

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO. **NC 1-418-77-2**

DATE RECEIVED **12 MAY 1977**

NOTIFICATION TO AGENCY

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

8-18-77 *James B. Blodgett*
Date Archivist of the United States

101 items

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health Education and Welfare

2. MAJOR SUBDIVISION
Alcohol, Drug Abuse and Mental Health Administration

3. MINOR SUBDIVISION
Saint Elizabeths Hospital

4. NAME OF PERSON WITH WHOM TO CONFER
Niland M. Ritter

5. TEL. EXT.
574-7460

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

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
	<u>Louis S. Marcel</u>	<u>Records Officer, Saint Elizabeths Hospital</u>

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>RECORDS CONTROL SCHEDULE</u> For Use By <u>SAINT ELIZABETHS HOSPITAL</u></p> <p>(An organizational element of the Alcohol, Drug Abuse and Mental Health Administration, Public Health Service, Department of Health, Education, and Welfare)</p> <p>The records described in this Records Control Schedule are created by Saint Elizabeths Hospital, an organizational component of the National Institute of Mental Health. Saint Elizabeths Hospital is a mental hospital caring for approximately 5,500 patients with mental and nervous disorders. It was established in 1855 as the "Government Hospital for the Insane" and operated under that title until 1916 when its name was changed to "Saint Elizabeths Hospital."</p> <p>This schedule should be utilized only by SEH personnel for determination/verification of proper disposition of records created by the Hospital in carrying out its mission of treatment and care of patients and otherwise providing for their welfare.</p>		

115-107

8/11/77. All changes of -101 items approved by N. Ritter. (PL) sent to agency, NCA, NNB, NNF, NNR - 8/22/77, to

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

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>This schedule does not relate to records common to several or all Federal agencies such as those which pertain to official documentation of civilian personnel, fiscal, accounting and procurement programs, etc. Schedules for those records contained in the standards established by the General Services Administration, (GSA) are commonly referred to as "General Records Schedules." Appendix B., General Records Schedules, of the DHEW Records Management Manual lists the categories of record covered by the GSA schedules and provides specific information regarding authorized disposition.</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
	<p>This schedule is divided into three parts:</p> <p><u>PART I - ADMINISTRATIVE MANAGEMENT AND SUPPORT</u></p> <p>These records are accumulated in Staff Offices of the Superintendent, SEH, and (a), reflect the leadership, goals and administrative program management of the Hospital, and (b), document and record management and coordination of medical and other patient related programs which are applicable SEH-wide. Both categories are directly supportive of the primary function of the Hospital - patient treatment and care. (Patient Treatment and Care record control schedules are contained in Part II).</p> <p><u>PART II - PATIENT TREATMENT AND CARE</u></p> <p>These records are accumulated in Saint Elizabeths Hospital wards, treatment offices and clinics, rehabilitation facilities, laboratories, therapy facilities and other related hospital components and document commitment, care, treatment and progress of individual patients while at the hospital in a domiciled or outpatient status. They also relate to in-house training of professionals in the field of mental health, to the employment of consultants and to research projects and studies of SEH patients.</p> <p><u>PART III - AUTOMATIC DATA PROCESSING</u></p> <p>These records are produced by the Division of Clinical Support, Biometrics Branch and include reports, listings, master files, tapes, cards and assorted products generated by or derived from computer records. Since the Biometrics Branch is the on-site data processing support facility for Saint Elizabeths Hospital, subject matter pertains to the areas of Administrative Management and Support (Part I, above) and Patient Treatment and Care (Part II, above).</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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1	<p><u>PART I - ADMINISTRATIVE MANAGEMENT AND SUPPORT</u></p> <p>These records are accumulated in Staff Offices of the Superintendent, SEH, and (a), reflect the leadership, goals and administrative program management of the Hospital, and (b), document and record management and coordination of medical and other patient related programs which are applicable SEH-wide. Both categories are directly supportive of the primary function of the Hospital - patient treatment and care. (Patient Treatment and Care record control schedules are contained in Part II).</p> <p><u>Immediate Office of the Superintendent, SEH</u></p> <p>a. <u>Description:</u> These records incorporate the general correspondence and administrative files which document the formulation of hospital policy and the establishment, direction and review of the primary missions of SEH.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH</p> <p>b. <u>Disposition:</u> <u>Permanent</u> - The SEH Records Officer will offer to the National Archives at the end of ten years after a Superintendent leaves office.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference copies two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
2	<p><u>SEH Accreditation File</u></p> <p>a. <u>Description:</u> This record includes correspondence, notes of meetings and other materials concerning accreditation by the Joint Commission on accreditation of Hospitals. Also includes records and reports of committees regarding recommendations of the Joint Commission and contains the official documents certifying existence or non-existence of accreditation of SEH and/or component elements or programs.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent.</p> <p>b. <u>Disposition:</u> <u>Permanent</u> - Office of Record will transfer to the Federal Records Center when fifteen years</p>		

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3	<p>old. SEH Records Officer will offer to the National Archives when thirty years old.</p> <p><u>Quality Assurance Files</u></p> <p>a. <u>Description:</u> Records document the quality assurance program of SEH which was devised to identify and evaluate deficiencies in patient care and services and to establish and monitor a system of correction. The broad purpose is to assure that SEH meets or exceeds standards and guidelines established by the Joint Commission on Accreditation of Hospitals. Emphasis is on safety and environmental health programs. Records include reports of survey and investigation of deficiencies and correction thereof.</p> <p><u>Record Copy Location</u> - Office of Quality Assurance</p> <p>b. <u>Disposition:</u></p> <p>1. Final reports and supportive documents not included in reports - Office of Record will transfer to Federal Records Center when five years old. Destroy when ten years old.</p> <p>2. Other project and study materials, correspondence, etc. - Destroy when two years old.</p>		
4	<p><u>Legal Advisory Administrative Support Files</u></p> <p>a. <u>Description:</u> Supportive documents and materials relating to litigation or legal claims against SEH, legal research files, legal opinions and related materials.</p> <p><u>Record Copy Location</u> - Legal Office</p> <p>b. <u>Disposition:</u> Destroy when superseded, discontinued or obsolete.</p>		
5	<p><u>Legal Case Files</u></p> <p>a. <u>Description:</u> Legal documents and materials, briefs, evidentiary papers, correspondence between and among attorneys, clients and witnesses, and other supporting materials.</p> <p><u>Record Copy Location</u> - Legal Office</p>		

