

29200 PT

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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

LEAVE BLANK	
DATE RECEIVED	JOB NO.
January 8, 1982	NCI-90-82-5
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 "with-drawn" in column 10.	
6-17-83 (Date)	<i>[Signature]</i> Archivist of the United States

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Health and Human Services

2. MAJOR SUBDIVISION

Public Health Service

3. MINOR SUBDIVISION

Health Resources Administration

4. NAME OF PERSON WITH WHOM TO CONFER

Kay Clarey

5. TEL. EXT.

436-7240

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 39 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

12/7/81  
Date

*Jacquelyn L. Tolson*  
(Signature of Agency Representative)

PHS Records Officer  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	The attached HRA Records Control Schedule, Appendix B-341, which was approved by the Archivist of the United States, Job Numbers NCI-90-76-4, and NCI-90-80-1, on September 30, 1977 and November 25, 1980 has been updated and is now being submitted to include specific new items for your review and approval. In this update we have reviewed every item to ensure that the descriptions are indicative of all of the agency's programs. Item numbers 1 through 27 cover the same topics as in the previous edition with minor changes. Item numbers 28 through 35 have been changed significantly. Item numbers 36 through 63 are new and are listed in the attached table of contents.		

203 items

Copy sent to agency 7/11/83, EFB.  
Mass Data Change Sheet Attached  
to 11/11/83 sent 9-25-83 by DMW.

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Item Number	Title and Description of Records	Retention Limitations & Disposition
1	AGENCY CORRESPONDENCE	
1-1	<p><u>General Correspondence</u></p> <p><del>These types of files are maintained in each individual program office and do not necessarily constitute records of related activities but merely document the office's direct involvement in the correspondence.</del></p>	<p><b>WITHDRAWN</b></p> <p><del>Non-Permanent. Office of Record. Cut off files at end of calendar year. Retain 1 year and destroy.</del></p>
1-2	<p><u>Controlled Correspondence</u></p> <p>These files are maintained in program and Executive Secretariat offices for control, retrieval and reference purposes. Included are correspondence for the signature of the Secretary, Undersecretary, Assistant Secretary for Health, Agency Administrator and Bureau Directors, as well as correspondence for direct reply by program officials. Congressional correspondence controlled for direct reply within the Department is also included.</p>	<p>Non-Permanent. Office of Record. Cut off files at end of calendar year. Retain 2 years, then transfer to FRC and destroy 5 years later.</p>
1-3	<p><u>Correspondence Control Records</u></p> <p>Documents used to track correspondence to assure that replies are timely and responsive.</p>	<p>Non-Permanent. Office of Record. Cut off files at end of calendar year. Retain 2 years, then transfer to FRC and destroy 5 years later.</p>
2	AGENCY ACTIVITIES	
2-1	<p><u>Accomplishment Reports</u></p> <p>These records include Agency Assessment Reports, Agency Development Plans, and Status Reports which are used to monitor Agency progress.</p>	<p>Permanent. Office of Record. Transfer to the FRC when no longer needed for operations. Offer to the National Archives 15 years thereafter.</p>

*in 5 year blocks*

2-2 Regional Office Work Plans

~~File contains Memorandum of Agreement between regional and central offices which describes the program outputs and resources each will provide, progress reports, and related documents.~~

~~a. Non-Permanent. **WITHDRAWN**  
Office of Record. Close files at end of fiscal year; retain in inactive file for 1 year and destroy.~~

~~b. Other Offices. Cut off **WITHDRAWN**  
file at end of year. Retain 1 year and destroy.~~

2-3 Studies and Analyses

Files consist of the working papers compiled in the preparation, clearance, and issuance of the final reports of studies. Included are notes, drafts, feeder reports, clearance comments and similar information.

Non-Permanent.  
Office of Record. Retain reports for 2 years after final report is issued, and destroy.

3 AUDIO-VISUAL RECORDS

This section is no longer required because records are covered in General Records Schedule 21.

4 AUTOMATED DATA PROCESSING

4-1 ADP Work Requests

Documents which initiate and authorize automatic data processing.

a. Non-Permanent.  
Office of Record. Cut off file at end of year. Retain 1 year and destroy.

b. Other Offices. Retain until no longer needed for operations and destroy.

4-2 No longer used.

4-3 ADP Input Documents

Coding documents used to input data concerning payment in the Health Professions and Nursing Construction Grant Programs.

Non-Permanent.  
Office of Record. Retain until final grant payment is made. Offer to program office for inclusion in the official grant file.

100- Series	Title and Description of Records	Retention Limitation & Disposition
4-4	<p><u>ADP Project Material</u></p> <p>Program decks, card data, surveys, data, and storage files used by analysts.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain until no longer needed for operations and destroy.</p>
4-5	<p><u>ADP General Documentation</u></p> <p>Reports, outlines of storage media, inquiries, requisitions, statistical data, studies, surveys, evaluations, work plans, and related materials. Files are updated regularly.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut off files when the system that is documented become obsolete. Retain 1 year and destroy.</p>
4-6	<p>No longer used.</p>	
4-7	<p><u>ADP File Documentation</u></p> <p>Data element directory, codebook, record layout, sample input forms, sample output (publication, report, etc.) user's manual, and program decks. Files are updated regularly.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut off file when the system that is documented become obsolete. Retain 1 year and destroy.</p>
5	<p>BUDGET AND ACCOUNTING</p>	
5-1	<p><u>Budget Justification</u></p> <p>Budget estimates, justification statements, appropriation language sheets, narrative statements, related schedules and data, and correspondence reflecting policy decisions.</p>	<p><u>a. Non-Permanent.</u> <u>Office of Record.</u> Transfer to FRC when 5 years old. Destroy when 15 years old.</p> <p><u>b. Other Offices.</u> Destroy when no longer needed for operations.</p>
5-2	<p><u>Budget Formulation and Execution Files</u></p> <p>Records documenting the development and execution of the HRA budget including input from all agency components. Documents the consolidation at each level up to, and including the official HHS submission to OMB and subsequently to the Congress. The complete budget cycle for one fiscal year of formulation, execution, and obligation occurs over a three year period.</p>	<p><u>a. Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after completion of budget cycle and destroy.</p> <p><u>b. Other Offices.</u> Retain until no longer needed for operations and destroy.</p>

- 5-3 General Financial Management Records  
 Financial management operating files which document day-to-day activities, but are not related to the fiscal or budget process per se.
- a. Non-Permanent.  
Office of Record. Cut off files at end of fiscal year; retain in inactive files for 2 years, then destroy.
- b. Other Offices. Retain 1 year and destroy.
- 5-4 No longer used.
- 5-5 Accounting System Records  
 Records document obligations from October 1 through September 30 of each fiscal year for the component's funds, obligated according to specific object classes. For example, local travel, travel orders, travel and transportation, training, printing requisitions, contracts (non-financial assistance), personnel compensation, formal personnel benefits, rental charges, and all other budget history information.
- a. Non-Permanent.  
Office of Record. Cut off files at end of fiscal year. Retain 2 years and destroy.
- b. Other Offices. Retain 1 year and destroy.
- 6 COMMITTEE MANAGEMENT
- 6-1 Committee Policies and Related Materials  
 Includes written policies, guidelines and procedures for committee management.
- Non-Permanent.  
Office of Record. Retain until obsolete or superseded and destroy.
- 6-2 Committee Membership Files  
 Includes curriculum vitae, background documents on members and related correspondence. Updated regularly. Current and former members are kept separate. Files on former members are used as a talent bank.
- Non-Permanent.  
Office of Record. Retain until no longer needed for operations and destroy.
- 6-3 Committee Management Reporting System  
 Serves as a data bank on the committee management function and generates reports as required. Updated regularly.
- Non-Permanent.  
Office of Record. Retain until no longer needed for operations and destroy.

