable information on each patient for use by health care provider. A large number of reports and lists are generated from the master file for use by the health teams. This system is maintained by the Office of Research and Development in Tucson, Arizona.

Disposition: Permanent

Offer to NARS every 2 years an updated file, (Records are subject to General Restrictions of NARS and any additional restrictions imposed by HSA at time of transfer.)

2. IHS Health Care and Statistics System (HSN 002) was implemented in 1971 and will be replaced by Health Information System (No. 23). Records are maintained in chronological order by facility rather than by patient. Master files include: (1) Inpatient File, (2) Ambulatory Patient Care File, (3) Contract Hospital Inpatient File, (4) Contract Hospital Outpatient File, and (5) Group Services File. The inpatient files contain personal identifiers, data on diagnosis, procedures, length of stay, disposition, and cause of death. The outpatient

and ambulatory care files contain information on immunizations, family planning, injuries, diagnosis, diagnostic services, and disposition. The Group Services File maintains an account of tests, immunizations, examinations, etc. performed on a group. Includes machine-readable (mark sense) public health nurses form

Disposition: Nonpermanent

Destroy data forms 5 years after used for data entry. Associated patient records retained until administrative value ends.

3. On-Request Reports (HSN 011) uses data bases collected by other systems (in particular, the IHS Health Care and Statistics System) and generates special request reports for use by management. The data base used by this system includes outpatient visits, dental visits, inpatient visits, mental health and social service visits, and contract health care services.

Disposition: Nonpermanent

Destroy data forms 90 days after use for data entry.

4. Vital Events (HSN 003) contains birth, death and fetal death records furnished annually to IHS by the Division of Vital Statistics, NCHS, OASH. 100% of Indian and Alaska native births and deaths are included in the files, which are processed separately from the general vital statistics files of NCHS. A special geographic code is added to the data normally collected by NCHS which allows for identification of smaller communities and aggregation by service unit. Data is available since 1971.

Disposition: Nonpermanent

Data received on magnetic tapes from NCHS, OASH. Magnetic tapes are retained until administrative value ends.

5. Dental Management Information System (HSN 009) contains data reported by dental teams on dental patient encounters. Data includes services required, service rendered, and quality control information. The system is designed to provide a quantitative base for program monitoring, management and planning. Includes machine-readable (mark sense) forms.

Disposition: Nonpermanent

Destroy data forms 90 days after use.

6. Health Education (HSN 007) collects data on the activities of health educators in IHS. Data includes community name, type of activity, method used (lecture, workshop, demonstration, individual conference, etc.); objective, hours used in preparation and performance of activity, and type and number of participants. This reporting system is used for management information. Includes MARK Sense forms.

Disposition: Nonpermanent

Destroy data forms 90 days after use.

7. Environmental Health Services Activity Reporting Plan (HSN 008) maintains a record of services delivered for use by management as the data includes location, type of service (food service inspection, water analysis, etc.), personnel involved, hours, etc.

Disposition: Nonpermanent

Destroy forms 90 days after use.

8. Office of Environmental Health Division of Program Operations Resource Allocation Model (HSN 012) consists of mathematical models for the making of resource allocations decisions. There is one model for environmental health services (food service inspection, etc.) and one for construction (of sewage systems, etc.) This on-line system is in a developmental stage.

Disposition: Nonpermanent

Destroy data forms 90 days after use.

9. Management Information and Text System (MITS) is an on-line system used by the Office of Environmental Health Division of Program Operations and maintained at the Parklawn Computer Center which contains two data bases: a list of about 2500 construction projects; and a list of government and local facilities where the Branch does surveys. The system is used to keep track of activities.

Disposition: Nonpermanent

Destroy forms 90 days after use.

10. Laboratory Reporting System (HSN 004) contains data from forms filled out by IHS clinical laboratory personnel to evaluate laboratory productivity and quality of services, and project future needs and trends.

Disposition: Nonpermanent

Destroy when no longer needed.

11. Nutrition and Food Cost Accounting System (HSN 005) contains inventory and ration counts supplied from kitchen staffs in IHS hospitals. System is used to evaluate the adequacy and cost of diets in IHS hospitals.

Disposition: Nonpermanent

Destroy forms 90 days after use.

- 12n Position and Vacancy System (HSN 006) contains input data from DHHS personnel data system and skills bank and from employees. The principal output is summary reporting of personnel parameters as required for program management.

Disposition: Nonpermanent

Disposable under GRS 20.

13. Stocks and Stores Equipment Control (HSN 010) takes input from forms submitted by the general services staff on supplies and nonexpendable equipment. The system is used for ordering supplies, control, and accountability.

Disposition: Nonpermanent

Disposable under GRS 20.

15/E. Bureau of Health Personnel Development and Service

1. National Health Service Corps

- (a) Quarterly Statement of Operations Reporting System (HSC 003) contains personnel utilization, supply, and expenditure data on all National Health Service Corps projects.

Input consists of quarterly reports submitted by each project.

Disposition: Nonpermanent

Destroy when no longer needed for agency use.

Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit finding.
- (2) Transfer to FRC 2 years after final payment.

(b) Recruitment Volunteer File Maintenance and Reporting System, National Health Service Corps (HSP 001)

This system stores information from individuals interested in the National Health Service Corps, the Bureau of Medical Services and the Indian Health Service as a potential career. Administrative, operational and evaluation reports are produced for management use. Lists of recruits are maintained and updated daily, and mailing labels, statistical reports and master listings are generated. The site/provider portion of this system is now described separately in system code: 016.

Disposition Nonpermanent

Destroy when no longer needed for agency use.

- (c) Equipment Inventory Management Reporting System, National Health Service Corps (HSP 002) this system provides an effective method of controlling the United States Government Inventory of medical equipment at National Health Service Corps project sites. Edit or report printouts provide equipment identification and number of pieces.

Disposition: Nonpermanent

Disposable under GRS 20, section 3, item 1.

16. FINANCIAL MANAGEMENT

A. Budget Formulation and Execution

Records documenting the developing and execution of the HSA budget including input from all staff offices and bureaus. Records reflect the consolidation, at each level, up to and including the official HHS submission to OMB and subsequently to the Congress. Since this process is a continuous 3-year effort, documents must go through three years minimum as to formulation, executive, and obligating documents.

Disposition: Nonpermanent

1. Office of Record: OA/OFM - Destroy 4 years after the beginning of the year for which current budget efforts are expended.
2. Other Offices: Destroy 2 years after the beginning of the year for which current budget efforts are expended.

B. Budget: Estimates and Justifications

Explanation and justification of appropriation budget estimates, justification statements, appropriation language sheets, narrative statements, related schedules and data, as well as correspondence reflecting policy decisions, for budget records.

Disposition: Nonpermanent

1. Office of Record: OA/OFM - Transfer to FRC when 5 years old. Destroy 5 years thereafter.
2. Other Offices: Records for FY 1974 and later years to be destroyed 5 years after FY involved.

17e PROPERTY AND SUPPLYA. Automatic Data Processing (ADP)1. Catalog Listings

Files relating to catalog listings (expendable and nonexpendable).

Disposition: Nonpermanent

Destroy catalog listings 1 month after new catalog is issued.

2. Punched EAM Cards

(EAM-Electric Accounting Machine) Property and supply transactions punched and used for update of accountable records and supporting EAM cards.

Disposition: Nonpermanent

Dispose 2 months after successfully transferred to magnetic tape. Transaction cards used to update property records under an EAM system dispose 12 months after update. All other supporting EAM cards destroy 12 month after they become inactive.

3. EAM Monthly Summary File

Monthly EAM Summaries including departmental issues, vouchers, inventory, miscellaneous transactions, receipts, disposals and other related summaries.

Disposition: Nonpermanent

Destroy after 15 months.

4. Magnetic Tape Files

(a) Transaction tape file. Magnetic tape file created monthly from punched cards for editing and sorting before update.

Disposition: Nonpermanent

Destroy tape data 3 months after update of file.

- (b) Sorted report extract or equivalent transaction tape files, created monthly as the result of update of the Master Record and used to prepare monthly output reports.

Disposition: Nonpermanent

Destroy tape data 2 months after update of Master Record.

- (c) Monthly Direct Issues and good sorted transactions used to update Master Records.

Disposition: Nonpermanent

Destroy tape data after 13 months.

- (d) FY ending Master. The updated Master created at end of each Fiscal Year.

Master other than FY ending: New Master Report tape file resulting from update.

Disposition: Nonpermanent

Retain latest four masters other than FY ending.

- (e) Error transaction Tape File

Disposition: Nonpermanent

Destroy tape data after update.

5. ADP Reports File

- (a) Property Accountable records, including expendable and nonexpendable transaction registers and property voucher summaries.

Disposition: Nonpermanent.

Dispose of 5 years after close of fiscal year involved. Transfer to Federal Records Center 3 years after close of fiscal year involved.

- (b) Supporting reports, including Long Supply Requirements, Projection of Fund Requirements, Annual Inventory Analysis, Physical Inventory, Cost Center, Due-in, Consolidated Requirements, Supply Activity, Semi-Annual Procurement, Area Voucher Summary, Stock Availability, Property Management Edit lists (NX), Reconciliation and Locator List (NX), Equipment Replacement List (NX) and other related listings and reports.

Disposition: Nonpermanent

Dispose 2 years after close of fiscal year involved.

- (c) Consolidated Memorandum Receipt (CMR) including supporting documents.

Disposition: Nonpermanent

Dispose 1 year after new CMR is issued.

B. Paper Records - Property and Supply

1. Property Voucher File and Register

Contains the property voucher register and property and supply management documents assigned a voucher number, maintained in property voucher sequence, that support entries printed on the accountable transaction register and Property Voucher Summary for the accounting period.

Disposition: Nonpermanent

Transfer to Federal Records Center 2 years after close of fiscal year involved and destroy 4 years thereafter.

2. Excess Property File

Circularization route sheets, combination requisition and shipping tickets, excess property lists, notification of excess personal property, reports of utilization and disposal of personal property and other related materials.

Disposition: Nonpermanent

Destroy 1 fiscal year after disposition action has been completed.

3. Reports of Excess Personal Property (SF-120)

Disposition: Nonpermanent

Dispose after 3 years.

4. Gas Cylinder Register File

Files relating to gas cylinder register.

Disposition: Nonpermanent

Destroy after 30 days register that has been completely used and after all cylinders listed therein have been returned to the contractor.

5. Issue Request File

Included are issue requests (expendable supplies) and related materials.

Disposition: Nonpermanent

Dispose after 1 year.

6. Equipment Maintenance and Repair Records

Reports of periodic inspections and repair of equipment and related materials.

Disposition: Nonpermanent

Destroy 3 months after release of equipment of machines by HSA.

7. Stock Record Card File

File includes stock record cards.

Disposition: Nonpermanent

Destroy 5 years after final entry.

8. Requisition Register

Files relate to register requisitions and similar documents.

Disposition: Nonpermanent

Destroy 2 years after date of final entry.

9. Requisition for Supplies from Inventory

Disposition: Nonpermanent

(a) Stockroom copy

Disposition: Nonpermanent

Dispose of 2 years after completion of cancellation of requisition.

(b) All other copies

Disposition: Nonpermanent

Dispose of after 6 months.

10. Inventory of Supplies and Equipment

(a) Inventory Listings

Disposition: Nonpermanent

Dispose of 2 years from date of list.

- (b) Report of Survey files and other papers used as evidence for adjustment of inventory records not otherwise covered in Records Retention Schedules.

Disposition: Nonpermanent

Dispose of 2 years after date of survey action or date of posting medium.

11. Central Service Requisition File

- (a) Central Service requisitions or requests from wards for Central Service supplies and other related materials.

Disposition: Nonpermanent

Destroy after 30 days.

(b) Master Item List File

Records indicating types of stock items maintained in Central Service and identification numbers for each type of item.

Disposition: Nonpermanent

Destroy when replaced.

12n Tax Exemption Certificates and Related Papers

United States Government Tax Exemption Certificate (Tabulation Sheet) and United States Government Tax Exemption Identification Card (Accountable)n

Disposition: Nonpermanent

Dispose 3 years after period covered by related account.

13. Transportation

- (a) Freight records, consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including files relating to the shipment of household effects.

Disposition: Nonpermanent

- (1) Issuing office memorandum copies. Destroy after 3 years (Transfer to appropriate Federal Records Center if volume warrants)
 - (2) All other copies. Destroy after 1 year.
 - (3) Bills of Lading registers. Destroy 3 years after final entry on register.
- (b) Freight records, relating to the administration of Government Losses in Shipment Act, consisting of schedules of valuables shipped and related papers and reports.