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7	<p>b. <u>Disposition</u>: Office of Record will forward to Federal Records Center at end of ten years. Destroy when twenty years old.</p> <p><u>Freedom of Information Act (FOIA) Requests Files</u></p> <p>a. <u>Description</u>: Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files including the originals or copies of the records being requested.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition</u>:</p> <p>1. Correspondence and supporting documents, (excluding the originals or copies of the records requested.) -</p> <p>A. Granting access to all the requested records, destroy two years after date of reply.</p> <p>B. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay the SEH reproduction fees.</p> <p>(1) Destroy two years after date of reply if not appealed.</p> <p>(2) Dispose of appealed requests as authorized under item 10 of GSA, General Records Schedule No. 14.</p> <p>C. Denying access to all or part of the records requested:</p> <p>(1) Destroy five years after date of reply if not appealed.</p> <p>(2) Dispose of appealed requests as authorized under item 10 of GSA, General Records Schedule No. 14.</p> <p>2. Originals or copies of requested records - Dispose of in accordance or copies of requested records. Dispose of in accordance with approved SEH disposition instructions for the related records, or with the related FOIA request, whichever is later.</p> <p><u>Freedom of Information Act Appeals Files</u></p> <p>a. <u>Description</u>: Files created in responding to administrative appeals under the FOIA for release of information denied by the SEH consisting of the appellant's letter,</p>		

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	<p>a copy of the reply thereto; and related supporting documents, including the originals or copies of denied records.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition:</u></p> <p>1. Correspondence and supporting documents, (exclusive of the originals or copies of the records denied.) - Destroy four years after final denial, or 3 years after final adjudication by courts, whichever is later.</p> <p>2. Originals or copies of denied records. Dispose of in accordance with approved SEH disposition instructions for the related records, or with the related FOIA request, whichever is later.</p>		
8	<p><u>FOIA Control Files</u></p> <p>a. <u>Description:</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request and name and address of requestor.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition:</u></p> <p>1. Registers or listing: Destroy five years after date of last entry.</p> <p>2. Other Files: Destroy five years after final action by the SEH or after final adjudication by courts, whichever is later.</p>		
9	<p><u>FOIA Reports Files</u></p> <p>a. <u>Description:</u> Recurring reports and one-time information requirements relating to SEH implementation of the Freedom of Information Act, including annual reports to the DHEW.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p>		

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10	<p>b. <u>Disposition</u>: Destroy when two years old or sooner if no longer needed for administrative use.</p> <p><u>Freedom of Information Act Administrative Files</u></p> <p>a. <u>Description</u>: Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p>		
11	<p>b. <u>Disposition</u>: Destroy when two years old or sooner if no longer needed for administrative use.</p> <p><u>Privacy Act Accounting of Disclosure Files</u></p> <p>a. <u>Description</u>: Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.</p> <p><u>Record Copy Location</u> - Legal Office</p>		
12	<p>b. <u>Disposition</u>: Dispose of in accordance with the approved SEH disposition schedule for the related subject individual's records, or five years after the disclosure for which the accountability was made, whichever is later.</p> <p><u>Privacy Act Amendment Case Files</u></p> <p>a. <u>Description</u>: Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d) (2); and to an individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d) (3). Includes all actions from the initial request to amend a record through the final appeal.</p> <p><u>Record Copy Location</u> - Legal Office</p> <p>b. <u>Disposition</u>:</p> <p>1. Statement of disagreement and SEH justification for refusal to amend a record: Dispose of in accordance with</p>		

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13	<p>approved disposition instructions for the related subject individual's records; four years after final determination by SEH; or three years after final adjudication by courts, whichever is later.</p> <p>2. Other records: Destroy four years after final determination by SEH or three years after final adjudication by the courts, whichever is later.</p> <p><u>Privacy Act General Administrative Files</u></p> <p>a. <u>Description</u>: Records relating to the general SEH implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.</p> <p><u>Record Copy Location</u> - Legal Office</p> <p>b. <u>Disposition</u>: Destroy when two years old or sooner if no longer needed for administrative use.</p>		
14	<p><u>Equal Employment Opportunity (EEO) Files</u></p> <p>a. <u>Description</u>: These files relate to administration of the SEH EEO Program. They contain materials related to EEO complaints of current and former SEH employees and rejected applicants for employment, activities and program records of the twelve EEO's located throughout SEH, EEO education and training materials, sixteen-point Spanish-speaking coordination files and other related correspondence. (Case files are covered in General Records Schedule No. 1).</p> <p><u>Record Copy Location</u> - Office of Equal Employment Opportunity.</p> <p>b. <u>Disposition</u>: Destroy when three years old or sooner if obsolete.</p>		
15	<p><u>SEH Controlled Correspondence Files</u></p> <p>a. <u>Description</u>: These files constitute the record of controlled correspondence which includes responses to written or telephoned inquiries from members of the Congress and written inquiries from the highest levels within DHEW and other Federal Agencies.</p> <p><u>Record Copy Location</u> - At originating (signatory) offices throughout SEH.</p>		

