

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
<b>TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)</b> <b>WASHINGTON, DC 20408</b>		<b>JOB NUMBER</b> <div style="font-size: 1.2em; font-family: cursive;">N1-512-98-1</div>	<b>DATE RECEIVED</b> <div style="font-size: 1.2em; font-family: cursive;">10-30-97</div>
<b>1. FROM (Agency or establishment)</b> DEPARTMENT OF HEALTH AND HUMAN SERVICES		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
<b>2. MAJOR SUBDIVISION</b> HEALTH RESOURCES AND SERVICES ADMINISTRATION			
<b>3. MINOR SUBDIVISION</b>			
<b>4. NAME OF PERSON WITH WHOM TO CONFER</b> Marilyn E. Foreman HRSA Records Management Officer	<b>5. TELEPHONE</b> 301-443-0898	<b>DATE</b>	<b>ARCHIVIST OF THE UNITED STATES</b>
<b>6. AGENCY CERTIFICATION</b> I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>79</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div>			
<b>DATE</b> OCT 22 1997	<b>SIGNATURE OF AGENCY REPRESENTATIVE</b> <div style="font-family: cursive; font-size: 1.2em;">A. Prentice Barnes, Sr.</div> A. Prentice Barnes, Sr.	<b>TITLE</b> DHHS Records Management Officer	
<b>7. ITEM NO.</b>	<b>8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</b>  This schedule covers records of the Health Resources and Services Administration. See the following pages for records descriptions and disposition instructions.	<b>9. GRS OR SUPERSEDED JOB CITATION</b>  NC1-90-81-5 (9/21/82)  NC1-90-82-5 (6/17/83)	<b>10. ACTION TAKEN (NARA USE ONLY)</b>  <div style="font-size: 1.2em; font-family: cursive; text-align: center;">Withdrawn</div>

APPENDIX B-351

RECORDS DISPOSITION SCHEDULE

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
HEALTH RESOURCES AND SERVICES ADMINISTRATION

Approved: The Archivist of the United States .  
Number , dated

This schedule provides for the disposition of the records of the Health Resources and Services Administration (HRSA). All previous authorizations for the disposition of HRSA records; the Health Services Administration (HSA), Appendix B-351; and the Health Resources Administration (HRA), Appendix B-341 are hereby superseded.

This schedule includes frequently used records that are listed in the General Records Schedules (GRS) of the National Archives and Records Administration (NARA); however, it is not all inclusive. Should records that are common to several or all Federal agencies not be found in this schedule, please consult the GRS; particularly in the areas of accounting, budget, payroll, and personnel.

The disposition dates apply to all records regardless of the medium, i.e., paper, electronic media, microfiche, audiovisual, in which the records are maintained. All records must be readable and usable for the legal lifespan of the records.

## **Information for NARA Reviewer**

### **LIST OF RECORDS NOT INCLUDED IN THE SCHEDULE**

#### **HSA Appendix B-351:**

- 1. Page 21, 22, - Manpower Management Survey Program - no longer in effect.**
- 2. Pages 40 to 44 - U.S. PHS Hospitals have been transferred to private ownership.**
- 3. Pages 45 to 49 - Indian Health Service is now an independent agency.**
- 4. Pages 71 to 73 - no longer a HRSA program.**
- 5. Pages 92 to 96 - Indian Health Service is now an independent agency.**
- 6. Page 98s to 135 - U.S. PHS Hospitals have been transferred to private ownership.**

#### **HRA Appendix B-341:**

- 1. Item 22-4: Public Health Reports - no longer a HRSA responsibility.**
- 2. Item 31: no longer a HRSA program.**
- 3. Item 34: no longer a HRSA program.**
- 4. Items 35 and 36: no longer HRSA programs.**
- 5. Item 37: except for item 37-2, no longer HRSA programs.**
- 6. Items 38 and 39: no longer HRSA programs.**
- 7. Items 59 to 69: HMOs are no longer HRSA programs.**

#### **SF 115:**

- NI-512-95-2: Physician Shortage Area Scholarship Program - no longer a HRSA program.**

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Item #	Description of Records	Disposition
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| <p>1.</p> <p>GRS</p> <p>B-351</p> <p>  18.G.8</p> | <p><b>Accountable Officers Accounts:</b> These records are accumulated by HRSA's fiscal division for on-site audits by GAO auditors. They consist of statements of transactions, statements of accountability, collection vouchers, disbursement schedules, collection schedules, disbursement vouchers, and all other schedules and vouchers or documents that are the equivalent of any of the above. If the integrated accounting system approved by GAO requires certain other documents, support vouchers, and/or schedules, they shall also be included. In addition, electronic versions of accountable officers' accounts produced with GAO approval, in lieu of standard voucher or schedule forms, as well as any agency forms used in lieu of standard voucher or schedule forms, are included.</p>   | <p><u>Temporary.</u> Cut off at end of each fiscal year (FY). Transfer audited and unaudited accounts when 1 year old. Destroy 6 years and 3 months after period covered by account.</p> |
| <p>2.</p> <p>GRS</p> <p>B-351</p> <p>  14.</p>    | <p><b>Administrative, Office Services, and Supplies:</b></p> <p>a. <u>Office Administrative Files:</u> Records accumulated by individual offices that relate to the internal administration of housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel, training and travel; supplies and offices services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.</p> | <p><u>Temporary:</u></p> <p>a. Destroy when 2 years old, or when no longer needed, whichever is sooner.</p>  |

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b. Calendars and Schedules of Daily Activities:

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by HRSA employees (EXCLUDING high-level HRSA officials), while serving in an official capacity.

(1) Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files.

b.(1) Destroy or delete when 2 years old.

(2) Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

b.(2) Destroy or delete when no longer needed for convenience or reference.

c. Communication:

(1) Correspondence and related records pertaining to internal administration and operation.

c.(1) Destroy when 2 years old.

(2) Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

c.(2) Destroy when 3 years old.

(3) Telecommunications voucher files:

(a) Reference copies of vouchers, bills, invoices, and related records.

c.(3)(a) Destroy when 1 fiscal year old.

(b) Records relating to installation, change, removal, and servicing of equipment.

c.(3)(b) Destroy 1 year after audit or when 3 years old, whichever is sooner.

(4) Copies of agreements with background data and other records relating to agreements for telecommunications services.

c.(4) Destroy 2 years after expiration or cancellation of agreement.

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Item #	Description of Records	Disposition
	(5) Telecommunications Operational Files:	c.(5)(a) Destroy when 6 months old.
	(a) Message registers, logs, performance reports, daily load reports, and related records.	
	(b) Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message maintained by communication office, EXCLUDING the copies maintained by the originating program office.	c.(5)(b) Destroy when 2 years old.
14. F	(6) Telephone Control Files:	
	(a) Telephone equipment record cards, orders for telephone service, floor plans, service and installation records including telephone company work orders.	c.(6)(a) Destroy when 1 year old.
	(b) Telephone work records including numerical distribution of phone numbers, type and location, and related material. (Directory working records).	c.(6)(b) Destroy when changes or deletions render the material obsolete.
	(c) Telephone statement and toll slips:	c.(6)(c) Destroy 3 years after period covered by related account.
	d. <u>Mail and Distribution Management:</u>	
14. D	(1) Materials relating to fiscal year mail and postage cost estimates, including feeder reports; correspondence; statistical reports and data relating to handling of mail and volume of work performed.	d.(1) Destroy when 3 years old.
	(2) Official Penalty Mail reports and all related papers.	d.(2) Destroy when 6 years old.
	(3) Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	d.(3) Destroy when 6 months old.

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Item #	Description of Records	Disposition
	(4) Records relating to incoming or outgoing registered, certified, insured, overnight, express, and special delivery mail, including receipts and return receipts.	d.(4) Destroy when 1 year old.
	(5) General files including correspondence, memoranda, directives, and guides relating to the administration of mail.	d.(5) Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
	(6)(a) Correspondence relating to the establishment of mailing lists/keys; and (b) request forms, and other records relating to changes in mailing lists/keys.	d.(6)(a) Destroy when 1 year old unless needed for day-to-day operation; d.(6)(b) Destroy after appropriate revision of mailing list/key or after 3 months, whichever is sooner.
114.B.	e. <u>Messenger Service</u> : Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	e. Destroy when 2 months old.
GRS 18	f. <u>Security and Protective Services</u> : These files pertain to security and protective measures taken regarding classified information, facilities, and personnel. They include correspondence, plans, studies, evaluations, recommendations, and reports relating to administration of security and protective services programs.	f. Destroy when 2 years old.
B-351 117.B.6.	g. <u>Equipment Maintenance and Repairs</u> : Requests and reports of periodic inspections and repairs of equipment and related materials.	g. Destroy 3 months after release of equipment or machines by HRSA.

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Item #	Description of Records	Disposition
3.	Area Resource File 1940 - : Arranged by State and thereunder by county.	
β-341   32.	Machine readable file, maintained by a contractor, consisting of county-specific health resources information updated at regular intervals. Originally designed to assist in the location of Area Health Education centers, the file now provides a wide range of information on health professionals, health facilities utilization, health professions training, population characteristics, and economic and environmental conditions for all counties or their equivalents in the United States. The information is collected from a wide variety of sources including US Census, National Center for Health Statistics, and Bureau of Labor Statistics.	<u>Permanent.</u> Cut off file at the end of the annual update. Transfer to the National Archives in strict accordance with the NARA instructions for the transfer of permanent electronic records.
4.	Audiovisual Records: (Records described under this item have been produced by or for HRSA and are used for public information purposes.)	
β-351   3A.1. α GRS	a. <u>Motion Picture File</u> : The original negative or color original plus optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each motion picture used to document, carry on, or promote substantive HRSA activities, events, procedures, and programmatic responsibilities and developments.	a. <u>Permanent.</u> Transfer to the National Archives when obsolete or after 5 years, whichever is sooner.  <u>Temporary.</u> Additional duplicate prints of motion picture file. Destroy when obsolete or after 5 years, whichever is sooner.



