

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-090-76-03**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/26/2023

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 1a is superseded by N1-514-92-001 #9b1

Item 1b is superseded by N1-514-92-001 #9b2

Item 2a is superseded by N1-514-92-001 #23a

Item 2b is superseded by N1-514-92-001 #23b

Item 3 is superseded by N1-514-92-001 #26

Item 4 is superseded by N1-514-92-001 #9a

Item 5a is superseded by N1-514-92-001 #30a1

Item 5b is superseded by N1-514-92-001 #30a2

Item 6 is superseded by N1-514-92-001 #4

Item 8 is superseded by N1-514-92-001 #1

Item 10 is superseded by N1-514-92-001 #22a

Item 11 is superseded by N1-514-92-001 #2

Item 12 is superseded by N1-090-91-002 #12

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 13 is superseded by N1-514-92-001 #3  
Item 14 is superseded by N1-514-92-001 #13  
Item 15a/b is superseded by N1-514-92-001 #27  
Item 20 is superseded by N1-514-92-001 #22g  
Item 21 is superseded by N1-514-92-001 #19  
Item 22a is superseded by N1-514-92-001 #10  
Item 23a/b is superseded by N1-514-92-001 #15  
Item 24 is superseded by N1-514-92-001 #16  
Item 35 is superseded by NC1-090-78-005 #1  
Item 40 is superseded by N1-514-92-001 #18  
Item 54 is superseded by N1-514-92-001 #12c1  
Item 55a1 is superseded by N1-514-92-001 #12d1a  
Item 55a2a-c is superseded by N1-514-92-001 #12d1b  
Item 56a is superseded by N1-514-92-001 #12a1  
Item 57 is superseded by N1-514-92-001 #30b  
Item 59 is superseded by N1-514-92-001 #21b  
Item 61 is superseded by N1-514-92-001 #21a  
Item 62 is superseded by N1-514-92-001 #22e  
Item 63 is superseded by N1-514-92-001 #22h  
Item 64 is superseded by N1-514-92-001 #22a  
Item 65 is superseded by N1-514-92-001 #22k  
Item 66 is superseded by N1-514-92-001 #22i  
Item 67 is superseded by N1-514-92-001 #22j  
Item 68 is superseded by N1-514-92-001 #22l  
Item 69 is superseded by N1-514-92-001 #22d  
Item 71 is superseded by N1-514-92-001 #22f  
Item 72 is superseded by N1-514-92-001 #22m

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 73 is superseded by N1-514-92-001 #22b

Item 75 is superseded by N1-090-90-014 #1

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS

*126 items* (See Instructions on Reverse) *90*  
TO GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

LEAVE BLANK	
DATE RECEIVED FEB 11 1976	JOB NO NC1 - 90-76-3
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with drawn" in column 10	
5-28-76 <i>James E. O'Neil</i> (Date) <i>Acting</i> Archivist of the United States	

- FROM (AGENCY OR ESTABLISHMENT)  
Department of Health, Education, and Welfare
- MAJOR SUBDIVISION  
Public Health Service
- MINOR SUBDIVISION  
Office of the Assistant Secretary for Health
- NAME OF PERSON WITH WHOM TO CONFER  
Carl E. Mann
- TEL. EXT.  
443-2055
- 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 \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

*2/6/76* Date  
*Eugene J. Freed, Jr.* for *Russell O. Hess* (Signature of Agency Representative)  
Dept. Records Mgmt. Officer (Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1	<p>RECORDS CONTROL SCHEDULE FOR USE BY THE OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE</p> <p>The Assistant Secretary for Health is responsible for the direction of the Public Health Service, for providing leadership and policy guidance for health-related activities throughout the Department and for maintaining relationships with other governmental and private agencies concerned with health. The Assistant Secretary for Health is the principal advisor and assistant to the Secretary on health policy and all health-related activities in the Department.</p> <p><u>IMPORTANT:</u> Unless otherwise stated all offices of CASH will follow the same authorized disposition instructions.</p> <p><u>Immediate Office of the Assistant Secretary for Health:</u> Included are the Assistant Secretary, Deputy Assistant Secretary, and Executive Officer.</p> <p>a. These files consist of or relate to guidance, instructions, and decisions issued or received by the immediate Office of the Assistant Secretary, relative to administrative and program operations. Included is pertinent correspondence with the Secretary, DIEHL, and his staff;</p>		