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16	<p>b. <u>Disposition</u>: Originating (signatory) offices retain in current files for five years, then forward to the Federal Records Center. Destroy when fifteen years old.</p> <p><u>Psychology Program Coordination Records</u></p> <p>a. <u>Description</u>: These records document guidance and leadership in planning, developing and implementing the SEH service, training and research programs in the field of psychology.</p> <p><u>Record Copy Location</u> - Office of the Associate Director for Psychology.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Office of Record will forward to Federal Records Center when five years old. SEH Records Officer will offer to National Archives when ten years old.</p>		
17	<p><u>Psychological Case File Cross Index</u> <i>(all items 57)</i></p> <p>a. <u>Description</u>: Contains card (alpha and numeric) files for each SEH patient ever given a psychological examination. Identifies patient and cross references to psychological case files. Includes description of tests previously administered. Files also used for coding and statistical reporting purposes.</p> <p><u>Record Copy Location</u> - Office of the Associate Director for Psychology.</p> <p>b. <u>Disposition</u>: Destroy when no longer required for program administration purposes.</p>		
18	<p><u>Psychiatry Program Coordination Records</u></p> <p>a. <u>Description</u>: Those records document guidance and leadership in planning, developing and implementing the SEH service, training and research programs in the field of psychiatry.</p> <p><u>Record Copy Location</u> - Office of the Associate Superintendent for Psychiatry.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Office of Record will forward to Federal Records Center when five years old. SEH Records Officer will offer to National Archives when ten years old.</p>		

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19	<p><u>Social Service Program Coordination Records</u></p> <p>a. <u>Description</u>: These records document guidance and leadership in planning, developing and implementing the SEH Social Service program which includes the SEH foster care program and related programs outside the Hospital complex.</p> <p><u>Record Copy Location</u> - Office of the Associate Director for Social Services.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Office of Record will forward to Federal Records Center when five years old. SEH Records Officer will offer to National Archives when ten years old.</p>		
20	<p><u>Safety Program Coordination Records</u></p> <p>a. <u>Description</u>: These records document guidance and leadership in planning, developing and implementing the SEH Safety Program which includes safety of patients, employees and visitors, motor vehicle safety and property damage resulting from accidental occurrences.</p> <p><u>Record Copy Location</u> - Office of Quality Assurance</p> <p>b. <u>Disposition</u>: Review files annually. Destroy obsolete and superseded materials and non-record materials. Do not transfer to Federal Records Center.</p>		
21	<p><u>School of Nursing Records</u></p> <p>a. <u>Description</u>: The SEH School of Nursing discontinued operations in 1952. Files remaining contain school records of student nurses who attended the school during the period of its existence. Records maintained to facilitate provision of transcripts to former students, schools and employers.</p> <p><u>Record Copy Location</u> - Office of the Associate Director for Nursing.</p> <p>b. <u>Disposition</u>: Retain for three years after last activity, then destroy.</p>		
22	<p><u>Nursing Program Coordination Records</u></p> <p>a. <u>Description</u>: These records document guidance and leadership in planning, developing and implementing the</p>		

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	<p>SEH service, training and research programs in the field of nursing.</p> <p><u>Record Copy Location</u> - Office of the Associate Director for Nursing</p> <p>b. <u>Disposition: Permanent</u> - Office of Record will forward to Federal Records Center when five years old. SEH Records Officer will offer to National Archives when ten years old.</p> <p><u>SEH Employee House Organ Files</u></p> <p>a. <u>Description:</u> These files consist of historical copies of the SEH publication, the "Elizabethan" containing information and articles for and often by SEH patients and the Equal Employment Opportunity information circular titled "EEO Speaks". They include drafts, art work and related materials.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition:</u> The Office of the Record will transfer complete sets to the Federal Records Center every five years; to be destroyed when ten years old.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicates and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to the Federal Records Center.</p>		
23	<p><u>Public Affairs Files</u></p> <p>a. <u>Description:</u> These files document public affairs policies and related procedures of the Hospital. They include formal informational publications such as press releases, SEH press conference transcripts, official speeches and any indexes thereto.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition: Permanent</u> - The Office of Record will transfer one complete set of documents to the Federal Records Center when five years old. The SEH Records Officer will offer to the National Archives when fifteen years old.</p>		

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25	<p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p> <p><u>Organization and Functional Responsibility Files</u></p> <p>a. <u>Description:</u> These files include documents which affect the authority, organization, and functions of Saint Elizabeths Hospital. Included are record sets of all organizational charts, functional statements, publications, proposed and approved organizational plans, charts and organizational code systems and designations and related materials.</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Branch</p> <p>b. <u>Disposition:</u> <u>Permanent</u> - The Office of Record will transfer complete sets to the Federal Records Center whenever obsolete or superseded. The SEH Records Officer will offer to National Archives no later than ten years after file cut-off date.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
26	<p><u>Management Study and Project Back-Up Files</u></p> <p>a. <u>Description:</u> Consisting of materials relating to SEH in-house studies of operations and procedures, they document the source of request for the report, its scope and accomplishment, survey plans and schedules, back-up materials, comments, records of negotiation and implementation and related materials.</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Branch</p> <p>b. <u>Disposition:</u> Destroy five years after publication of final reports upon which back-up files are based.</p>		
27	<p><u>Administrative/Managerial Studies and Projects - Final Reports</u></p> <p>a. <u>Description:</u> These published and unpublished final</p>		

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	<p>reports document the SEH in-house programs of review of administrative operations and procedures, including studies, evaluations and recommendations for changes in methods of operation, proposals for organizational alignments and other similarly oriented documents.</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Branch</p> <p>b. <u>Disposition: Permanent</u> - The Office of Record will transfer to Federal Records Center when five years old. The SEH Records Officer will offer to the National Archives when fifteen years old.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference copies when no longer required. Do not send to Federal Records Center.</p>		
28	<p><u>Administrative Manuals, Issuances and Procedures Files</u> -</p> <p>a. <u>Description:</u> These files relate to historical records of the SEH Manual Issuance System. Included are record copies of administrative and procedural manuals and issuances.</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Branch</p> <p>b. <u>Disposition: Permanent</u> - The Office of Record will transfer complete sets to the Federal Records Center whenever obsolete or superseded. The SEH Records Officer will offer to the National Archives no later than ten years after file cut-off date.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicates and reference copies not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
29	<p><u>Back-Up Files - Issuances and Procedures</u></p> <p>a. <u>Description:</u> These files include materials accumulated in the process of preparing issuances and writing procedures. They incorporate correspondence, drafts, concurrences and comments of staff officials, recommendations for change, and related papers.</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Branch</p>		