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Item #	Description of Records	Disposition
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| 3A.2. b. Film Project Case Files: Documents relating to motion picture productions including requests for approvals, justifications, authorizations, film requirements, contracts, scripts, clearances and releases, and other records relating to the origin, acquisition, and ownership of the production.

b. Permanent: Transfer to the National Archives with related film when obsolete or after 5 years, whichever is sooner.

c. Motion Picture Films having limited administrative use or interest, such as productions whose subject matter is transitory or is of a purely local interest.

c. Temporary: Destroy when obsolete or after 5 years, which is sooner.

| 3B.1. d. Sound Recordings: The master tape, matrix or stamper, and one disk pressing for each conventional, mass-produced, multiple copy disk recording and the original tape for each magnetic audio tape recording used to document, carry on, or promote substantive HRSA activities, events, procedures, and programmatic responsibilities and developments.

d. Permanent: Transfer to the National Archives when obsolete or after 5 years, whichever is sooner.

Temporary: Additional duplicate recordings. Destroy when obsolete or after 5 years, whichever is sooner.

| 3B.2. e. Video Recordings: The original recording and one copy or the earliest generation of the recording (or a kinescope of the recording) used to document, carry on, or promote substantive HRSA activities, events, procedures, and programmatic responsibilities and developments.

e. Permanent: Transfer to the National Archives when obsolete or after 5 years, whichever is sooner.

Temporary: Additional duplicate recordings. Destroy when obsolete or after 5 years, whichever is sooner.

| 3B.4. f. Sound and Video Recordings Documentation: Documentation accumulated in the preparation and production of sound and video recordings, including scripts, transcripts, releases, and other records related to the origin, acquisition, and ownership of the sound or video recordings.

f. Permanent: Transfer to the National Archives with related sound or video recording when obsolete or after 5 years, whichever is sooner.

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g. Sound and Video Recordings (limited use): Recordings that have limited administrative use or interest, such as productions whose subject matter is transitory or is of purely local interest.

g. Temporary: Destroy when obsolete or after 5 years, whichever is sooner.

13. C. 1.  
α GRS

h. Still Photographs: Photographs depicting substantive HRSA activities, events, procedures, programmatic responsibilities and developments, and significant personalities, such as swearing-in ceremonies.

h. Permanent: Cut off files every five years and transfer to the National Archives when obsolete or when 10 years old, whichever is sooner: the original negative and a captioned print or its equivalent for each black and white image and the original color transparency or color negative, a captioned print or its equivalent, and an internegative (if one exists) for each color image.

Temporary: Additional duplicate prints. Destroy when obsolete or after 5 years, whichever is sooner.

i. Still Photographs (limited use): Photographs that have limited administrative use or interest, such as productions whose subject matter is transitory or is of purely local interest, such as annual award photos.

i. Temporary: Destroy when obsolete or after 5 years, whichever is sooner.

13. D.

j. Finding Aids: Data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval and use of the audiovisual records identified above.

j. Permanent: Transfer to the National Archives together with the related audiovisual record.

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Item #	Description of Records	Disposition
5.	Audits:	<u>Temporary.</u>
GRS	a. <u>Audit Reports</u> : Case files of internal audits of HRSA programs, operations, and procedures, and of external audits of contractors and grantees. Consists of audit reports, correspondence, memoranda, and supporting working papers.	a. Cut off at end of fiscal year in which case is closed. Destroy 8 years after cutoff.
B-351 /18.G.6.	b. <u>Audit of Final Survey Reports</u> : Guidelines and procedures on GAO's reporting practices required with HHS. Final reports, including comments on GAO draft reports from program officials responsible for the activities being audited, as well as consolidated HRSA comments.  Separately maintained are HRSA comments on GAO reports of other agencies whose subject matter is of programmatic interest to HRSA.	b. Transfer to FRC 2 years after final report is issued. Destroy 12 years after issuance of final report.
6.	Automated Information Systems (AIS): Generally, the disposition period for electronic records is the same as for hard-copy records. For the specific disposition of records in automated information systems, see <u>Electronic Records</u> as well as the specific program categories, such as grants records, loan records, etc..  AIS managers need to be aware that in some instances the historic, societal, or other value of paper records that have been appraised as temporary records may change when such records are converted to electronic records, due to the many possibilities of data configuration. The records may now be sufficiently significant to warrant preservation as permanent records. The system manager should consult with the HRSA Records Management Officer.	Permanent electronic records must be transferred to the National Archives as soon as possible in strict accordance with NARA instructions.
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Item #	Description of Records	Disposition
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Whenever public use tapes are created from records that have been appraised as temporary records, the AIS manager shall notify the HRSA Records Management Officer. Such public use tapes may warrant preservation as permanent records.

7. **Claims:**

Temporary.

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114.0.

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

a. Destroy 4 fiscal years after claim is closed.

GRS

b. Claims against the United States: Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem d. below.

b. Destroy when 6 years, 3 months old.

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14. L. H. GRS	<p>c. <u>Claims by the United States Subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1):</u> Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under item c. below.</p>	<p>c.(1) Destroy when 6 years, 3 months old.</p>
	<p>(1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.</p>	
	<p>(2) Claims for which collection action has been terminated under 4 CFR Part 104.</p>	
	<p>(a) Claims for which the Government's right to collect was not extended.</p>	<p>c.(2)(a) Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.</p>
	<p>(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.</p>	<p>c.(2)(b) Destroy 3 months after the end of the extended period.</p>
	<p>(3) Claims which HRSA administratively determines are not owed to the United States after collection action was initiated.</p>	<p>c.(3) Destroy when 6 years, 3 months old.</p>
GRS	<p>d. <u>Claims Under Court Order:</u> Claims files that are affected by a court order or that are subject to litigation proceedings.</p>	<p>d. Destroy when court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.</p>

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Item #	Description of Records	Disposition
8. B-351 19.A. B-341 16-4	<b>Committee/Council Records:</b> Individual files on advisory committees, program committees, and policy councils (above division level). Includes original charters, memberships, committee reports (including financial expenditures of each member), written policies, procedures, management guidelines, agendas, minutes of meetings, correspondence.	<b>Office of Record:</b> <u>Permanent</u> . Cut off files annually and hold in active file until committee/council is abolished, terminated, or transferred. Transfer paper records to FRC after 3 years or sooner if volume requires. Transfer to the National Archives when 10 years old. Transfer electronic records to National Archives annually. <b>All Other Offices:</b> <u>Temporary</u> . Destroy after 2 years or when no longer administratively useful or needed for reference.
9. GRS	<b>Committee and Conference Files:</b>  a. <u>Records relating to establishment</u> , organization, membership, and policy of internal committees.  b. <u>Records created by committees:</u> (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, excluding those maintained by the sponsor or Secretariat. (2) All other committee records.  c. <u>Records maintained by the HRSA Committee Management Officer</u> for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.	<u>Temporary</u> .  a. Destroy 2 years after termination of committee.  b. Destroy when 3 years old or when no longer needed for reference, whichever is sooner.  c. Destroy 5 years after termination of committee.

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Item #	Description of Records	Disposition
10. B-341   6-5	Conferences: Records of national and international conferences in which HRSA participated, including agenda, minutes, supporting papers, resolutions, final reports and related materials.	Office of Record: <u>Permanent</u> . Transfer paper records to FRC in 5-year blocks when no longer needed for operations. Transfer to the National Archives when 20 years old. Transfer electronic records to National Archives annually. All Other Offices: <u>Temporary</u> . Destroy after 2 years or when no longer administratively useful.
11.	Correspondence Records:	
B-351   4.A. d GRS B-341   1.	a. <u>Administrator/Senior Staff Correspondence</u> : Correspondence received by or prepared for the signature of the Administrator and/or senior HRSA staff. The records consist of or relate to significant policy, guidance, instructions, and decisions issued or received by HRSA, including staff clearances obtained, along with any other supporting materials. Such correspondence may be from or to Congress or the White House; the HHS Secretary and his/her staff; HHS principal operating components/divisions; Regional Health Administrators; and other Federal agencies. Also included is correspondence regarding budget matters, such as statements, briefings, and presentations, digests, and backup materials of a highly significant and sometimes sensitive nature. The office of record is the responding office. <u>NOTE: Findings Aids</u> : Records that are necessary to retrieve the correspondence must be indexed to and filed with the pertinent records.	a. Office of Record: <u>Permanent</u> : Cut off annually. Transfer paper records to FRC when 4 years old or when no longer needed for administrative purposes, whichever is sooner. Transfer to the National Archives when 10 years old. Transfer electronic records to National Archives annually. All Other Offices: <u>Temporary</u> : Destroy after 2 years or when no longer administratively useful or needed for reference.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	<p>b. <u>General Correspondence</u>: The records relate to such matters as inquiries about ongoing programs, general public inquiries and remarks, requests for information; and explanation of regulations, directives, procedures, and policies.</p> <p><u>NOTE: Findings Aids</u>: Records that are necessary to retrieve the correspondence must be indexed to and filed with the pertinent records.</p>	<p>b. <u>Temporary</u>: Cut off annually. Transfer to FRC when 2 years old; destroy when 5 years old.</p>
	<p>c. <u>Routine Correspondence</u>: Letters or memoranda containing routine information.</p>	<p>c. <u>Temporary</u>: Destroy after 2 years or when no longer administratively useful or needed for reference.</p>
	<p>d. <u>Tracking and Control Records</u>: Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or this disposition schedule.</p>	<p>d. <u>Temporary</u>. Destroy or delete when no longer needed, unless they are necessary to retrieve the correspondence to which they pertain. See <u>NOTE</u> at items a. and b. above.</p>
	<p>Correspondence records that are retrieved by individual identifier are maintained in Privacy Act system of records 09-15-0059, Health Resources and Services Administration Correspondence Control System, HHS/HRSA/OA.</p>	