*5/11/76 - Changes with approval of Carl Mann*  
*(PL) Copy to NCW 6-8-76*  
*Copy to Agency 6-7-76*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>Principal Operating Components, DHEW; PHS Agencies; Regional Health Administrators; and other Federal Agencies as well as budget statements, briefings, presentations, speeches, digests, and backup materials of a highly significant and sometimes sensitive nature.</p> <p><u>Authorized Disposition:</u> Permanent. Transfer to the FRC when no longer needed for administrative purposes and offer to the National Archives 3 years thereafter.</p> <p>b. These records pertain to routine correspondence with Congress, State and local government activities; and activities outside government. These files relate to such matters as inquiries about ongoing programs; general public inquiries and remarks; requests for information; and explanation of regulations, directives, procedures, and policies.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 2 years old and destroy when 5 years old.</p>		
2	<p><u>Policies and Procedures:</u> These records reflect the policies and procedures established for program and administrative operations throughout the Public Health Service, and usually require approval by the Immediate Office of the Assistant Secretary for Health. Included are staff studies, action papers, summaries, digests, presentations, interpretations, clarifications, evaluations, conclusions, recommendations, evidence of staff coordination, and decisions. The office of record is the staff office initiating, or primarily responsible for implementing the policy or procedure. The policies and procedures are usually promulgated in PHS Issuances to the HEW Staff Manual System.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record - Permanent. Transfer to the FRC when superseded, obsolete, or no longer needed for reference; and offer to National Archives 10 years thereafter.</p> <p>b. All Other Offices - Destroy when superseded, obsolete, or when no longer needed for reference.</p>		
3	<p><u>Special Staff Programs:</u> The Assistant Secretary for Health has responsibility for certain special activities which are related to the overall program and administra-</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
4	<p>tive responsibilities of the Public Health Service. Examples are international health and population affairs. These responsibilities are assigned to Special Staff Offices established for the purpose of carrying out these technical programs. Such offices report directly to the Immediate Office of the Assistant Secretary for Health. Certain program records created in these Special Staff Offices have significant historical and/or research value, and consist of or relate to such matters as council and committee membership; transcripts, minutes, presentations, digests, summaries, recommendations, evaluations, and reports on pertinent meetings and conferences; and pertinent other reports, staff papers, memorandums, agreements, resolutions, letters, and studies. Records of historical value are kept separately in each office.</p> <p><u>Authorized Disposition:</u> Permanent. Offer to National Archives when no longer needed for day-to-day operations.</p> <p><u>Congressional Correspondence:</u> These files consist of correspondence between members of Congress and the Public Health Service. Included are the incoming correspondence, suggestions for possible use in preparing a reply with supporting documentation, final reply with staff clearances obtained, along with any other supporting materials. The office of record is the responding office. These records are filed separately by each office as those of permanent value and those of temporary value.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record. Those records of permanent value - Transfer to the FRC when no longer needed for day-to-day operations. Offer to National Archives 10 years thereafter.</p> <p>b. Office of Record. Those records of temporary value - Transfer to the FRC when 2 years old and destroy <del>5</del><sup>3</sup> years <del>thereafter</del><sup>unless</sup> needed for a longer period due to incumbent Congressman's continuance in office.</p> <p>c. All Other Offices. Destroy when 2 years old, or earlier if no longer needed for day-to-day operations.</p>		
5	<p><u>General Reports:</u> These are administrative and program oriented reports of historical value. They are either created within OASH or submitted to OASH by other PHS</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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6	<p>activities. The offices of record are located within OASH. These records include one-time reports on designated subjects; periodic progress reports, whether narrative or statistical; special reports of accomplishments; transcripts of hearings; and minutes of pertinent meetings and conferences called to discuss program goals, achievements, problems, and new policies and procedures.</p> <p><u>Authorized Disposition:</u></p> <p>a. Offices of Record. Permanent. Transfer to the FRC when 7 years old or earlier if no longer needed for day-to-day operations. Offer to National Archives when 12 years old.</p> <p>b. All Other Offices. Destroy when 3 years old.</p> <p><u>Public Affairs:</u> Complete set of formal informational releases and publications such as press releases, press conference transcripts, official speeches, graphic progress presentations, and indexes thereto. The OASH Public Affairs Office is the office of record. All other OASH staff offices furnish contributions to the Public Affairs Office.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record. Permanent. Transfer to the FRC when 4 years old. Offer to National Archives when 10 years old.</p> <p>b. All Other Offices. Destroy when 1 year old.</p> <p>The record materials described in items 7 through 9 below are created during each Congressional session, and are used primarily in the Office of Health Legislation, OASH, during the legislative process of the introduction, deliberation and enactment or veto of Congressional and Administration bills affecting Sections of the Public Health Service Act, Social Security Act, and other health-related programs of the Department; and to respond to requests for information, interpretations, and guidance.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
7	<p><u>Bill Files:</u> Bill files are in two sections - Senate and House bills. Folders are established in numerical order under each section as action is started on bills in Congress. Each folder contains copies of draft bills, bill reports, position statements, summaries, conference reports, Congressional Record items on each bill, veto messages, memorandum of disapproval or Presidential signing statement on each bill, and copy of Public Law assigned to each bill after enactment. These are short term working files.</p> <p><u>Authorized Disposition:</u> All Offices. Transfer to inactive status at end of Congressional year, bills enacted or vetoed (except retain in pending status vetoed bills that are likely to be reintroduced in another Congressional year). Destroy those bills of little impact/significance immediately after printed record of hearing is issued. Destroy bill files one calendar year after enactment of law.</p>		
8	<p><u>Hearing Files:</u> Hearing folders are established during each Congressional year. Folders are filed in chronological order of date of hearing in ascending order. These files show the actions taken prior to hearings. Folders include invitation and response, if any, to invitation to hearing; draft copies of prepared statement of witness and clearances within the Department of those drafts; list of witnesses for each hearing; and a copy of printed statement in final form. These are short term working files.</p> <p><u>Authorized Disposition:</u> All Offices. Transfer to inactive status at end of Congressional year. Destroy one calendar year thereafter.</p>		
9	<p><u>Programs Under Current Legislative Consideration:</u> Emphasis on legislation of PHS programs varies from year to year. Examples of programs receiving legislative emphasis are as follows:</p> <p>a. <u>Medicare/Medicaid</u> - These files are established primarily for maintaining current information on legislation in effect for dissemination to interested personnel. They contain proposed and final regulations covering Public Law 92-603, general provisions of the Law, policy</p>		



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7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
10	<p>and informational memoranda covering Titles XVIII and XIX of the Law, and requests for information related to the Law. These files are in numerical order by program title number and further broken down by alphabetical subject matter under each title number. These are reference files.</p> <p><u>Authorized Disposition:</u> All Offices. Destroy portions superseded or declared obsolete after a period of 3 years, or earlier if no longer needed for reference.</p> <p>b. <u>Health Insurance</u> - These files include materials related to hearings or proposals for a national or comprehensive health insurance program plan. Folders are kept in numerical order for Administration and Congressional bills and in alphabetical order for bills or plans of medical or insurance associations and other organizations involved in health insurance issues. These are reference files.</p> <p><u>Authorized Disposition:</u> All Offices. Retire to inactive status after legislation is enacted or denied. Destroy 2 years thereafter.</p> <p><u>Budget Preparation, Presentation, and Apportionment:</u> Budget and apportionment records include the various files accumulated in OASH in the course of formulating its budget for submission to the Department, and in defending its requests for funds to the Department, Office of Management and Budget, and to the Congress; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. Also included are summary status statements, program narratives, and schedules of obligations.</p> <p>a. Correspondence files of formally organized OASH budget offices showing procedures to be followed in governing budget administration, and reflecting established policy decisions affecting expenditures for programs.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 3 years old. Destroy when 10 years old.</p> <p>b. File copies of budget estimates prepared or consolidated in formally organized OASH budget offices compris-</p>		

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11	<p>ing appropriation language sheets, narrative statements, and related schedules and data.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 3 years old. Destroy when 10 years old.</p> <p><u>Organizational Management:</u> These records include statutes and Executive Orders as well as drafts and supporting material relating to organization or reorganization, including the creation, discontinuance, and consolidation of functions of various organizational elements; interpretations, opinions, and memoranda of law; organizational and functional charts; directories; correspondence and memoranda defining responsibilities, or showing working relationships with Federal activities outside PHS, State and local governments, or industry and private organizations; and staff studies and special reports relating to organizational problems. The office of record is the Office of Organization and Management Systems, Office of Administrative Management, OASH.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record. Permanent. Transfer to the FRC when superseded. Offer to National Archives 10 years thereafter.</p> <p>b. All Other Offices. Destroy when superseded or obsolete.</p>		
12	<p><u>PHS Manual Issuances:</u> The purpose of these issuances is to implement the contents of the Department Manual System within the Public Health Service.</p> <p>a. <u>Issuance Files.</u> These records consist of chapters, circulars, guides, and handbooks published by OASH as PHS issuances to the Department Staff Manual System. These issuances usually prescribe major policies and procedures to be followed within PHS for administrative and program operations, as well as responsibilities, information to be retained on each subject matter, and reports required. The office of record is the OASH office having primary responsibility for administrative or program area to which the issuance pertains.</p> <p><u>Authorized Disposition:</u></p> <p>(1) Office of Record. Permanent. Transfer to the FRC</p>		