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30	<p>b. <u>Disposition</u>: Destroy two years after issuance is published or procedure placed in effect.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference copies not more than two years after superseded. Earlier disposal is authorized.</p> <p><u>Delegation of Authority Records</u></p> <p>a. <u>Description</u>: These delegations are received from the National Institute of Mental Health and are the basis for redelegation within SEH. They are published as SEH Instruction 6020.1 (Administrative Delegations) and SEH Instruction 1310.1A (Clinical Delegations).</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Program Planning and Analysis Branch will include with other Administrative Manuals, when forwarded to the Federal Records Center. (See Item No. 28).</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
31	<p><u>Records Management Files</u></p> <p>a. <u>Description</u>: Records maintained and accumulated in developing and managing the SEH records management program. Includes policy and procedural materials, memos and documents related to the overall program. (Disposition files, SF-135's, inventories, disposal authorizations, schedules and revision of schedules for record retirement are discussed in General Records Schedule No. 16).</p> <p><u>Record Copy Location</u> - Business Management Branch</p> <p>b. <u>Disposition</u>: Destroy when superseded or obsolete.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference materials when superseded or obsolete.</p>		
32	<p><u>SEH Forms Management Records</u></p> <p>a. <u>Description</u>: These files document the SEH Forms Management program. Included are back-up materials justifying original preparation and subsequent changes. Also includes a cross referenced forms register (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>number and title). (Record sets of <u>forms only</u> should be retained <u>permanently</u>. See General Records Schedule No. 16).</p> <p><u>Record Copy Location</u> - Program Planning and Analysis Section</p> <p>b. <u>Disposition</u>: Destroy when superseded or obsolete.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy stocks of superseded forms immediately upon receipt of revised forms.</p> <p>33 <u>Clinical/Medical Studies and Projects - Final Reports</u></p> <p>a. <u>Description</u>: These published and unpublished final reports document the in-house review of SEH programs of patient treatment and care and the procedures related to those activities. Also includes final reports and studies of laboratory processes and procedures and of the results of treatment of individual or groups of patients.</p> <p><u>Record Copy Location</u> - Staff offices and facilities throughout SEH.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Office of Record will forward to Federal Records Center five years after preparation. SEH Records Officer will offer to the National Archives when fifteen years old.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicates and reference copies when no longer required. Do not send to Federal Records Center.</p>		
34	<p><u>Completed Survey Forms</u></p> <p>a. <u>Description</u>: These are forms utilized within SEH to collect and accumulate data as the basis for statistical studies and reports. They include survey forms for both recurring and non-recurring reports.</p> <p><u>Record Copy Location</u> - Office conducting survey or report</p> <p>b. <u>Disposition</u>: Survey forms, <u>recurring reports</u> - Retain until completion of the next subsequent report, then destroy. Survey forms, <u>non-recurring reports</u> - Destroy upon verification of transfer to machine-readable form; or upon completion of report.</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
35	<p><u>Accounting Management Records</u></p> <p>a. <u>Description</u>: These records are supportive of the overall SEH finance and accounting program. Included are reports, documents, and administrative support files which were created to control the accounting process, report status of activities or accounts on an incremental or periodic basis or to otherwise facilitate accomplishment of the program. Also included are correspondence, instructions and other information used to monitor the SEH accounting function. (Payroll, accountable officer's accounts, expenditure and cost accounting records, are described in General Records Schedules 2, 6, 7, and 8 respectively).</p> <p><u>Record Copy Location</u> - Financial Management Branch</p> <p>b. <u>Disposition</u>: Destroy final reports when three years old. Other materials may be destroyed when superseded or obsolete.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy when superseded or obsolete.</p>		
36	<p><u>SEH Budget Preparation and Execution Records</u></p> <p>a. <u>Description</u>: These records document development and execution of the SEH Budget including input from the various organizational segments constituting the hospital complex. They document steps actually taken to evaluate, consolidate and prepare a final budget for submission to the next highest level within DHEW. Also includes correspondence with SEH components and higher authority, work papers, and rough data.</p> <p><u>Record Copy Location</u> - Financial Management Branch</p> <p>b. <u>Disposition</u>: Destroy five years after close of fiscal year covered.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy three years after close of fiscal year covered.</p>		
37	<p><u>Administrative Support Records</u></p> <p>a. <u>Description</u>: These include files and documents prepared for convenience of reference, "housekeeping" records, administrative correspondence files, extra and</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
38	<p>duplicate copies of forms, reading and chronological files, tickler files, follow-up copies, transmittal letters and memos and any other "non-record" materials. ("Non-record" materials do not serve as the basis for official action).</p> <p><u>Record Copy Location</u> - Staff offices and facilities throughout SEH.</p> <p>b. <u>Disposition</u>: Destroy when two years old or after out-dated or superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p> <p><u>Reports Control Files</u></p> <p>a. <u>Description</u>: These records document criteria and procedures for preparation of various reports required for submission within SEH, to higher levels within the DHEW, to other Federal agencies, etc. They are usually case files containing back-up materials related to individual reports or report series and are identified by control number or code.</p> <p><u>Record Copy Location</u> - Staff offices and facilities throughout SEH.</p> <p>b. <u>Disposition</u>: Destroy two years after report is discontinued.</p>		
39	<p><u>Audio-visual Materials (Public Information Purposes Only)</u></p> <p>a. <u>Description</u>: Public Information audio-visual materials prepared for or by SEH describing programs and activities which provide an overview of Saint Elizabeths Hospital (not relating to individual patients). These include motion picture films, tapes, slides, chart models and other materials used for presentation to the public.</p> <p><u>Record Copy Location</u> - Immediate Office of the Superintendent, SEH.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - The Office of Records will transfer to the Federal Records Center when superseded or no longer utilized. The SEH Records Officer will offer to the National Archives ten years after receipt by the Federal Records Center.</p>		