6-4

Advisory Committee Files  
(Division Level and Above)

Individual files on federal advisory committees. Includes official charter, membership details, modifications, pending actions, schedule of meetings, reports on significant activities and related correspondence.

a. Permanent.  
Office of Record. Retain in file until advisory committee is abolished, terminated or transferred. Retire to FRC and offer to the National Archives after 8 years. *in 5 year blocks*

b. Non-Permanent.  
Other Offices. Retain until no longer needed for operations and destroy.

6-5

National and International Conferences

File includes agenda, minutes, supporting papers, resolutions, final reports and related materials for conferences in which the agency participated.

Permanent.  
Office of Record. Retain until no longer needed for operations. Transfer to FRC and offer to the National Archives when 20 years old. *in 5 year blocks*

6-6

~~Minutes of Advisory Committee Meetings~~

~~File contains minutes of all meetings.~~

~~Non-Permanent. **WITHDRAWN**  
Office of Record. Cut off file at end of year. Retain 3 years and destroy~~

7

COMMUNICATIONS/PUBLIC AFFAIRS

7-1

~~Public Affairs Program Files~~

~~Consists of documents which record public affairs activities of the agency. Includes record set of publications, press releases, press conference transcripts and speeches.~~

~~Non-Permanent. **WITHDRAWN**  
Office of Record. Retain until no longer needed for operations and destroy.~~



Item Number	Title and Description of Records	Retention Disposition
7-2	<p><u>Exhibits, Graphics, and Related Materials</u></p> <p>Included are graphic designs, drawings, planning documents, photographs, correspondence, and related material created in the development and production of items for use at conventions, conferences, and other special events.</p> <p>a) Items which have significant historical value.</p> <p>b) Other items.</p>	<p>1. <u>Permanent.</u>  <u>Office of Record.</u>                      Retain 5 years after final presentation and offer to the National Archives <i>in 5 year blocks.</i></p> <p>2. <u>Non-Permanent.</u>  <u>Office of Record.</u>                      Retain 2 years after final presentation and destroy.</p>
7-3	<p><u>Contractor Reference File</u></p> <p>Pertinent information on potential communication contract bidders, including specialty and area of expertise. Updated regularly.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain until no longer needed for operations and destroy.</p>
7-4	<p><u>Public Affairs Clearance Files</u></p> <p>Files which document official clearance of proposed agency publications, periodicals, news releases, audio-visual, and other similar materials.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Cut off file at end of year. Place in inactive files for 3 years then transfer to FRC. Destroy when 10 years old.</p>
8	<p><u>DELEGATIONS OF AUTHORITY</u></p> <p>Case files which document the development and clearance of delegations of authority.</p> <p>a) Program delegations which are unique to the agency.</p>	<p>1. <u>Permanent.</u>  <u>Office of Record.</u>                      Transfer to FRC when no longer needed for operations. Offer to the National Archives after 10 years <i>in 5 year blocks.</i></p> <p>2. <u>Non-Permanent.</u>  <u>Other Offices.</u> Retain 1 year after delegation is obsolete or superseded and destroy.</p>

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Item Number	Title and Description of Records	Retention Limitations and Disposition
	b) Administrative delegations which deal with matters such as annual leave, printing, travel, etc.	1. <u>Non-Permanent. Office of Record.</u> Retain 5 years after delegation is obsolete or superseded and destroy. 2. <u>Other Offices.</u> Retain 1 year after delegation is obsolete or superseded and destroy.
9	EQUAL EMPLOYMENT OPPORTUNITY	
9-1	<u>EEO Policies and Procedures</u>  These files document EEO regulations and are organized by major program thrust.  Specific and general information includes files on the following:  1. EEO planning and coordination 2. Federal Women's Program 3. EEO education and training 4. Hispanic Employment Program 5. Research, evaluation, and planning documents, computerized data on skills activities, and forward planning 6. Handicapped Program	<u>Non-Permanent. Office of Record.</u> Cut off file at end of year. Retain 4 years and destroy.
9-2	No longer required because records are covered in General Records Schedule 1.	
9-3	No longer required because records are covered in General Records Schedule 1.	
9-4	No longer required because records are covered in General Records Schedule 1.	
9-5	<u>EEO Training and Related Material</u>  Includes general material on the basic procedures, policies, and restrictions on conduct of EEO training activities and those materials which were developed for specific programs.	<u>Non-Permanent. Office of Record.</u> Retain until no longer needed for operations and destroy.

Item Number	Title and Description of Records	Retention Category & Disposition
10	GAO AUDIT AND RELATED MATERIALS	
10-1	<p><u>Comments on GAO Reports</u></p> <p>Comments by agency and program offices in response to draft GAO reports which relate to programs and functions in HRA.</p>	<p>a. <u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 5 years after final GAO report is issued and destroy.</p> <p>b. <u>Other Offices.</u> Retain 2 years and destroy.</p>
10-2	No longer used.	
10-3	No longer used.	
11	GRANTS, CONTRACTS, AND COOPERATIVE AGREEMENTS	
11-1	<p><u>Policies and Procedures</u></p> <p>Document the development and implementation of policy and procedural changes in the agency's management of grants, contracts, and cooperative agreements.</p>	<p>a. <u>Permanent.</u>  <u>Office of Record.</u> Retain 15 years after becoming obsolete or superseded, and offer to the National Archives. <i>offer in 5 year blocks</i></p> <p>b. <u>Non-Permanent.</u>  <u>Other Offices.</u> Destroy when obsolete or supersede</p>
11-2	<p><u>Grant Application Clearance Files</u></p> <p>Requests for clearance of proposed grant application forms and instructions from all agency components. Includes justification of modifications and final approved forms and instructions.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 3 years after approval or disapproval and destroy.</p>
11-3	<p><u>Grant and Loan Certificate Files</u></p> <p>Certifications which establish or verify eligibility of educational institutions for Federal grant or loan programs.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Destroy when obsolete or supersede</p>

Item Number	Title and Description of Records	Retention Limitation & Disposition
11-4	<p><u>Grant and Loan Administration Records</u></p> <p>Include grant applications, determinations of eligibility, payment records, annual financial reports, related papers, and correspondence which documents HRA loan programs for construction and equipment purchases.</p> <p>a) Ineligible, rejected, and unfunded applications.</p> <p>b) Approved applications and all related correspondence.</p> <p>c) Uncollected loans.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain <b>3</b> years after determination and destroy. <i>GRS3, Item 1/4a</i></p> <p>1. <u>Office of Record.</u> Retain 3 years after termination and destruction.</p> <p>2. <u>Other Offices.</u> Retain 2 years after termination and destroy.</p> <p><u>Office of Record.</u> Transfer to the General Accounting Office when loan is determined uncollectible.</p>
11-5	<p><u>Grants and Contracts Audit Reports</u></p> <p>Reports of audits. Includes audit findings, comments from grantees or program officials, and resolutions accepted by the Department.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 6 years after final resolution and destroy.</p>
11-6	<p><u>Unsuccessful Grant Applications and Contract Proposals</u></p> <p>Includes applications and proposals with supporting materials relative to their study and review.</p> <p>a) Proposals which were not solicited.</p> <p>(1) Routine proposals.</p> <p>(2) Proposals of continuing interest to the program.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 1 year after notice to offeror and destroy.</p> <p><u>Office of Record.</u> Destroy when no longer needed for reference purposes.</p>

## HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitations and Disposition
b) Proposals received as a result of a published Request for Proposal.		<ol style="list-style-type: none"> <li>1. <u>Office of Record.</u> Retain 1 year after notice to offeror and destroy.</li> <li>2. <u>Other Offices.</u> Destroy when no longer needed for reference purposes</li> </ol>
11-7	No longer used. Incorporated into item 11-6.	
11-8	<u>Audit Report Control Index</u>  Record maintained for reference of agency. Includes PHS-5177, Audit Report Control Record.	<u>Non-Permanent.</u> <u>Office of Record.</u> Destroy when no longer needed for operations.
11-9	<u>Report of Expenditures Adjustment and Audit</u>  Files of claims on indirect cost adjustments of grantees.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain 6 years after resolution of claim and destroy.
11-10	<u>Negotiated Indirect Cost Rates</u>  File of negotiated indirect cost rates for non-profit and commercial contractors.	<u>Non-Permanent.</u> <u>Office of Record.</u> Superseded material may be destroyed when no longer needed for operations.
11-11	<u>Cost Advisory Contracts</u>  Files arranged by contractor name and sequential contract number. Includes working copies of contract files and documentation of site audits and other activities.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain 3 years after desk audit or immediately following field audit and destroy.
11-12	<u>Cost Advisory Central</u>  Files on contractors which include data on accounting acceptability, financial capability and activities with this agency.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after activity with contractor ends and destroy.

Item Number	Title and Description of Records	Retention Schedule & Disposition
11-13	<p><u>Cancelled RFC's and RFP's</u></p> <p>Files consist of Requests for Contract for which Request for Proposals may have been advertised but was cancelled prior to award.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 1 year after request is cancelled and destroy.</p>
11-14	<p><u>Prospective Minority Contractors</u></p> <p>File of contractors by name which describes specialties and capabilities.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 1 year after contractor is not considered a potential bidder, and destroy.</p>
11-15	<p><u>Special and Final Reports or Products of Grants and Contracts</u></p> <p>Includes published or unpublished reports, textbooks, curricula, or audiovisual items such as film, slides, or tapes. When special or final reports are required, they generally contain background, problems, findings, and recommendations.</p> <p>a) Significant reports or products of grants and contracts (having historical or research value as determined by the program office and project officer), not to exceed one percent of all grants and contracts in a given year.</p> <p>b) Other reports or products.</p>	<p>1. <u>Permanent.</u>  <u>Office of Record.</u> Retain 15 years from date of report and offer to the National Archives. <i>Offer in 5 year blocks</i></p> <p>2. <u>Non-Permanent.</u>  <u>Other Offices.</u> Destroy when no longer needed for reference purposes</p> <p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 5 years from date of report and destroy when no longer needed for reference purposes.</p>
11-16	<p>No longer used. Incorporated into item 11-15.</p>	

Item Number	Title and Description of Records	Retention Limitations & Disposition
11-17	<p><u>Contract File (General Records Schedule No. 3, Item 4(a) 1-3).</u></p> <p>Includes Request for Contract, Request for Proposal, Summary of Negotiations, Contract, Vouchers, and papers related to procurement planning, award, administration, payment, audit, and closing.</p> <p>a) Transactions of more than \$10,000 and construction contracts exceeding \$2,000 and dated after July 25, 1974.</p> <p>b) Transactions of \$10,000 or less and construction contracts under \$2,000 dated after July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974.</p> <p>c) Transactions of more than \$2,500 dated prior to July 26, 1974.</p>	<p>1. <u>Non-Permanent. Office of Record.</u> Retain 6 years and 3 months after audit (closing), and destroy. Retire closed files in fiscal year block to FRC.</p> <p>2. <u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p>3. <u>Other Offices.</u> Destroy when no longer needed for reference purpose.</p> <p>1. <u>Office of Record.</u> Retain 3 years after audit (closing), and destroy.</p> <p>2. <u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p>3. <u>Other Offices.</u> Destroy when no longer needed for reference purpose.</p> <p>1. <u>Office of Record.</u> Retain 6 years after audit (closing), and destroy.</p> <p>2. <u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p>3. <u>Other Offices.</u> Destroy when no longer needed for reference purpose.</p>

Item Number	Title and Description of Records	Retention Period and Disposition
	<p>d) Transactions of a program which awards contracts for similar work to the same contractor on a regular basis (such as the Area Health Education Centers).</p>	<p>1. <u>Office of Record.</u> Retain 6 years after audit (closing), and destroy.</p> <p>2. <u>Program Office.</u> Retain 1 year after program ends or contract is awarded to another entity and destroy.</p> <p>3. <u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p>
11-18	<p><u>Contract Payment Records</u></p> <p>Document obligations and payments under contracts.</p>	<p>a. <u>Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after final payment and destroy.</p> <p>b. <u>Other Offices.</u> Retain 1 year after final payment and destroy.</p>
12	<p>ISSUANCE MANAGEMENT</p>	
12-1	<p><u>Formal Issuances</u></p> <p>Formal policy or procedural issuances of the agency or its components. Includes HRA Manual Circulars, Supplements to Department and PHS Staff Manuals, Bureau issuances (such as Program Policy Notices) and other manuals, guides, directives, etc.</p>	<p>a. <u>Permanent.</u> <u>Office of Record.</u> Retain a complete record of issuances and transfer to FRC when obsolete. Offer to National Archives 10 years later <i>in 5 year blocks.</i></p> <p>b. <u>Non-Permanent.</u> <u>Other Offices.</u> Retain until no longer needed for reference and destroy.</p>



Item Number	Title and Description of Records	Retention Limitations & Disposition
12-2	<p><u>Issuance Background Files</u></p> <p>Files accumulated in the preparation of manuals, directives, handbooks, and other policy and procedural issuances. Includes clearances, comments, recommendations, and similar records which provide a basis for publication or contribution to the contents of issuances.</p>	<p><u>9 Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years and destroy.</p> <p><u>6 Other Offices.</u> Retain 1 year and destroy.</p>
12-3	<p><u>Distribution Control</u></p> <p>Files contain mailing lists, mailing keys and similar items which control the distribution of HRA, PHS, and DHHS staff manuals, supplements, circulars and other issuances. Material is updated routinely.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain until no longer needed for operations and destroy.</p>
13	<p>LEGISLATION</p>	
13-1	<p><u>Legislative History</u></p> <p>Files describing HRA legislative interpretations requests for agency representation at scheduled Congressional hearings, final copies of prepared opening statements and testimonies given before Congressional committee hearings, written comments on Agency-related bills, compilations of historical summaries of laws applicable to the Agency's mission and functions, legislation establishing or amending agency programs, copies of all Agency-related bills as approved by the President, back-up files and related materials from the Department, OMB and Congress.</p>	<p><u>9 Non-Permanent.</u> <u>Office of Record.</u> Retain 10 years and destroy.</p> <p><u>6 Other Offices.</u> Retain for current legislative session and destroy.</p>
13-2	<p><u>Legislative Proposals</u></p> <p>Individual case files which include back-up documents from all HRA components, essential working documents, and final legislative proposals from HRA (with any modifications), PHS, the Department or OMB.</p>	<p><u>9 Non-Permanent.</u> <u>Office of Record.</u> Retain 10 years and destroy.</p> <p><u>6 Other Offices.</u> Retain for current legislative session and destroy.</p>