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	<p>when superseded, obsolete, or no longer needed for reference. Offer to National Archives 10 years thereafter.</p> <p>(2) All Other Offices. Destroy when superseded, obsolete, or no longer needed for reference.</p> <p>b. <u>Issuance Background Files.</u> These are materials accumulated by all OASH offices on manual issuances which they are required to review, approve, or prepare. They consist of drafts, evaluations, comments, recommendations, concurrences, approvals, and any other documentation contributing to clearance and publication.</p> <p><u>Authorized Disposition:</u> All Offices. Destroy when 1 year old unless needed for a longer period of time for administrative purposes.</p>		
13	<p><u>Records Management:</u> These records include SF-115, Request for Authority to Dispose of Records, SF-135, Records Transmittal and Receipt, GSA Form 7015, Notice of Intent to Dispose of Records, SF-136, Annual Summary of Records Holdings, and Record Control Schedules including correspondence relating to approvals and changes to the schedules. The office of record for the SF-115 and SF-135 is the originating OASH office. The office of record for the GSA Form 7015 is the OASH office responsible for the records listed on the form. The office of record for record control schedules is the OASH office publishing the schedules. The office of record for the SF-136 is the PHS Records Officer.</p> <p><u>Authorized Disposition:</u> SF-115, SF-135 and GSA Form 7015 - Destroy when no longer needed for search purposes. These documents constitute a small volume and therefore occupy very little files space. Records control schedules - Destroy when superseded or no longer needed for reference. SF-136, destroy when no longer needed for administrative purposes.</p>		
14	<p><u>Forms Management:</u> These records contain data showing the inception and scope of PHS forms, the program or administrative purposes served by the forms, and the related procedures instituted, revised, superseded, or cancelled. A case file is maintained on each PHS form. Each PHS Agency is responsible for management of its own forms. Also included at the OASH level are files materials relating to guidance furnished the PHS Agencies</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>in carrying out their forms management responsibilities, and supervision of the overall PHS forms management program. a. Record Copy of each PHS Form. PERMANENT. Offer to NARS in 10 year increments. <u>Authorized Disposition:</u> b. Other Material Transfer to inactive file when superseded or obsolete and to the FRC 2 years thereafter. Destroy when 10 years old.</p>		
15	<p><u>Reports Management:</u> These records consist of listings of interagency, public use, and internal reports required and responded to by PHS. Also included is backup materials to these listings. Each PHS activity is required to maintain a case file folder on each report from which periodic listings are furnished OASH. These listings include such information as name of report, cost and man-hours, requiring or responding office, etc.</p> <p><u>Authorized Disposition:</u> <sup>a.</sup> All Offices. Destroy listings of reports when superseded. Destroy case file folders no later than 2 years after report requirement is terminated.</p>		
16	<p><u>Delegations of Authority:</u> The Secretary, DHEW, delegates certain of his authorities to the Assistant Secretary for Health, who in turn delegates certain of the authorities within the Public Health Service in order to more efficiently carry out day-to-day operations. These records consist of directives, regulations, criteria, and guidelines governing delegations. Also included are requests for delegations within PHS with supporting documentation, responses to requests, evaluations, recommendations, staff papers, executive decisions, copies of the delegations; and accountability logs, tables, data, reports, and other back-up materials relating to the program. The office of record is the Office of Organization and Management Systems, Office of Administrative Management, OASH.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record. Delegations with supporting documentation are permanent. Transfer to the FRC when no longer in effect or needed for reference. Offer to National Archives 5 years thereafter. Requests are to be destroyed when delegations are no longer in effect. All other material is to be destroyed when 5 years old or earlier if no longer needed for reference.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	b. All Other Offices. Destroy when no longer in effect or earlier if no longer needed for reference.		
17	<p><u>Advisory Committees:</u> These committees are established to consider health related problems and advise the Assistant Secretary for Health and the PHS Staff on possible solutions. These records relate to membership, operating guidelines, agendas, reports, presentations, recommendations, discussions, minutes of meetings, and decisions on committee recommendations.</p> <p><u>Authorized Disposition:</u> All Offices. Permanent. Transfer to the FRC when 5 years old or earlier if no longer needed. Offer to National Archives when 15 years old.</p>		
18	<p><u>Training:</u> These materials include copies of applications, notices of training classes, notices of completion, training plans, evaluations, summaries, requests, recommendations, and routine reports. The office of record for these files is the Personnel Office, OASH. These are short term reference files.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed for administrative purposes.</p>		
19	<p><u>Emergency Planning (Civil Defense):</u> These records pertain to preparedness for emergency operations under nuclear attack conditions on the United States and natural disaster conditions. Included are directives, instructions, regulations, guidelines, etc. published by the Department of Defense and other Federal activities; as well as plans, instructions, and guidelines published within OASH for relocation, evacuation, security, and emergency operations.</p> <p><u>Authorized Disposition:</u> All Offices. Publications by DOD and other Federal activities are to be destroyed when superseded, obsolete, or no longer needed. Publications by OASH (except manual issuances to the HEW manual system covered elsewhere in this schedule) are to be transferred to the FRC when outdated and destroyed no more than 5 years thereafter.</p>		
20	<p><u>Equal Employment Discrimination Complaints:</u> These case files are maintained in the Office of Equal Employment Opportunity, OASH, and consist of documents accumulated in the filing and resolution of employee discrimination complaints. Included are statements of witnesses and</p>		

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21	<p>reports of findings, copies of decisions, and related papers.</p> <p><u>Authorized Disposition:</u> Destroy when 5 years old or earlier if no longer needed for administrative purposes.</p> <p><u>Management Improvements:</u> This activity is associated primarily with the Office of Organization and Management Systems, Office of Administrative Management, OASH, which provides staff support in the areas of management and contingency planning for management action required by impending or possible legislation. Also included are studies related to the management effectiveness of PHS programs, including manpower. These records consist of materials such as studies, data collection sheets, interviews, staff papers, memorandums, action papers, analyses, evaluations, recommendations, results of surveys, final decisions, and other documentation used in arriving at realistic conclusions and decisions on management, including manpower oriented problems and requirements.</p> <p><u>Authorized Disposition:</u></p> <p>a. Office of Record. Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations, and destroy when 10 years old.</p> <p>b. All Other Offices. Destroy when 3 years old or earlier if no longer needed for day-to-day operations.</p> <p>The Administrative Services Center, Office of Administrative Management, OASH, plans, coordinates and provides a combination of administrative and technical services designed to serve Public Health Service activities nationwide and those agencies and Office of the Assistant Secretary for Health staff components located in and around the Parklawn building; provides administrative operations, such as general services, procurement, buildings and facilities services, and mail and messenger services for employees and organizations located in the Parklawn Building and surrounding areas; develops Public Health Service policy and procedures for printing and duplicating; provides Public Health Service claims, distribution, and</p>		