Request for Records Disposition Authority—Continuation

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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>Audiovisual Records (Public Information Purposes Only)</u></p> <p>a. Description: Public information audiovisual records prepared for or by SEH describing programs and activities which provide an overview of Saint Elizabeth Hospital (not relating to individual patients). These include a discrete series of motion picture films, slides, audio tapes, video tapes, chart models, and other graphic materials used for presentation to the public. Individual audiovisual series are maintained in accordance with and consist of the record elements specified in General Record Schedule 21, Audiovisual Records.</p> <p><u>Record Copy Location - Immediate Office of the Superintendent, SEH.</u></p> <p>b. Disposition: Permanent - The Office of Record will offer to NARS through the SEH records office when records are 10 years old or when superseded or no longer utilized.</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
40	<p><u>Audio-visual Materials (Motion Picture Films, Slides, Videotapes, etc.; Clinically Oriented Only)</u></p> <p>a. <u>Description:</u> Motion picture films, videotapes and other audio-visual materials ^{records} covering medical, psychiatric, bio-medical and related subjects. Used by SEH staff for SEH medical staff training, clinical support and patient treatment purposes.</p> <p><u>Record Copy Location</u> - SEH staff offices and facilities</p> <p>b. <u>Disposition:</u> Audio-visual materials ^{records} documenting individual patient activity (e.g., psychodrama videotapes) are retained for same periods as Medical and Correspondence Folders (See Items 52 and 53). Others may be destroyed when superseded or no longer required for medical purposes.</p>		
41	<p><u>Security Master Files</u></p> <p>a. <u>Description:</u> Research and informational files by security-related subject such as bomb threat reports, civil defense plans, disturbance control, escapees, fire alarms and plans to eliminate or reduce each category of instance. Also includes manuals, plans, reports, and correspondence reflecting policy and direction of security programs throughout SEH.</p> <p><u>Record Copy Location</u> - Security Section</p> <p>b. <u>Disposition:</u> <u>Permanent</u> - Close file every three years. Office of Record will forward to Federal Records Center five years later. SEH Records Officer will offer to the National Archives when twenty-five years old.</p>		
42	<p><u>SEH Security Force Reports</u></p> <p>a. <u>Description:</u> These police reports and documents cover all phases of police activity within SEH. Primarily, they relate to actions taken by SEH police in response to complaints or notification. All are in memorandum form and are maintained by year and month. They include various categories of offenses, criminal acts and activities such as robbery, murder, rape, theft, reports of injury to persons, reports of traffic accidents, etc. (Case files are covered in General Records Schedule No. 18).</p> <p><u>Record Copy Location</u> - Security Section</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
43	<p>b. <u>Disposition</u>: Destroy five years after most recent activity or when superseded or obsolete.</p> <p><u>SEH Reports of Fires</u></p> <p>a. <u>Description</u>: These reports, prepared by the SEH Fire Department, consist primarily of completed Forms HEW 516, Accident Report. They may also contain statements from witnesses or victims detailing specific circumstances. Reports filed by year and month.</p> <p><u>Record Copy Location - Firefighting Unit</u></p> <p>b. <u>Disposition</u>: Destroy five years after most recent activity or when superseded or obsolete.</p>		
44	<p><u>Warehouse Records</u></p> <p>a. <u>Description</u>: The SEH warehouses are responsible for storage of food, clothing, drugs and medicine, furniture, supplies, etc. Records include card files indicating status of stocked items, filled requisitions, purchase order awaiting delivery by vendors, computer reports describing current inventory, out of stock items, items on order and related information. (Purchase Orders are covered by General Records Schedule No. 3).</p> <p><u>Record Copy Location - Property Section</u></p> <p>b. <u>Disposition</u>: Inventory records should be destroyed when updated or superseded. Copies of requisitions (filled) should be destroyed when two years old. Computer reports should be destroyed when superseded or obsolete.</p>		
45	<p><u>Laundry Records</u></p> <p>a. <u>Description</u>: The SEH laundry provides laundry and dry cleaning services in support of patient-care facilities. Files include records of items received (laundry bag weight), work counts by category of items pressed or dry cleaned, pressing production records and related information.</p> <p><u>Record Copy Location - Laundry Section</u></p> <p>b. <u>Disposition</u>: Retain for one year after processing date, then destroy.</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
46	<p><u>Bench Warrant File</u></p> <p>a. <u>Description:</u> Record of requests from SEH Director of Forensic Programs to the Superior Court of the District of Columbia requesting issuance of bench warrants for the return of criminally insane SEH patients who have escaped or did not return from authorized leave or privilege at the scheduled time.</p> <p><u>Record Copy Location</u> - Forensic Division</p> <p>b. <u>Disposition:</u> Destroy five years after patient is returned to custody of SEH.</p>		
47	<p><u>Unauthorized Leave File</u></p> <p>a. <u>Description:</u> Memorandum records of patients on unauthorized leave, i.e., patients who did not return to their ward or facility at scheduled time. File documents Division of Security record of missing patients, their return to SEH, their discharge from SEH while in unauthorized leave status or other final disposition.</p> <p><u>Record Copy Location</u> - Security Section</p> <p>b. <u>Disposition:</u> Destroy five years after final disposition.</p>		
48	<p><u>Employee Occupational Health Records</u></p> <p>a. <u>Description:</u> Record of visits to SEH Occupational Health Center by SEH employees, including treatment administered. Also includes documentation of tuberculosis testing and Federally provided immunization shots to employees.</p> <p><u>Record Copy Location</u> - SEH Employee Health Facility</p> <p>b. <u>Disposition:</u> Retain for five years after employee leaves SEH, then destroy.</p>		
49	<p><u>SEH Industrial and Environmental Support Records</u></p> <p>a. <u>Description:</u> These records contain general information and materials created and maintained to support the in-house industrial and environmental programs at SEH. They include but are not limited to records relating to maintenance of SEH physical facilities, housekeeping,</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