Item Number	Title and Description of Records	Retention and Disposition
13-3	<p><u>Legislative Reports</u></p> <p>Files consist of periodic, statutorily-required reports to Congress, intermittent reports, and the finalized record copy transmitted to the Secretary, with pertinent supporting documentation.</p>	<p><u>a. Non-Permanent.</u>  <u>Office of Record.</u> Retain 5 years and destroy.</p> <p><u>b. Other Offices.</u> Retain for current legislative session and destroy.</p>
13-4	<p><u>Legislative Briefing Notebooks</u></p> <p>Binders developed on all major HRA related issues and pending legislation by program area issues. Consists of issues and proposed legislation, with supporting documentation as necessary.</p>	<p><u>a. Non-Permanent.</u>  <u>Office of Record.</u> Retain for current session of Congress. Cut off file at the end of each Congressional session. Transfer the record set of Briefing Notebooks to the FRC. Destroy after 20 years.</p> <p><u>b. Other Offices.</u> Destroy when no longer needed for reference.</p>
13-5	<p><u>Comments on Bills</u></p> <p>Individual case files consist of requests from the Congress to comment on proposed legislation impacting on the program of HRA and final comments transmitted to Congress.</p>	<p><u>a. Non-Permanent.</u>  <u>Office of Record.</u> Retain 2 years and destroy.</p> <p><u>b. Other Offices.</u> Destroy when no longer needed for reference.</p>
13-6	<p><u>Comments on Public Laws and Related Material</u></p> <p>Files contain plans and other documents, including written opinions from the Office of the General Counsel (OGC), relating to the implementation of specific Public Laws that concern HRA programs both at Headquarters and in the Regional Offices. The files contain separate folders of records accumulated in drafting or commenting and proposed legislation for HRA programs.</p>	<p><u>a. Non-Permanent</u>  <u>Office of Record.</u> Retain 2 years and destroy.</p> <p><u>b. Other Offices.</u> Destroy when no longer needed for reference.</p>

Item Number	Title and Description of Records	Retention Limitations & Disposition
14	MANPOWER MANAGEMENT	
14-1	<p><u>Work Measurement Studies and Manpower Surveys</u></p> <p>Files consist of periodic Manpower Management Reports which specify organization/workload analysis relating to current or project (measurable and non-measurable) outputs, manpower available/required, productivity indexes, and trends. Reports are used to forecast budgetary requirements and justify position increases to PHS, DHHS, and OMB.</p>	<p>Non-Permanent.  <u>Office of Record.</u> Retain until reports are 10 years old and destroy.</p>
14-2	No longer used. Item has been renumbered as 2-3.	
15	OFFICE ADMINISTRATIVE FILES	
15-1	<p><u>Office Administrative Records</u></p> <p>These files relate to routine administrative matters. They are found in most offices and contain no information of lasting significance. Examples are:</p> <p>a) requests for overtime; personnel records (not the Official Personnel Folder); printing requisitions; supply requisitions (HEW-393); and payroll documents.</p> <p>b) reports of staffing; awards nominations and recipients; EEO reports; training nominations and budget; and memoranda pertaining to exchange of general information between offices.</p> <p style="text-align: right;"><i>a+b</i></p>	<p>a. Non-Permanent.  <u>Office of Record.</u> Retain until 3 years old and destroy.</p> <p>b. Non-Permanent.  <u>Office of Record.</u> Retain until 2 years old and destroy.</p> <p><u>Other Offices.</u> Retain until no longer needed for operations.</p>
15-2	<p><u>General Subject Files</u></p> <p>Correspondence, reports, memoranda, and related materials on the activities in which the office is involved.</p>	<p>Non-Permanent.  <u>Office of Record.</u> Cut off file at end of year. Retain 5 years and destroy.</p>

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HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitation and Disposition
16	<p>OFFICE SERVICES AND SUPPLIES</p> <p>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 for general maintenance). These records include, but are not limited to: requests and receipts for supplies and equipment, requests for disposal of equipment, and similar papers pertaining to routine office supply and equipment matters; requests for installation of telephones, telephone extensions, changes to telephone directories and systems, and similar communication matters; and documents related to building facilities, such as floor plans, office relocation plans, space surveys, requests for changes in assignment of office space, and related correspondence.</p>	<p><u>a. Non-Permanent.</u>  <u>Office of Record.</u> Retain until 2 years old and destroy.</p> <p><u>b. Other Offices.</u> Retain until no longer needed for operations and destroy.</p>
17	<p>ORGANIZATION MANAGEMENT</p> <p>Files which document the authority, organization, and functions of the agency. These records establish or change the organization and functions of HRA. Included are proposed and approved organization, function, and mission statements, staffing plans, organizational charts and codes, and supporting documentation.</p>	<p><u>a. Permanent.</u>  <u>Office of Record.</u> Transfer a complete set of agency's organization statements, charts, and codes to the FRC when obsolete or superseded. Offer to the National Archives after 25 years in <i>5 year blocks</i></p> <p><u>b. Non-Permanent.</u>  <u>Other Offices.</u> Retain until no longer needed for operations.</p>

HRA RECORDS CONTROL SCHEDULE

#885367

Item Number	Title and Description of Records	Retention Limitation & Disposition
18	PAPERWORK MANAGEMENT	
18-1	<u>Forms Management</u>  Case files which document the initiation, development, and history of HRA forms. Included are justification for the form, results of systems and forms analysis, form design, form clearances, camera copies, printing requisitions and related materials.	<p><u>a. Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years after form is obsolete or superseded and destroy. <i>GRS 16, item 4</i></p> <p><u>b. Other Offices.</u> Retain until form is obsolete or superseded and destroy</p>
18-2	<u>Records Disposition Files</u>  Consist of documentation of request, approval transfer, and final disposition of agency records. Includes SF-135, Records Transmittal and Receipt, GSA 7015, Notice of Intent to Dispose of Records, and related materials.	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut off files at end of fiscal year. Retain until no longer needed for reference purposes and destroy.</p>
18-3	<u>Reports Inventory Files</u>  Consist of documents collected in the preparation of periodic inventories or surveys of reporting requirements.	<p><u>a. Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years after inventory or survey is completed and destroy.</p> <p><u>b. Other Offices.</u> Retain 1 year after inventory or survey is completed and destroy.</p>
18-4	<u>Report Project Files</u>  Consist of working papers, notes, drafts, feeder reports and any other material used to compile agency reports.	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 2 years or until no longer needed for operation and destroy.</p>
18-5	<u>Forms</u>  Contains a copy of each form created by HRA.	<p><del><u>Permanent.</u> <u>Office of Record.</u> Offer to National Archives in <del>year increments</del></del></p> <p><i>GRS 16, item 4a. Destroy 5 years after related form is discontinued, superseded, or cancelled.</i></p>

Item Number	Title and Description of Records	Retention Limitation & Disposition
19	PERSONNEL MANAGEMENT	
19-1	<u>Personnel Policies and Procedures</u>  Files document the development and implementation of programs, policies, and procedures related to personnel management. Consist of general program materials, correspondence, reports, and related items.	Non-Permanent. <u>Office of Record.</u> Retain in active file until superseded or obsolete. Retain in inactive file for 2 years and destroy.
19-2	<u>Inquiries about Employment</u>  General inquiries about jobs available in the agency. Includes inquiry and reply.	Other Offices. Retain until superseded or obsolete and destroy.  Non-Permanent. <u>Office of Record.</u> Cut off file at end of year. Retain 1 year and destroy.
19-3	<u>Employment and Financial Interest of Employee</u>  Consists of HHS-474, Confidential Statement of Employment and Financial Interests, and related documents, filed by employee's name.	Non-Permanent. <u>Office of Record.</u> Cut off file at end of year. Retain in inactive files for 5 years and destroy.
19-4	<u>Employee Training Programs</u>  Consists of background material, correspondence, course quotas, schedules, evaluations, reports and other materials related to the development of training programs.	Non-Permanent. <u>Office of Record.</u> Cut off file at end of year. Retain 1 year and destroy.
19-5	<u>Incentive and Performance Awards and Employee Suggestions</u>  Files document awards and employee suggestion program activities. Include background material, reports, documentation of specific actions and related items.	Non-Permanent. <u>Office of Record.</u> Cut off file at end of year. Retain 2 years and destroy.