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Item #	Description of Records	Disposition
12. B-341 18.	<b>Delegations of Authority:</b> The purpose of delegations of authority is to authorize an official to take actions or make decisions which have legal significance.	
B-351 15.	a. <u>Program Delegations:</u> Case files of delegations that are unique to HRSA.	a. <b>Office of Record:</b> <u>Permanent.</u> Cut off annually. Transfer paper records to FRC when no longer needed for operations. Transfer to the National Archives in 5-year blocks when 10 years old. Transfer electronic records to National Archives annually. <b>All Other Offices:</b> <u>Temporary.</u> Destroy 1 year after delegation is superseded or obsolete.
	b. <u>Administrative Delegations:</u> Case files of delegations that deal with, e.g., personnel, printing, travel, etc.	b. <u>Temporary.</u> <b>Office of Record:</b> Destroy 5 years after delegation is superseded or obsolete. <b>All Other Offices:</b> Destroy 1 year after delegation is superseded or obsolete.
13. B-351 115. GRS	<b>Electronic Records:</b>  a. <u>Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records:</u>  (1) Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.	<u>Temporary.</u>    a.(1) Delete/destroy when HRSA determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) Electronic files or records used to create or update a master file, including, but not limited to work files, valid transaction files, and intermediate input/output records.	a.(2) Delete after information has been transferred to the master file and verified.
	(3) Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.	a.(3) Delete/destroy when HRSA determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
b.	<u>Input/Source Records:</u>	
	(1) Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in this disposition schedule.	b.(1) Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.
	(2) Electronic records, except as noted in item b.(3), entered into the system during an update process, and not required for audit and legal purposes.	b.(2) Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.
	(3) Electronic records received from another agency and used as input/source records by HRSA, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of HRSA.	b.(3) Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(4) Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.	b.(4) Delete after the necessary data have been incorporated into a master file.
	c. <u>Electronic records that support administrative housekeeping functions</u> when the records are derived from or replace hard copy records authorized for destruction in this disposition schedule.	
	(1) When hard copy records are retained to meet record-keeping requirements.	c.(1) Delete electronic version when no longer needed for administrative, legal, audit or other operational purposes.
	(2) When the electronic record replaces hard copy records that support administrative housekeeping functions.	c.(2) Delete after the expiration of the retention period of the hard copy file, or when no longer needed, whichever is later.
	(3) Hard copy printouts created for short-term administrative purposes.	c.(3) Destroy when no longer needed for administrative, legal, audit, or other operational purposes.
	d. <u>Data Files Consisting of Summarized Information:</u> Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under the GRS or this disposition schedule, EXCLUDING data files that are created as disclosure free files to allow public access to the data which may not be destroyed before securing NARA approval.	d. Delete when no longer needed for administrative, legal, audit, or other operational purposes.

<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	<p>e. <u>Records Consisting of Extracted Information</u>: Electronic files consisting solely of records extracted from a single master file or data base that is disposable under the GRS or this disposition schedule, EXCLUDING extracts that are: (1) produced as disclosure-free files to allow public access to the data; or (2) produced by an extraction process which changes the informational content of the source master file or data base. Items (1) and (2) may not be destroyed before securing NARA approval.</p>	<p>e. Delete when no longer needed for administrative, legal, audit, or other operational purposes.</p>
	<p>f. <u>Print File</u>: Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.</p>	<p>f. Delete when no longer needed for administrative, legal, audit, or other operational purposes.</p>
	<p>g. <u>Technical Reformat File</u>: Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.</p>	<p>g. Delete when no longer needed for administrative, legal, audit, or other operational purposes.</p>
	<p>h. <u>Backups of Files</u>: Electronic copy that HRSA considers a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased. NOTE: E-Mail backup files are not Federal records.</p>	
	<p>(1) File identical to records scheduled for transfer to the National Archives.</p>	<p>h.(1) Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.</p>

Item #	Description of Records	Disposition
	(2) File identical to records authorized for disposal in this disposition schedule.	h.(2) Delete when the identical records have been deleted, or when replaced by a subsequent backup file.
	i. <u>Finding Aids or Indexes</u> : Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or this disposition schedule, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	i. File and retire with related records. Delete with related records or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.
	j. <u>Special Purpose Programs</u> : Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or this disposition schedule, EXCLUDING special purpose software necessary to use maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives (permanent records).	j. Delete when related master file or database has been deleted.
	k. <u>Documentation</u> :	
	(1) Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or this disposition schedule.	k.(1) Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.
	(2) Copies of records relating to system security, including records documenting period audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.	k.(2) Destroy or delete when superseded or obsolete.

<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	<p><u>l. Downloaded and Copied Data:</u> Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within HRSA, when the original data is retained.</p> <p>(1) Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.</p> <p>(2) Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.</p> <p>(3) Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.</p>	<p>l.(1) Delete when no longer needed for administrative, legal, audit or other operational purposes.</p> <p>l.(2) Delete when no longer needed for administrative, legal, audit or other operational purposes.</p> <p>l.(3) Delete from the receiving system or device when no longer needed for processing.</p>
	<p><u>m. Word Processing Files:</u> Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after the documents have been copied to an electronic record-keeping system, paper, or microform for record-keeping purposes.</p>	<p>m. Delete from the work processing system when no longer needed for updating or revision.</p>

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Item #	Description of Records	Disposition
n.	<p><u>Electronic Mail Records</u>: Senders' and recipients' versions of electronic mail messages (including the transmission data) that meet the definition of Federal records and for which the sender or the recipient is the office of record and any attachments to the record messages after they have been copied to an electronic record-keeping system, paper, or microform for record-keeping purposes.</p> <p><u>NOTE</u>: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.</p>	<p>n. Delete from the e-mail system after copying to a record-keeping system.</p>
o.	<p><u>Electronic Spreadsheets</u>: Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.</p>	
(1)	<p>(1) When used to produce hard copy that is maintained in organized files.</p>	<p>o.(1) Delete when no longer needed to update or produce hard copy.</p>
(2)	<p>(2) When maintained only in electronic form.</p>	<p>o.(2) Delete after the expiration of the hard copy retention period. If the electronic version replaces hard copy records with differing retention periods and the software does not readily permit selective deletion, delete after the longest retention period has expired.</p>

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Item #	Description of Records	Disposition
14.	<b>Equal Employment Opportunity (EEO) Records:</b>	<u>Temporary.</u>
B-351 110. GRS	a. <u>Official Discrimination Complaint Case Files:</u> Case files containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved with HRSA, by EEOC, or by a U.S. Court.  b. <u>Copies of Complaint Case Files:</u> Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.  c. <u>Preliminary and Background Files:</u> (1) Background records not files in the Official Discrimination Complaint Case Files. (2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.  d. <u>Compliance Records:</u> (1) Compliance Review Files: Reviews, background documents, and correspondence relating to contractor employment practices. (2) EEO Compliance Reports.  e. <u>Employee Housing Requests:</u> Forms requesting agency assistance in housing matters, such as rental or purchase.  f. <u>Employment Statistics Files:</u> Employment statistics relating to race and sex, excluding master files and data bases created in central data processing facilities.	a. Destroy 4 years after resolution of case.  b. Destroy 1 year after resolution of case.  c.(1) Destroy 2 years after final resolution of case. c.(2) Destroy when 2 years old.  d.(1) Destroy when 7 years old.  d.(2) Destroy when 3 years old.  e. Destroy when 1 year old.  f. Destroy when 5 years old.



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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	g. <u>EEO General Files</u> : General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and HRSA EEO Committee meeting records, including minutes and reports.	g. Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
	h. <u>EEO Affirmative Action Plans (AAP)</u> :	
	(1) HRSA feeder plan to consolidated AAP, including all working papers and comments submitted by components at all levels. -	h.(1) Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
	(2) HRSA copy of consolidated AAP.	h.(2),(3),(4) Office of Record: Destroy 5 years from date of plan or report.
	(3) Report of onsite reviews of Affirmative Action Programs.	All Other Offices: Destroy when 3 years old or when administrative purposes have been served, whichever is sooner.
	(4) HRSA copy of annual report of Affirmative Action accomplishments.	

Item #	Description of Records	Disposition
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15. Federal Occupational Health (FOH):

Temporary.