	<p>motor vehicle utilization files, guard and fireman rosters and duty schedules, routine inspection reports, records of production, mechanic and laborer duty schedules and reports, work and job orders and similar records. All are "non-record" materials.</p> <p>b. <u>Disposition</u>: Office of primary responsibility should destroy not later than one year after superseded or no longer needed for day-to-day operations or for reference. Retain for <u>minimum</u> period consistent with specific need. Do not send to Federal Records Center.</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
	<p><u>PART II - PATIENT TREATMENT AND CARE</u></p> <p>These records are accumulated in Saint Elizabeths Hospital wards, treatment offices and clinics, rehabilitation facilities, laboratories, therapy facilities and other related hospital components and document commitment, care, treatment and progress of individual patients while at the Hospital in a domiciled or outpatient status. They also relate to in-house training of professionals in the field of mental health, to the employment of consultants and to research projects and studies of SEH patients.</p>		
50	<p><u>Committment Files (Admission Records)</u></p> <p>a. <u>Description:</u> Located in the SEH Registrar's Office, records document process by which patients are legally admitted to SEH. Consist of admission applications and related forms and legal (Court) papers substantiating legality of admission action.</p> <p><u>Record Copy Location</u> - SEH Registrar's Office</p> <p>b. <u>Disposition:</u> Office of Record will transfer to FRC five years after discharge of death or death of patient. Destroy fifty years after death of patient, <i>on last discharge.</i></p>		
51	<p><u>Non-Admitted Patient File</u></p> <p>a. <u>Description:</u> Located at the Central Admission Suite, Registrar's Office, file consists of forms and documents describing reasons for non-admission of patients and subsequent disposition of cases, e.g., SEH Form 582, Admission and Registration Record and SEH Form 666, Admission Note - Patient's Medical Record. Identifies prospective patients by admission category, i.e., Emergency, Voluntary or Non-protesting. Back-up references of potential patients arriving at SEH voluntarily or involuntarily.</p> <p><u>Record Copy Location</u> - Central Admission Suite, Registrar's Office.</p> <p>b. <u>Disposition:</u> Every three years cull out and retain cases relating to patients admitted during the preceding three year period. Destroy balance.</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
52	<p><u>Medical and Correspondence Folders - Active</u></p> <p>a. <u>Description</u>: These active folders relate to patients currently receiving treatment, either on a domiciliary or outpatient basis. They include records of individual patients and their activities during their hospital stay; personal and family history; mental and physical condition, examination history and results; diagnoses; therapies; results; ward and nurse notes; related correspondence; correspondence regarding funds, property and legal matters; notes regarding the patients' general hospital experience and related indices.</p> <p><u>Record Copy Location - SEH Wards and Outpatient Clinics</u></p> <p>b. <u>Disposition</u>: Transfer to the Division of Clinical Support, Medical Records Branch, fifteen days after last discharge or upon death of patient. The Medical Records Branch will retain the files for five years before forwarding to FRC. (See Item No. 53).</p>		
53	<p><u>Medical and Correspondence Folders - Inactive</u></p> <p>a. <u>Description</u>: These inactive folders, located in the central files repository, Division of Clinical Support, Medical Records Branch, relate to discharged or deceased SEH patients. Folders are awaiting transfer to Federal Records Center or readmission of former patients. They include records of individual patients and their activities during their hospital stay; personal and family history; mental and physical condition, examination history and results; laboratory reports; diagnoses; therapies; ward and nurse notes; related correspondence; correspondence regarding funds, property and legal matters; notes regarding the patient's general hospital experience and related indices. <u>Note</u>: <u>Active</u> medical and correspondence folders of patients who have been domiciled or have been outpatients on a continuous basis since June 30, 1973 or earlier are also located in the Medical Records Branch. Effective July 1, 1973, new and separate folders were prepared at wards and outpatient clinics for each of the above described patients. When these patients are discharged or die, the two folders are combined into one file which is disposed of as shown in <u>Disposition</u>, below.</p> <p><u>Record Copy Location - Division of Clinical Support - Medical Records Branch</u></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>b. <u>Disposition</u>: The Division of Clinical Support will transfer to the FRC five years after last discharge or upon death of patient.</p> <p>1. Case files predating 1900. PERMANENT. Offer to NARS immediately.</p> <p>2. Case files postdating 1899.</p> <p>a. PERMANENT. Case files for years ending in "0" and "5" (1900, 1905, 1910, 1915, etc.). Samples to be selected by NARS for cases which are 30 years old from the date of last discharge or death of patient.</p> <p>b. PERMANENT. Case files of patients of unusual prominence or special interest for historical research. Cases to be selected by NARS and SEH for cases which are 30 years old from the date of last discharge or death of patient.</p> <p>c. Case files which are NOT SELECTED by NARS under 2-a and 2-b above. Records are disposable immediately after NARS sample is taken, if they have been retained for 30 years following last discharge or death of patient.</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
54	<p>b. Disposition: The Division of Clinical Support will transfer to the FRC five years after last discharge or upon death of patient. Destroy when thirty years old.</p> <p><u>SEH Facilities and Staff Offices</u> - Destroy duplicate records when central files repository copy is forwarded to FRC. Earlier disposal is authorized.</p> <p><u>Medical-Surgical Support Records - Wards and Treatment Facilities</u></p> <p>a. <u>Description:</u> These records document provision of medical-surgical services and treatment to Hospital patients at wards and other patient treatment facilities. Included are records of anesthesiology, dental, nursing, outpatient, operating room, pathology, neurology, laboratory, ophthalmology, radiology, pharmacy, psychological, psychiatric, rehabilitative, and related services and treatments, plus ward-originated records of administration of patient and staff activities.</p> <p><u>Record Copy Location</u> - SEH Wards and Treatment Facilities</p> <p>b. <u>Disposition:</u></p> <p>1. Original medical-surgical records should be incorporated in individual patient's Medical/Correspondence folders. (See Items No. 52 and 53).</p> <p>2. Duplicate medical-surgical records which are atypical or otherwise considered as special specimen cases or held for use in teaching or orientation programs may be retained for research or institutional use.</p> <p>3. Other duplicates, general internal correspondence, tickler files, reading files, control files, informational materials, etc., should be destroyed when patients are discharged or when materials are superseded, obsolete or no longer needed. Do not forward to Federal Records Center.</p>		
