

REQUEST FOR RECORDS DISPOSAL AUTHORITY
 (See Instructions on reverse)

LEAVE BLANK	
JOB NO NC 1-330-77-5	
DATE RECEIVED OCT 18 1976	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
MAR 28 1977 Date	<i>James B. Rhoads</i> Archivist of the United States

Hens - 53

TO **GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Office of the Secretary of Defense

2. MAJOR SUBDIVISION
OASD(C)

3. MINOR SUBDIVISION
OASD(C)(A) Records Management

4. NAME OF PERSON WITH WHOM TO CONFER
James S. Nash

5. TEL EXT
695-0970

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 12 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.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	
10/15/76	<i>James S. Nash</i>	Records Administrator	
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
900	Records of the Assistant Secretary of Defense for Health Affairs		

115-107
Sent to agency and New - 3/30/77 JP

Category
Number

Description of Records

Authorized Disposition
Instruction

900

Health Affairs.

Health Affairs Files. This Chapter deals with those files necessary to administer the Office of the Assistant Secretary of Defense for Health Affairs. As such these functions include advise and coordination of all health affairs in the Department of Defense.

Unless otherwise indicated all Health Files of a permanent nature will be made available to NARS when 25 years old.

Files may be further divided depending upon volume by the use of a decimal suffix. Any ADP files involved will be described in a later Chapter.

901

Office Administration Files.

These files may accumulate in any office to document the performance of their assigned duties. However, all the administrative files listed below seldom accumulate in a single office.

901-01

Health Affairs Policy. Policies and guidance governing DoD planning and program development on all health matters, suggestions for change, preparation and interpretation.

Permanent. Transfer to WNRC 5 years after no longer current. Make available to NARS when 40 years old.

901-02

Instruction Files. Documents related to preparing, coordinating, issuing, and interpreting

Permanent. Cut off annually or on supersession or obsolescence, as reference needs require.

Category

Number

Description of Records

Authorized Disposition

Instruction

directives, regulatory instructions, and comparable instructional material. These files accumulate in offices responsible for preparation and interpretation of instructions and include coordinating action, studies, interpretations, and published record copies of instructions, such as regulations, supplements, memorandums, circulars, pamphlets, and bulletins; messages used for expeditious interim changes to instructions; technical newsletters or comparable media used to forward semi-official and authoritative instructions; and official training materials.

901-03

Administrative Files. Documents relating to the overall or general routine administration of finance and fiscal activities, but exclusive of specific files described in this regulation. These files include, but are not limited to:

a. Routine comments on instructions, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or function of the office, documents should be filed with the appropriate mission functional files.

b. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.

a. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

b. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	c. Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.	c. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	d. Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or function.	d. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	e. Comments on or contributions to news releases or other media furnished to information officers to publicize and promote the mission or functions.	e. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	f. Travel arrangements.	f. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.
	g. Internal security arrangements.	g. Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cut off file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

Category
Number

Description of Records

Authorized Disposition
Instruction

h. Personnel records letters of commendation, job description, etc.

h. Destroy 6 months after individual transfers or is separated.

901-04

Agreement Files. Documents relating to agreements between elements of DoD and other Federal agencies, or between OSD and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations for the purpose of providing or obtaining various types of support services. The services include logistic, medical, administrative, facilities, and similar support on a one-time or continuing basis; and on a reimbursable or nonreimbursable basis. Included are agreements, agreement checklists, amendment, review comments, related correspondence, and similar documents.

Agreements will be destroyed 3 years after supersession, cancellation, or termination of the agreement.

901-05

Orientation and Briefing Files. Documents used in orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or viewgraphs, copies of specifically prepared handouts, and related or similar documents.

Destroy on supersession or obsolescence.

901-06

Committee Files. Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned

Permanent. Cut off when no longer needed for current operations.

Category
Number

Description of Records

Authorized Disposition
Instruction

OSD participates; as well as committees within all echelons and elements of DoD. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving appointing, and relieving committee members; agenda and committee meeting minutes and related documents.

901-07

Staff Visit Files. Documents relating to schedule or special visits (but not inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. This definition is not applicable to visits made in connection with a specific process or case which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other directly related documents.

Destroy 1 year after completion of next comparable visit or on completion of related study.