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a. FOH Administration: Records documenting the process of developing and implementing safety standards and improved occupational health for all employees throughout the Government, reports evaluating FOH services in relation to standards, formal interagency agreements with other Federal agencies and correspondence pertaining to the implementation and administration of these agreements, including population surveys, Program Operations Information System (POIS) activity reports, and billing documentation summaries.

a. Cut off files every 2 years. Transfer a record set of all files that document standards relating to this program and final reports of evaluations and interagency agreements to FRC 1 year after cutoff date. Destroy when 8 years old.

b. FOH Employee Health Units: Records of Federal employees enrolled as participants in the FOH health units; also includes records of visitors that received emergency treatment.

14.I.

(1) Employee Medical Folder (EMF): These are long-term work-related records such as fitness-for-duty examinations, job-related injuries, etc. as defined in 5 CFR part 293, subpart E.

b.(1) Maintain in health unit folder until employee is transferred or separated, as per 5 CFR part 293, subpart E. Records that qualify as long-term medical records are retired 30 days after separation to the National Personnel Records Center as part of the Official Personnel Folder.

(2) Temporary or short-term records: These are records for treatment that the employee initiates, such as wellness examinations, allergy shots, blood pressure screening, etc., as defined in the Federal Personnel Manual.

b.(2) Destroy 1 year after separation or transfer of employee.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(3) Employee Non-Occupational Health Record Files: Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to the health unit for nonwork-related purposes, excluding records covered by items (1) and (2) above.	b.(3) Destroy 6 years after date of last entry.
	(4) Statistical Summaries: Copies of statistical summaries and reports with related documents pertaining to employee health, retained by the reporting unit.	b.(4) Destroy 2 years after date of summary or report.
	c. <u>Program Operations Information System (POIS)</u> : The system consists of five major globels and several supporting lexicon files. The five main globels are (1) agreements, (2) accounts, (3) recipients, (4) providers, and (5) service provision records (SPRs).	c. Replaces the FEOH Data System. SF 115 Pending.
	d. <u>Health Unit Control Files</u> : Logs or registers reflecting daily number of visits to dispensaries, first-aid rooms, and health units.	
	(1) If information is summarized on statistical report.	d.(1) Destroy 3 months after last entry.
	(2) If information is not summarized.	d.(2) Destroy 2 years after last entry.
	Records that are maintained by individual identifier are maintained in Privacy Act system of records: 09-15-0001, Division of Federal Occupational Health Medical and Counseling Records, HHS/HRSA/BPHC, or 09-15-0004 Federal Employee Occupational Health Data System, HHS/HRSA/BPHC.	

Item #	Description of Records	Disposition
16.	<b><u>Federal Register Notices:</u></b>	<b><u>Temporary.</u></b>
	a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.	a. Destroy when 1 year old.
	b. Files documenting the processing of semi-annual regulatory agenda.	b. Destroy when 2 years old.
17.	<b><u>Financial Management:</u></b>	<b><u>Temporary.</u></b>
13 - 351 116.	a. <b><u>Budget Formulation and Execution:</u></b> Records documenting the development and execution of the HRSA budget, including input from all staff offices and components. Records reflect the consolidation at each level, up to and including the official HHS submission to OMB and subsequently to the Congress. Since this process is a continuous 3-year effort, documents must go through 3 years minimum as to formulation, executive, and obligating documents.	a. <b>Office of Record:</b> Destroy 4 years after the beginning of the year for which current budget efforts are expended. <b>All Other Offices:</b> Destroy 2 years after the beginning of the year for which current budget efforts are expended.
	b. <b><u>Budget Estimates and Justifications:</u></b> Explanation and justification of appropriation budget estimates, justification statements, appropriation language sheets, narrative statements, related schedules and data, as well as correspondence reflecting policy decisions.	b. <b>Office of Record:</b> Cut off at close of FY. Transfer to FRC when 5 years old. Destroy when 10 years old. <b>All Other Offices:</b> Cut off at close of FY. Destroy when 5 years old.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
18.	<b>Forms:</b>	<u>Temporary.</u>
B-351 GRS	a. One record copy of each form created by HRSA with related instructions and documentation showing inception, scope, and purpose of the form.	a. Destroy 5 years after related form is discontinued, superseded, or canceled.
	b. Background materials, requisitions, specifications, processing data, and control records.	b. Destroy when related form is discontinued, superseded, or canceled.
	c. Mailing or distribution lists.	c. Destroy 1 year after mailing or distribution list is replaced by a new list.
19.	<b>Freedom of Information Act (FOIA):</b>	<u>Temporary.</u>
B-351   13.E. GRS	a. <u>FOIA Requests</u> : Files created in response to requests for information under FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.	
	(1) Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).	
	(a) Granting access to all the requested records.	a.(1)(a) Destroy 2 years after date of reply.
	(b) Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay HRSA reproduction fees.	a.(1)(b) <b>Request not appealed:</b> Destroy 2 years after date of reply. <b>Request appealed:</b> Destroy as authorized under next item: FOIA Appeal Files.

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	(c) Denying access to all or part of the records requested.	a.(1)(c) <b>Request not appealed:</b> Destroy 2 years after date of reply. <b>Request appealed:</b> Destroy as authorized under next item: FOIA Appeal Files.
	(2) Official file copy of requested records.	a.(2) Dispose of in accordance with approved HRSA disposition instruction for the related records, or with the related FOIA request, whichever is later.
13.F.	b. <u>FOIA Appeals</u> : Files created in responding to administrative appeals under the FOIA for release of information denied by HRSA, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
	(1) Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).	b.(1) Destroy 6 years after final determination by HRSA or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.
	(2) Official file copy of records under appeal.	b.(2) Dispose of in accordance with approved HRSA disposition instruction for the related records, or with the related FOIA request, whichever is later.

<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	c. <u>FOIA Controls</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 requester.	c. <u>Registers or listings</u> : Destroy 6 years after date of last entry. <u>Other files</u> : Destroy 6 years after final action by HRSA or after final adjudication by courts, whichever is later.
	d. <u>FOIA Reports</u> : Recurring reports and one-time information requirements relating to HRSA's implementation of FOIA, including annual reports to the Congress at the departmental or HRSA level.	
	(1) Annual reports to the Congress at the departmental or HRSA level.	d.(1) Destroy when 5 years old or sooner if no longer administratively useful.
	(2) Other reports.	d.(2) Destroy when 2 years old or sooner if no longer administratively useful.
	e. <u>FOIA Administrative Records</u> : Records relating to HRSA's general implementation of FOIA, including notices, memoranda, routine correspondence, and related records.	e. Destroy when 2 years old or sooner if no longer administratively useful.
20. B-341 / 11-1	<u>Grants, Contracts, and Cooperative Agreements Policies and Procedures</u> : Records that document the development and implementation of significant policy and procedures and significant changes of policy and procedures in HRSA's management of grants, contracts, and cooperative agreements.	<u>Office of Record</u> : <u>Permanent</u> . Transfer paper records to the National Archives in 5-year blocks 15 years after becoming obsolete or superseded. Transfer electronic records to National Archives annually. <u>All Other Offices</u> : <u>Temporary</u> . Destroy when obsolete or superseded.

Item #	Description of Records	Disposition
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21. Grants:

Temporary, except for item b.(2)(f)(aa) Hill-Burton Management Information System, which is Permanent.

See item 46 - Reports for the permanent disposition of 5-year random sampling of 1% of grant and contract reports.

See item 40 - Procurement and Supply Records for the disposition of Contracts.

a. Grant Administration:

(1) Unsuccessful Grant Application Files: Applications, correspondence, and other records relating to unsuccessful rejected or withdrawn applications.

a.(1) Destroy 3 years after rejection or withdrawal.

(2) Grant Administrative Files. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

a.(2) Destroy when 2 years old.

(3) Report of Expenditures Adjustment and Audit: When back claims on indirect costs adjustment requests are verified, payment authorization is processed through finance and then consolidated through NIH for one lumpsum payment of direct costs of grantees.

a.(3) HRSA-level files: COF at resolution of indirect cost claim. PIF for 3 years then transfer to FRC and destroy 3 years thereafter.

(4) Canceled Requests for Proposals (RFPs): Files of RFPs for which Proposals have been received and the RFP is canceled prior to award.

a.(4) Destroy when 1 year old.

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Item #	Description of Records	Disposition
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b. Grant Programs:

*N1-90-90-10*

(1) Block Grants: All records pertaining to these grants to enable States to provide health services to needy populations within their jurisdiction. Records involved are annual Report of Intended Expenditures (RIE) and the Annual Report on services provided.

Examples of Block Grants:

Maternal and Child Health Grants to States

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

(2) Construction Grants/Loans:

*N1-90-90-11*

(a) Hill Burton - PHS Act Titles VI and XVI: Records relate to administration of grant support for health care facilities. Files consist of applications, award documents, justification, financial data, progress reports, summary statements, reports of expenditures, evaluations, and related correspondence.