Disposition: Nonpermanent

Destroy after 3 years.

18. GRANTS AND CONTRACTS

One way for HSA to achieve its mandated mission, "delivery of health services...", is through the distribution of Federal money as grants and contracts. Some programs are administered from "Headquarters" (Washington, D.C.) and some from the regional and field offices. The official grant and contract administration records will be maintained by the program responsible for awarding that grant or contract. It is the responsibility of the personnel, where the official records are kept, to bring together all documents, when funds are terminated, final payment received, and audit surveys completed, to reflect one single package. These records will be transferred to the Federal Records Center as designated in the schedule.

The disbursement of these funds are done according to established legislations and functions of each program. Dispositions are based on the legislation where applicable.

The attached Appendix IA describes those programs that HSA is currently administering. These records are grouped by the nature of assistance they provide and are listed separately by subject title. Where applicable, these records will have the same disposition as listed below e.g. #B "Discretionary Grants Programs," all grants that fall in the category will be disposed of accordingly.

- A. Contracts for Health Programs: These records pertain to contracts for research and development programs in health related areas and technical assistance for health activities within HSA. They consist of official contract files, files for small purchase transactions, documentation to justify decisions and actions of procurement personnel, replies to official inquiries, and data for processing claims, disputes, and litigations. Specific record requirements are set forth in DHHS Procurement Regulation, Subpart 3-1.313, copies of which are located in each contract office. These files normally include procurement planning data as well as procurement requests or contracts; determinations and findings; small business or labor surplus set-aside determinations; solicitation documentation; invitations for bids and request for proposals; conference memoranda;

abstracts; unsuccessful bids or proposals notifications to unsuccessful bidders or offerers; "no bid" or "no proposal" correspondence; notifications to late bidders; source selection data; award and supporting documentation; mistakes in bid and protest against award; review and approval of awards; contract administration documentation; termination and closeout documentation. Unsuccessful contract proposals become a part of the official contract files. The office of record is the office awarding the contract.

Disposition: Nonpermanent

See GRS 3, No. 4.

- B. Discretionary Grant Programs: These grants are made in support of an individual project in accordance with legislation which permits the grantor agency to exercise independent judgement in selecting the project, the grantee, and the amount of award. HSA components administering discretionary grant programs are required to generate two distinct types of records as follows:

1. General Program Information File - The office of record for this file will normally be the program office.

These records must include -
Program announcements, program management procedures (regulations), and terms and conditions of the grants program.

Disposition: Nonpermanent

All Offices: Destroy when superseded or rescinded.

2. List of applications, evaluators and instructions to evaluators, incoming request for clearance of proposed grant application forms and instructions from all HSA components. Include justification of modification to existing or proposed forms and instructions if any, with copies of final approved forms and instructions.

Disposition: Nonpermanent.

All Offices: Place in file 1 year after applications and related instructions have been cleared and approved at agency level. Transfer to FRC 1 year after files become inactive. Destroy 3 years thereafter.

3. These records may also include -

(a) Discretionary Grant Panelist Selection

Disposition: Nonpermanent

Destroy when 5 years old or earlier if not needed for administrative purposes.

(b) Authorizing Legislation

Disposition: Nonpermanent

All Offices: Destroy when superseded or legislation expires.

(c) Federal Register Documents

Disposition: Nonpermanent

All Offices: Destroy when rescinded or obsolete.

(d) General Counsel and Court Opinions

Disposition: Nonpermanent

All Offices: Destroy when obsolete.

(e) Proposals not Resulting in Discretionary Grant Awards

Disposition: Nonpermanent

Destroy 1 year after receipt.

4. Official Grant File

This file is maintained for each grant award. Correspondence which documents HSA loan programs for construction and equipment purchases. These records must include official file copy of applications and evaluation documentation (including documents concerning review of applications and progress reports), annual financial reports, award notices, and grant correspondence. These records may also include assurances and certifications (for civil rights, protection of human subjects, animal welfare, and invention statements, records or required clearances, site visit reports, and audit reports).

Office of Record: Transfer to the FRC 2 years after final closeout or upon resolution of any adverse audit findings, whichever is earlier. Transfer to the FRC after closeout is authorized if there are no adverse audit findings outstanding. Destroy 4 years after transfer to the FRC. Ineligible and rejected applications - Destroy 6 months after determination of ineligibility.

Approved applications and all related loan administration correspondence for repaid or cancelled loans - Destroy 3 years after date of repayment or cancellation.

Uncollected loans - Transfer to the General Accounting Office as soon as loan is determined uncollectible.

C. Formula Grant Programs

A formula grant is one in which funds are provided to specific grantees on the basis of a specific formula prescribed in legislation or regulation; rather than on the basis of an individual project review. The formula is usually based on such factors as population, live births, per capita income, enrollment, mortality, and morbidity. These grants are generally mandatory. HSA components administering formula grant programs are required to generate two distinct types of records as follows:

1. General Program Information File

The office of record for this file will be the awarding component grants management activity. These records must include program management procedures (regulations), terms and conditions, State plan checklists, progress reports, and other correspondence related to the grant.

Disposition: Nonpermanent

All Offices: Destroy when superseded or expires.

2. These records may also include -

(a) Authorizing legislation

Disposition: Nonpermanent

Destroy when superseded or expires.

(b) Federal Register Documents

Disposition: Nonpermanent

All Offices: Destroy when rescinded or obsolete.

(c) General counsel and court opinions

Disposition: Nonpermanent

All Offices: Destroy when obsolete.

3. Official Grant File

This file is maintained for each annual formula grant award. These records must include the official file copy of applications or State plans and certification documents (as applicable), budget information, State plan checklists, award notices, progress reports, annual expenditure reports, and correspondences. These records may also include site visit reports.

Disposition: Nonpermanent

Office of Record: Transfer to the FRC 2 years after final closeout or upon resolution of any adverse audit findings, whichever is later. Earlier transfer to the FRC after closeout is authorized if there are no adverse audit findings outstanding. Destroy 4 years after transfer to FRC.

All Other Offices: Destroy 3 years after final closeout.

D. Construction Grant Programs

Construction grants are awarded for new construction, expansion and modernizing of existing health facilities. Construction grants are either discretionary project grants or formula grants, depending upon the legislative authority of the individual grant program. Two distinct types of records are generated, a general program information file and an official grant file. The contents will vary somewhat, depending on whether the program is a discretionary or formula grant program.

1. General Program Information File: The office of record for this file will normally be the HSA Program Office.

These records must include approved construction drawings required by program regulations, program announcements, program management procedures, terms and conditions of the grant program.

Disposition: Nonpermanent

All Offices: Destroy when superseded or rescinded.

2. Lists of application evaluators and instructions to evaluators.

Disposition: Nonpermanent

All Offices: Destroy when superseded.

3. These records may also include -

(a) Authorizing Legislation

Disposition: Nonpermanent

All Offices: Destroy when superseded or expires.

(b) Federal Register documents

Disposition: Nonpermanent

All Offices: Destroy when rescinded or obsolete.

(c) General counsel and court opinions

Disposition: Nonpermanent

All Offices: Destroy when obsolete.

4. Official Grant File

This file is maintained for each grant awarded by HSA.

- (a) These records must include the official file copy of application, evaluation documentation (including documents concerning review of applications and progress reports), financial reports, award notices, grant closeout documents (including progress reports), and correspondence, environmental impact statements, inspection reports, equipment lists, bid lists and documents, and performance and other bond documents.

Disposition: Nonpermanent

- (1) Office of Record: After last payment is made, transfer to the FRC. Destroy when 20 years old.

- (2) All Other Offices: Destroy 3 years after final closeout.

(b) These records may also include -

- (1) Authorizing legislation

Disposition: Nonpermanent

All Offices: Destroy when rescinded or obsolete.

- (2) Federal Register documents

Disposition: Nonpermanent

All Offices: Destroy when rescinded or obsolete.

- (3) General counsel and court opinions

Disposition: Nonpermanent

All Offices: Destroy when obsolete.

E. State Plans

These plans are submitted annually by various states which propose what to do with Federal money for the upcoming year. The plans often recapitulate the previous year's projections as compared to achievements, problems encountered, etc. Office of Contracts and Grants is the office of record.

Disposition: Nonpermanent

1. Office of Record: Transfer to the FRC when 2 years old. Destroy when 5 years old, or after final payment to grantee, or after resolution of any adverse audit findings, whichever occurs first.
2. All Other Offices: Destroy when 2 years old or earlier if no longer needed for day-to-day operations.

F. Records Set of Final Products of Contracts and Grants

Final reports are not required or furnished on all grants and contracts. They are usually required on contracts and grants having historical or research value. They include, but not limited to, authority, background, problems, findings, conclusions, final published technical reports, textbooks, audiovisual items such as films, slides or tapes. Files are arranged alphabetically and annual estimate volume is 2 cu. ft.

Disposition: Permanent

1. A random sample of final products of grants and contracts to be selected by the Office of Contracts and Grants, OA (Office of Record)n The sample will not exceed 1% of all grants and contracts in a given five-year period. Transfer to FRC two years after final payment or after audit, whichever is sooner. Offer to NARS in five-year increments when 15 years old.
2. Except for records covered in 1. above, destroy 6 years after final payment to grantee or after audit, whichever is sooner.

All Other Offices: Destroy when 2 years old or sooner if no longer needed for day-to-day operations.

G. Audit Reports

These records pertain to the audit of grants and contracts, as well as the internal operating and management procedures relating to the grants programs. Audits are conducted by the General Accounting Office (GAO) and the DHHS Audit Agency. The audit reports covered not only discrepancies but commendable items as well. Also included in these files is evidence of audit resolutions with supporting documentation, comments from grantees and program area official.

Disposition: Nonpermanent

Transfer to the FRC 2 years after the audit clearance is documented or other evidence of final resolution is accepted. Destroy 4 years thereafter

1. Audit Report Control Records Index

PHS-5177 (formerly HSM-3) maintained in the agency level Grants Management Branch for referencing and logging purposes.

Disposition: Nonpermanent

Destroy when administrative value ends.

2. Report of Expenditures Adjustment and Audit

When back claims on indirect costs adjustment requests are verified, payment authorization is processed thru finance and then consolidated through NIH for one lump payment of direct costs of grantee.

Disposition: Nonpermanent

Agency-level files: COF at resolution of indirect cost claim. PIF for 3 years then transfer to the FRC and destroy 3 years thereafter.

3. Negotiated Indirect Cost Rates

Consist of working and reference file of negotiated indirect cost rates for nonprofit and commercial contractors. Arranged in 3-inch binders.

Disposition: Nonpermanent

Superseded rate pages are pulled and filed in separate binders. Destroy when no longer needed for administrative/program purposes.

4. Discretionary Grant Programs Management Cost Advisory Contracts

Alpha-numeric arrangement by contractor name and sequential contract numbers. Includes working copies of contract files and documentation of site audits and other cost advisory activities related to individual contracts, data on accounting acceptability and financial capability of contractor, as well as other data generally pertinent to all contract activities with contractor.

Disposition: Nonpermanent

Retain in inactive files area for 2 years after contract ends and audits are completed, then transfer to the FRC and destroy 3 years thereafter.

5. Cancelled Request For Proposals (RFP) and Proposal

Consists of files of RFPs for which Proposals have been received and the RFP is cancelled prior to award.

Disposition: Nonpermanent

Destroy when 1 year old.

6. Audit of Final Survey Reports

Files contain guidelines and procedures on Government Accounting Office (GAO)'s reporting practices required within DHHS. Included are comments on GAO draft reports from the appropriate HSA program officials responsible for the activities being audited. Comments are consolidated to reflect the official HSA response to a given draft GAO report. Reports vary in subject matter, but do relate to programs and functions within HSA. The final reports, when received, become a part of this file.

Separately maintained are HSA comments to GAO reports on other agencies, but subject matter is of programmatic interest to HSA.

Disposition: Nonpermanent

Transfer to FRC 2 years after final report is issued. Destroy 10 years thereafter.

7. GAO Copies of Contracts

A GAO copy of each HSA contract closed out on or before March 7, 1975, must be maintained separate from other contract records for GAO audit and certification. HSA is no longer required to maintain GAO copies of contracts closed out after

March 7, 1975, in that the copy of the contract maintained in the office of the contracting officer may be used by GAO, if desired, to fulfill its statutory obligations.