Item Number	Title and Description of Records	Retention Limitation: & Disposition
19-6	<p><u>Personnel Resources and Allocation System</u></p> <p>Data system which includes all agency personnel. Consist of master tapes and system generated reports. Data are updated regularly and previous tapes and reports are then destroyed, (usually within 6 months).</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain until no longer needed for operations and destroy.</p>
19-7	<p><u>Personnel Security and Investigative Reports</u></p> <p>Case files containing copies of personnel security clearance documents and other investigative reports and related papers furnished to the Agency by the Office of Personnel Management or other Management or other investigative organizations. Includes reports on irregularities and misconduct of employees. Excluded are investigative reports and related papers furnished to HRA by the OPM for which disposition instructions are provided in the Federal Personnel Manual.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after transfer or separation of individual concerned or 2 years after last action and destroy.</p>
19-8	<p><u>Labor Relations</u></p> <p>Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut off file at end of year. Retain 3 years and destroy.</p>
19-9	<p><u>Individual Work Plans for SES Employees and Program Managers</u></p> <p>File consists of Performance Appraisal Work Plan listing the objectives, goals, weights and final scores of SES employees and program managers.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 5 years in the employee performance folder for the SES employee and destroy. <i>GRS 1/23b(3)</i></p> <p><u>Retain for 3 year</u> in the employee performance folder for the program manager and destroy <i>GRS 1/23a(4)</i></p> <p><u>Other Offices.</u> Retain for 1 year and destroy.</p>

Item  
Number

Title and Description of Records

20

PLANNING AND EVALUATION

20-1

Five-Year Forward Plan

Files consist of complete guidance for the annual Forward Plan and papers developed in connection with the Plan. Also contain issue papers developed to illuminate changing circumstances.

Non-Permanent.  
Office of Record. Retain until obsolete or until no longer needed for reference, and destroy.

20-2

Evaluation Plan

Files include a completed HRA Evaluation Plan by fiscal year, beginning with 1974 (the first year for which a formal Evaluation Plan was developed for HRA), background materials and working documents from each component, and consolidated Plans for HRA and PHS:

a) Current Plan for HRA

a) Permanent.  
Office of Record. Retain in active file until completion of subsequent year plan. Retain in inactive file for 1 year; then transfer to the FRC. Offer to the National Archives 10 years after receipt in the FRC in 5 year blocks.

b) Background and other material

Non-Permanent.  
Other Offices. Destroy when no longer needed for reference.

Office of Record. Retain until no longer needed for current operations and destroy.

20-3

No longer used. Incorporated into item 11-17.

20-4

No longer used. Item has been renumbered as 2-2.

20-5

No longer used.

21

PROPERTY MANAGEMENT

This section is no longer required because records are covered in General Records Schedule 4.



## FRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitations & Disposition
22	PUBLICATIONS AND RELATED MATERIALS	
22-1	<p><u>Publication Card Index</u></p> <p>File on publications by number and title kept for response to inquiries. Updated regularly.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain until no longer needed for operations and destroy.</p>
22-2	<p><u>Publication Request Files</u></p> <p>Copies of inquiries about and requests for agency publications.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 1 month and destroy.</p>
22-3	<p><u>Publications Master Files</u></p> <p>Master copies of publications (camera copies, galley proofs, photographs, drawings, maps, charts, typescripts, negatives), printing requisitions, and any other material required for printing and distribution.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 1 year after no longer needed for use in revision related publications, or reprinting and destroy.</p>
22-4	<p><u>"Public Health Reports"</u></p> <p>A technical and scientific journal published by the Public Health Service since 1878:</p> <p>a) a record set of the journal.</p> <p>b) documents describing changes in format and frequency, and related items.</p> <p>c) original manuscripts submitted for review by PHS staff and others, related correspondence, editing and revisions to the manuscripts, and final copy.</p>	<p><u>Permanent.</u> <u>Office of Record.</u> Sent to National Archives by Government Printing Office after each printing.</p> <p><u>Permanent.</u> <u>Office of Record.</u> Offer to the National Archives when volume warrants <i>in 5 year blocks.</i></p> <p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain in active file until manuscript is accepted and sent to printer. If manuscript is rejected, place in inactive file. Retain 1 year and destroy.</p>

## HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitations & Disposition
	d) card index of authors, manuscripts, control log, and master mailing keys used to distribute the journal.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain until no longer needed for operations and destr
22-5	No longer used. Incorporated into Item 22-4.	
22-6	No longer used. Incorporated into Item 22-4.	
22-7	<del>Publications</del>	
	Complete set of publications issued by the component, arranged chronologically, by publication.	<del>Permanent. <b>WITHDRAWN</b> <u>Office of Record.</u> Retain until no longer needed for operations and offer to the National Archives.</del>
23	REGULATIONS	
23-1	<u>Regulation Files</u>	
	Complete documentation of the development, processing and publication in the <u>Federal Register</u> , of a General Notice, a Notice of Proposed Rulemaking, an Interim Final Regulation and/or a Final Regulation.	1. <u>Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years after regulation is revoked and destroy. 6. <u>Other Offices.</u> Retain 1 year after regulation is revoked and destroy.
23-2	<u>Public Comments on Regulations</u>	
	Contains comments received after publication in the <u>Federal Register</u> of a Notice of Proposed Rulemaking or other notice concerning a regulation.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain 1 year after Final Regulation is published and destroy.
24	SAFETY MANAGEMENT	
	Reports are maintained by the HRA Safety Officer and copies retained by reporting officials, in connection with the general reporting of accidents. Includes copies of HEW-516, quarterly and annual HRA safety reports, and copies of CA-1, CA-2 and related documents submitted to the Bureau of Worker's Compensation.	a. <u>Non-Permanent.</u> <u>Office of Record.</u> Cut off file at end of year; retain for 3 years and destroy. b. <u>Other Offices.</u> Cut off file at end of year; retain 1 year and destroy.

HEALTH RESOURCES ADMINISTRATION  
RECORDS CONTROL SCHEDULE

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B-341

SECTION II -- PERMANENT AND NON-PERMANENT  
PROGRAM RECORDS

This section provides for the disposition of HRA permanent and non-permanent program records. Included are files relating to: grants, contracts, loans, training, awards, special projects for health professions, health facilities, and intergovernmental and international activities.

The distribution of Federal money through grants, loans, loan guarantees, cooperative agreements, interest payments, and other similar type programs is a major function of HRA. The disbursement of these funds must be done according to established legislation and the functions of each program. These records are grouped by the general nature of assistance they provide.