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—22	<p>library services; serves as liaison with other components of the Department, GSA, and GPO.</p> <p><u>Office Services and Supplies:</u> These documents relate to ordinary supplies and equipment used by an office; office space and utilities, communications, transportation, custodial, or other services required by an office; and to the general maintenance of an office. These records include, but are not limited to:</p> <p>a. Requests and receipts for supplies and equipment, requests for disposal of equipment, and similar papers pertaining to routine office supply and equipment matters.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed for day-to-day operations.</p> <p>b. Requests for installation of telephones, telephone extensions, requests for changes to telephone directories and systems, and similar communication matters.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed for day-to-day operations.</p> <p>c. Documents related to building facilities, such as floor plans, office relocation plans, space surveys, requests and replies for changes in assignment of office space, and related correspondence.</p> <p><u>Authorized Disposition:</u> Destroy when no longer needed for reference purposes, or when the activity is completed.</p> <p>d. Drawings, charts, assignment schedules, requests, and logs pertaining to requests for and assignment of parking spaces in government operated parking areas.</p> <p><u>Authorized Disposition:</u> Destroy when no longer needed for reference.</p>		
23	<p><u>Employee Accident, Health, and Loss or Theft of Property:</u> 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 137, Report of Loss of Theft, prepared after each occurrence.</p>		