Disposition: Nonpermanent

- (a) Transfer GAO copies of contracts closed out on or before March 7, 1975, to FRC's and destroy 10 years and 3 months after closeout.
- (b) Exception: GAO copies pertaining to Indians are not authorized for destruction.

8. Accountable Officers Accounts

These are GAO site audit records. These records are accumulated by HSA fiscal organizations for on-site audits by GAO auditors. They consist of statements of transactions, statements of accountability, collection vouchers, disbursement schedules, collection schedules, disbursement vouchers, and all other schedules and vouchers or documents that are the equivalent of any of the above. If the integrated accounting system approved by GAO requires certain other documents, support vouchers, and/or schedules, they shall also be included. In addition ADP or other machine readable versions of accountable officers' accounts produced with GAO approval, in lieu of standard voucher or schedule forms, as well as any agency forms used in lieu of standard voucher or schedule forms, are included.

Disposition: Nonpermanent

- (a) Records created prior to July 2, 1975 - Destroy 10 years and 3 months after the period of the account.
- (b) Records created on or after July 2, 1975 - Destroy 6 years and 3 months after the period of the account.
- (c) Transfer audited and unaudited accounts more than one full fiscal year old to the FRCs and destroy as outlined above.

- (d) Exception: Any documentation pertaining to Indians is not authorized for destruction. This has been the practice since 1943 because of their potential importance in Federal adjudication of complex and detained claims against the Government by Indian tribes.

9. Individual Case Files on Unsuccessful Grant Applications, which includes the application and supporting materials and other records relative to the study and review of applications that have either been disapproved or have been approved but unfunded during the normal grant review and funding cycle.

Disposition: Nonpermanent

(a) Office of Record:

- (1) Destroy application and supporting materials 1 year following notice to applicant of the decision to disapprove or otherwise not to fund the application during the normal funding cycle.
- (2) Destroy documents summarizing application 3 years following notice to applicant of the decision to disapprove or otherwise not to fund the application during the normal funding cycle.
- (3) Retain selected case records of unusual interest until no longer needed, then destroy.

- (b) All Other Offices: Destroy when superseded or no longer needed for reference purposes.

10. Prospective Minority Contractors

Statutorily required file organized by contractor's name which includes comments and brochures on contractor's specialties and capabilities.

Disposition: Nonpermanent

Retain in reference files area until individual contracts are considered as nonpotential bidders. Destroy 1 year thereafter.

11. Fiscal Commitment Register

Documents obligations for each fiscal year, for the Office of the Administrator, funds obligated according to specific object classes. For example: local travel, travel orders, travel and transportation, training, printing requisitions, contracts (nonfinancial assistance), personnel compensation, formal personnel benefits, rental charges, etc., now maintained in HSA accounting system, on computer and transferred to printouts. Month-end accounting report is transposed onto microfilm with a 3-6 week time lag.

Disposition: Nonpermanent

Office of Record: OA/OFS - Destroy when 2 years old.

H. Grants and Contracts Audit Reports

Reports on conduct of audits by DHHS Audit Agency and/or grantees. Includes copies of audit findings, comments from grantees and program area officials, copies of resolution(s) accepted by DHHS. Once findings, if any, have been resolved, files are individually cut off and maintained in inactive files area.

Disposition: Nonpermanent

Transfer to the FRC 2 years after final resolution (or when no longer needed for reference). Destroy 4 years thereafter.

I. Foreign Quarantine Program

The purpose of this program is to protect the Nation against introduction of disease from foreign countries to include an overseas program for medical examination of immigrants to the United States; exchange of quarantine information with other Federal Government agencies, State and local health departments, and

industries; exchange of liaison with international organizations in order to develop international quarantine agreements; and studies of health hazards, prevention, and disease introduction into the United States. These files pertain to regulations, directives, and guidelines for day-to-day operations; meetings; periodic reports on border surveillance; statistical reports on persons quarantined; reports on incidence, distribution and control of disease introduced into the United States; and general correspondence. The office of record for these files is the Grants Management Branch. The regions and field offices maintain working copies of these files.

Disposition: Nonpermanent

Destroy when 4 years old, superseded, or no longer needed for day-to-day operations.

J. United States - Border Nations Public Health Associations

These associations are established to promote implementation of health agreements between the countries concerned with International Health Regulations. They exchange information on health matters, take measures to resolve mutual problems, and plan future actions in promoting better health regulations. The office of record for these files is the Grants Management Branch.

These are working files consisting of or relating to agendas, meetings, workshops, recommendations, summaries, progress reports, agreements, and general correspondence.

Disposition: Nonpermanent

Destroy when 3 years old or earlier if no longer needed for day-to-day operations.

K. Nutrition

This program is concerned with regulatory approaches to improve nutrition; advice to public and private entities on nutritional matters; research and analysis; determination of nutritional value in various foods; and liaison with international, national, public, and private nutritional scientific communities. Files are arranged alphabetically and annual estimated volume is 2 cu. ft. The Office of Record is the Grants Management Branch.

1. These records consist of basic nutrition data, research studies, surveys and evaluations on nutrients pertaining to adults, children, maternity, aged, hunger, malnutrition, foods, and dental. Also included are standards and policy papers.
2. These records consist of and relate to conferences, workshops, meetings, speeches, agendas, cultural food patterns, food assistance programs, training school lunch programs surveys; and general correspondence. The office of record is located at the Bureau (HSA) responsible for this program.

Disposition: Nonpermanent

Transfer to the FRC when no more than 2 years old. Destroy when 5 years old.

19. APPENDIX IA (SUMMARY of HSA GRANT PROGRAMS)

- A. Formula Grant Program distributes money according to a formula established by the basic legislation of each program. The formula may be based on population, ethnic distribution, presence of federal activities etc.

NOTE: For any long-term grant, files may be broken every 5 years and transferred to the FRC. When the grant is terminated, follow appropriate disposition listed below.

1. Comprehensive PHS-Formula Grants (Formula)

The purpose of this program is to assist States in establishing and maintaining adequate community, mental and environmental public health services including training of personnel for State & local public health work.

These records consist of or relate to such matters as affirmative action program narratives, checklists, reports (except final reports), surveys, evaluations, reviews, site visits, accounting, equipment, supplies, personnel, conferences, recommendations, training, meetings, payment requests, applications, renewals, obligated balances, and budget justifications.

Disposition: Nonpermanent

(a) Office of Record

Destroy 6 years after final payment or upon resolution of any adverse audit findings.

(b) Other Offices

Destroy when 3 years old.

2. Dental Health of Children (Formula)

The purpose of this program is to promote the dental health of children and youth of school and preschool age, particularly in areas with concentrations of low-income families.

These records consist of or relate to reports (except final reports), job descriptions, organization charts, biographical sketches, applications, periodic payments, surveys, site visits, evaluations, audits, reviews, recommendations, meetings, budget estimates, reports of expenditure, award documents, next year forecasts, letters of support and news releases.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

3. Family Planning Program (Formula)

The purpose of this program is to provide services necessary to enable individuals to freely regulate number and spacing of children, to reduce mother and child mortality.

These reports consist of or relate to reports (except final reports), applications, budget estimates, program narratives, objectives and goals, next year forecasts, reviews, recommendations, evaluations, job descriptions, biographical sketches, conferences, site visits, award documents, audits, and payment requests.

Disposition: Nonpermanent(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 3 years after final payment. Destroy 3 years thereafter.

(b) Other Offices

Destroy when 3 years old.

4. Health Care of Children and Youth (Formula)

The purpose of this program is to provide comprehensive health care and services for children in low income areas.

These records consist of or relate to reports (except final reports), applications, award documents, job descriptions, biographical sketches, organization charts, objectives and goals, next year forecasts, reviews, alterations, staff studies, letters of support, equipment lists, obligated balances, audits, payment requests, meetings, and reports of expenditure.

Disposition: Nonpermanent(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

5. Intensive Infant Care Projects (Formula)

The purpose of this program is to provide necessary first-year health care to infants of low-income families who have health conditions or are in circumstances which increase the hazards to their health.

These records consist of or relate to reports (except final reports), evaluations, applications, award notices, program narratives; budget estimates, expenditure reports, progress reports, job descriptions, biographical sketches, organization plans, site visits, audits, recommendations, letters of support, next year forecasts, payment requests, payment breakdowns, objectives and goals, and obligated balances.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

6. Maternity and Infant Care Projects (Formula)

The purpose of this program is to help reduce the incidence of mental retardation and other handicapping conditions associated with childbearing and to help reduce infant and maternal mortality.

These records consist of or relate to reports (except final reports), applications, evaluations, reviews, recommendations, award notices, site visits, expenditure reports, periodic reports, payment requests, payment notices, meetings, statistical reports, program narratives, objectives and goals, equipment lists, audits, and obligated balances.

Disposition Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

B. Project or Discretionary Grant Programs determines the grantee and the dollar amount of specific grants.

1. Health Services Development (Project)

The purpose of this program is to support the full range of public health services to meet special needs at the community level, develop and support new programs to include training, and development of comprehensive health centers.

These records consist of or relate to such matters as quarterly cost reports, action plan monitoring reports, financial and statistical requirements, site visits, budgets, progress reports, financial plans, organization charts, biographical sketches, news clippings, reviews, recommendations, technical assistance, and evaluations.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

2. Maternal and Child Health Research (Project)

The purpose of this program is to provide research projects relating to maternal and child health services or crippled children's services which show promise of substantial contribution on the advancement of such services.

These records related to evaluations, reviews, recommendations, award notices, site visits, expenditure reports, periodic reports, payment requests, payment notices, meetings, statistical reports, program narratives, objectives and goals, equipment lists, audits, and obligated balances.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 3 years after final payment. Destroy 3 years thereafter.

(b) Other Offices

Destroy when 3 years old.

3. Maternal and Child Health Training (Project)

The purpose of this program is to train personnel for health care of and related services for mothers

and children, particularly mentally retarded children and children with multiple handicaps.

These records consist of or relate to, reports (except final reports), equipment lists, training, workshops, meetings, organization, job descriptions, biographical sketches, seminars, site visits, technical assistance, fiscal reports, statistical reports, applications, reviews, audits, evaluations, and recommendations.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 3 years after final payment. Destroy 3 years thereafter.

(b) Other Offices

Destroy when 3 years old.

4. Community Health Centers (Project)

The purpose of this program is to provide health services to populations in areas with scarce health services on a capitation basis, and to identify solutions for providing health services to those populations.

These records consist of or relate to reports (except final reports), renovations, audits, equipment, training, workshops, reimbursements, ambulatory care, applications, evaluations, reviews, site visits, recommendations, objectives and goals, obligated balances, meetings, statistical reports, of expenditure, and payment requests.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 3 years after final payment. Destroy 3 years thereafter.

(b) Other Offices

Destroy when 3 years old.

5. Migrant Health Grant (Project)

The purpose of this program is to raise the health status of migratory seasonal farm workers and their families through comprehensive health services, and improvement of their environment. National Advisory council on Migrant Health program indicators funding criteria regional office funding plans.

These records consist of or relate to such matters as annual reports, quarterly expenditure reports, site visits, trip reports, progress reports, budget submission, project officer, directories, meetings, by-laws, surveys, summaries, recommendations, and evaluationn

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 3 years after final payment. Destroy 3 years thereafter.

(b) Other Offices

Destroy when 3 years old.

6. Emergency Medical Services (Project)

The purpose of this program is to provide assistance and encouragement for emergency medical services systems

throughout the country and thereby improve the quality of patient care and reduce morbidity and mortality.

These records consist of, or relate to, such matters as feasibility and planning, establishment of the systems, expansion and improvements, research, training, reviews, needs and cost estimates, applications for expansions and improvements, and inventories of facilities.

Disposition: Nonpermanent

(a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.

(b) Other Offices

Destroy when 3 years old.

7. Maternal & Child Health Services (FEP)

The purpose of this program is to provide financial support (1) to States to extend and improve services for reducing infant mortality and improvement of the health of mothers and children, and (2) for special projects to contribution to advancement of maternal and child health services.

These records consist of, or relate to such matters as trip reports, special reports, applications, statistical reports, reviews, training, workshops, meetings, research, recommendations, and evaluations.

Disposition: Nonpermanent

Destroy when 3 years old.

(a) Office of Record

- (1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.

- (2) Transfer to FRC 3 years after final payment.

- (b) Other Offices

Destroy when 3 years old.

19B/8. Crippled Children Services

The purpose of this program is to provide financial support to States (1) to extend and improve medical and related services to crippled children and children suffering from conditions that lead to crippling, and (2) for special projects which may contribute to the advancement of services for crippled children.