(b) Grant Recovery/Waiver/Change of Status Files--PHS Act Titles VI and XVI: Records relate to the administration of the Federal right of recovery on construction grants for health care facilities. Case files document change of status. Changes of status includes sales, leases, reorganizations, mergers, changes of management companies, closures, changes to new or different services, etc.

b.(2)(a) Transfer to FRC 5 years after closeout. Destroy 25 years after closeout. Closeout date is defined as opening date of completion of construction.

b.(2)(b) Transfer to FRC after closeout. Destroy 5 years after closeout date. Closeout date is defined as the date of final central office action on the change of status.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
<i>N1-90-90-11</i>	(c) Construction Grant Files and Waiver/Recovery and Mental Retardation Files--PHS Act Titles III, VII, VIII: Records relate to administration of construction grants for health professions education, nurse training, and health care facilities. Files consist of grant application, award documents, justification, financial data, progress reports, reports of expenditures, summary statements, evaluations, correspondence, site visit reports, annual space utilization reports, change of status actions including waiver/recovery.	b.(2)(c) Transfer to FRC after closeout. Destroy 5 years after closeout date. Closeout date is defined as the date of final central office action.
<i>N1-90-90-13</i>	(d) HUD Section 242 and PHS Act Titles VI and XVI Loan Application and Loan Management Files: Records deal with construction and modernization loans made or guaranteed under Titles VI or XVI of the PHS Act and those insured under Section 242 of the National Housing Act.	Office of Record are the Regional Offices prior to 1986 and the Central Office beginning in 1986.
	(aa) File consists of application material, including feasibility studies, plans, drawings, specifications, construction documents, drawdown requests and invoices, etc.	b.(2)(d)(aa)(1) Successful loan applications: Transfer to FRC after the completion of the Warranty site visit or 2 years after the start of amortization, whichever is later. Destroy 27 years after the start of amortization. b.(2)(d)(aa)(2) Unsuccessful loan applications: Transfer to FRC 1 year after disapproval. Destroy 3 years after disapproval.
	(bb) File consists of annual audited financial statements and correspondence, site visit reports, Loan Information System abstracts and loan documents.	

<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(bb)(1) Active Loans:	b.(2)(d)(bb)(1) Transfer partial contents (the oldest 5 years) of a loan file to FRC at the eighth year and every five years thereafter for the life of the loan. No active records less than 3 years old should be transferred to FRC. Destroy 28 years after the start of amortization.
	(bb)(2) Loans Paid in Full:	b.(2)(d)(bb)(2) Transfer records to FRC upon completion of the amortization of the loan or earlier if the loan is paid in full. Destroy 3 years after the loan has been paid.
	(bb)(3) Loans terminated by any means other than complete payment (either early or normal repayment):	b.(2)(d)(bb)(3) Transfer to FRC 1 year after termination of loan. Destroy 28 years after start of amortization of loan.
NI-90-90-12	(e) Hill-Burton Uncompensated Services Official Facility File: Records include all material relating to investigations conducted to determine the actual extent of facility compliance with the 20-year obligation period for PHS Act Title VI grants and forever for PHS Act Title XVI grants) to provide uncompensated care. Facility files consist of the Facility Status Report, Project Control Records, copies of all Uncompensated Services Assurance Reports and the documentation submitted with the reports; all certification letters, complaint information, and correspondence about the facility's uncompensated services program.	b.(2)(e) Transfer to FRC 1 year after final closeout. Destroy 5 years thereafter. Closeout is defined when facilities are certified as having completed their total uncompensated services obligations.

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B - 341 / 43. (f) Hill-Burton Management Information System: The system tracks facility compliance information by year, both historical and projected, and produces administrative reports. The system maintains data on the characteristics and status of providers within the uncompensated services assurance program, uncompensated service reports submitted, certification assessments conducted, grants and loans originated through the program, and alternative compliance monitoring. Data is updated continually.

(aa) 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 HRSA to monitor compliance with these assurances. Data on these projects will therefore be required permanently.

(bb) Data from projects which do not require monitoring in perpetuity.

b.(2)(f)(aa): Office of Record: Permanent. Transfer to NARA when 5 years old.

b.(2)(f)(bb): Temporary. Remove from the system when no longer needed for operation.

**NOTE to NARA Reviewer:** NARA Electronic Center staff and Hill-Burton program staff are currently reviewing this record system to determine if changes to the permanent disposition of the records are indicated. Should changes be indicated, HRSA will submit an SF 115.

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Item #	Description of Records	Disposition
B-351 118.D.	(g) General Construction Grant Programs: Construction grants are awarded for new construction, expansion and modernizing of existing health facilities. They are either discretionary project grants or formula grants, depending upon the legislative authority of the individual grant program. Two distinct types of records are generated, a general program information file and an official grant file. The contents will vary somewhat, depending on whether the program is a discretionary or formula grant program.	The Office of Record will normally be the program office.
	(aa) General Program Information File: These records must include approved construction drawings required by program regulations, program announcements, program management procedures, terms and conditions of the grant program.	b.(2)(g)(aa) Destroy when superseded or rescinded.
	(bb) Lists of application evaluators and instructions to evaluators.	b.(2)(g)(bb) Destroy when superseded.
	(cc) These records may also include: Authorizing legislation	b.(2)(g)(cc): Destroy when superseded or expired.
	<u>Federal Register</u> documents	Destroy when rescinded or obsolete.
	General counsel and court opinions	Destroy when rescinded or obsolete.

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Item #	Description of Records	Disposition
	(dd) Official Grant Files: A separate file is maintained for each grant that HRSA awards. The records must include the official file copy of the application, award notice, evaluation documentation (including documents concerning review of application and progress reports), financial reports, grant closeout documents (including progress reports), correspondence, environmental impact statements, inspection reports, equipment lists, bid lists and documents, and performance other bond documents. These records may also include authorizing legislation, <u>Federal Register</u> documents, and General Counsel and court opinions; follow the disposition listed above under b.(2)(f)(cc).	b.(2)(g)(dd) Office of Record: Transfer to FRC after last payment is made. Destroy when 20 years old. All Other Offices: Destroy 3 years after final closeout.
B-351 18.B.	(3) <u>Discretionary Grant Programs</u> : These grants are made in support of an individual project in accordance with legislation which permits the grantor to exercise independent judgement in selecting the project, the grantee, and the amount of award. HRSA components administering discretionary grant programs are required to generate two distinct types of records as follows:  (a) General Program Information File: Program announcements, program management procedures (regulations), and terms and condition of the grants program.	Office of Record: The program office usually is the Office of Record. All Other Offices destroy records when no longer administratively useful.  b.(3)(a) Destroy when superseded or rescinded.

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Item #	Description of Records	Disposition
	(b) List of applications, evaluators and instructions to evaluators, incoming requests for clearance of proposed grant application forms and instructions from all HRSA components. Include justification of modification to existing or proposed forms and instructions, if any, with copies of final approved forms and instructions.	b.(3)(b) Place in file 1 year after applications and related instructions have been cleared and approved at HRSA level. Transfer to FRC 1 year after file becomes inactive. Destroy 4 years after file becomes inactive.
	(c) These records may also include:	b.(3)(c) Destroy when:
	Discretionary Grant Panelist Selection	5 years old or no longer needed.
	Authorizing Legislation	Superseded or legislation expires.
	<u>Federal Register</u> Documents	Rescinded or obsolete.
	General Counsel and Court Opinions	Obsolete.
	Proposals not Resulting in Discretionary Grant Awards	1 year after receipt.
	(d) Official Grant File. This file is maintained for each grant award. It contains: Official file copy of application; award notice; correspondence; evaluations and recommendations; documents concerning review of applications and progress reports; financial reports; research reports; assurances and certifications (for civil rights, protection of human subjects, animal welfare); invention statements; biographical information; required clearances; statistical reports; meeting reports; site visit reports; and audit reports.	b.(3)(d) Transfer to FRC 2 years after final payment or upon resolution of any adverse audit findings, whichever is sooner. Destroy 6 years after final payment or audit resolution.
	(aa) Ineligible and rejected applications.	b.(3)(d)(aa) Destroy 6 months after determination of ineligibility.
	(bb) Approved applications and all related loan administration correspondence for repaid or canceled loans.	b.(3)(d)(bb) Destroy 3 years after date of repayment or cancellation.

Item #	Description of Records	Disposition
	(cc) Uncollected loans.	b.(3)(d)(cc) Transfer to the GAO as soon as loan is determined to be uncollectible.
B-351   18.G.4. GAS	(e) Discretionary Grant Programs Management Cost Advisory Contracts: Alpha-numeric arrangement by contractor name and sequential contract numbers. Includes working copies of contract files and documentation of site audits and other cost advisory activities related to individual contracts, data on accounting acceptability and financial capability of contractor, and other pertinent contractor data.  Examples of Current and Former Discretionary Grant or Project Programs are: Health Services Development Community Health Centers Crippled Children Services Emergency Medical Services Maternal and Child Health Research Migrant Health Grant Genetic Diseases Testing & Counseling Projects Private Practice Option Grants	b.(3)(e) Transfer to FRC 2 years after contract ends and audits are completed. Transactions of more than \$25,000 destroy 6 years and 3 months after final payment. Transaction of \$25,000 or less destroy 3 years after final payment.
B-351   18.C.	(4) <u>Formula Grant Program</u> : A formula grant is one in which funds are provided to specific grantees on the basis of a specific formula prescribed in legislation or regulation; rather than on the basis of an individual project review. The formula is usually based on such factors as population, live births, per capita income, enrollment, mortality, and morbidity. These grants are generally mandatory. Components administering formula grant programs are required to generate two distinct types of records as follows:	The Office of Record is the awarding component grants management activity.