HRA utilizes formula grants for certain program purposes. The formula may be based on population, ethnic distribution, per capita income, enrollment, mortality, morbidity, the presence of federal activities, etc. There is also the discretionary grant under which HRA determines the grantee and the dollar amount of the specific grant(s) more subjectively.

Construction grants are awarded to provide support for building, expanding, and modernizing health facilities.

The examples of assistance cited above broadly indicate what HRA is authorized and required by Public Law and regulations to do.

Record copies of grants and contracts, with pertinent supporting documents, are located in the Division of Grants and Procurement Management, HRA. However, copies of grant and contract materials, as well as the bulk of documents accumulated through the day-to-day operations of these programs, are located within the Bureaus. These documents will be brought together when funds are terminated and/or the final payment received, to reflect one single package and called the Office of Record File (to include formula, discretionary, and construction grants).

Item Number	Title and Description of Records	Retention Limitation & Disposition
25	<p>INTERGOVERNMENTAL AFFAIRS</p> <p>Files documenting the conduct of liaison activities between HRA, State, and local governments, private organizations, and the public. Includes, but is not limited to, correspondence created in the conduct of meetings, conferences, and other facets of such liaison activities.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut of file at end of fiscal year. Retain 2 years and destroy.</p>
26	<p>INTERNATIONAL AFFAIRS</p> <p>Files documenting HRA interest and participation in international health projects, liaison, and related activities. Program files deal specifically with the Special Foreign Currency Program and HRA interaction on projects under this authority. Frequently, HRA files may contain background materials not duplicated at other levels.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Cut of file at end of fiscal year. Retain for 5 years and destroy.</p>
27	<p>HEALTH RESOURCES OPPORTUNITY</p> <p>Files which document the ongoing activities of HRA's efforts to increase and improve the availability, accessibility, and accountability of health services and health careers for the disadvantaged.</p> <p>Documents include studies evaluating the impact of HRA's programs on the disadvantaged; data compilation and analysis; implementation and monitoring of the PHS Policy Statement on Civil Rights; coordination and monitoring of HRA's Access Strategy for promoting equal access to health careers and health care; coordination within HRA of special Departmental and Agency initiatives; and liaison with all operational and planning activities.</p>	<p><u>Permanent.</u> <u>Office of Record.</u> Cut of files at end of fiscal year. Retain in inactive files for 2 years, then transfer to FRC. Offer to the National Archives when 10 years old <i>In 5 year blocks.</i></p>
27-1	No longer used. Incorporated into Item 27.	
27-2	No longer used. Incorporated into Items 11-17 and 28.	

Item  
Number

Title and Description of Records

Retention  
Schedule

28

GRANT FILES

A number of grant, fellowship, and traineeship programs provide assistance in various aspects of the training of health professionals. The purposes of other grant programs are to improve access to health care, the quality of health care, the distribution of health professionals and the opportunities of the disadvantaged to health resources.

Grant files consist of applications, program narratives, reviews, evaluations, progress reports, objectives and goals, site-visit reports, payment requests, statistical forecasts and reports, biographical sketches, obligated balances, budget statements, recommendations, reports of expenditures, notices of awards, and correspondence.

9. Non-Permanent.  
Office of Record. Retain  
6 years after grant is  
closed and destroy.

6. Other Offices. Retain  
2 years after grant is  
closed and destroy.

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#164637\*

HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitation & Disposition
29	<p><del>PROGRAM HISTORY FILE</del></p> <p>Consists of complete authorities for the mandate of the program. Included are planning and management information, policies, procedures, resource materials and correspondence which documents how the program is conducted.</p>	<p><del>a. Permanent. <b>WITHDRAWN</b> Office of Record. Retain until program is terminated or transferred. Retire to FRC and offer to the National Archives 10 years later.</del></p> <p><del>b. Non-Permanent. Other Offices. Retain until no longer needed and destroy.</del></p>
30	<p><del>PROGRAM LEGISLATION FILE</del></p> <p>Complete record of legislative development and implementation activities, including the program objectives, alternatives, and policy positions.</p>	<p><del>a. Permanent. <b>WITHDRAWN</b> Office of Record. Retain as long as legislation applies. Transfer to FRC when superseded. Offer to National Archives 10 years thereafter.</del></p> <p><del>b. Non-Permanent. Other Offices. Retain until obsolete or no longer needed for operations and destroy.</del></p>
31	<p>INVENTORY OF STATE SUPPORT FOR HEALTH PROFESSIONS TRAINING PROGRAMS</p> <p>A survey of financial support provided by the State for health education programs. Data include the health professions supported, the amount of support and the type of support (institutional, capital outlay, student aid, or direct).</p>	<p>Non-Permanent. Office of Record. Retain for 5 years after inventory is discontinued and destroy.</p>
32	<p><del>AREA RESOURCE FILE</del></p> <p>Compilation of data, by county, on health manpower, health training, health facilities, population characteristics, economic status, and health status. Used in health care planning, analysis of the health care workforce, designation of health manpower shortage areas, development of criteria for determining requirements of physician manpower and analysis of health care utilization. Data are routinely updated.</p>	<p>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain for 5 years after file has been discontinued and destroy.</p>

Item Number	Title and Description of Records	Retention Limitation or Disposition
33	<p>SHORTAGE AREA DESIGNATION FILES</p> <p>Records, by State, of the distribution of health care services and personnel in identified health service areas. Data are used to identify areas, population groups and facilities which are underserved or have shortages of health care personnel. Data are continually updated.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years after program is discontinued and destroy.</p>
34	<p>ALLIED HEALTH EDUCATION PROGRAM IN JUNIOR AND SENIOR COLLEGES</p> <p>This is a survey of Junior and Senior Colleges in the U.S. which have reported no health education programs since 1973. Its purpose is to identify new health education programs. The questionnaires include information on the exact program title, location, length of program, accreditation status, enrollment capacity, size of graduating class, prerequisites for admission, tuition, and numerous other characteristics of the program and its students. The data is compared with the results of past surveys. Data are updated regularly.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 5 years after survey is discontinued and destroy.</p>
35	<p>HEALTH OCCUPATIONAL TRAINING PROGRAMS ADMINISTERED BY HOSPITALS</p> <p>This is a survey of allied health and nursing programs administered by hospitals. Information is obtained on such characteristics of the training programs as admission requirements, frequency offered, length of program, award granted, accreditation, tuition, and other student expenses. Data are also included on the number of students enrolled since October 15, 1973, arranged by sex and racial/ethnic background. Data are continually updated.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 5 years after survey is discontinued and destroy.</p>

#158649

## FRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention and Disposition
36	RELEVANCE OF GRADUATE HEALTH CARE ADMINISTRATION CURRICULA  The project (1) catalogs the present curricula of health administration programs; (2) examines the formal and informal processes used for curriculum evaluation and change; (3) identifies positions held by recent graduates of the programs; (4) develops criteria and methods for determining both the relevance of curriculum elements vis-a-vis positions held and the effectiveness of various curriculum evaluation and change processes; and (5) makes recommendations to graduate programs in health care administration and agencies engaged in health professions development. Standardized categories are developed for curriculum elements, positions held by graduates (including sector of industry and principal type of work performed), and for curriculum evaluation and change processes.	<u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 5 years after survey is discontinued and dest
37	DENTAL HEALTH CARE	
37-1	<u>Auxiliary Dental Health Care Delivery</u>  The purposes of this program area are: to teach dental students how to function effectively as managers and organizers in multiple auxiliary dental health care delivery teams; to significantly increase services available to the public; and to train dental auxiliaries in expanded dental functions.  These records consist of or relate to such matters as workshops, reviews, budget requests, critiques, summary statements, program narratives, statistical reports, progress reports, site visits, recommendations, evaluations, surveys, objectives and goals, next year forecasts, training, meetings, and conferences.	<u>a. Non-Permanent.</u> <u>Office of Record.</u> Cut o files at end of year. Retain for 5 years, or until no longer needed f operations and destroy.
37-2	<u>Dental Health Training Programs</u>  The purpose of this program area is to assist schools of dentistry and other public and nonprofit institutions to establish, expand, and improve courses in dentistry on a decentralized geographical basis.	<u>b. Other Offices.</u> Retain 2 years and destroy.  <u>a. Non-Permanent.</u> <u>Office of Record.</u> Cut of files at end of year. Retain 5 years or until no longer needed for operations and destroy.