These records consist of or relate to such matters as trip reports, statistical reports, applications, workshops, training, reviews, research, meetings, recommendations, evaluations, program narratives, surveys, and critiques.

Disposition: Nonpermanent

- (a) Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

- (2) Transfer to FRC 3 years after final payment.

- (b) Other Offices

Destroy when 3 years old.

19B/9. Sudden Infant Death Syndrome (SIDS) Information and Counseling Projects

The major purposes of this program are: (a) to assist families and prevent secondary traumas by providing informed, humane, coordinated and comprehensive services

during periods of bereavement and grief; (b) to keep professionals, paraprofessionals, volunteers and the public who may encounter these families, currently informed about SIDS, its impact on family survivors and about their responsibilities to families faced with this crisis; (c) to apply research findings in a timely and orderly manner in order to identify and diagnose infants who may be at risk for SIDS so they may receive therapeutic intervention; and ultimately, (d) to prevent these tragic deaths.

These records consist of, or relate to, budgets, reports, list of equipment, training and educational seminars, site visits, technical assistance, fiscal reports, statistical report, applications, review comments, audits, evaluations and recommendations.

Disposition: Nonpermanent

(a) Office of Record

(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years old.

19/B/10. Comprehensive Hemophilia Diagnostic and Treatment Centers (Project)

The purpose of this program is to expand the nationwide availability of comprehensive outpatient diagnostic and treatment centers for persons with hemophilia, particularly in areas where there are the greatest number with severe or moderate cases of the condition.

These records consist of or relate to reports, equipment lists, training, workshops, meetings, organization, job descriptions, biographical sketches, seminars, site visits, technical assistance, fiscal reports, statistical reports, applications, reviews, audits, evaluations, and recommendations.

Disposition: Nonpermanent

(a) Office of Record

(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years old.

19/B/11. Genetic Diseases Testing & Counseling Projects

The purpose of this program is to establish and operate voluntary genetic testing and counseling programs primarily in conjunction with other existing health programs, including programs assisted under Title V of the Social Security Act.

These records consist of or relate to reports, equipment lists, training, workshops, meetings, organization, job descriptions, biographical sketches, seminars, site visits, technical assistance, fiscal reports, statistical reports, applications, reviews, audits, evaluations, and recommendations.

Disposition: Nonpermanent

(a) Office of Record

(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years old.

19/B/12. Accident Prevention: Preventive & Emergency Child Health Care Projects

The purpose of this Maternal Child Health Formula and Project Grant program is to provide grants for special projects of regional or national significance which may contribute to the advancement of maternal and child health. Special projects currently funded include preventive and emergency child health care projects.

These records consist of, or relate to, such matters as trip reports, special reports, applications, statistical reports, reviews, training, workshops, meetings, research, recommendations, and evaluations.

Disposition: Nonpermanent(a) Office of Record

(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years old.

19/B/13. Private Practice Option Grants

The purpose of this program is to assist former NHSC members to establish their own private practice in a health manpower shortage area.

These records consist of, or relate to, such matters as reviews, site visits, applicant community profiles, biographical sketches, job descriptions, accessibility and utilization of personnel, certification statements, and equipment list.

Disposition: Nonpermanent(a) Office of Record

(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years old.

C. Training Grant Programs1. Family Planning Services - Training Grant

The purpose of this program is to provide

training for personnel to improve the delivery of family planning services.

These records consist of, or relate to, such matters as reports, applications, award documents, job descriptions, biographical sketches, next years forecasts, reviews and recommendations.

Disposition: Nonpermanent

(a) Office of Record

(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.

(2) Transfer to FRC 3 years after final payment.

(b) Other Offices

Destroy when 3 years oldt

19/D. National Health Service Corps

The purpose of this program is to assign health personnel to areas of critical shortages in health professionals.

1. These records consist of or relate to such matters as site visits, applicant community profiles, biographical sketches, applicant questionnaires, job descriptions, accessibility and authorization of field personnel.

Disposition: Nonpermanent

Destroy when 3 years old.

2. Field equipment inventories, audits, records of sale of equipment to communities or providers.

Disposition: Nonpermanent

Transfer to FRC 2 years after final payment is received.

Destroy 6 years after final payment or upon resolution of any audit findings.

3. Waiver Documentation Files on National Health Service Corps Reimbursement

Files include collection records, project financial and staffing reports, manpower shortage data, and population characteristics indicating inability to pay.

Disposition: Nonpermanent

Office of Record

- (1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.
- (2) Transfer to FRC 2 years after final payment.

E. Contracts for Health Services

These contracts pertain to research and development programs in health related areas and technical assistance for health activities within the PHS Regions, i.e., comprehensive health planning, physical assistance training programs, development health area, and health education centers.

These records consist of, or relate to, reports (except final reports), initial procurement actions (preselection), solicitation, receipt, inspection, evaluation, selection, negotiation, pre-award reviews, award documents, requisitions, purchase orders, leases, bond and survey records, administration of contracts to include review and payment. See GRS 3, No. 4, for description and disposition.

20. PART 1B: BUREAU OF COMMUNITY HEALTH SERVICES (BCHS)

This section relates to the permanent program and administrative files of the Bureau of Community Health Services (BCHS).

BCHS provides community health care by administering the following programs: Maternal and Child Health Family Planning, Community Health Centers, Migrant Health, Hemophilia, Home Health, Sudden Infant Death Syndrome and similar programs as well as rural and urban health initiatives and grants to staff for comprehensive public health services.

This section includes permanent and nonpermanent programs records of the BCHS.

A. Program Office Files

1. Those portions of the general correspondence, program support and administrative files which document the formulation of national health policy, the establishment, direction, and review of all the primary programs of BCHS. These files include policy, procedures, regulations, program planning and evaluation, budget statements, digests or briefing papers, correspondence through out the Bureau/Agency and other agencies, congress, and/or congressional committees, delegations of authority, special programs, site information, technical assistance and Regional Office coordination. Files are arranged alphabetically and annual estimated volume is 3-4 cu. ft. by program.

Disposition: Permanent

The BCHS Records Liaison Officer will transfer those records pertaining to policy and procedures to the Federal Records Center no later than 5 years after each director leaves office. Offer to Archives 10 years thereafter.

2. Correspondence relating to routine administrative programs and activities, and general administrative matters not covered in Part I and II of this schedule, as well as files not directly related to policy and planning.

Disposition Nonpermanent

Destroy after 2 years. Do not send to the FRC.

B. Program Planning and Evaluation Files

1. Those portions of the general correspondence and administrative file which document the development, supervision, planning and evaluation of special programs and major program areas, including narrative and statistical reports which are consolidated at Bureau level and background material on program development. Files are arranged alphabetically and annual estimated volume is 2-3 cu. ft. by program.

Disposition Permanent

The BCHS Liaison Officer will transfer to the FRC 3 years after files are cut off. (Files are to be cut off every 2 years) Offer to Archives no later than 10 years after files are cut off.

2. Correspondence relating to routine administrative programs and activities, and administrative matters not covered by items Part I and II of this schedule.

Disposition Nonpermanent

Destroy after 2 years. Do not send to FRC.

C. Organization and Function

NOTE: All staff offices should review "Part IA and IB Permanent Program and Administrative Records" before disposing of records.

A master set of all organizational charts, manual issuances, and publications. (See Part IA and IB Permanent Program and Administrative Records.) Files are arranged alphabetical and annual estimated volume is 1-2 cu. ft.

Disposition: Nonpermanent

The BCHS Records Liaison Officer will transfer to the FRC 5 years after they become obsolete or sooner if volume permits. Offer to the Archives 10 years thereafter. (A review of Part I Permanent Program and Administrative Records must be done first.)

D. Emergency Medical Services

1. Files documenting national standards and guidelines for emergency medical services (EMS) systems, special nonrecurring reports required for executive direction purposes, statistical data that was collected, analyzed, and disseminated in summary form thru publication etc. Files are arranged alphabetically and annual estimated volume is 1-2 cu. ft.

Disposition: Nonpermanent

Cut off files every 2 years and hold. Transfer to the FRC in 4 year blocks. Destroy when 15 years old.

2. Files relating to budget authority and technical assistance coordinating EMS with interagency programs, documentation of the development, supervision and evaluation of EMS with consumer groups and professional organizations.

Disposition: Nonpermanent

Cut off files every 2 years hold for 1 year then transfer to FRC. Destroy 4 years thereafter.

E. Project Site Files

These files relate to specific projects that have been funded thru grants (of all types) contracts, or other similar type programs. "Appendix IA Part I" has a listing of these programs and the type of assistance provided. It should be used in determining disposition for these project files which consist of centers and community health networks, copies of grant awards notices, congressional and other correspondence.

Disposition: Apply disposition instructions of appropriate program items of Appendix I-A.

21. Part IC: INDIAN HEALTH SERVICE (IHS)

The Indian Health Service (IHS) assures a comprehensive health service delivery system for American Indians and Alaska Natives with sufficient options to provide for maximum tribal involvement in meeting their health needs. The goal for the IHS is to raise the health level of the Indian and Alaska Native people to the highest possible level.

This section provides for the scheduling of permanent and non-permanent program records created by the IHS at headquarters, regional and field offices. All records created with federal funds (either in part or full) used to carry out the mission of IHS will be governed by this schedule. It should be used in conjunction with the General Records Schedule.

Formal policy and procedural, organizational and reportorial documents are covered in Part 1A General Administrative Section.

A. Indian Health Construction and Facilities Planning Projects

Case files containing copies of bids, projects proposals, and summaries, specification and drawings, contracts, reports and general correspondence in connection with Public Law 86-121.

Disposition: Nonpermanent

Transfer to the FRC 2 years after project completed and final payment made. Destroy 4 years thereafter.

B. Drawings and Specifications File

Drawings and specifications pertaining to the construction of Indian Hospitals and other facilities for the beneficiary populations. Keep drawings, specifications and final report for life of the project for ongoing maintenance and repair.

Disposition: Nonpermanent

Contracts are maintained by Procurement and Finance and come under those disposal schedules.

C. Statistical Health Reports

Reports on inpatient and outpatient workloads at each PHS Indian Hospital and health center.

Disposition: Nonpermanent

Transfer to the FRC 3 years after administrative value ends (no longer needed for reference)n Destroy 5 years thereafter.

D. Environmental Health Programs Records Construction Project

Legal documents pertaining to the administration of the program, periodic and special reports, final reports (narrative booklets) describing projects, problems, summary of cost, tribal participation from task force studies and surveys relating to health effects of economic and industrialization on Indian reservations; Official Correspondence in connection with Public Law 86-121; housing, health centers, hospitals, water and sewage. Files are arranged numerically and estimated volume is 2-3 cu. ft.

Disposition: Nonpermanent

Close out files every 3 years. Transfer to the FRC 5 years thereafter or when administrative value ends. Offer to Archives 10 years after receipt in the FRC.

E. Medical Contract Files

Case files including copies of public health contracts and related evaluation reports concerned with medical, dental, X-ray, Clinical laboratory, contracts with physicians, institutions, clinics, and other groups, and related documents.

Disposition: Nonpermanent

Transfer to the FRC 2 years after final payment and destroy 4 years thereafter.

F. Pupils Health Case Files

School health records including such material as school infirmary and day school records, school clinic records, records of physical examinations and immunizations and related records.

Disposition: Nonpermanent

Transfer to supervising Service Unit 30 days after separation from school by graduation or drop-out (Retain at Service Unit in accordance with schedule for outpatient records in another section of this schedule)n

G. Sanitation Research and Special Study Files

Reports, studies, surveys, and recommendations relating to housing, water supply, sewage treatment and disposal, insulation materials, home plumbing, periodic and special reports on sanitary conditions at field stations, and on conditions, facilities, and operation of medical installations.

Disposition: Nonpermanent

Transfer to the FRC 3 years after project is closed. Destroy 6 years thereafter.

H. Dental Examination Card File

Dental examination of students, preschool children and adults to include all information regarding patient.

Disposition: Nonpermanent

Destroy 10 years after last visit.

I. Field Nurse and Community Health Aide Case Files

These are individual and family folders which include such materials as individual health records, pre and post-natal nursing records, and tuberculosis and immunization records.

Disposition: Destroy 10 years after last entry. (If these are patient records then see section on clinical records for disposition.)

J. Historical File

Records reflecting the history of the hospital such as, title documents relating to the acquisition of land on which station is constructed, copies of deeds, rights of way, easements, zoning maps, and plans.