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Item #	Description of Records	Disposition
	(a) General Program Information File: Records must include program management procedures (regulations), terms and conditions, State plan checklists, progress reports, and other correspondence related to the grant.	b.(4)(a) Destroy when superseded or expired.
	(b) Records may also include: Authorizing legislation	b.(4)(b): Destroy when superseded or expired.
	<u>Federal Register</u> documents	Destroy when rescinded or obsolete.
	General Counsel and court opinions.	Destroy when obsolete.
	(c) Official Grant File: The file is maintained for each annual formula grant award. The records include the official file copy of applications or State plans and certification documents as applicable, budget information, State plan checklists, award notices, progress reports annual expenditure reports, site visit reports, and correspondence.	b.(4)(c) Office of Record: Transfer to FRC 2 years after final closeout or upon resolution of any adverse audit findings, whichever is later. Earlier transfer to FRC after closeout is authorized if there are no adverse audit findings outstanding. Destroy 6 years after final closeout or audit resolution. All Other Offices: Destroy 3 years after final closeout.
	<b>Examples of Current and Former Formula Grants:</b> Comprehensive PHS-Formula Grants Dental Health of Children Health Care of Children and Youth Intensive Infant Care Projects Maternity and Infant Care Projects	

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Item #	Description of Records	Disposition
B-351   18.E.	(5) <u>State Plans</u> : Plans are submitted annually by various States which propose what to do with Federal money for the upcoming year. The plans often recapitulate the previous year's projections as compared to achievements, problems encountered, etc.	<b>Office of Record</b> (Grants and Contracts): Transfer to FRC when 2 years old. Destroy when 5 years old, or after final payment to grantee, or after resolution of any adverse audit findings, whichever occurs first. <b>All Other Offices</b> : Destroy when 2 years old or when no longer needed, whichever is sooner.
22. N1-90-86-3	<b>Inter- and Intra-Agency Agreements or Memoranda of Understanding</b> : Formal agreements or understandings between HRSA and other Federal organizations, under which HRSA provides or receives a specified technical and/or administrative service or services. Documents include official signed copies of the agreements or understandings, reproduced copies thereof, amendments thereto, and all related correspondence and other materials.	<u>Temporary</u> . <b>Office of Record</b> : Destroy 5 years after termination of the agreement or understanding. <b>All Other Offices</b> : Destroy 1 years after termination of the agreement or understanding, or when no longer needed.
23. B-341   25.	<b>Intergovernmental Affairs</b> : Files documenting the conduct of liaison activities between HRSA, 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.	<u>Temporary</u> . Cut off file at end of fiscal year. Destroy when 3 years old.
24. B-341   26. (N1-90-82-8)	<b>International Affairs</b> : Files documenting HRSA's interest and participation in international health projects, liaison, and related activities. Program files deal specifically with the Special Foreign Currency Program and HRSA's interaction on projects under this authority. Frequently, the HRSA's files may contain background materials not duplicated at other levels.	<u>Temporary</u> . Cut off file at end of fiscal year. Destroy when 6 years old.

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Item #	Description of Records	Disposition
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25. Issuance Management:

B-351  
| 1.B.

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a. Issuances and Directives: Manuals, directives and other formal policy and procedural issuances prepared and published by HRSA or its major components. Included are internal directives and issuances, and HRSA supplements of the Department's Staff Manual Chapters, Circulars, and Guides; significant correspondence/comments, and significant supporting documentation.

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

c. Distribution Control Files: Files contain mailing lists/keys and similar documents which govern the distribution of staff manuals, supplements, circulars, and other printed materials, publications, and issuances to HRSA components.

a. Office of Record: Permanent. Transfer paper records to FRC when superseded or discontinued. Transfer to the National Archives 10 years thereafter. Transfer electronic records to National Archives annually.

All Other Offices: Temporary. Destroy when superseded, obsolete, or no longer needed for reference.

b. Temporary. Destroy when 2 years old or when no longer administratively useful, whichever is sooner.

c. Temporary. Destroy when superseded or obsolete, whichever is sooner.

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Item #	Description of Records	Disposition
26.	Legislation:	<u>Temporary.</u>
B-351	a. <u>Legislative History</u> : Individual case histories describing HRSA legislative interpretations; requests for HRSA representation at scheduled congressional hearings, final copies of prepared opening statements and testimonies given before congressional committee hearings including appropriation hearings; written comments on HRSA-related bills; compilations of historical summaries of laws applicable to HRSA's mission and functions; legislation establishing or amending HRSA programs; copies of all HRSA-related bills as approved by the President, back-up files and related materials from the Department, OMB and Congress.	a. <b>Office of Record</b> : Cut off annually. Transfer to FRC 3 years after each legislative session; destroy when 8 years old. <b>All Other Offices</b> : Destroy after 2 years or when no longer administratively useful or needed for reference.
7.A. 7.C.	b. <u>Legislative Proposals</u> : Individual case files which include backup documents from all HRSA components, essential working documents, and final HRSA legislative proposals with any modifications from the Department or OMB.	b. <b>Office of Record</b> : Combine with the Legislative History Files when administrative value ends and transfer to FRC 3 years after each legislative session; destroy when 8 years old. <b>All Other Offices</b> : Destroy after 2 years or when no longer administratively useful or needed for reference.
7.B.	c. <u>Legislative Reports</u> : Periodic, statutorily required reports to Congress and the Secretary, and intermittent reports with pertinent supporting documentation.	c. <b>Office of Record</b> : Cut off annually. Transfer to FRC 3 years after each legislative session; destroy when 8 years old. <b>All Other Offices</b> : Destroy after 2 years or when no longer administratively useful or needed for reference.
7.D.		

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Item #	Description of Records	Disposition
7.E.	d. <u>Program Legislative Planning/ Implementation</u> : Legislative plans and other documents relating to the implementation of specific Public Laws that concern HRSA programs. The files contain records, such as Office of the General Counsel opinions, requests from Congress to comment on proposed legislation, briefing notebooks, accumulated in drafting or commenting on proposed legislation.	d. <u>Office of Record</u> : Cut off annually. Transfer to FRC 3 years after each legislative session; destroy when 8 years old. <u>All Other Offices</u> : Destroy after 2 years or when no longer administratively useful or needed for reference.
NI-512-13-1	27. <u>Life Safety Code (LSC) Survey Files</u> : Records relate to the assistance given to the Department of Defense in assuring a safe medical treatment environment conducive to the delivery of quality health care in identified hospitals and in maintaining accreditation requirements of the Joint Commission on the Accreditation of Healthcare Organizations. Files consist of a narrative report and attachments. The narrative report consists of authority, purpose and methods, objectives, survey protocol, general description of the facility, LSC deficiencies and recommend prescriptive solutions, estimated cost to correct LSC deficiencies, special considerations and conclusions.	<u>Temporary</u> . Transfer to FRC after closeout. Destroy 5 years after closeout date. Closeout date is defined as date of final central office action.
B-351	28. <u>Loan and Scholarship Programs</u> :	<u>Temporary</u> .
25.A. 25.B. 25.Q. 25.O.	a. <u>Student Loans</u> : The purpose of low interest student loans is to increase educational opportunities for students in need of financial assistance to pursue a course of study in specified health professions by providing long-term, low interest loans, either through direct Government loans or through private lending institutions.	a. <u>Office of Record</u> : Retain records 1 year in office and then transfer to FRC. Destroy 6 years after final payment or upon resolution of any adverse audit findings, whichever occurs later. <u>All Other Offices</u> : Destroy 2 years after final payment.

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Item #	Description of Records	Disposition
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The records consist of or relate to student loan applications, notices of award, correspondence, training fellowships, extramural projects, job descriptions, progress reports, loan drawdowns, promissory notes, repayment schedules and agreements, annual operating reports, letters of support, school faculty, school facilities, budget justifications, expenditure reports, obligated balances, payment requests, uncollectible student loans, bankruptcies, write-off of bad debts, site visits, surveys, evaluations, recommendations, objectives and goals, and audits.

**Examples of Current and Former Low-Interest Loan Programs:**

Student Loans

Nursing Student Loans

Health Professions Education Assistance Program for Cuban Refugees

Insured Health Loans

- b. Loan Repayment/Cancellation Programs: The purpose of loan repayment programs is to remove the burden of indebtedness, if disadvantaged students are forced to leave school for academic, economic, or medical reasons before the completion of their health professions studies. It includes a loan cancellation program in the event of the student's permanent and total disability.
- 25.E.  
25.F.  
25.G.  
25.H.  
25.L.