55	<p><u>Forensic Investigation File</u></p> <p>a. <u>Description:</u> Files contain investigatory and enforcement reports of local law enforcement agencies as related to allegedly committed crimes of patients of the Forensic Division of SEH. These patients have all been indicted by the Superior Court of the District of Columbia, the U.S. District Court for the District of</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
56	<p>Columbia and/or by other jurisdictions. (These folders are not merged with the Medical/Correspondence File described at Item No. 53).</p> <p><u>Record Copy Location - Forensic Division</u></p> <p>b. <u>Disposition:</u> Office of Record will retain for five years, then forward to the Federal Records Center. Destroy when thirty years old.</p> <p><u>Patient Rehabilitation Therapy Files</u></p> <p>a. <u>Description:</u> Patient rehabilitation therapy files relate to the activities and progress of patients enrolled in the various programs at SEH. Included are attendance records, referrals from clinical teams and other working papers, plus a record of attendance of patients employed at various SEH facilities as part of the rehabilitation therapy program. Also included are records of speech pathology and audiology program actions, volunteer services records, psychodrama files and records maintained by chaplains. Occupational therapy files describe industrial therapy. Recreational therapy refers to music, arts, sports, social events, etc. These groups are centrally administered by the Rehabilitation Branch. Additional programs of clinical occupational therapy are administered at individual clinical divisions.</p> <p><u>Record Copy Location - Division of Clinical Support</u></p> <p>b. <u>Disposition:</u> Destroy three years after death or last discharge of patient.</p>		
57	<p><u>Psychological Case Files</u></p> <p>a. <u>Description:</u> Case histories of patients given psychological examinations at SEH. They include raw data, test and screening evaluations and synopses of specific tests and treatment. Includes both domiciled and outpatients. (These files are not merged with the Medical/Correspondence File described at Item No. 53).</p> <p><u>Record Copy Location - Wards and treatment facilities throughout SEH.</u></p> <p>b. <u>Disposition:</u> Office of Record will send to Federal Records Center five years after last discharge or death of patient. Destroy when thirty years old.</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
58	<p><u>Social Service Program Patient Case Files</u></p> <p>a. <u>Description</u>: Records patients social history, contacts among social workers, patients, and other parties, evaluations, actions taken, documents participation in therapy groups, etc. Note: These files are duplicative of materials contained in patients' Medical/Correspondence Folder. (See Item No. 53).</p> <p><u>Record Copy Location</u> - Wards and treatment facilities throughout SEH.</p> <p>b. <u>Disposition</u>: Retain for five years after death or last discharge of patient, then destroy.</p>		
59	<p><u>Citizen Advisory Board Files</u></p> <p>a. <u>Description</u>: These records document the program of provision of mental health services by SEH to the Area "D" Community Mental Health Center. (Area "D" includes the area of the District of Columbia south of East Capitol Street and south and east of the Anacostia and Potomac Rivers. Community Mental Health Centers for all other parts of the District of Columbia, (Areas A, B, and C), are operated by the D.C. Government). Records include minutes of citizens association and board meetings, election proceedings and results, membership and fund raising data, incorporation papers, by-laws and related materials.</p> <p><u>Record Copy Location</u> - Community Mental Health Center</p> <p>b. <u>Disposition</u>: Office of Record will send to Federal Records Center when five years old. Destroy when fifteen years old.</p>		
60	<p><u>Mental Health Trainee Files (SEH In-House)</u></p> <p>a. <u>Description</u>: These files document in-house training or residency of professionals in the field of mental health. Trainees are non-patients in both medical and non-medical disciplines, and in most cases receive a stipend. Included are students, residents, and interns receiving training or instruction at SEH. Typical categories of training or residency are psychiatry, group training, clinical psychology, psychodrama, chaplaincy, dance therapy, occupational and recreational therapy, nurse education, social services and volunteer service coordination. Files include prior educational</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>and employment history of each participant, his training program, classroom schedules, documentation of accomplishments at SEH and related information.</p> <p><u>Record Copy Location</u> - Overholser Division</p> <p>b. <u>Disposition</u>: Office of Record will forward to the Federal Records Center five years after completion of residency or training. Destroy when twenty years old.</p>		
61	<p><u>Consultant Employment Files</u></p> <p>a. <u>Description</u>: These files document prior employment, education and work history of consultants employed at SEH part or full time. Includes records of active days or periods employed, scheduled employment periods, earnings and related materials.</p> <p><u>Record Copy Location</u> - SEH Procurement Section</p> <p>b. <u>Disposition</u>: Office of Record will retain for five years after last employment, then forward to the Federal Records Center. Destroy when thirty years old.</p>		
62	<p><u>Research Studies and Projects</u></p> <p>a. <u>Description</u>: Research and evaluation projects and studies of SEH program activities; study reports on SEH patients, their treatment and services, research studies on children, alcoholic, community services, outreach, therapeutic programs and services, consultation and education, in-service training.</p> <p><u>Record Copy Location</u> - Staff offices throughout SEH.</p> <p>b. <u>Disposition</u>: <u>Permanent</u> - Retain five years, then forward to Federal Records Center. SEH Records Officer will offer to National Archives when twenty-five years old.</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
63	<p><u>PART III - AUTOMATIC DATA PROCESSING</u></p> <p>These records are produced by the Division of Clinical Support, Biometrics Branch, and include reports, listings, master files, tapes, cards and associated products generated by or derived from computer records. Since the Biometrics Branch is the on-site data processing support facility for Saint Elizabeths Hospital, subject matter pertains to the areas of Administrative Management and Support and Patient Treatment and Care, (Parts I and II respectively, of this schedule).</p> <p><u>Master Patient File</u></p> <p>a. <u>Description:</u> The system was begun in 1968 and now contains some 360,000 records on two reels of tape. There is one record for each inpatient admission at Saint Elizabeths Hospital. Data includes name, hospital number, legal category, referral source, date of birth, sex, race, religion, medical insurance data, admission date, number of previous stays, diagnosis (psychological and physical) and separation data. The file is used in the preparation of a daily census report, monthly board bill, monthly statistical summary, quarterly Medicare bill, and annual statistical report. In addition, lists of patients are generated to answer special requests.</p> <p><u>Record Copy Location - Biometrics Branch</u></p> <p>b. <u>Disposition:</u> Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities - Destroy duplicates and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to the Federal Records Center.</u></p>		