Item Number	Title and Description of Records	Retention Recommendation & Disposition
37-3	<p>These records consist of or relate to such matters as reviews, critiques, recommendations, summaries, program narratives, progress reports, next year forecasts, meetings, conferences, site visits, and evaluations.</p> <p><u>Dental Health of Children</u></p> <p>This program area promotes the dental health of children and youth of school and preschool age, particularly in areas with concentrations of low-income families.</p> <p>These records consist of or relate to reports (except final reports), applications, justifications, budget forecasts, job descriptions, biographical sketches, progress reports, meetings, conferences, training workshops, site visits, reviews, critiques, alterations, renewals, surveys, and reports of State programs in comprehensive health planning.</p>	<p><u>b. Other Offices.</u> Retain 2 years and destroy.</p> <p><u>a. Non-Permanent.</u> <u>Office of Record.</u> Cut off files at end of year. Retain 5 years, or until no longer needed for operations and destroy.</p> <p><u>b. Other Offices.</u> Retain 2 years and destroy.</p>
38	<p><u>SURVEY OF DENTAL BENEFIT PLANS</u></p> <p>Periodic surveys of prepaid dental care plans have been conducted and published since 1958. The purpose of this survey is to revise and update the findings of prior years. Trends in administrative techniques, financial arrangements, scope of benefits, and other characteristics are documented and analyzed. Data are updated regularly.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 10 years after survey has been discontinued, or until no longer needed for operations and destroy.</p>
39	<p><u>PREPAID DENTAL CARE STUDY</u></p> <p>This study was initiated to evaluate the effects of a uniform dental care prepayment plan to people who are covered and on the dentists who provide service under the plan.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain for 10 years after survey has been discontinued, or no longer needed for operations and destroy.</p>

Item Number	Title and Description of Records	Retention Limitation & Disposition
40	<p>CONSTRUCTION GRANT PROGRAMS (HEALTH PROFESSIONS, NURSE TRAINING AND MEDICAL FACILITIES)</p> <p>Grant files consist of applications, award documents, justifications, financial data, progress reports, summary statements, reports of expenditures, evaluations, and related correspondence.</p>	<p>Non-Permanent. <u>Office of Record.</u> Retain 20 years after closing or 1 year after recovery agreement is reached, whichever is sooner, and destroy.</p>
41	<p>CONSTRUCTION GRANTS MONITORING RECORDS</p> <p>Consist of a log of health research and mental retardation facility grants by number. A schedule of actions by the grantee or agency is used for grant control.</p>	<p>Non-Permanent. <u>Office of Record.</u> Retain for 10-years after necessary action has been completed and destroy.</p>
42	<p>CONSTRUCTION GRANT RECOVERY FILE (HEALTH PROFESSIONS, NURSE TRAINING AND MEDICAL FACILITIES)</p> <p>Case file documenting the reason for initiating a recovery action, regional and central office calculations of amount to be recovered, and actions leading to a recovery agreement.</p>	<p>Non-Permanent. <u>Office of Record.</u> Retain 1 year after recovery agreement and destroy.</p>
43	<p>CONSTRUCTION GRANT AND LOAN, AND MORTGAGE INSURANCE SYSTEM</p> <p>This system supports the data needs of the Hill-Burton Program as well as the HUD (Housing and Urban Development) mortgage insurance projects.</p> <p>Data include: name and location of facility, financial data (including total cost and Federal participation) type of facility assisted, project approval information, number of existing facilities, facilities that need to be added and facilities that need to be modernized. Data are continually updated.</p>	<p><sup>a</sup>Permanent. <u>Office of Record.</u> Certain projects are awarded with the assurance that the recipient will provide free care for a period of 20 years after construction and perform some activities in perpetuity. Legislation and a court order require the agency to monitor compliance with these assurances. Data on these projects will therefore be required permanently.</p>

Item Number	Title and Description of Records	Retention Limitations & Disposition
44	<p>CONSTRUCTION GRANTS/LOAN (TITLE VI, HILL-BURTON)</p> <p>Project files consist of surveys, equipment lists, evaluations, payment vouchers, approved construction drawings, grant applications, notice of awards, reports, (except final reports), expenditure reports, progress reports, subcontracts, payment requests, summary statements, and statistical reports.</p>	<p><u>b</u> <u>Non-Permanent.</u> <u>Office of Record.</u> Data from projects which do not require monitoring in perpetuity are removed from the system when no longer needed for operation.</p> <p><u>a</u> <u>Non-Permanent.</u> <u>Office of Record.</u> Destroy 2 years after 20 year Hill-Burton obligation or recovery.</p> <p><u>b</u> <u>Other Offices.</u> Destroy 2 years after 20 year Hill-Burton obligation or recovery.</p>
45	<p>CONSTRUCTION AND MODERNIZATION LOANS (SECTION 242 OF THE NATIONAL HOUSING ACT)</p> <p>Project loan files for the mortgage insurance program administered by HRA for the Department of Housing and Urban Development.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after term of mortgage has been completed (usually 25 years or 2 years after loan repayment and destroy.</p>
46	<p>DIRECT LOANS, LOAN GUARANTEES AND INTEREST SUBSIDIES (TITLE VI HILL-BURTON)</p> <p>Project files which consist of application, loan closing documents and financial data used in the ongoing servicing of the loan.</p>	<p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 2 years after release of loan obligation and destroy.</p>
47	<p><del>LOAN EARLY WARNING SYSTEM</del></p> <p>Consists of financial data on all Hill-Burton direct loans, loan guarantees and HUD Section 242 insured mortgages monitored. Data are used to identify problem loans and determine viability of new loan applications.</p>	<p><del><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years and destroy.</del></p>

WITHDRAWN

Form Number	Title and Description of Records	Retention Limitation & Disposition
48	<p><del>UNCOMPENSATED CARE ASSURANCES COMPLAINTS</del></p> <p>Case files, maintained by status of case, for each complaint filed and held for litigation.</p>	<p><del>Permanent. <b>WITHDRAWN</b> Office of Record. Retain for 5 years after case is closed and transfer to the Federal Records Center. Offer to National Archives 5 years later.</del></p>
49	<p><del>UNCOMPENSATED CARE ASSURANCES DATA FILE</del></p> <p>Up-to-date information on each facility monitored for compliance with uncompensated care assurances. Based on monthly facility information reports.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain until obsolete or no longer needed for operations and destroy.</del></p>
50	<p><del>UNCOMPENSATED CARE ASSURANCES MONITORING SYSTEM</del></p> <p>Data based on triennial reports received from each facility monitored under the uncompensated care assurances program.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain 3 years and send to the Federal Records Center. FRC will retain 3 years and destroy.</del></p>
51	<p><del>STATE MEDICAL FACILITIES PLAN</del></p> <p>Individual files, by state, on the plans for the development and modernization of general TB hospitals, public health centers, long-term care facilities, outpatient facilities, and rehabilitation facilities.</p>	<p><del>Permanent. <b>WITHDRAWN</b> Office of Record. Retain until obsolete (either program is terminated or plan is updated). Offer to National Archives 5 years later.</del></p>
52	<p><del>HEALTH FACILITIES PLANNING PROGRAM</del></p> <p>Complete guidance on how State and local agencies plan for health care facilities (includes training of the regional staff).</p>	<p><del>a. Permanent. <b>WITHDRAWN</b> Office of Record. Retain 1 record copy of final document until obsolete. Offer to the National Archives 5 years later.</del></p> <p><del>b. Non-Permanent. <b>WITHDRAWN</b> Other Offices. Retain until obsolete or superseded and destroy.</del></p>