Item #	Description of Records	Disposition
	<p>The records consist of or relate to applications, information about the loans for which repayment or cancellation is being sought, applicant eligibility, school certification of attendance, signed consent for release of information, medical records and supporting documentation, recommendations and disposition of the repayment/cancellation request, and action of the Surgeon General's Review Board.</p> <p><b>Examples of Current and Former Loan Repayment/Cancellation Programs:</b> Health Professions Loan Repayment for Failure to Complete Studies Nursing Loan Repayment for Failure to Complete Studies Health Professions Student Loan Cancellation for Disability Nursing Student Loan Cancellation for Disability</p>	<p><b>b. Office of Record:</b> Destroy 6 years after final payment, cancellation, or after program phase-out, or upon resolution of any adverse audit findings, whichever occurs later. <b>All Other Offices:</b> Destroy 2 years after final payment, cancellation, or after program phase-out.</p>
25.J. 25.K.	<p><b>c. <u>Loan Repayment for Shortage Area Service Programs:</u></b> The purpose is to attract adequate numbers of health care practitioners to those areas of the United States which are experiencing shortages. The records consist of or relate to applications, award notices, applicant and service area eligibility, repayment schedules and signed service agreements between the Secretary and the borrower.</p> <p><b>Examples of Current or Former Shortage Area Service Loan Repayment Programs:</b> Health Professions Loan Repayment Nursing Loan Repayment</p>	<p><b>c. Office of Record:</b> Destroy 6 years after completion of service contract or repayment to the Secretary in cases of default. <b>All Other Offices:</b> Destroy 2 years after completion of service contract or repayment to the Secretary in cases of default.</p>

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Item #	Description of Records	Disposition
125.I.	d. <u>Scholarships for First-Year Students of Exceptional Financial Need</u> : The records relate to students of exceptional financial need to pursue specific health profession careers by removing the fear of incurring heavy educational debts during the first year of study. The records consist of applications, award notices, annual operating reports, correspondence, audits and recommendations.	d. Office of Record: Destroy 6 years after program phase-out or upon resolution of any adverse audit findings, whichever occurs later. All Other Offices: Destroy 2 years after program phase-out or audit resolution.
<del>125.II.</del> N1- 512-92-01	e. <u>Shortage Area Scholarships</u> : This program is designed to assign health personnel to areas of critical shortages in health professions. The records consist of reviews, site visits, applicant community profiles, biographical sketches, job descriptions, accessibility and utilization of personnel, certification statements, equipment lists, tuition invoices from participating schools, stipend payments to students, notices of grant awards, correspondence.	e. Office of Record: Maintain files until student completes obligatory service (approx. 4-12 years). Destroy 6 years after final payment or upon resolution of any adverse audit findings, whichever is later. All Other Offices: Destroy 2 years after final payment or resolution of audit findings.
N1- 512-92-01	f. <u>Health Professional Shortage Area (HPSA) Designation Program</u> : The records relate to the designation of HPSAs under section 332 of the Public Health Service Act for use in several Federal and non-Federal programs. The records include applicants' designation requests, staff analyses, maps, copies of relevant data sources, worksheets, and letters of determination.	f. Office of Record: Transfer to FRC 6 years after date of letter of determination. Destroy 12 years after transfer to FRC. All Other Offices: Destroy 2 years after date of letter of determination.



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Item #	Description of Records	Disposition
N1-512-92-01	<p>g. <u>Public Health Service (PHS and National Health Service Corps (NHSC) Health Care Provider Records:</u> The records relate to individuals who have applied for, who have been approved to receive, who have received funds under the PHS and NHSC scholarship programs and NHSC Loan Repayment Program; individuals who have volunteered for service in the NHSC; scholarship recipients who are fulfilling their PHS and/or NHSC scholarship obligations; and individuals who include in interest in employment in or an assignment to a medical facility located in a health manpower shortage area or a medically underserved population area, including public and Federal medical facilities, such as community health centers, Indian Health Service medical facilities, and other federally sponsored public health centers. PHS and NHSC Health Care Provider records consist of scholarship application, loan repayment program application and associated forms; contracts; employment data, professional performance and credentialing history; preference for site-selection; progress reports (which include professional performance information consisting of continuing education, performance awards, and adverse or disciplinary actions); payroll forms; loan repayment forms; deferment and placement data; and repayment/delinquent/default status.</p>	<p>g. <u>Files of Unsuccessful Applicants:</u> <u>Office of Record:</u> Destroy 6 months after the close of each annual application period.  <u>All Other Offices:</u> Destroy when no longer administratively useful.</p> <p>g. <u>Files of Successful Applicants:</u> <u>Office of Record:</u> Cut off and transfer to FRC following completion or other disposition of the scholarship or loan repayment service obligation. Destroy 15 years after cutoff.  <u>All Other Offices:</u> Destroy 2 years following completion or other disposition of the scholarship or loan repayment service obligation.</p>

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NI- 512-95-1 h. Scholarships for the Undergraduate Education of Professional Nurses (SUEPN) Program:

(1) The records relate to applicants for and recipients of the SUEPN program. The program provides tuition and fees to students who have financial need. In return the recipient agrees to work full-time as a Registered Nurse in a designated shortage area site for a period of not less than 2 years, or the number of years of support, whichever is greater. The records consist of agreements to the terms of the SUEPN program that is executed for each academic year of support and is signed by the recipient and a school official, Entry and Exist Interview forms, Employment Verification forms, copies of licenses, and relate correspondence.

(2) Electronic records contain name, Social Security number, school identifier grant number, birth date, demographic background, educational status, school location, employment status, payback status, and financial information about the individual for whom the record is maintained.

**h.(1) Office of Record:** Transfer to FRC 1 year after completion of service obligation or repayment to the Secretary in cases of default. Destroy 6 years and 3 months after completion of service obligation or repayment to the Secretary in cases of default.

**All Other Offices:** Destroy 2 years after completion of service obligation or repayment to the Secretary in cases of default.

**h.(2)** Retain records on magnetic tape for 5 years and then destroy.

25. D. i. Shortage Area Loan Cancellation: Consists of files on shortage areas, correspondence on the various disciplines (medicine, veterinary, etc.) and student files on cancellation of Health Profession Loans.

**i. Office of Record:** Transfer to FRC when 10 years old. Destroy when 15 years old. **All Other Offices:** Destroy when 2 years old.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	Records of loan and scholarship programs that are retrieved by individual identifier are maintained in the following Privacy Act systems of records: 09-15-0028, PHS Clinical Affiliation Trainee Records, HHS/HRSA/BPHC. 09-15-0037, Public Health Service (PHS) and National Health Service Corps (NHSC) Scholarship/Loan Repayment Participant Records System, HHS/HRSA/BPHC. 09-15-0038, Disability Claims of the Nursing Student Loan Program, HHS/HRSA/BHPr. 09-15-0039, Disability Claims in the Health Professions Student Loan Program, HHS/HRSA/BHPr. 09-15-0042, Physician Shortage Area Scholarship Program, HHS/HRSA/BPHC. 09-15-0044, Health Educational Assistance Loan Program (HEAL) Loan Control Master File, HHS/HRSA/BHPr. 09-15-0057, Scholarships for the Undergraduate Education of Professional Nurses Grant Programs, HHS/HRSA/BHPr. 09-15-0058, Disadvantaged Health Profession Faculty Loan Repayment Program, HHS/HRSA/BHPr.	

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Item #	Description of Records	Disposition
29.	<b>Management and Programmatic/Research Plans, Studies, Surveys, Evaluations:</b>	
B-351 / 8.A. / 8.B. / 8.D. / 8.E.	a. <u>Strategic or Programmatic Plans, Studies, Surveys, Evaluations:</u> Significant plans/studies/surveys/evaluations that provide for major strategies and/or specific programmatic/research activities and evaluations to be undertaken by major HRSA components, including activities at the Regional Offices. These documents propose/recommend/study/evaluate the priorities and directions for the resources planning, development processes, and evaluations of HRSA activities. The files contain guidelines, procedures, correspondence, definitions of issues necessary to develop the plan/study/survey/evaluation, and the final document.	a. <u>Office of Record:</u> <u>Permanent.</u> Cut off annually. Transfer paper records to FRC when 5 years old or when no longer administratively useful. Transfer to the National Archives when 15 years old. Transfer electronic records to National Archives annually. <u>All Other Offices: Temporary.</u> Destroy after 2 years or when no longer administratively useful or needed for reference.
B-351 / 12.		
B-341 / 20-2 / 27		
B-351 / 8.C.	b. <u>Operational Management Plans, Studies, Surveys, Evaluations:</u> Individual operational management plans, management improvement plans such as Total Quality Management, evaluations, studies, and surveys that involve HRSA's management practices, operating procedures, and organizational structure. Included are requests or authorizations to undertake the plan, evaluation, study, or survey, the final plan or report, and the follow-up reports on actions taken.	b. <u>Temporary.</u> <u>Office of Record:</u> Cut off annually. Transfer to FRC when 3 years old or when no longer administratively useful. Destroy when 6 years old. <u>All Other Offices:</u> Destroy when 2 years old or when no longer administratively useful or needed for reference.
B-341 / 2-3 / 20-1	c. <u>Operational Program/Research Plans, Studies, Surveys, Evaluations:</u> Individual operational program/research plans that involve a component's programmatic activities but that are not highly significant. Included are requests or authorizations to undertake the plan, evaluation, study, or survey, the final plan or report, and the follow-up reports on actions taken.	c. <u>Temporary.</u> <u>Office of Record:</u> Cut off annually. Transfer to FRC when 3 years old or when no longer administratively useful. Destroy when 6 years old. <u>All Other Offices:</u> Destroy when 2 years old or when no longer administratively useful or needed for reference.