Disposition: Nonpermanent

Transfer to the record center when 20 years old or when no longer needed for reference. Destroy when 25 years old or when administrative value ends.

21/K. Office of Tribal Affairs

1. Tribal Health Projects

Case files containing copies of correspondence, proposals, contracts, vouchers, and reports in connection with P.L. 94-437, the Indian Health Care Improvement Act, and P.L. 93-638, the Indian Self-Determination and Education Assistance Act.

Disposition: Nonpermanent

Transfer to the FRC 3 years after administrative value ends. Destroy when 6 years old.

2. Controlled Correspondence

Files containing correspondence in connection with IHS program operations filed by 8 IHS Area and 4 Program Offices.

Records containing OTA-controlled resolutions and correspondence with Indian tribal governments, Indian Health Boards, and other Indian organizations concerning IHS program operations filed under each appropriate Area or Program Office above.

Records containing correspondence with Federal Agencies.

Records containing controlled correspondence (HHS, HSA) with the Congress, White House, Secretary, Administrator, HSA, filed by appropriate IHS Area and Program Offices.

Disposition: Nonpermanent

Transfer to the FRC 3 years after administrative value ends. Destroy when 6 years old.

3. General Correspondence

General correspondence with public pertaining to inquiries about IHS program, Indian people, eligibility for IHS care, employment, filed alphabetically.

Disposition: Nonpermanent

Destroy after 1 year.

22. PART 1D: BUREAU OF MEDICAL SERVICES

Carries out programs to provide comprehensive medical care for designated Federal beneficiaries and occupational health care and safety services for Federal employees.

This section provides for the scheduling of permanent and non-permanent program records created by the BMS at headquarters and field.

Any activity within the organizational structure of HSA/BMS which received federal funds (either in part or full) will be governed by this section.

A. Federal Employee Occupational Health

1. Files were created in the process of developing and implementing safety standards and improved Occupational Health for all employees throughout the Government, reports evaluating Federal agency occupational health services in relation to standards, formal interagency agreements with other Federal agencies for operation of Public Health Service Division of Federal Employee Occupational Health units and correspondence pertaining to the operation and administration of these health units.

Disposition: Nonpermanent

Cut off files every 2 years and put in files storage area.

Office of Record

Transfer a record set of all files that document standards (as they relate to this program) and final reports of evaluations and interagency agreements to the FRC 1 year after cut off date. Destroy 5 years thereafter.

2. DFEOH Employee Health Units

Files consist of health records of Federal employees enrolled as participants in the PHS/DFEOH health units; also includes records of visitors that received emergency treatment.

Disposition: Nonpermanent

Retain all inactive health records for a period of 6 years then destroy.

23. HOSPITALS AND CLINICSA. CLINICAL RECORDS (Inpatient and Outpatient)Medical Records Folder

All medical records of patients admitted to any PHS or IHS hospital or clinic, either as an outpatient or inpatient on any service, e.g., OB/GYN, medical, surgical, pediatrics, psychiatry, dental, etc. Files consists of, but are not limited to physicians, nurses, and allied health professionals' reports; graphs, and charts; results of laboratory, radiological, cardiology and special diagnostic procedures; operative, anesthesia and pathological reports; and all other reports related to the treatment or care of any patient.

These records are to be retained in their original form at the hospital or clinic for a period of 5 years after episode of last visit. If patient has not returned for examination or treatment in 5 years, the clinical record will be considered inactive.

Disposition: Nonpermanent

Transfer the complete medical records folder to the FRC 5 years after patient's last episode of discharge and treatment.

1. Destroy 50 years after receipt in the FRC all medical records of active duty uniform service personnel (Army, Navy, Air Force, Marine Corps, Coast Guard, PHS, and National Oceanic and Atmospheric Administration)a
2. Destroy non-uniform patient records after 25 yearsa Do not separate a patient's medical record, i.e., inpatient from outpatient. Transfer the complete folder (at the same time) and make certain all reports, documents, etc. have been placed in the folder before retiring it. Do not send laboratory pathological materials, blood cultures, surgical slides, etc.4 only the reports pertaining thereto. Facilities wishing to retain original medical records on site for a longer period of time should request written permission from the PHS Hospitals and Clinics.

B. Patient's Statistical Records

1. Disposition Date File

Mechanically prepared listings of discharged patient's records which have been incorporated in the data processing master patient file.

Disposition: Nonpermanent

Destroy after 1 year.

2. Gains and Losses

Daily Gains and Losses Sheets.

NOTE: A master set will be maintained to contain a copy of each gains and losses sheet created during any 12-month period.

Disposition: Nonpermanent

Destroy master set copies after 1 year, EXCEPT if the master set is being utilized as the "register file."

Destroy all other copies after purpose has been served.

3. Patient Service Locator

Patient locator information maintained in mail rooms, telephone and information sections; or equivalent.

Disposition: Nonpermanent

Destroy 90 days after discharge of patient.

4. Master Patient Index File

A master patient index (record of unit and register numbers) assigned to each patient and chronological admission log books. The index permits access to a patient's medical record if patient's unit record is unknown. The system is filed by unique patient numbers.

Disposition: Nonpermanent

Maintain at each facility; Retain until administrative and reference value ends.

5. Error Data File

Mechanically prepared listings of discharged patients' records which have been rejected as unacceptable to the inpatient data system.

Disposition: Nonpermanent

Destroy after errors have been corrected; resubmitted data validated; and after the listings used for quality control purpose have been exhausted.

6. Diagnostic and Operative Index

Mechanically prepared listings of coded diagnostic and operative data of discharged patients, previous manually prepared diagnostic and operative indexes and locally approved special inpatient diagnostic and operative indexes.

Disposition: Nonpermanent

- (a) Destroy monthly listings after receipt of consolidated biannual listing.
- (b) Retain biannual listings for hospital research and accreditation. Destroy 2 years thereafter.
- (c) Destroy special and locally approved diagnostic and operative indexes after purpose has been served.

7. Ward Morning Report

Morning Report or equivalent

Disposition: Nonpermanent

Destroy after purpose has been served.

8. Patient's Clothing and Valuables

Beneficiaries effects slip, temporary withdrawals, inventory of funds and effects, patient's clothing account, patient's effect slips, patient's valuable and miscellaneous effects account, request for clothing account, request for Government-issued clothing, receipts for packages, request and instructions redispotion of unserviceable and excess clothing and articles, and patient's valuables inventory envelope.

Disposition: Nonpermanent

Destroy 6 months after discharge of patient and after proper accountability of all items.

9. Beneficiaries Effects and Valuables Audit File

Records of audits of effects, valuables, Government issued clothing, incidentals and related records.

Disposition: Nonpermanent

Destroy 1 year after completion of subsequent audit and after discrepancies have been resolved.

10. Employee Locator

Employee locator information (including consultants, attendings, etc.) maintained in mail rooms, telephone and information sections; or equivalent.

Disposition: Nonpermanent

Destroy 90 days after separation or transfer of employee.

11a Guest Lodging File

Room allocation and occupancy records.

Disposition: Nonpermanent

Destroy after 1 year.

12. Processing Medium File

Code sheets, card work decks, batch transmittals, control registers and similar media used to collect and control data for medical and administrative statistical programs, studies and projects.

Disposition: Nonpermanent

Destroy 60 days after cards are punched and verified and when no longer required for sampling and post audit purposes.

C. Food Planning and Preparation1. Diet Manual

Records of various diets, i.e., regular, bland high protein, special, daily routine, etc.

Disposition: Nonpermanent

Destroy when obsolete or when no longer of value for reference.

2. Diet Prescription File

Diet orders from the doctor for individual patients or equivalent.

Disposition: Nonpermanent

Destroy when changed or after patient is discharged.

3. Menu File

(a) Menu records; daily, weekly, routine, selective, holiday, etc.

(b) NOTE: A 1-year complete set of corrected originals will be maintained.

Disposition: Nonpermanent

- (1) Destroy extra copies after purpose has been served
- (2) Destroy yearly sets after close of next succeeding year.

4. Recipe File

Recipes of all types and kinds; standard, tested, etc.

Disposition: Nonpermanent

Destroy after becoming obsolete or when no longer practical for use.

5. Patient Education File

Dietetic training material for patients, diet, instructions, diet lists, special instructions for individuals and groups of patients.

Disposition: Nonpermanent

Destroy when obsolete or no longer of training value.

6. Cost Analysis File

Food costs analysis, i.e., analysis of price trends, food usage studies, selected food items and any other analytical food cost studies.

Disposition: Nonpermanent

Destroy after 3 fiscal years or when no longer of current value.

7. Meal Ticket File - Employees and Patients

(a) Employee subsistence passes (full and partial); individual meal authorizations; and related material properly files therein.

(b) Patient meal tickets or equivalent.

Disposition: Nonpermanent

(a) Dispose of 30 days after close of issue period and after required reports have been prepared.

(b) Dispose of upon change of diet or after discharge of patient.

8. Ration Control File

Ration control records of meals served (patient, employee, guest, etc.), and costs.

Disposition Nonpermanent

Destroy after 1 year.

D. Dental

1. Dental Appointment Record

Ledger or book indicating daily appointments for patients for dental treatment and showing patient's name, time of appointment and type of work to be performed.

Disposition: Nonpermanent

Destroy 1 year after day of last entry in book.

2. Dental Laboratory Requisition and Work Record

Copies of instruction sheets to obtain fabrication of dental appliances from central dental laboratory and related material properly filed therein.

Disposition Nonpermanent

Destroy after patient's case is completed.

3. Dental Patient Index Cards

Dental Service index cards indicating patient's name, diagnosis, treatment, condition, etc., on current of recent patients receiving dental treatment.

Disposition Nonpermanent

Destroy after discharge of patient and after preparation of necessary reports.

4. Dental X-Ray Film

Consists of intra-oral dental x-ray films, panoramic, cephalometric and other extra-oral x-rays.

Disposition: Nonpermanent

Destroy 3 years after date of latest exposure.

(Note - Dental x-rays needed for research and teaching purposes may be retained until no longer needed.)

5. Laboratory Caseload Ledger

Ledger used to record all cases handled by the dental laboratory and to indicate date of receipt, name of patient, referring station, laboratory case number, and description of case.

Disposition: Nonpermanent

Destroy 1 year after date of last entry

6. Old Gold Turn-in

Copies of memorandum reporting old gold to Supply Officer for pickup and indicating amount of gold turned in.

Disposition: Nonpermanent

Destroy after 1 fiscal year.

7. Precious Metals Issue Slip File

Cards indicating amount and type of precious metals issued for use in making dental prostheses for patients.

Disposition: Nonpermanent

Destroy after 1 year.

8. Precious Metals Ledger File

Ledgers containing a record of: Date precious metals received from supply, combined gross troy weight of all gold received (excluding fabricated bars), number of fabricated gold bars

received, weight of platinum received, date, name of patient and description of each appliance fabricated, date, name of patient and description of unserviceable gold appliances received as scrap gold, unserviceable gold appliances retained by the patient along with his signature.

Disposition Nonpermanent

Destroy 2 years after date of final entry.

9. Precious Metals Record Card File

Cards indicating a running record of each type of precious metals on hand and showing the amount received, amount issued and the balance on hand at all times.

Disposition: Nonpermanent

Destroy 1 year after card has been filed and the balance brought forward to a new card.

10. Outpatient Fee Basis File

Tabulating cards, listings and code sheets used to acquire and control fee-basis medical services and to accumulate internal management data.

Disposition: Nonpermanent

Dispose of tabulating cards (EXCLUDING fee authorization renewal cards and fee-basis register cards) 1 fiscal year after close of fiscal year in which prepared

- (a) Fiscal fee authorization renewal cards will be maintained and disposed of in accordance with the appropriate item (fiscal)
- (b) Treatment file fee authorization cards will be filed in the outpatient treatment folder.
- (c) Fee-basis register cards will be retained, until no longer needed for administrative purposes.

Disposition: Nonpermanent

Dispose of code sheets 1 month after end of month in which tabulating cards are punched and totals checked against the control register.

(a) Dispose of tabulating listings (excluding fiscal accounting listings, obligation cancellation listings and listings attached to schedules of disbursement) 2 fiscal years after close of fiscal year in which prepared.

(b) The fiscal tabulating listings excluded in paragraph (a) above will be maintained and disposed of in accordance with the appropriate item of fiscal.

Disposition: Nonpermanent

Dispose of inactive fee-basis register card after 60 days.

11. Outpatient Service Routing List

Outpatient service routing lists and other related materials.