901-08

Reference Paper Files. Documents used to facilitate, control, or supervise the performance of a specific function, process, or action as distinguished from those official records necessary for documenting performance of a function, process, or action they are used with. Reference paper files consist of the following types of documents:

a. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation of a communication, a study, an investigation, a survey, and inspection, or other action. This definition does not include official and quasi-official recommendations, coordinating actions, and other documents which contribute to or result from preparation of the communication or other record.

b. Cards, listings, indexes, and similar documents used for facilitating and controlling work.

c. Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.

d. Documents received for general information purposes that require no action and are not required for documentation of specific functions.

e. Extra copies of documents maintained by action officers which reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.

a. Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.

b. Destroy when no longer needed to facilitate or control work.

c. Destroy when superseded, obsolete, or no longer needed for reference.

d. Destroy after 1 year. However earlier destruction is authorized.

e. Destroy after 1 year. However, earlier destruction is authorized.

Category

NumberDescription of RecordsAuthorized Disposition
Instruction

f. Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy filed elsewhere in lower echelon offices of the same organizational element which is responsible for performing the action, process, or function. Such files should be established only when necessary, not in each office of the same organizational element.

f. Destroy after 1 year. However, documents in the inactive file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.

902Drug and Alcohol Abuse.902-01

a. Prevention and Identification. Documents pertaining to policy guidance on the prevention and identification of Drug and Alcohol Abuse.

a. Permanent. Transfer to WNRC when obsolete or superseded.

b. Administrative documents that prescribe procedures to determine frequency of testing and identification of drug and alcohol abuse personnel subject to testing.

b. Destroy when superseded by new technology or improved procedures.

902-02

Alcohol Abuse. Policy matters pertaining to the alcohol abuse treatment programs prescribing procedures to be used and guidelines in the administration and discipline of personnel with alcohol problems.

Permanent. Transfer to WNRC when obsolete or superseded.

902-03

Treatment and Rehabilitation.

a. Policy on alcohol or drug treatment which prescribes the type action to be undertaken for treatment, the rehabilitation procedures and what

a. Permanent. Transfer to WNRC when superseded or obsolete.

Category Number	Description of Records	Authorized Disposition Instruction
	disposition is to be made of those who complete the program or dropout. These are policy matters and do not include care files.	
	b. Statistics on the ^{number} member of military personnel undergoing treatment, or retreatment and those separated or returned to duty. <i>(includes raw statistical data included)</i>	b. Destroy when 5 years old. <i>Permanent.</i>
	c. Periodic evaluations on a ^{is compiled} study "when required" basis consisting of documents which measure the success of and effectiveness of the program policies.	c. Destroy when 5 years old. <i>Permanent.</i>
<u>902-04</u>	Education and Training. Documents which develop and implement for use in education and training program policy to be used by the armed forces in their alcohol and drug abuse programs. It does not include individual training records but does include evaluations of the effectiveness of the current policy.	a. Policy matters are permanent. Transfer to WNRC when obsolete or superseded. Make available to NARS when 20 years old. Evaluations may be destroyed when 5 years old. b. <i>Evaluations are permanent. Transfer to WNRC when obsolete or superseded.</i>
<u>903</u>	<u>Resource Analysis.</u>	
<u>903-01</u>	Facilities and Material. Development, coordination and monitoring of DoD medical facilities and natural policies plans and programs.	Permanent. Transfer to WNRC when obsolete or superseded.
	Policies and guidelines pertaining to planning and space standards for military health care facilities. Reviews and coordination of plans and programs of OEP regarding medical recommendations regarding proposed legislative pertaining to facilities or material.	

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>903-02</u>	<p>Health Manpower. Directives which establish the military requirements for health personnel. These are of a nature which identify the critical medical and dental health categories; designate those entitled to continuation pay; and authorize strengths in grade for the Medical and Dental Officers Corps. Preliminary to the issue of such directives would be documentation consisting of studies and analyses which would indicate the necessity for change. Policy directives on the utilization and medical education and training of health specialists. These would be such as the internship program policy and a determination of obligated service time for those who receive special training. Documents proposing legislation affecting health programs such as bonus money to stimulate recruitment and retention.</p>	<p>Permanent. Transfer to WNRC when superseded or obsolete.</p>
<u>903-03</u>	<p>Cost and Budget. Documents pertaining to budget requirements for health activities to be incorporated in appropriate budgets and plans. Cost-benefit studies of possible cross savings, consolidations or disestablishment of health facilities.</p>	<p>Permanent. Transfer to WNRC when obsolete or superseded.</p>
<u>904</u>	<u>Health Information Systems.</u>	
<u>904-01</u>	<p>Program Statistics. Analyses of medical care case load reports provided by the military departments, the correlation with manpower reports</p>	<p>Permanent. Transfer to WNRC when 5 years old.</p>

Category
Number

Description of Records

Authorized Disposition
Instruction

on the military and dependent population in various defense communities in order to determine the type medical facility needed to deliver the required health care.