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	<p><u>Authorized Disposition:</u> Form HEW-516, destroy when 5 years old. All other materials - Destroy when 1 year old.</p>		
24	<p><u>Security and Protective Services:</u> 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.</p> <p><u>Authorized Disposition:</u> Close file every 2 years and transfer to the FRC. Destroy when 10 years old or earlier if no longer needed for administrative purposes.</p>		
25	<p><u>Property Disposal Records:</u> These records pertain to the sales of real and personal property surplus to the needs of the Government. Included are case files 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. Related papers that are maintained, usually in case fashion, consist of correspondence, bids, and other notices of sale, invoices, and sales slips. (b) SF-120, Report of Excess Personal Property, and SF-121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Form 120 reports personal property which is excess to the Department and reported to the Regional General Services Administration Offices, which initiate screening action. The quarterly reports are submitted to the Office of Personal Property, Utilization and Disposal Service, General Services Administration, which consolidates the data.</p> <p>a. Case files on disposal of surplus real and related personal property.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC 3 years after the file is closed. Destroy when 10 years old unless needed longer for legal purposes.</p> <p>b. Reports of excess real property.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 3 years old. Destroy when 10 years old or earlier if no longer needed for administrative purposes.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
26	<p><u>Mail and Distribution Management:</u> These files include materials relating to fiscal year mail and postage cost estimates reported to the U.S. Postal Service (feeder reports from PHS Staff Offices and Agencies, together with supporting documentation), establishment of new mailing keys, elimination of addressees shown on mailing keys in use, as well as rosters of PHS Distribution Control Officers.</p> <p><u>Authorized Disposition:</u> Mail and postage cost estimates - Destroy when 3 years old. Roster of DCO's - Destroy when superseded. All other materials - Destroy when 1 year old unless needed longer for day-to-day operations.</p>		
27	<p><u>Military Personnel and Civilian Employees Claims:</u> These are claims presented by commissioned officers and civilian employees of PHS for damage to, and 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.</p> <p><u>Authorized Disposition:</u> Destroy 4 years after claim is closed.</p>		
28	<p><u>Federal Claims Collection Act:</u> 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.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when claim is closed. Destroy 6 years thereafter.</p>		
29	<p><u>Civil Suits:</u> 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. Third party suits arise when an American seaman commences a civil action against 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</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>legal pleadings and all reports and correspondence between PHS Claims Office, plaintiff's legal representative, Office of the General Counsel, Justice Department, and U.S. Attorney, including all court documents, logs and other case control systems, and materials showing final disposition on each case.</p> <p><u>Authorized Disposition:</u> Destroy 4 fiscal years after claim is closed.</p>		
30	<p><u>Administrative Tort Claims:</u> 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 PHS while acting within the scope of his office 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.</p> <p><u>Authorized Disposition:</u> Destroy 4 fiscal years after claim is closed.</p> <p>The records material described in items 31 and 32 below are short term working files and are usually located in the Office of Regional Operations, OASH, which serves as the principal staff advisor to the Assistant Secretary for Health on matters pertaining to the operation of PHS Regional Offices. The record copies of State Plans are usually located in the PHS Regional Offices.</p>		
31	<p><u>State Plans:</u> These plans are submitted annually and describe what the States propose to do with Federal money for the upcoming year. The plans often recapitulate the previous year projections as compared to achievements, problems encountered, and evaluation. The plans also include work plans, overview and strategy, antici-</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>pated contracts, planning allowances, financial projections, goals and objectives, and policies and procedures.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed for day-to-day operations.</p> <p>32 <u>PHS Regional Meetings:</u> These records consist of documentation relating to periodic meetings scheduled and conducted by the OASH for all of the PHS Regional Offices. They are held to discuss management, operations, administration, programs, problems, and policies and procedures pertaining to ongoing and planned health activities.</p> <p><u>Authorized Disposition:</u> Destroy when 3 years old unless needed for a longer period of time for administrative purposes.</p> <p>The Office of Resource Management, Office of Administrative Management, OASH, serves as the principal resource for all phases of financial management inherent in the operation of the Public Health Service; plans, directs and evaluates financial management activities for the Public Health Service to assure effective utilization and control of management resources; formulates policies for, and makes the official fiscal allocation of, resources for PHS activities in accordance with priorities based on program goals and objectives; serves as the focal point for overall policy and fiscal management of contracts and grants activities; provides leadership and direction to the PHS for the development of resource management systems; monitors financial and contracts and grants programs of PHS activities to assure a coordinated effort toward achieving the goals and objectives established by the Assistant Secretary for Health, serves as principal resource within the PHS on all phases of facility management; furnishes consultant services to program officials on health facility needs, and maintains liaison with the Office of the Secretary on resource management activities.</p>		
33	<p><u>Institutional Cost Sharing Agreements:</u> Cost sharing is legislatively mandated for all HEW research grants and may be accomplished on an institutional or project-by-</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>project basis. OASH negotiates Institutional Cost Sharing Agreements (ICSA) for the Department. Those electing the institutional basis submit brief proposals to OASH for approval. Following negotiations, a formal agreement is signed, with the original maintained in OASH files. Institutional agreements are updated periodically as long as the awardee and OASH continue the agreement. OASH publishes annual and supplemental listings of such negotiated agreements. Those organizations electing the project-by-project basis deal directly with the respective awarding offices, and related matters are a part of each grant or contract file.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC 6 years after file is no longer active and destroy 3 years thereafter.</p>		
34	<p><u>Contract Procurement:</u> These records involve the development of proposed procurement policies and procedures and the analysis and review of management and procurement activities. They include analytical, research, and evaluation documentation leading to the development of policies and procedures. Also included are clearances, approval of waivers, deviations, determinations, findings, and contract management review reports.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 2 years old if no longer needed for reference. Destroy when 5 years old.</p>		
35	<p><u>Contract and Grant Status Data:</u> These files consist of ADP lists of detailed grant and contract data, programmed computer reports of summary data, report formats, and background materials. These data are used to prepare an annual summary report on all PHS grant and contract awards, an annual publication of detail lists of grant awards, and required departmental and Federal-wide reports, e.g. the CASE report to the National Science Foundation. Base data are maintained also on magnetic tapes and are the basis for special trend studies.</p> <p>a. Master Files. PERMANENT. Offer tapes  <u>Authorized Disposition:</u> to NARS, together with one copy of each pertinent data element directory, code book, record layout, user manual and report format manual, when no longer needed for current business.</p> <p>b. Other Material: Destroy when 10 years old.</p>		
36	<p><u>Contracts for Health Programs:</u> These records pertain to contracts for research and development programs in health</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
37	<p>related areas and technical assistance for health activities within PHS. They consist of official contract files, files for small purchase transactions, documentation to justify decisions and actions of procurement personnel, information for response to official inquiries, and data for processing claims, disputes, and litigations. Specific record requirements are set forth in DHEW Procurement Regulation, Subpart 3-1.313, copies of which are located in each contract office. The office of record is OASH, the PHS Agencies, or the PHS Regional Offices. These files normally include procurement planning data as well as procurement requests or requests for contracts; determinations; solicitation documentation; invitations for bids and requests for proposals; conference memoranda; abstracts; unsuccessful bids or proposals; notifications to unsuccessful bidders or offerors; "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; and termination and closeout documentation.</p> <p><u>Authorized Disposition:</u></p> <p>a. 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 the FRC.</p> <p>b. All Other Offices. Destroy 3 years after final closeout.</p> <p><u>Discretionary Grant Programs:</u> These grants are made in support of an individual project in accordance with legislation which permits the grantor agency to exercise judgment in selecting the project, the grantee, and the amount of award. PHS components administering discretionary grant programs are required to generate two distinct types of records as follows:</p> <p>a. <u>General Program Information File</u> - The office of record for this file will normally be the PHS Agency program office. However, OASH staff offices may have copies of these materials for reference purposes. These records must include:</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
38	<p>(1) Program announcement, program management procedures (regulations), and terms and conditions of the grant program.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or rescinded.</p> <p>(2) Lists of application evaluators and instructions to evaluators.</p> <p><u>Authorized Disposition:</u> Destroy when superseded.</p> <p>(3) These records may also include:</p> <p>(a) Authorizing legislation.</p> <p><u>Authorized Disposition:</u> Destroy when rescinded or obsolete.</p> <p>(b) Federal Register documents.</p> <p><u>Authorized Disposition:</u> Destroy when rescinded or obsolete.</p> <p>(c) General counsel and court opinions.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete.</p> <p><u>Formula Grant Programs:</u> A formula grant is one in which funds are provided to specified 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, per capita income, enrollment, mortality, and morbidity. These grants are generally mandatory. PHS components administering formula grant programs are required to generate two distinct types of records as follows:</p> <p>a. <u>General Program Information File</u> - The office of record for this file will be the awarding component grants management activity. However, OASH staff offices may have copies of these materials for reference purposes.</p> <p>(1) Program management procedures (regulations), terms and conditions, and State plan check lists.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
39	<p><u>Authorized Disposition:</u> Destroy when superseded or rescinded.</p> <p>(2) These records may also include:</p> <p>(a) Authorizing legislation.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or expires.</p> <p>(b) Federal Register documents.</p> <p><u>Authorized Disposition:</u> Destroy when rescinded or obsolete.</p> <p>(c) General counsel and court opinions.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete.</p> <p><u>Construction Grant Programs:</u> Construction grants are awarded to provide support for building, expanding and modernizing health facilities. Construction grants may be 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.</p> <p>a. <u>General Program Information File:</u> The office of record for this file will normally be the PHS Agency program office. However, OASH staff offices may have copies of these materials for reference purposes. These records must include:</p> <p>(1) Program announcement, program management procedures (regulations), and terms and conditions of the grant program.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or rescinded.</p> <p>(2) Lists of application evaluators and instructions to evaluators.</p> <p><u>Authorized Disposition:</u> Destroy when superseded.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>(3) These records may also include:</p> <p>(a) Authorizing legislation.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or expires.</p> <p>(b) Federal Register documents.</p> <p><u>Authorized Disposition:</u> Destroy when rescinded or obsolete.</p> <p>(c) General counsel and court opinions.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete.</p>		
40	<p><u>Final Reports - Health Program Contracts:</u> These reports are submitted on all contracts except those pertaining to small purchases. (Final reports on grants are not received at the OASH level). These reports have both historical and research value. Included in these reports is such information as authority, background, problems, discussions, findings, conclusions, and recommendations.</p> <p><u>Authorized Disposition:</u> Permanent. Offer to National Archives 5 years after final payment to grantees or after resolution of any adverse audit findings, whichever occurs first.</p>		
41	<p><u>Audit Reports:</u> These records pertain to the audit of both contracts and grants, as well as the internal operating and management procedures relating to the contracts and grants programs. Audits are conducted by GAO and the HEW Audit Agency. The audit reports cover not only discrepancies but commendable items as well. Also included in these files are evidence of audit resolutions with supporting documentation.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC after the Audit Clearance Document or other evidence of final resolution is accepted. Destroy 3 years thereafter.</p>		
42	<p><u>Professional Standards Review Organizations:</u> These non-profit physician organizations are responsible for the review of the appropriateness of health care services provided to Medicaid, Medicare and Maternal and Child Health admissions to hospitals and nursing homes. These</p>		