Disposition: Nonpermanent

Destroy 60 days after preparation of required tabulating cards.

E. Laboratory

1. Autopsy Protocols

Copies of autopsy protocols

Disposition: Nonpermanent

Destroy 1 year after death of Patient. Do not transfer to the FRC.

2. Blood Bank Monitoring File

Cards indicating daily records of blood inspections, daily records of refrigerator temperatures, records of bacteriologic studies, and records of disposition of unused blood.

Disposition: Nonpermanent

Destroy after 5 years.

3. Blood Donor File

Blood donor registration cards and related cross-index cards as to blood group and type.

Disposition: Nonpermanent

Destroy 5 years after last donation and after 10 years if donor has rare blood type.

4. Blood Issue File

Log book containing names of authorized persons to which blood was issued and a record of reissued bloodn

Disposition: Nonpermanent

Destroy 5 years after date of last entryn

5. Blood Source File

Log book indicating source from which blood was received, i.e., donor, Red Cross, contract blood bank, etc.

Disposition: Nonpermanent

Destroy 10 years after date of entry.

6. Blood Transfusion Request and Record

Copies of the Clinical Record-Blood Transfusions indicating blood grouping, typing and compatibility tests.

Disposition: Nonpermanent

Destroy after 5 years.

7. Laboratory Examinations

Copies of laboratory reports on examinations of milk, cream, ice cream, frozen products, water and sewage effluent; and reports on bacterial counts on dishes, flatware, and equipment or on utensils used in preparation of food and supplying of bedside drinking water.

Disposition: Nonpermanent

Destroy after 6 months

8. Laboratory Methods

Cards indicating approved methods and procedures for conducting various laboratory tests.

Disposition: Nonpermanent

Destroy after becoming obsolete or when replaced by a new card.

9. Laboratory Reports

(a) patient section - copies of clinical records and laboratory reports.

(b) other than patient section - original and copies of clinical record -- laboratory other than patients, i.e., blood donors.

Disposition: Nonpermanent

(a) Include with patients' medical records.

NOTE: These copies may be retained for a longer period if considered necessary for other purposes, and destroyed when no longer needed.

(b) Destroy after 6 months.

10. Morgue Records

Daily record of morgue refrigerator temperature, temperature charts, or graphs, weekly morgue

inspection reports, and related materials.

Disposition: Nonpermanent

Destroy after 1 year.

11. Tissue Examination Records

Reports of tissue examinations, pathological reports, paraffin blocks, and all clinical lab tests performed on inpatients as well as outpatients.

Disposition: Nonpermanent

Include with patients' medical records folder and dispose of accordingly.

12. Laboratory work slips, worksheets, history slips or similar documents for recording dates used to complete record of examination giving name of patient, name of doctor, date and results of examination (except for examination of tissue and negative report of serologic test for diagnosis of syphilis).

Disposition: Nonpermanent

Transfer to the FRC when 2 years old. Destroy 4 years thereafter.

- 13n Accession sheet or register listing laboratory examinations made (except accession sheet or register listing serologic tests for diagnosis of syphilis).

Disposition: Nonpermanent

Transfer to the FRC when 2 years old. Destroy 4 years thereafter.

14. Clinical Laboratory Services

Files consist of interagency agreements for clinical services, for support services to field activities (health units) and agreements with other Federal agencies for special physical examinations.

Disposition: Nonpermanent

Transfer to the FRC 1 year after termination of agreement.

Destroy 7 years thereafter.

15. Accession sheet or register listing serological tests for diagnosis of syphilis.

Disposition: Nonpermanent

Destroy when 1 year old if no other medical record of patient, otherwise reports are to become a part of patient's record and disposed of accordingly.

16. Blood films - problem blood and routine blood films.

Disposition: Nonpermanent

Destroy when 1 year old.

17. Routine bacteriology slides

Disposition: Nonpermanent

Do not send to the FRC. Destroy when report is written.

18. Cytology slides - showing an abnormality.

Disposition: Nonpermanent

Do not send to the FRC. Destroy when 5 years old.

19. Cytology slides - showing no abnormality.

Disposition: Nonpermanent

Destroy after 18 months old. Do not send to the FRC.

20. Tissue Block

Disposition: Nonpermanent

Destroy when 20 years old. Do not send to the FRC.

21. Histopathology slide - 20 years.
22. Bone marrow biopsy - 20 years
23. Record of worksheet of transfusion service - 6 years.
24. Record of special investigation - 6 years (Nos. 17-24 DO NOT TRANSFER TO THE FRC)

F. Nursing

1. 24 Hour Report File

24-hour report of patient's condition and ward nursing unit activities.

Disposition: Nonpermanent

Destroy after 45 days.

2. Community Nursing Program File

Copies of nursing care referral forms, copies of requests for community home nursing care and related files.

Disposition: Nonpermanent

Destroy after 30 days.

3. Medication Card File

Cards indicating types of medicines ordered by physicians and used by nurses for reference in preparation, administration and recording of the medication.

Disposition: Nonpermanent

Destroy after medicine is discontinued.

4. Nursing Plan File

Nursing plan

Disposition: Nonpermanent

Destroy old cards after information has been transcribed to a new card. Destroy current cards following re-admissions and pertinent in-

formation has been transcribed on the new cards.

5. Patient Count File

Patient count forms used to identify closed ward patients at change of tours of duty. Forms indicate when patients depart and return to ward.

Disposition: Nonpermanent

Destroy 30 days after form is filled or completed

6. Procedure Card File

Cards outlining care and treatment for certain diseases and conditions

Disposition: Nonpermanent

Destroy after being superseded by new procedure.

7. Fee - Basis Nurses File

Copies of authorization and invoice for medical service, individual record of visiting staff, visit records, application for nurses, and estimated obligations.

(NOTE: This is an informational copy of the official records maintained by Fiscal Division and/or Personnel Service.)

Disposition: Nonpermanent

Destroy 3 months after termination of service.

8. Information Data File

Information data--nursing personnel--cards indicating tours of duty assignments and related materials

Disposition: Nonpermanent

Upon separation or transfer of employee, forward to Personnel Division for filing in personnel folder.

9. Nurses Qualification Card File

Nurses qualification cards--cards indicating pro-

professional experience, education and personnel actions.

Disposition: Nonpermanent

Upon separation or transfer of employee, forward to Personnel Division for filing in personnel folder.

G. Pharmacy

1. Federal Supply Schedule

Contains copies of drug contracts with each individual firm, changes thereto and price list.

(NOTE: This is an informational copy of the official file.)

Disposition: Nonpermanent

Destroy 3 months after expiration or cancellation of contract.

2. Purchase Order File

Consists of purchase orders received from supply on drugs ordered direct from contractors.

Disposition: Nonpermanent

Destroy 3 years after date of order.

3. Pharmacy Requisition File

Consists of orders filled and processed by pharmacy.

Disposition: Nonpermanent

Destroy when material is delivered and/or statistical or financial data have been abstracted.

4. Prescription Files (Outpatient)

Consists of prescriptions filled and processed by pharmacy.

Disposition: Nonpermanent

Destroy after 5 years.

5. Outpatient Pharmacy Profile Files

List medications ordered and dispensed for outpatients, laboratory and other clinical data.

Disposition: Nonpermanent

Destroy after 2 years inactivity (unless incorporated in patient's medical record)

6. Copies of Physician Orders (Inpatient)

Consists of Carbon, NCR or other facsimiles or physician's orders for inpatients received by pharmacy for processing.

Disposition: Nonpermanent

Destroy after information is posted to patient profile records and validated.

7. Inpatient Pharmacy Profile Files

List medications ordered and dispensed for inpatients, intravenous solution therapy, laboratory test results, and other clinical data.

Disposition: Nonpermanent

Destroy one month after patient is discharged.

8. Pharmacy Operations - Daily Record, Quarterly and Annual Summary

Report pharmacy workload and drug cost data for statistical reporting purposes.

Disposition: Nonpermanent

Destroy after 2 years

9. Prepackaged Pharmaceutical Item Control Records and Log

Record control information on drugs prepackaged by pharmacy.

Disposition: Nonpermanent

Destroy after 5 years.

10. Pharmaceutical Bulk Compounding Worksheets and Log

Records bulk compounding activity including log control data.

Disposition: Nonpermanent

Destroy after 5 years.

11. Control Record of Expiration Dated Drugs

Lists dated drugs by month of expiration date.

Disposition: Nonpermanent

Destroy at end of month involved.

12. Nonformulary Medication Request File

Document requests for medications to be considered for formulary admission or special purchase.

Disposition: Nonpermanent

Destroy 6 months after item is added to Formulary or procured on one-time purchase basis.

H. Drugs

1. Alcohol and Schedule II Controlled Substances Order File and Register

Includes USP alcohol, whiskey, wine and Schedule II Controlled Substances order copies and register (PH-NA numbered documents)

Disposition: Nonpermanent

Destroy after 5 years

2. Formula File

Consists of manufacturing formula and record card.

Disposition: Nonpermanent

Destroy when replaced by new formula or after becoming obsolete.

3. Controlled Substance and Alcohol Order and Receipt File

Pharmacy orders for controlled substances and alcohol for nursing units and other hospital/clinic departments.

Disposition: Nonpermanent

Destroy after 1 year.

(a) Controlled Substance and Alcohol Certificate

Perpetual inventory records indicating receipt and administration of controlled substances and alcohol at nursing units and other hospital/clinic departments.

Disposition: Nonpermanent

Destroy after 5 years.

(b) Pharmacy Perpetual Inventory of Controlled Substances and Alcohol

Records of receipts and disposition of controlled substances and alcohol to and from pharmacy inventories

Disposition: Nonpermanent

Destroy after 5 years

(c) Controlled Substances Biennial Inventory List

DEA-required biennial inventory of all controlled substances in the facility as of the inventory date.

Disposition: Nonpermanent

Destroy after 5 years.

4. Inventory File

Records indicating items on hand by name, number of units of each item, price per unit, and total inventory value.

Disposition: Nonpermanent

Destroy after 3 years.

5. Investigational Drug File

Records indicating name of drug, manufacturer or other source, amount and data received, expiration date, if any, lot or control number, data of authority to use, serial number and date of prescription dispensed, patient's name, amount dispensed, name of prescribing physician or dentist, and related material.

Disposition: Nonpermanent

Destroy after 3 years.

6. Standardization Recommendations File

Lists recommendations for standardization of new drug requests, turn-in and/or receipt for property and services.

Disposition: Nonpermanent

Destroy after 6 months or after drug is standardized.

7. Stock Location Index File

Records indicating location of drug in pharmacy

Disposition: Nonpermanent

Destroy when drug is discontinued in stock.

8. Stock Record File

Records on unposted drugs ordered and received indicating amount, price, purchase order number and contractor.

Disposition Nonpermanent

Destroy when drug is discontinued.

I. Physical Medicine and Rehabilitation Service (PMRS)

1. Activity Worksheet

Records indicating recreation activity assignments, number of patients attending activities, determining monthly activities, number of volunteer workers for the month, and related material.

Disposition: Nonpermanent

Destroy after 30 days.

2. Clearance Record File

Record of clearance for recreation and sports activities from staff physician for patient participation.

Disposition: Nonpermanent

Destroy after 6 months.

3. Equipment Charge - Out File

Record of equipment charge out to patients during period of hospitalization.

Disposition: Nonpermanent

Destroy after equipment is returned.

4. Motion Picture File

35 mm. and 16 mm. film delivery order and schedules, shipping instructions, used to show coming play dates, records of films shown; inspections

and certifications, and related material.

Disposition: Nonpermanent

Destroy after 1 year.

5. Phonograph Record Index

Complete index of phonograph records in broadcasting station which are used for entertaining patients.

Disposition: Nonpermanent

Destroy after records are placed or discontinued.

6. Radio Program File

Daily radio log or equivalent and related papers.

Disposition: Nonpermanent

Destroy after 1 year.

7. Special Activity Programs

Records pertaining to golf program, birthday program, correspondence club, stamp club, writing contests, etc., and related material.

Disposition: Nonpermanent

Destroy after 1 year.

8. Patient's Index Card and Attendance Record

Patient's index card and attendance records indicating patient's name, diagnosis, treatment and record of attendance.

Disposition: Nonpermanent

Destroy 2 years after discharge of patient.

9. Patient Record Card File

Cards indicating current patient treatment load in PMRS.

Disposition: Nonpermanent

Destroy after discharge of patient.