The analyses of reports from the military departments on the incident of various diseases; the number of recruits rejected for health reasons and similar data of medical interest.

904-02

Data Systems.

a. Documents describing the health data systems needs to the programming and operating facility.

a. Destroy two years after system discontinued.

b. Users manuals of operable data systems.

b. Destroy two years after system discontinued.

c. Agreements for data systems support.

c. Destroy two years after system discontinued.

d. Annalysis and studies of data systems needs for health affairs.

d. Destroy 1 year after supersession.

905

Utility Reviews and Quality Assurance.

905-01

Utility Review. Studies and analysis of areas of potential innovation and assessments of value to productivity - enhancing technology with a view towards the improvement of health services in DoD.

Permanent. Transfer to WNRC when 5 years old.

Category
Number

Description of Records

Authorized
Disposition

905-02

Quality Assurance studies and analyses of health care quality.

a. Standards.

a. Permanent.

b. Studies and evaluations on a "when required" basis, not resulting in issuance of new standards.

b. Destroy when five years old.

c. Studies and analyses which result in issuance of new standards.

c. Permanent.

906

CHAMPUS Records.

906-01

Policy.

a. These documents are generally in the form of instructions to DoD components on the administration of the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program. They establish such policy as eligibility for active duty, retired, and dependents of the military; guidance on obtaining contract support, the creation of an accounting system to process claims, and related matters.

a. Policy is permanent. Transfer to WNRC when superseded or obsolete.

b. Studies and reviews of developments and trends in the health industry which may impact on CHAMPUS.

b. Destroy when 5 years old.

c. Analyses of CHAMPUS costs for various types of treatment to determine equitable pricing structure.

c. Destroy when 5 year old. This is a continuous evolutionary process.

d. Analyses of and preparation of the CHAMPUS Budget.

d. Destroy when 5 years old. This is input to the OSD budget process.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
<u>906-02</u>	Liaison Activities. Coordination of CHAMPUS with health care industry organizations and professional association; with health care programs in the uniformed and other health agencies.	Destroy when 10 years old.
<u>907</u>	<u>Planning and Policy.</u>	
<u>907-01</u>	Policy Analysis. These files consist of studies made of the continuing need for health policies that are proposed or presently in the forms of directives or construction. These files also coordinate the proposal of other offices on the need for health care legislation.	Permanent. Transfer to WNRC when 5 years old.
<u>907-02</u>	Mobilization Plans. Coordination of medical aspects of emergency war and mobilization planning. Documents pertaining to liaison with OEP.	Permanent. Transfer to WNRC when superseded or obsolete.
<u>907-03</u>	Productivity Planning. Studies and analyses of whose purpose is to optimize efficiency in the Health care program. The development of uniform standards to measure productivity. Some examples are the exploration of shared resources and the use of screening by a technician to save the doctor's time.	Permanent. Transfer to WNRC when superseded or obsolete.
<u>908</u>	<u>Dental Affairs.</u>	
<u>908-01</u>	Policy.	
	a. The development, coordination and issuance of directives and guidelines on dental policy for DoD. This would include such policy matters as the limitation of	a. Policy matters are permanent. Transfer to WNRC when superseded or obsolete.

<u>Category Number</u>	<u>Description of Records</u>	<u>Authorized Disposition Instruction</u>
	dental care for military dependents, the joint utilization of personnel and facilities for dental care.	
	b. The estimation of an equitable continuation pay for dental officers.	b. Destroy 2 years after new estimates for legislative changes proposed.
	c. Monitoring of the Dental Student Program.	c. Destroy when 3 years old.
	d. The establishment of standards for dental classification and specifications for conducting dental examinations.	d. Permanent. Transfer to WNRC when superseded or obsolete.
<u>909</u>	<u>Medical Affairs.</u>	
	Development, coordination and directives on the medical aspects of DoD programs, (clinical and preventative medicine for the Armed Forces). Preparation of DoD Directives and instructions relating to medical services programs in DoD. Coordination of Federal medical professional activities.	Permanent. Transfer to WNRC when superseded or obsolete.