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## HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Schedule and Disposition
53	<p><del>HSA AND SHPDA PLANS</del></p> <p>Includes Health System Plans and Annual Implementation Plans (prepared by HSAs) and State Health Plans (prepared by SHPDAs) arranged alphabetically by state.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain 6 years beyond the period covered by the plan and destroy.</del></p>
54	<p>WORK PLANS FOR APPROPRIATENESS REVIEW</p> <p>Copies of annual work plans submitted by HSAs and SHPDAs to the regional offices concerning their planned activities in the area of appropriateness review.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Other Offices. Retain 3 years and destroy.</del></p>
55	<p>PLANNING AGENCY FILES</p> <p>Files on each Health Systems Agency and State Health Planning and Development Agency which include correspondence between the central and regional offices, designation agreements, grant awards, annual reports, site assessment reports, and related documents.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain 6 years after termination of planning agency and destroy.</del></p>
56	<p>PLANNING AGENCY TRACKING SYSTEM</p> <p>Data system used to monitor conditions imposed on the planning agencies and their activities <del>to comply with the conditions.</del></p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Data remains current through update process. Retain until no longer needed for operations and destroy.</del></p>
57	<p><del>REGIONAL OFFICE WORK PLANS</del></p> <p>Contains Memorandum of Agreement between regional and central office which describes the program outputs and resources each will provide, progress <del>reports, and related documents.</del></p>	<p><del>a. Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain file at the end of fiscal year. Retain in inactive file for 1 year and destroy</del></p> <p><del>b. Other Offices. Cut off file at end of year. Retain 1 year and destroy.</del></p>
58	<p><del>HSA AND SHPDA GRANT APPLICATION FILES</del></p> <p>Contain applications from Health Systems Agencies and State Health Planning and Development Agencies.</p>	<p><del>Non-Permanent. <b>WITHDRAWN</b> Office of Record. Retain 6 years and destroy.</del></p>

Item Number	Title and Description of Records	Retention Limitation & Disposition
59	<p>DESIGNATION FILES FOR PLANNING AGENCIES</p> <p>Case files which contain back-up documents submitted with the grant application, evaluation of the plan and application, recommendations on designation by the regional and central office, final action, progress reports, site assessment reports, and related material.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Cut off files at end of year. Retain 6 years and destroy.</p> <p><u>Other Offices.</u> Retain until no longer needed for operations and destroy.</p>
60	<p>ALLOCATION OF FUNDS FOR HSA AND SHPDA GRANT FILES</p> <p>Complete files documenting the process of grant fund allocation, including the development and application of the funding formula and verification of grant awards.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Close files at end of fiscal year. Retain 6 years and destroy.</p>
61	<p>PROGRAM FUND REQUESTS DISAPPROVED BY HSAs AND SHPDAs</p> <p>Copies of case files developed when an entity requests funds from the federal government for a program, and this request is disapproved by the HSA or SHPDA.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 10 years and destroy.</p>
62	<p>RECONSIDERATION FILES</p> <p>Case files which document a reconsideration review by the Department and/or the National Council for Health Planning. A complete record of the request for reconsideration of a decision by the Regional Health Administrator to allow or disallow reimbursement under Section 1122 of the Social Security Act is maintained.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 10 years after review is completed and destroy.</p>
63	<p>RECORDS OF STATE AND LOCAL ACTIONS</p> <p>Copies of HRA-45, Record of State and Local Action Pursuant to Section 1122 of the Social Security Act and State Certificate of Need Program, which, since June 1979, document planning reviews conducted by State Health Planning and Development Agencies and Health Systems Agencies. Data from the forms are entered into an automated information system.</p>	<p><u>Non-Permanent.</u>  <u>Office of Record.</u> Retain 5 years and destroy.</p>

SECTION III -- NON-RECORD MATERIALS

This section pertains to file materials that are not included within the definition of the word "records" contained in the Records Disposal Act of 1943. This definition may be found in PHS: Chapter 4-00 entitled, "General Information," of the Department's Records Management Manual.

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Title and Description of Records

Retention Period  
in Years

Section III - Non-Record Materials

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| 64 | Materials preserved solely for purposes of reference, e.g., public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, and policy and procedures documents published within DHHS, by other Federal Agencies, by State and local government activities, and by public entities and activities.   | <u>Non-Permanent.</u> Destroy when superseded or no longer needed for current operations.  |
| 65 | <p>Extra copies of documents preserved only for convenience of reference, such as:</p> <p>(a) Reading file copies of correspondence.</p> <p>(b) "Tickler," "follow-up," or "suspense" copies of correspondence.</p> <p>(c) Duplicate copies of documents maintained in the same file.</p> <p>(d) Extra copies of printed or processed materials for which official copies have been retained.</p> | <p><u>Non-Permanent.</u></p> <p>(a) Destroy when 1 year old.</p> <p>(b) Destroy when action in each case is completed.</p> <p>(c) Destroy each year when files are screened and purged.</p> <p>(d) Destroy when no longer needed for current operations.</p> |
| 66 | Stocks of publications and processed documents preserved for supply purposes.   | <u>Non-Permanent.</u> Destroy when superseded or no longer needed for current operations.  |
| 67 | Privately purchased books, publications and other materials pertaining to personal matters that have been kept in an office for convenience.  | <u>Non-Permanent.</u> The owner should take this material with him when he departs the office on a permanent basis; otherwise destroy when owner permanently departs.  |



## HRA RECORDS CONTROL SCHEDULE

Item Number	Title and Description of Records	Retention Limitations & Disposition
68	<p>Materials that are not being preserved or are not appropriate for preservation because they have neither evidential or informational values, such as:</p> <p>(a) Preliminary or intermediate drafts of letters, memoranda, reports, or other papers, and preliminary worksheets and informal notes that do not represent significant basic steps in the preparation of record copies of documents.</p> <p>(b) Letters of transmittal that do not add any information to that contained in the transmitted material.</p> <p>(c) Memoranda or other papers that do not serve as the basis of official actions; for example, notices of holidays, Red Cross or Combined Federal Campaign drives, and activities of Government associations or unions.</p> <p>(d) Shorthand notes, including stenographic notebooks and stenotype notebooks and stenotype tapes, that have been transcribed.</p>	<p><u>Non-Permanent.</u></p> <p>(a) Destroy when 1 year old</p> <p>(b) Destroy when no longer needed, or in any event when 1 year old.</p> <p>(c) Destroy when no longer needed, or in any event when 1 year old.</p> <p>(d) Destroy when no longer needed, or in any event when 1 year old.</p>