10. Physical Medicine Rehabilitation Patient Folder

Clinical record--anatomical figure, chest and shoulder examination, physical therapy, joint motion measurements, lower extremity amputee evaluation PM&R Service, manual muscle evaluation, muscle and/or nerve evaluation--manual and electrical; trunk, lower and upper extremities and the face. Clinical record of: Physical medicine and rehabilitation reports, self care activities--functional evaluation, temperature--pulse--respiration and peripheral vascular test. Also included are physical medicine rehabilitation progress reports, therapy order sheets on Physical Medicine and Rehabilitation Service and other related papers and materials.

Disposition Nonpermanent

This becomes part of the patient's medical record and will be disposed of accordingly.

NOTE 1: All material will be combined into one folder upon completion of all PMR treatment and made a part of the patient's medical record.

NOTE 2: Cases of unusual or exceptional nature may be retained by the Chief, Physical Medicine and Rehabilitation Service, for further study. However, the folders should be retained no longer than is absolutely necessary.

J. Prosthetic and Sensory Aids

1. Commercial Source File

Copies of invoices

Disposition: Nonpermanent

Destroy after 2 years.

2. Hearing Aid and Stump Stock Record and Request File

(a) Stump stock records, hearing aid repair and battery records or equivalent.

(b) Requests for stump stocks, hearing aids and hearing aid batteries.

Disposition: Nonpermanent

a and b - prosthetic and sensory aid requests and record of services are to be filed with patients medical record.

3. Record of Prosthetic Service

Include all records of prosthetic services.

Disposition: Nonpermanent

Destroy after 90 days.

4. Treatment

Orthopedic and Prosthetic Appliance Clinic

Record, Prescription and Rating Sheet (Artificial Limbs), Narrative Report and related materials.

Disposition: Nonpermanent

Destroy 90 days after eligibility is terminated - if not filed in the outpatient treatment folder as part of the patient's medical record.

K. Psychiatry, Neurology and Psychology

1. Clinical Psychology Folder

Notes, psychological evaluations, recording sheets, psychological test material and related materials.

Disposition: Nonpermanent

- (a) If patient's data is involved; files must go into patient's record and disposed of accordingly - otherwise destroy clinical psychology folders used in research projects after discharge of the patient, after 6 years of inactivity, and after completion of the research project.

- (b) Destroy clinical psychology folders not used in research projects after discharge of the patient and after 6 years of inactivity.

2. Electroencephalograph Tracings

Disposition: Nonpermanent

Destroy 5 years after the diagnosis and determinations made therefrom have been completed and recorded on the electroencephalograph report and filed in the patient's medical records folder.

3. Mental Hygiene

The contents of this records series include but are not limited to: detailed working notes of the clinic therapists; records of therapy sessions; psychological data based on psychological test books, protocols and other psychological data; trial visit notes; psychological evaluations; treatment and progress notes; neurological examinations, release of information; correspondence of all types; and copies of initial, periodic, and closing reports which are filed in the outpatient treatment folders.

Disposition: Nonpermanent

- (a) Destroy mental hygiene folders used in research projects after 6 years of inactivity and after completion of the research project except those files relating to treatment and progress notes and release patient's medical record.
- (b) Dispose of by burning mental hygiene folders not used in research projects after 6 years of inactivity.

4. Psychology Test Data and Worksheet File

Psychological test material, notes, worksheets and related documents.

Disposition: Nonpermanent

Destroy originals and copies after clinical psychologist examines the records and indicates they are not required for re-examinations,

training and research purposes. All patient data must be filed with the patient's medical record.

L. Radiology Service

1. Inventory

Stock control records showing, by size, the number of X-ray films received, used and current balance on hand

Disposition: Nonpermanent

Destroy after 1 year and after films have been accounted for

2. Radiation Monitoring File

Reports of findings, test reports and analysis, film badge reports, protection surveys, radiation exposure reports and reports of meter monitorings.

Disposition: Nonpermanent

Destroy employee records 1 year after separation or transfer. Destroy general subjective records after 5 years.

3. Radiation Protection Instruction File

Includes protection rules, procedures and instructions.

Disposition: Nonpermanent

Destroy when obsolete, rescinded or when replaced by current information.

4a Radium and Radon Shipments

Shipment control records and related documents.

Disposition: Nonpermanent

Destroy after 2 years.

5. Patient Records

Patient's records pertaining to X-ray and nuclear medicine; copies of treatment course records, therapy summaries, progress notes, technical

factors applied, record of Nuclear Regulatory Commission (NRC) requirements for control of isotopes and related materials.

Disposition: Nonpermanent

These files become a part of the patient's medical record and must be disposed of accordingly.

6. Patient Treatment Control File

Tumor master records used as a pathological index to and summary of patients treated; or equivalent for the following type patients:

"Active" -- for patients under active treatment or in the followup program.

"Inactive" -- for those individuals no longer under treatment of in the followup program.

Disposition: Nonpermanent

Files become a part of the patient's record.

7. X-ray Alphabetical Index

Cards used as cross-reference and locator to X-ray films.

Disposition: Nonpermanent

Destroy when corresponding x-ray films are disposed of.

8. X-ray Films

Exposed X-ray films and copies of the interpretations when filed with the x-ray films.

Disposition: Nonpermanent

Destroy X-ray films 5 years after exposure except those showing active disease. (Destroy X-ray showing active disease after 5 continuous disease free years).

NOTE: Exposed X-ray films may be disposed of immediately which are unserviceable for the following reasons:

- (a) faulty exposure or processing;
- (b) cannot be clearly read from a diagnostic standpoint due to cloudiness, discoloration, breaking of general deterioration; and
- (c) cannot be clearly identified as to name and/or number of the individual X-rayed.

9. X-ray Teaching Films

Exposed X-ray films of special interest and those having exceptional teaching value.

Disposition: Nonpermanent

Destroy after 10 years, or when no longer of value for teaching and educational purposes, whichever is earlier.

10. X-ray Pathological Index Cards

Cards indexing special and interesting roentgenological entities.

Disposition: Nonpermanent

Destroy when no longer needed for medical reference or when card is replaced.

11. X-ray Register

Record of X-ray numbers assigned films used and types of examination.

Disposition: Nonpermanent

Destroy 10 years after date of last entry.

12. Day Book File

Register indicating for each illustration made, the illustration number and the name of patient, unit number, diagnosis, and name of requesting physician; or the subject of the illustration if other than a patient.

Disposition: Nonpermanent

Destroy 30 days after last entry provided a new

book has been started.

13. Lantern Slide

Lantern slides of illustrations, specimens, autopsy materials, tissues, etc.

14. Lantern Slide Charge-outs File

Includes files on charge-outs for lantern slides on loan.

Disposition: Nonpermanent

Destroy when slide is returned to file.

15. Master Negative Lantern Slide Index

Index cards used as an alphabetical finding medium to negative or lantern slides which are maintained in numerical order.

Disposition: Nonpermanent

Destroy when related negative or lantern slide is disposed of.

M. Social Work Service

NOTE: All files involving patient's treatment, progress notes, etc., must go into the patient's medical record folder and disposed of accordingly.

1. Patient Index

File consists of data sheets showing name of patient, new or reopened status and date of closing. Also included are social service cards which are either in the active, inactive or no activity section.

Disposition: Nonpermanent

(a) Destroy data sheets 6 years after date of closing. (b) Transfer active cards to inactive section when case is closed then destroy inactive cards 6 years after social work inactivity and after discharge of patient (NOTE: If case is reopened before the end of 6 years the information on the cards will be brought forward to the new card and the old card(s) disposed of immediately.)

(c) Destroy no activity cards immediately upon discharge of patient.

2. Social Service Working Files

Include copies of social work reports, working papers, treatment and progress notes, and other related papers.

Disposition: Nonpermanent

Destroy when 2 years old or when purpose has been served which ever is sooner.

3. Social Work Files

Include working papers regarding the case pertinent to Social Service including Social Service face sheet, Social Service exchange slips, chronological or process records in interviews, copies of social studies, summaries of Social Service activity and program notes correspondence relating to Social Service activity and outgoing correspondence originating in Social Work - Service, reports from other agencies, copies of Social Service Cards, and Social Work Assistant Data cards.

Disposition: Nonpermanent

(a) Transfer active folders to inactive sections when case is closed. (b) Destroy inactive folders 6 years after social work inactivity or after discharge of patient. (c) Destroy Social Service cards after case is closed and after preparation of necessary reports and summaries. (d) Social Work Assistant Data File destroy after 1 year.

4. Foster Home File

Includes applications for participation in foster home care program, correspondence to and from hospitals and foster homes.

Disposition: Nonpermanent

(a) Destroy applications 1 year after home withdraws from program. (b) Dispose of disapproved applications after 5 years.

5. Foster Home Control File

Cards prepared for each patient placed in the program showing data and place of placement, special medication and other desired data.

Disposition: Nonpermanent

Destroy 1 year after patient is no longer in the program.

6. Home Resource File

Cards indicating the name and address of the home; type; status as to certification of licensing; method and frequency of evaluation, source of data, dates and by whom obtained; names of the patients entering the home, dates and monthly charges.

Disposition: Nonpermanent

Destroy 1 year after home withdraws from the program. (These files must be destroyed via a paper shredder as they contain names, addresses, etc.)

N. Quality Control and Central Supply Services

1. Central Service Requisition (PHS and IHS Hospitals) File

- (a) Central Supply Service (CSS) requisitions or requests from PHS and IHS Hospital wards for CSS supplies and other related materials.

Disposition: Nonpermanent

Destroy after 30 days.

(b) Master Item List File

Records indicating types of stock items maintained in CSS and identification numbers for each type of item.

Disposition: Nonpermanent

Destroy when replaced by new item list.

(c) Sterilization Records

Charts recording sterilization of items in Central Service.

Disposition: Nonpermanent

Destroy after 30 days.

(d) Tray Lay Card File

Cards indicating names and numbers of each Service Tray or set of items, the name and number of each item in the tray or set and photographs of each complete tray or set.

(e) Equipment and Testing

Testing reports of equipment and products and related materials.

Disposition: Nonpermanent

Destroy after 3 years, original and/or copies.

(f) Specification File

Include Federal Specifications as well as those from the private sector.

Disposition: Nonpermanent

Destroy 1 year after specifications become outdated.

(g) Batch Production and Control Records

Consists of all documents related to the Production and Quality Control of each batch of product produced at CSS.

Disposition: Nonpermanent

Remove to Records Storage Area after 1 fiscal

year and destroy after 5 years in the records storage area.

(h) Reserve Sample File

Consists of retention samples of all components and finished products.

Disposition: Nonpermanent

Destroy after 6 years in the reserve sample storage area.

(i) Compliant File

Consists of records of all compliants together with a record of the investigation of each complaint.

Disposition: Nonpermanent

Destroy after 6 years.

(j) Laboratory Data Files

Consists of data log books and assay reports.

Disposition: Nonpermanent

Destroy log books 6 years after date of last entry and assay reports after 6 years.

(k) PHS Purchase Description Files

Consists of current revisions of PHS purchase description covering items stocked by SSC. Files include historical data, previous revisions, and related information.

Disposition: Nonpermanent

Destroy when item deleted from CSSrstock.

24t BUILDING MAINTENANCEA. Interior Decoration1. DraperynCleaning File

Records of draperies cleaned by area, date, etc., and related material.

Disposition: Nonpermanent

Destroy after 6 months.

2. Drapery Specification File

Records of drapery lengths, widths, lined or unlined, number of windows in rooms, locations, etc., and related materials.

Dispositionn Nonpermanent

Destroy after being replaced by new specifications.

3n Linen Inventory File

Records indicating number of linens on hand by type and number of each item, and related material.

Dispositionn Nonpermanent

Destroy after being replaced by new quota information.

4. Linen Repair File

Records pertaining to repair of linens by volume, area, etc., and related material.

Disposition: Nonpermanent

Destroy after 1 year.

5. Linen Replacement File

Records indicating unserviceable linens for discard. Copies of requisitions for replacement of items after fair wear and tear, etc.

B. Utilities and Equipment

1. Inspection Reports, Tests and Laundry Machine Maintenance Records

Inspection reports pertaining to: emergency lighting equipment, batteries, and charging equipment, refrigeration and air-conditioning plants, lubricating, inspecting cleaning and adjusting elevators, also included are inspection sheets or machine and/or equipment, laundry washer service tests for station laundries, laundry machines maintenance records tests for flame failure controls, thermostatic value inspection records, and other inspection reports and tests.