64	<p><u>Patient Population Statistical Reports</u></p> <p>a. <u>Description:</u> These reports are prepared at SEH by use of in-house computer and contain statistical synopses of demographic data relating to patient population of SEH. Reports are prepared daily, monthly, and yearly and are distributed throughout SEH facilities and staff offices.</p> <p><u>Record Copy Location - Biometrics Branch</u></p> <p>b. <u>Disposition:</u></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
65	<p>1. Bound copy yearly report - <u>Permanent</u> - Office of Record will transfer to Federal Records Center five years after date of last report. SEH Records Officer will offer to National Archives when ten years old.</p> <p>2. Computer Processing Cards - Destroy when superseded - (See General Records Schedule No. 20 - "Data Automation Program Records").</p> <p>3. All others - (Forms and other source documents) - Destroy when superseded, discontinued or no longer needed.</p> <p><u>Facilities Tracking System</u></p> <p>a. <u>Description</u>: Contains profiles of foster care homes and nursing homes and includes data on type of facility, capacity and licensing information. Data maintained on punch cards.</p> <p><u>Record Copy Location</u> - Biometrics Branch</p> <p>b. <u>Disposition</u>: Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
66	<p><u>Area D Community Mental Health Clinic Files</u></p> <p>a. <u>Description</u>: Files contain data derived from the Master Patient file plus additional data on the condition of the patient upon discharge. Tapes are maintained by Saint Elizabeths Hospital and output is given to Area D health teams to aid them in caring for outpatients. Disposition.</p> <p><u>Record Copy Location</u> - Biometrics Branch</p> <p>b. <u>Disposition</u>: Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicates and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to the Federal Records Center.</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
67	<p><u>Drug Sensitivity Files</u></p> <p>a. <u>Description:</u> This system measures the effectiveness of certain antibiotics on cultures taken from patient tissues. Data includes the antibiotic used, site of infection, type of disease causing organism, whether strain was sensitive or resistant to the antibiotic. Reports are generated annually and semi-annually.</p> <p><u>Record Copy Location</u> - Blackburn Laboratory</p> <p>b. <u>Disposition:</u> Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicates and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to the Federal Records Center.</p>		
68	<p><u>Autopsy System</u></p> <p>a. <u>Description:</u> System is part of a research project to study autopsy results. Punch cards. Data consists of diagnosis and autopsy information.</p> <p><u>Record Copy Location</u> - Biometrics Branch</p> <p>b. <u>Disposition:</u> Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
69	<p><u>Manpower Data System</u></p> <p>a. <u>Description:</u> Data includes employee name, title, position, occupational series, annual salary, sex, birthdate, and status opposition. File is maintained at DHEW level. Saint Elizabeths Hospital submits input into the system and receives tape extracts and reports upon request.</p> <p><u>Record Copy Location</u> - Parklawn Computer Center</p> <p>b. <u>Disposition:</u> Destroy extract tapes and reports when superseded or no longer required for record 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
70	<p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p> <p><u>Stock Inventory System</u></p> <p>a. <u>Description</u>: System contains data on requisitions, receipts, issues and stock on hand. (To be replaced by the Finance Property Procurement Section - See Item No. 71 below)</p> <p><u>Record Copy Location</u> - Office of the Associate Superintendent for Administration</p> <p>b. <u>Disposition</u>: Destroy when superseded or no longer required for record purposes.</p>		
71	<p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p> <p><u>Finance Property Procurement System</u></p> <p>a. <u>Description</u>: This new system will include 3 master files: A Master Inventory List containing stock on hand, stock issued, and reorder points; Total Cost Distribution for Hospital File containing purchase and personal data by week for each component of the hospital; and Vendor File containing a list of people that Saint Elizabeths has done business with. Data will be stored on disks.</p> <p><u>Record Copy Location</u> - Office of the Associate Superintendent for Administration</p> <p>b. <u>Disposition</u>: Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities</u> - Destroy duplicate and reference files not more than two years after superseded. Earlier disposal is authorized. Do not send to Federal Records Center.</p>		
72	<p><u>One-Time Surveys and Requests</u></p> <p>a. <u>Description</u>: These are files, surveys, reports, etc.,</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
73	<p>which are prepared by inclusion of data extracted from the Master Patient File (See Item 63).</p> <p><u>Record Copy Location - Biometrics Branch</u></p> <p>b. <u>Disposition</u>: Destroy when superseded or no longer required for record purposes.</p> <p><u>SEH Staff Offices and Facilities - Destroy duplicates and reference copies not later than two years after superseded. Earlier disposal is authorized. Do not send to the Federal Records Center.</u></p> <p><u>Records Or Files Not Described In Part III, Automatic Data Processing</u></p> <p>a. <u>-Description</u>: Self-explanatory</p> <p>b. <u>Disposition</u>: Contact SEH Records Officer for instructions on proper disposition.</p> <p>NOTE: There is a high probability that the MSIS Patient File will be declared archival by NARS once it is in operation. Therefore, SEH should send a detailed description of this file accompanied by relevant documentation on a separate SF-115 at the appropriate time.</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
	<p><i>Louis S. Marcel</i></p> <hr/> <p>Louis S. Marcel Records Management Officer, Saint Elizabeths Hospital</p>		
	<p><i>Marshall Fitz, M.D.</i></p> <hr/> <p>Marshall Fitz, M.D. Acting Associate Superintendent for Administration, Saint Elizabeths Hospital</p>		
	<p><i>James S. Pittman</i></p> <hr/> <p>Executive Officer, NIMH</p>		
	<p><i>Donald J. Taylor</i></p> <hr/> <p>Records Officer, ADAMHA</p>		
	<p><i>Joseph R. Lane</i></p> <hr/> <p>Director, OAM, ADAMHA</p>		