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	<p>organizations are supported by contracts from the Federal Government. These files are maintained by the Office of Quality Standards, OASH.</p> <p>a. Materials relating to selection of PSRO area boundaries by the PHS Regional staff such as agendas, meetings, minutes, evaluations, conclusions, recommendations, and maps and transparencies showing recommended PSRO area designations for OASH approval.</p> <p><u>Authorized Disposition:</u> Destroy 4 years after the PSRO ceases to function for the approved area designation.</p> <p>d. Destroy for disapproved area designations when 1 year old.</p> <p>b. Copies of agreements; and PSRO recommendations, evaluations, reviews, periodic reports, and summaries.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 2 years old. Destroy when 6 years old or earlier if no longer needed.</p> <p>c. Newspaper clippings, news releases and other publication media indicating local response to the PSRO program.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed.</p> <p>The Office of Program Implementation, OASH, monitors implementation activities of interest to the Assistant Secretary for Health in coordination with the Office of Administrative Management and the Office of Policy Development and Planning. Included in OPI responsibilities is the management of the Operational Planning System and the Program Review System to assure the achievement of overall health goals and legislative commitments, and management of the Federal regulations process for PHS, including the coordination and review leading toward the approval of new and revised regulations.</p>		
43	<p><u>Uniform Medical Procedural Terminology and Codes:</u> These records consist of materials such as cost benefit studies; agendas, invitations, presentations, results, and minutes of working meetings and conferences to discuss terminology and codes for use in regards to medical</p>		

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7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>health; procedural terminology and codes; test reports; tax credits; and evaluations.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 2 years old. Destroy when 5 years old.</p>		
44	<p><u>Federal Register Documents:</u> These records consist of materials pertaining to compilation of total interactions between PHS Staff Offices and PHS Agencies, as well as input from the Office of the Secretary regarding Notices of Proposed Rulemaking, final regulations, and general notices. Also included are drafts, comments, recommendations, changes, coordination, evaluations, and final proposed documents.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 5 years old. Destroy when 10 years old.</p> <p>The Office of Policy Development and Planning serves as the principal advisor to the Assistant Secretary for Health concerning the development of a national health policy and strategy; represents the PHS in all health policy development within the Department; directs or conducts PHS health policy development, including selective research and evaluation projects; directs PHS participation in the Department's annual five-year plan, including policy development, research, evaluation, legislative and statistical plans; is the Departmental focal point for the development and coordination of health data and statistical policy; analyzes the effect and relevancy of current policies on health programs, recommending new approaches and initiatives; directs PHS policy analysis, program planning, and program evaluation; and guides the efforts of the PHS Agencies in planning, evaluation, and policy analysis across the spectrum of health care delivery systems, health protection, and health research.</p>		
45	<p><u>Special Health Program Areas:</u> These file materials pertain to certain health areas in which the Office of Policy Development and Planning, OASPH, has a particular interest. These files are used for reference purposes. Record copies are maintained in other PHS activities. The following are examples of such areas:</p>		

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46	<p>a. <u>Kidney Disease</u> - These records cover the end-stage renal disease program of medicare (Section 2991 of P.H. 92-603). Included are memoranda covering kidney disease, speeches, conclusions, press releases, regulations, and other renal disease documentation from policy development through implementation.</p> <p>b. <u>National Health Insurance</u> - These files contain opinion, decision, and informational memoranda; National Health Insurance presentations, speeches, statements, briefings, correspondence, NHI group materials, and minutes of meetings.</p> <p>c. <u>Section 222 Files</u> - These records are accumulated in maintaining liaison with various agencies, committees, workshops, advisory boards, and other health-related organizations concerned with Section 222 of P.L. 92-603. Under Section 222, beneficiary package and reimbursement waivers are to be granted to innovative service delivery models in an attempt to lower costs in the health care system. These files document the progress of the various activities connected with Section 222.</p> <p>d. <u>Disease Control Files</u> - These records include budget and legislative materials, analytical issues, program material under Center for Disease Control jurisdiction, and special projects and evaluation proposals with respect to the health protection activities of PHS.</p> <p>e. <u>Nutrition Files</u> - These records cover recent nutrition action documents, policy statements, committee papers, and health-related nutrition organizational activities impacting office programs.</p> <p><u>Authorized Disposition:</u> Applies to preceding subparagraphs a through e. Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations. Destroy when 10 years old.</p> <p><u>Health Services Integration:</u> These records are copies of program materials that link administration and management elements of separate local organizations for the reduction of fragmentation and overlap in the delivery of comprehensive health and social services to individuals and families. Included are reports, letters and memoranda. These are reference files.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old.</p>		

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47	<p><u>Oversite Files:</u> These records relate to high priority items under the jurisdiction of the Health Services Administration, Health Resources Administration, and Alcohol, Drug Abuse, and Mental Health Administration, with respect to health services, resources planning, procedures, and financing. These files consist of copies of memoranda, routine reports, and letters - all of which are used by OPDP in its oversight responsibility for evaluating health programs within the context of national needs and resource capabilities. The offices of record for these files are located in other PHS activities. These are reference files.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations. Destroy when 10 years old.</p>		
48	<p><u>Health Services Care Files:</u> These records relate to national health insurance, procedures and implementation, analysis of expenditures, facilities, manpower, and the coordination of alternative strategies for health care, resource development, quality of health care, and health services. Also included are items on financing of health care, malpractice, child health, community based services programs, and contract and steering committee reports. These are reference files.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations. Destroy when 10 years old.</p>		
<del>49</del>	<p><del><u>Health Services Files:</u> These records relate to national health insurance, procedures and implementation, analysis of expenditures, facilities, manpower, and the coordination of alternative strategies for health care, resource development, quality of health care, and health services. Also included are items on financing of health care, malpractice, child health, community based services programs, and contract and steering committee reports. These are reference files.</del></p> <p><del><u>Authorized Disposition:</u> Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations. Destroy when 10 years old.</del></p>		
<del>50</del>	<p><del><u>Health Resources Files:</u> These records deal with and relate to health resources, including facilities development. Included are memoranda, routine reports, and</del></p>		

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50	<p><u>Health Resources Files:</u> These records deal with and relate to health resources, including facilities development. Included are memoranda, routine reports, and clearances that cover such topics as health scarcity problems, manpower credentialing, and supply of primary health care. Also included are recommendations for financing health care and resource development.</p> <p><u>Authorized Disposition:</u> Transfer to FRC when 5 years old or earlier if no longer needed. Destroy when 10 years old.</p>		