Disposition: Nonpermanent

Destroy after 1 year. Laundry Machines: Forward maintenance cards to receiving stations when equipment is transferred. When equipment is turned in as part payment on new equipment, sold or disposed of in any manner forward card to headquarters program Administrative Officer or the equivalent.

2. Operating Log File

Include boiler treatments, boiler plants, air-conditioning plants, refrigeration plants, swimming pools, and other equipment and utility plant records.

Disposition: Nonpermanent

Destroy after 1 year.

3. Physical Record Card Files

Boiler plant equipment, record electrical distribution and equipment, emergency standby light and power units, mechanical equipment for main generating plants, miscellaneous boiler plant equipment record cards, and continuation sheets, motor generator, transformer and maintenance records, information of hot water storage tanks, shop equipment, and other equipment and utility plant records.

Disposition: Nonpermanent

(a) Destroy cards that have been replaced by new cards (b) Destroy cards on equipment and utility plants that have been removed, sold or replaced.

4. Physical Record Information Files

Related to record information of: air-conditioning plants and room coolers, refrigeration plants, sewage disposal, swimming pools, water supply and treatment, and other equipment.

Disposition: Nonpermanent

(a) Destroy records that have been replaced. (b) Destroy records on equipment and utility plants that have been removed, sold or replaced.

5. Recording Charts File

Contains charts used to record and measure temperature, humidity, steam flow, efficiency of combustion, etc.

Disposition: Nonpermanent

Destroy after 1 year.

Disposition: Nonpermanent

Destroy after 1 year.

6. Uniform and Equipment File

Record of employees to whom lockers are assigned showing location by building, room and locker numbers also uniform and other related equipment

Disposition: Nonpermanent

Destroy after employee relinquishes property.

7. Interior Maintenance

Copies of requests for painting, records of areas painted, walls washed, floors stripped, etc.

Disposition: Nonpermanent

Destroy after 2 years.

8. Methods, Procedures and Techniques File

Sanitation procedures of trash collection, methods and techniques for wall washing, floor waxing, etc., methods and procedures for cleaning and maintaining areas such as operating rooms, isolation wards, etc.

Disposition: Nonpermanent

Destroy immediately after being replaced by new methods, procedures or techniques.

9. Housekeeping Standards File

Quality standards for cleaning areas, workrate standards by type of method and procedure, time studies of various methods of accomplishment, i.e., machine verses hand methods, etc.

Disposition: Nonpermanent

Destroy after being replaced by new standards.

25. Part IE: BUREAU OF HEALTH PERSONNEL DEVELOPMENT AND SERVICE (BHPDS)

Bureau of Health Personnel Development and Service serves as a national focus for efforts to increase the availability of and the placement of health professionals in medically underserved areas, and in promoting a redistribution of care professionals into health manpower shortage areas. This is accomplished in coordination with health service delivery programs administered by other organizations in the Public Health Service. To this end, the Bureau: (1) directs health professions scholarship and student assistance and training programs; (2) administers programs, including the National Health Service Corps, which assure accessibility to health care in underserved areas by arranging for health professionals to provide direct health services in health manpower shortage areas; (3) facilitates the integration of providers of health services into overall health delivery systems by providing national leadership in the development of assignments and professional productivity standards to improve quality of care.

A. Low Interest Student Loans

The purpose of this program is to increase educational opportunities for students in need of financial assistance to pursue a course of study in specified health professions by providing long-term, low interest loans.

These records consist of or relate to reports (except final reports), applications, notices of award, annual operating reports, letters of support, school faculty, school facilities, budget justifications, expenditure reports, obligated balances, payment requests, site visits, surveys, evaluations, recommendations, audits and objectives and goals. Final reports are covered in item 11-15.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

Other Offices

Destroy 2 years after final payment.

B. Low-Interest Nursing Student Loans

The purpose of this program is to assist students in need of financial assistance to pursue a course of study in professional nursing education by providing long-term, low-interest loans.

These files contain approved and paid nursing grants, awards, extramural projects, training fellowships, awardees program narratives, job descriptions, reports of expenditure, applications, progress reports, obligated balances objectives and goals, budget estimates and justifications payment requests, equipment lists, bidding documents, next year forecasts, subcontracts, and loan drawdowns. Individual grantee files contain copies of applications, repayment schedules, promissory notes, and repayment agreements. Also included are school grant files, awards, and bidding documents.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

Other Offices

Destroy 2 years after final payment.

C. Shortage Area Scholarships

This program is designed to assign health personnel to areas of critical shortages in health professions.

Files consist of reviews, site visits, applicant community profiles, biographical sketches, job descriptions, accessibility and utilization of personnel, certification statements, equipment lists, individual student files, tuition invoices from participating schools, stipend payments to students, related correspondence, and notice of grant awards.

Disposition: Nonpermanent

Maintain files until student completes obligatory service (approx. 4-12 years). Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever is later.

ⁿ D. Shortage Area Loan Cancellation Files

Consists of files on shortage areas, correspondence on the various disciplines (Med, Vet, etc.) and student files on cancellation of Health Profession Loans.

Disposition: Nonpermanent

Maintain in office for 10 years then transfer to the FRC. Destroy when 15 years old.

E. Health Professions Loan Repayment for Failure to Complete Studies

The purpose of this program is to remove the burden of indebtedness if, for academic, economic or medical reasons disadvantaged students are forced to leave school before the completion of their health professions studies.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

F. Nursing Loan Repayment for Failure to Complete Studies

The purpose of this program is to remove the burden of indebtedness if, for academic, economic or medical reasons disadvantaged students are forced to leave school before the completion of their nursing studies.

These records consist of or relate to applications, information about the loans for which repayment is being sought, applicant eligibility, school certification of attendance, recommendations and disposition of the repayment request.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

G. Health Professions Student Loan Cancellation for Disability

This provision of the Health Professions Student Loan Program entitles the borrower to cancellation of the loan in the event of permanent and total disability.

Disposition: Nonpermanent

Destroy 6 years after the loan program goes into phase-out.

H. Nursing Student Loan Cancellation for Disability

This provision of the Nursing Student Loan Program entitles the borrower to cancellation of the loan in the event of permanent and total disability.

These records consist of loan information, signed consent for release of information, medical records and supporting documentation, and action of the Surgeon General's Review Board.n

Disposition: Nonpermanent

Destroy 6 years after the loan program goes into phase-out.

I. Program of Scholarships for First-Year Students of Exceptional Financial Need

The purpose of this program is to encourage students of exceptional financial need to pursue specific health profession careers by removing the fear of incurring heavy educational debts during the first year of study.

These records consist of applications, notices of award, annual operating reports, correspondence, audits and recommendations.

Disposition: Nonpermanent

Destroy 6 years after program phase-out or upon resolution of any adverse audit findings, whichever occurs later.

J. Health Professions Loan Repayment for Shortage Area Service Program

The purpose of this program is to attract to those areas of the United States which are experiencing a health manpower shortage, adequate numbers of health personnel from the professions of medicine, osteopathy, dentistry, veterinary medicine, optometry, pharmacy and podiatry.

Disposition: Nonpermanent

Destroy 6 years after completion of service contract or repayment to the Secretary in cases of default.

K. Nursing Loan Repayment for Shortage Area Service Program

The purpose of this program is to attract adequate numbers of nursing personnel to those areas of the nation which are experiencing a shortage of professional nurses.

These records consist of or relate to applications, information about the loans for which repayment is sought, applicant and service area eligibility, repayment schedules and signed service agreement between the Secretary and the borrower.

Disposition: Nonpermanent

Destroy 6 years after completion of service contract or repayment to the Secretary in cases of default.

L. Health Professions Loan Repayment for Failure to Complete Studies

The purpose of this program is to remove the burden of indebtedness if, for academic, economic or medical reasons disadvantaged students are forced to leave school before the completion of their health professions studies.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

M. Nursing Loan Repayment for Failure to Complete Studies

The purpose of this program is to remove the burden of indebtedness if, for academic, economic or medical reasons disadvantaged students are forced to leave school before the completion of their nursing studies.

These records consist of or relate to applications, information about the loans for which repayment is being sought, applicant eligibility, school certification of attendance, recommendations and disposition of the repayment request.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

N. Health Professions Student Loan Cancellation for Disability

This provision of the Health Professions Student Loan Program entitles the borrower to cancellation of the loan in the event of permanent and total disability.

Disposition: Nonpermanent

Destroy 6 years after the loan program goes into phase-out.

O. Insured Health Loans

The purpose of this program is to encourage lenders to make loans to eligible students in specified health professions who desire to borrow money to pay for their educational costs. In addition, certain non-students (such as doctors serving as interns or residents) can borrow in order to pay the current interest charges accruing on earlier HEAL loans.

These records consist of or relate to student loan applications, lender applications, loan manifests, terms of agreement, budget justifications, periodic reports, site visits, surveys, evaluations, recommendations, audits, and objectives and goals.

Disposition: Nonpermanent

Office of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

Other Offices

Destroy 2 years after final payment

P. National Health Service Corps Scholarships

The purpose of this program is to obtain students of medicine, osteopathy, dentistry, and other health professions needed by the National Health Service Corps for clinical practice in U.S. health manpower shortage areas. In return for each year of Scholarship support, students are obligated for one year of such practice. The minimum service obligation is two years.

These records consist of all correspondence, memoranda, and other files relative to the original application, contract agreement, first-time and continuing awards, payments made to or on behalf of, training deferments of, and service obligations of Scholarship recipients.

Disposition: Nonpermanent

Office of Record

Files of unsuccessful applicants are destroyed 6 months after the close of each annual application period

Disposition: Nonpermanent

Office of Record

Files of successful applicants are retained indefinitely, as Federal personnel records, following the completion of their service obligation or other satisfaction of the obligation incurred by Scholarship support.

Q. Health Professions Educational Assistance Program for Cuban Refugees

The purpose of this program is to make long-term low interest rate loans available to Cuban Nationals who were unable to receive support from sources within Cuba and have insufficient resources in the United States to finance their education in the health professions.

These records consists of or relate to applications, notices of award, obligation and payment authorizations exit interviews, coorespondence with the individual and schools they attended, repayment schedules and records of repayments made, deferments or cancellations.

Disposition NonpermanentOffice of Record

Destroy 6 years after final payment, or upon resolution of any adverse audit findings, whichever occurs later.

Other Offices

Destroy 2 years after final payment.

26a PART II - NONRECORD MATERIALS

- A. Materials preserved solely for purpose of reference, as follows: public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, policy and procedure documents published within DHHS, by other Federal agencies, by State and local government and public activities.

Disposition: Nonpermanent

Destroy when superseded and/or no longer needed for operations.

- B. Extra copies of documents preserved only for convenience of reference, such as:

1. Reading file copies of correspondence.
2. Tickler, followup, or suspense copies of all documents correspondence.
3. Identical duplicate copies of all documents maintained in the same file.
4. Extra copies of printed or processed materials of which official copies have been retained for purpose of record.
5. Publication stocks and processed documents preserved for supply purposes.

Disposition: Nonpermanent

(1) Destroy when 1 year old. (2) Destroy when action in each case is completed or when 1 year old. (3) Destroy each year when files are screened and purged, or when 2 years old. (4) Destroy each year when files are screened and purged. (5) Destroy when superseded and/or no longer needed for operations.

- C. Private Materials

Privately purchased books and other publications and correspondence, and other materials pertaining to personal matters that have been kept in an office for convenience.

Disposition: Nonpermanent

The owner should take this material with him when he departs the office on a permanent basis. Otherwise, destroy when owner permanently departs, unless it is desirable to offer the materials to libraries or other employees first.

D. Nonpreserved Materials

Materials that are not being preserved or are not appropriate for preservation because they have neither evidential or informational value, such as:

1. Preliminary or intermediate drafts of letters, memoranda, reports, or other papers, and preliminary worksheets and informational papers that do not represent significant basic steps in the preparation of record copies of documents.

Disposition: Nonpermanent

Destroy when 1 year old.

2. Letters of transmittal that do not add any information to that contain in the transmitted materials.

Disposition: Nonpermanent

Destroy when no longer needed, or in any event when 1 year old.

3. Memoranda or other papers that do not serve as the basis for official actions, for example, notices of holidays, Red Cross or Combined Federal Campaign drives, and activities of Government associations of unions.

Disposition: Nonpermanent

Destroy when no longer needed, or in any event when 1 year old.

4. Shorthand notes, including stenographic notebooks and stenotype notebooks and stenotype tapes, that have been transcribed.

Disposition: Nonpermanent

Destroy when no longer needed, or in any event when 1 year old.