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51	<p><u>Health Planning Files:</u> These files contain procedural, committee, contract, budget, planning, evaluation, and implementation documentation which establishes and effects planning methods for future operations.</p> <p>a. <u>Five Year Plan for Health</u> - These records contain historical, developmental, budgetary and legislative data aimed at directing future Federal resources for health and establishes the PHS 5 year forward planning process as a major entity to planning a national health strategy. Included are specific sets of problems, respective roles and responsibilities of Federal, State, local governments and the private sector, PHS objectives and strategies, and proposed plans and special initiatives. Also included are materials derived from the forward plans developed by each of the PHS Agencies.</p> <p>b. <u>Annual Statistical Health Plan</u> - These records contain guidelines, established policies and procedures, directives, committee papers, etc., relevant to the PHS Annual Statistical Plan and the Health Data Policy Committee on the identification of intermediate and long-range health data needs; the development and modification of data objectives, including compatibility and utility of health statistics, utilizing standardization of health data elements; directives for PHS participation in the development of the Department's annual statistical plan, with particular concern for the appropriateness and adequacy of proposed health data collection activities.</p> <p><u>Authorized Disposition:</u> Applies to preceding subparagraphs a and b. Permanent. Transfer to the FRC when 5 years old. Offer to National Archives when 15 years old.</p>		
52	<p>The Office of Organization and Management Systems, Office of Administrative Management, OASH, responsibilities include development and dissemination of PHS policies, leadership and direction for the development and implementation of computer systems; coordination of the integration of program and management data needs and automatic data processing system activities across functional and agency lines. These responsibilities are promulgated in the form of issuances to the Department Manual System covered elsewhere in this schedule. The record materials described below are associated with machine readable</p>		

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	<p>hardware, related documentation required for their servicing, and files pertaining to automatic data processing (ADP) procurement, operations, and management functions. These materials pertain to the operation of the PHS computer system, rather than the program output data. The disposition of output data is controlled by those PHS activities requiring and using the data.</p>		
52	<p><u>Planning Documents:</u> These files consist of the master plan, feasibility studies with associated charts and diagrams, and supporting data that reflect on the characteristics of the data automation activity. Included is graphic, narrative, and tabular information relating to the present and/or planned ADP composition and requirements of the data automation activity.</p> <p><u>Authorized Disposition:</u> Destroy 1 year after planning documents become obsolete.</p>		
53	<p><u>Program Management:</u> These files consist of procedures governing the conversion to electrical machine operations and the supervision, control, coordination, and operation of the mechanization program.</p> <p><u>Authorized Disposition:</u> Destroy 1 year after procedures become obsolete.</p>		
54	<p><u>Standardization:</u> These files consist of PHS developed data elements and codes, standardization requests, and justifications for all data systems.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or obsolete.</p>		
55	<p><u>Valid Transaction:</u> These files consist of magnetic tapes containing valid files of items used, with a master data tape input file for creation of master data tape output. They are used in statistical analysis.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or obsolete.</p>		
56	<p><u>Information Retrieval System Master Reference:</u> These are magnetic media containing data created by the merging of the prior master file with valid transaction data to create a new master file (including the security copy</p>		

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	<p>tape of data on disk packs). This serves as an index to record materials such as correspondence, legal hearings and decisions, patents and trademarks, and record copies of publications.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or obsolete.</p>		
57	<p><u>Federal Loan and Grant Program Master File:</u> These are magnetic media containing data created by the merging of the prior master file with valid transaction data to create a new master file (initial data includes excerpts from forms placed in case files). This is a noncumulative periodic file of status of Federal loan and grant activities.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or obsolete.</p>		
58	<p><u>Economic Statistics Master File:</u> These files consist of magnetic media containing data created by the merging of the prior master file with valid transaction data to create a new master file.</p> <p>a. <u>Data and Surveys</u> - These are noncumulative data used to prepare reports covering a limited period of time; and noncumulative recurring periodic surveys including wholesale and consumer price indexes, annual industry, housing vacancy, and other economic indicators.</p> <p><u>Authorized Disposition:</u> Destroy when superseded or obsolete.</p> <p>b. <u>Census</u> - This is a noncumulative economic census taken during 5 year intervals.</p> <p><u>Authorized Disposition:</u> Transfer to the ERC when 1 year old. Destroy when 5 years old.</p>		
59	<p><u>Social Statistics Master File:</u> These are magnetic media containing data created by the merging of the prior master file with valid transaction data to create a new master file. These are noncumulative data used to prepare reports covering a limited period of time; noncumulative recurring periodic surveys including current population statistics, annual industry, housing vacancy, voter participation, and statistics of income sample; and noncumulative demographic censuses.</p>		



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	<p><u>Authorized Disposition:</u> Destroy 1 month after files become obsolete.</p>		
60	<p><u>Natural Resources Master File:</u> These files consist of continuously updated magnetic media containing data created by the merging of the prior master file with valid transaction data to create a new master file. These are noncumulative data used to prepare reports covering a limited period of time.</p> <p><u>Authorized Disposition:</u> Destroy 1 month after file becomes obsolete.</p>		
61	<p><u>Scientific Data Files:</u> These are magnetic media containing data created either from analog magnetic tape or recorded directly on magnetic digital tape for scientific measurements of astronomic, outer space, and oceanographic phenomena; air and water quality; and medical research measurements. This pertains to media held in national data centers as well as media not held in national data centers.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 1 year old. Destroy when 10 years old.</p>		
62	<p><u>Summary Data File:</u> This is a magnetic tape containing aggregates of individual observations from valid transaction or master data files that are disaggregates of published data.</p> <p><u>Authorized Disposition:</u> Destroy when 1 year old.</p>		
63	<p><u>Sample and Subsample Data Files:</u> This is a magnetic tape containing individual observations selected from a larger census of survey files such as stratified or pure random sample files with or without weighting factors. It is disclosure free or useful in statistical analysis or policy formulation models and simulation studies. It is substantially unpublished, such as tapes containing data that are disclosure free.</p> <p><u>Authorized Disposition:</u> Transfer to the FRC when 1 year old. Destroy when 10 years old.</p> <p>The Office of Personnel Management, Office of Administrative Management, OASH, develops personnel management objectives for</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>PHS activities and the policies and standards necessary to advance these objectives; plans, develops, and administers the Commissioned Corps personnel system; and coordinates the personnel management activities of the Public Health Service with the Department, the Civil Service Commission, the Office of Management and Budget, the Department of Defense, the Veterans Administration, and the Congress on matters of common concern.</p> <p><u>CIVIL SERVICE PERSONNEL:</u></p>		
64	<p><u>Personnel Evaluation Surveys:</u> These records pertain to the evaluation of the effectiveness of personnel management in PHS field installations, PHS Agencies, and OASH. Included are plans for individual surveys of specific installations or offices; implementation records such as questionnaires, results of interviews and documentation of day-to-day activities, and reports including identification of problems and recommendations for program improvements.</p> <p><u>Authorized Disposition:</u> Close out surveys when 5 years old. Destroy when no longer needed for administrative purposes.</p>		
65	<p><u>Position Classification Records:</u> These files pertain to classification decisions on groups of positions. Included are background material prepared or compiled by program officials or personnel specialists; copies of descriptions of positions to be classified and positions used for comparative purposes; and decision papers with justifications.</p> <p><u>Authorized Disposition:</u> Destroy when positions or groups of positions are abolished, or when no longer needed for reference.</p>		
66	<p><u>Personnel Data Reports:</u> These files consist of computer listings of PHS personnel and statistical personnel data reports received on a regular or one-time basis. The listings contain various numbers of data elements on PHS employees showing personal identifying information, and records of employee Federal service and current position and pay status. Statistical data reports contain current PHS employment and personnel ceiling information.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Authorized Disposition:</u> Destroy when next most current report is received.</p> <p><u>COMMISSIONED CORPS PERSONNEL:</u> The corps consists of medical and health specialists and is used to augment civil service requirements in carrying out PHS programs. The corps is recognized as one of the seven uniformed services of the United States. Items 67 through 78 following apply to commissioned corps personnel.</p>		
67	<p><u>General Subject Files:</u> These records consist of correspondence, reports, memoranda and related materials establishing policies and procedures for overall operation of the Commissioned Corps personnel program. Included are planning, precedence, studies, evaluations, coordination, and recommendations pertaining to policy and procedural matters, as well as correspondence and information on program activities.</p> <p><u>Authorized Disposition:</u> Destroy when no longer needed for administrative purposes.</p>		
68	<p><u>Official Personnel Folders:</u> These folders are the official repositories of records and reports of personnel actions (including awards) effected during the service of an officer in the PHS Commissioned Corps and the documents and papers required in connection with these actions. The personnel orders and other documents filed as permanent records in the folders give legal force and effect to personnel transactions and establish officer rights and benefits under pertinent laws and regulations. These folders also contain papers documenting the Commissioned Officer's medical history to include disability retirement examinations.</p> <p><u>Authorized Disposition:</u> Permanent. Transfer to <del>National Personnel Records Center, St. Louis, Mo.</del> <sup>NPRC (CPR) National Records Center</sup>, 1 year after officer is separated from the Corps.</p>	<p>(PL-9/9/77)</p> <p>NPRC (CPR)  <del>National Personnel Records Center</del>                  National Records Center</p>	
69	<p><u>Applications for Commission:</u> Forms and related material submitted by unsuccessful applicants for commission in</p>		

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7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>the corps. This material has been reviewed and the applicant evaluated and rated for consideration for a commission. The records include applications, vouchers, evaluation records, ratings, comparisons, decisions, and non-selection documentation.</p> <p><u>Authorized Disposition:</u> Destroy 1 year after date of application.</p>		
70	<p><u>Service Record Cards:</u> Visible file record of officer's service in the corps. These cards are filed by organization and provide the personnel office with summary information on organizational structure, budgeted billets within each organizational segment, and historical and current status data on officers occupying these billets.</p> <p><u>Authorized Disposition:</u> Destroy 5 years after date of officer's separation.</p>		
71	<p><u>Position Descriptions:</u> Description of billet to which officer is assigned, along with related informational material. These files provide information on the official duties and responsibilities of each billet established within the organization. They provide information helpful in position management and in maintaining a proper classification structure.</p> <p><u>Authorized Disposition:</u> Destroy 2 years after position is cancelled.</p>		
72	<p><u>Qualifications Profile:</u> Form listing officer's qualifications along with related informational material. These records contain information on the officer's education (including colleges or universities attended and degrees received), work experience (including all military and civilian positions held with emphasis on experience pertinent to current placement), awards received (including performance, special act or service, and suggestion awards), and appraisal of performance.</p> <p><u>Authorized Disposition:</u> Destroy when officer is separated, or when updated record is created.</p>		
73	<p><u>Strength Reports:</u> These records are monthly reports of commissioned officers on PHS rolls. Reports are produced alphabetically and by service category. Total strength reflects all actions reported on personnel or-</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>ders through the current month having effective dates through the last day of the month, and includes officers on leave without pay.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete or no longer needed for reference.</p>		
74	<p><u>Examining Board:</u> These records consist of minutes of meetings of commissioned officer examining boards. The examining boards evaluate and rate officers for assignment and promotion. Agendas of Board meetings are also included.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete or no longer needed for reference.</p>		
75	<p><u>Merit Rolls:</u> These records contain registers of eligibles from which selections are made for assignments in the corps. Also included is backup material including evaluations of officers' qualifications, and qualifications requirements (knowledges, skills, and abilities) of assignments. Registers are developed from implementation of prescribed evaluation and selection processes, and records which are included for review purposes.</p> <p><u>Authorized Disposition:</u> Destroy when obsolete or no longer needed for reference.</p>		
76	<p><u>Health Manpower Studies:</u> These records contain periodic updated reports of studies made of the current availability and location of various categories of health manpower and projections of near future sufficiency of such manpower. Included, in addition to the published reports, are questionnaires completed by concerned organizations and individuals, punch cards, tabulations, and related backup materials. These are short term records.</p> <p><u>Authorized Disposition:</u> Destroy published reports when obsolete or no longer needed for reference. Destroy report source data 1 year after publication of report.</p>		
77	<p><u>Variable Incentive Pay Program:</u> These records pertain to legislation and development of implementation regulations for the program covering incentive pay for commissioned medical officers serving in critical specialty categories. Included are copies of legislation and original regulations with backup material and working papers compiled in the development of regulations and procedures.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Authorized Disposition:</u> Destroy 6 months after program becomes inactive or after change in specific regulations.</p>		
78	<p><u>Commissioned Officer Awards:</u> These are case history files containing material on recommendations, evaluations, approvals, and presentation of awards to commissioned officers. Also includes periodic reports on the commissioned corps awards program. Approved awards are recorded in the officers official personnel folder.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old if no longer needed for day-to-day operations.</p>		
79	<p><u>Office Administrative Files:</u> These files relate to minor administrative matters. They are routinely found in most offices and contain no information of significance. Examples are time cards; timekeeper copies of Earnings and Leave Statements; requests for overtime; personnel records that are duplicated in, or not appropriate for inclusion in, official personnel folders; memorandums pertaining to exchange of general information between the components of an office, division, or branch; and similar materials.</p> <p><u>Authorized Disposition:</u> Destroy when 2 years old or earlier if no longer needed for day-to-day operations.</p>		
80	<p><u>Training Instructional Materials:</u> These files pertain to instructor and student materials developed within OASH for use in training professional government and nongovernment personnel, particularly in technical fields. These materials are not available from other Federal or private sources on a standardized basis. Excluded are instructional materials developed and used by agencies such as the National Archives and Records Service or private activities, in training PHS professional employees. Examples of these materials are instructors kits, handouts, slides, problems to be solved by students, answer sheets and examinations.</p> <p><u>Authorized Disposition:</u> Permanent. Offer to National Archives when no longer needed for current operations.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p style="text-align: center;"><i>Carl E Mann</i></p> <hr/> <p>Carl E. Mann, Chief Management Support Branch, Office of Administrative Management, PHS/DHEW.</p> <p style="text-align: center;"><i>Howard Walderman</i></p> <hr/> <p>Howard Walderman, Public Health Division, Office of the General Counsel, DHEW.</p>		