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d. Feasibility Studies: Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

**NOTE:** Should any of the above activities result in an AIS, the AIS manager should consult with the HRSA Records Management Officer. Permanent electronic records should be transferred to NARA as quickly as possible, in accordance with NARA instructions. In some instances, due to the many possibilities of data configuration of electronic records, the historic, societal, or other value of previously temporary records may now be sufficiently significant to warrant preservation as permanent records.

d. Temporary.  
Destroy 5 years after completion or cancellation of the study.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
30.	<b>Management Control Records:</b> Records created in accordance with procedures mandated by OMB Circular A-123, Management Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.	<u>Temporary.</u>
	a. <u>Policy, Procedure, and Guidance Files:</u> Copies of internal directives maintained by the HRSA's management control staff (but not those copies maintained in HRSA's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedures for performing management reviews.	a. Destroy when superseded.
	b. <u>Management Control Plans:</u> Comprehensive plans documenting HRSA's efforts to ensure compliance with OMB Circular A-123.	b. Destroy when superseded.
	c. <u>Risk Analysis:</u> Reports and supporting materials used to document the review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.	c. Cut off closed files annually. Destroy after next review cycle.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	d. <u>Annual Reports and Assurance Statements</u> created by HRSA components and compiled by HRSA into a single unified report for direct submission to the President and Congress. (NOTE: This item does not cover the consolidated final reports submitted directly to the President and Congress).	d. Cut off closed files annually. Destroy after next reporting cycle.
	e. <u>Tracking Files</u> : Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reports, lists of units required to report, and correspondence relating to the performance of the reviews.	e. Destroy when no longer needed.
	f. <u>Review Files</u> : Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative reviews under OMB Circular A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan. (NOTE: This item applies only to copies maintained as internal reviews.)	f. <u>Office of Record</u> : Cut off when no further corrective action is necessary. Destroy 5 years after cutoff. <u>All Other Offices</u> : Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

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- NI-90-88-7 31. **National Practitioner Data Bank:** The Data Bank was established by P.L. 99-660, as amended, to improve the quality of health care. The Data Bank collects from and releases to eligible entities medical malpractice payment information and certain adverse information as it relates to the professional competence and conduct of physicians, dentists, and other licensed health care practitioners. After the information is accepted from medical malpractice insurers, State Licensing Boards, and hospitals and other health care entities, it is into the Data Bank's Master File. The law requires that hospitals query the Data Bank periodically regarding the professional qualifications and competence of their staff. Health care practitioners have the right to query the Data Bank to find out if it contains information about them.

The reporting and query information may be received either on hard-copy forms or electronically. The hard-copy forms are converted to microfilm and then entered into the Master File.

The Data Bank responds to requests for information in hard-copy format. The Data Bank does not maintain copies of output documents separately from the Master File.

a. Project Director's Subject File: Significant documents associated with the creation and maintenance of the Data Bank, such as essential policy documents, regulations, and handbooks.

a. Permanent. Cut off superseded materials annually. Transfer paper records to FRC in 5-year blocks when 5 years old; e.g., transfer 1991-95 block in 2001. Transfer to the National Archives 5 years thereafter. Transfer electronic records to National Archives annually.



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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. <u>Source Documents--Reporting and Query Forms:</u>	b. <u>Temporary.</u> Destroy hard-copy forms after conversion to microfilm when no longer needed for administrative purposes. Dispose of microfilm and electronic records in contractor office space when no longer needed to support the reconstruction of, or serve as the backup to, the Master File, whichever is later.
	c. <u>Master File and Associated Documentation:</u>	c. <u>Disposal not authorized.</u> Data may be cut off annually. As the data and documentation remain unscheduled, maintenance and storage procedures shall conform with the provisions of 36 CFR, 1234.28.
	d. <u>General Administrative Records</u> associated with the establishment and maintenance of the Data Bank, both at the contractor and at HRSA.  Records retrieved by individual identifier are maintained in Privacy Act system of records: 09-15-0054, National Practitioner Data Bank for Adverse Information on Physicians and Other Health Care Practitioners, HHS/HRSA/BHPr.	d. <u>Temporary.</u> Destroy when no longer needed for administrative purposes.

Item #	Description of Records	Disposition
NI-512-93-2	<p>32. <b>National Sample Survey of Registered Nurses (NSSRN):</b> Electronic records containing data on licensed registered nurses in the United States. The data is collected to meet a congressional mandate to obtain, on a continuing basis, the number and distribution of registered nurses for analyses of the amount and quality of health care services received by different areas of the U.S. Data collection began in 1977. Included is information on employment status, education, work hours, salary, age, gender, marital status, children, family income, and geographic codes.</p> <p>Records retrieved by individual identifier are maintained in Privacy Act system of records: 09-15-0046, Health Professions Planning and Evaluation, HHS/HRSA/OA.</p>	<p><u>Permanent.</u></p> <p>Upon completion of each survey, transfer a copy of the data and matching documentation to the National Archives, in strict accordance with the NARA instructions for the transfer of electronic records to the National Archives.</p>
NI-512-96-1	<p>33. <b>National Vaccine Injury Compensation Program:</b> The purpose of this program is to determine eligibility of petitioners to receive compensation under the National Vaccine Injury Compensation Program; to compensate successful petitioners in the amount determined by the court; and to evaluate vaccine safety through research programs.</p> <p>Case files and electronic records contain data on petition for compensation, including petitioner's name and name of person vaccinated if different from petitioner, Social Security number, and all relevant medical records (including autopsy reports, if any), appropriate assessments, evaluations, prognoses, and such other records and documents as are reasonably necessary for the determination of eligibility for and the amount of compensation to be paid to, or on behalf of, the person who suffered such injury or who died from the administration of the vaccine.</p>	<p><u>Temporary.</u> Cut off closed case files at end of fiscal year. Transfer to FRC. Destroy 25 years after cutoff. These records may be subject to reappraisal upon their disposal date.</p>

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	Records retrieved by individual identifier are maintained in Privacy Act system of records: 09-15-0056, National Vaccine Injury Compensation Program, HHS/HRSA/BHPr.	
34.	<b>Nonrecord Materials:</b>  Materials that do not rise to the level of a Federal record and are preserved solely for purposes of reference or convenience, such as documents of short-term interest which have no documentary or evidential value, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, policies and procedures documents.  Specific Examples are:  a. E-mail messages for which the sender or recipient is not the office of record.  b. Reading file copies of correspondence.  c. Duplicate copies of documents maintained in the same file.  d. "Tickler" or "suspense" copies of correspondence.  e. Extra copies of printed or processed materials for which official copies have been retained.  f. Copies of public laws, Executive Orders, directives, issuances of HHS or other Federal agencies.	<u>Temporary.</u>  Destroy when superseded or no longer needed for reference.        a. Delete as soon as possible.  b. Destroy when 1 year old.  c. Destroy each year when files are screened and purged.  d. Destroy when action in each case is completed.  e. Destroy when no longer needed for reference.  f. Destroy when no longer needed for reference, or when superseded.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	g. Preliminary or intermediate drafts of letters, memoranda, reports or other documents, and preliminary worksheets and informal notes that do not represent significant basic steps in the preparation of record copies of documents.	g. Destroy when 1 year old, or when no longer needed, whichever is sooner.
	h. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.	h. Destroy when 3 months old, or when no longer needed, whichever is sooner.
	i. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.	i. Destroy when 3 months old, or when no longer needed, whichever is sooner.
	j. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.	j. Destroy when 3 months old, or when no longer needed, whichever is sooner.
	k. Shorthand notes, including stenographic notebooks and stenotype notebooks and stenotype tapes, that have been transcribed.	k. Destroy when 1 year old, or when no longer needed, whichever is sooner.
	l. Stocks of publications and processed documents preserved for supply purposes.	l. Destroy when superseded or no longer needed for reference.
	m. Privately purchased books, publications, and other materials pertaining to personal matters that have been kept in an office for convenience.	m. The owner should take this material with him/her when he/she leaves the office on a permanent basis; otherwise, destroy when owner has permanently departed.

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Item #	Description of Records	Disposition
B- 351 1.A.	35. <b>Organization and Functions Records:</b> These records document the authority, organization and functions of HRSA; they establish or change the functions and/or relationships of HRSA components. Included are proposed and approved organization, function, and mission statements, staffing plans, organizational charts, and codes, significant correspondence/comments, and significant supporting documentation.	<b>Office of Record:</b> <u>Permanent</u> . Transfer to FRC a complete set of HRSA's organization statements, charts, and codes when superseded or obsolete. Transfer to the National Archives in 5-year blocks 10 years thereafter. <b>All Other Offices:</b> <u>Temporary</u> . Destroy 2 years old or when no longer administratively useful or needed for reference.
B- 341 17.		

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
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36.     **Organ and Bone Marrow Transplant Programs:**

        SF 115 Pending.

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Item #	Description of Records	Disposition
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37.	<b>Patient Medical Records (PHS Hospitals/Clinics):</b>	<u>Temporary.</u>
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N1-512-92-2

These records relate to individuals examined and/or treated at former Public Health Service Hospitals and Clinics. The files consist of medical examinations; diagnostic and treatment data; proof of eligibility; social data such as address and birthdate; treatment logs, summaries; and correspondence.

a. Former PHS Hospitals/Clinics: Inactive medical records for active duty uniformed service personnel and nonuniformed service .

a. Destroy 50 years after date of last treatment.

b. Gillis W. Long Hansen's Disease Center: Retain at facility. Do not transfer to an FRC.

b. Destroy, as appropriate, after 50 years, or when no longer needed for research purposes, as determined by the project leader or principal investigator.

Records retrieved by individual identifier are maintained in Privacy Act system of records: 09-15-0007, Patients Medical Records System PHS Hospitals/Clinics, HHS/HRSA/BPHC.

38.	<b>Personnel - Civilian:</b>	<u>Temporary.</u>
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a. Personnel Data Reports: These files consist of computer listings of HRSA personnel and statistical personnel data reports received on a regular or one-time basis. The listings contain various data elements of HRSA employees showing personal identifying information, and records of employee Federal service and current position and pay status. Statistical data reports contain current HRSA employment and personnel ceiling information.

a. Destroy when next most current report is received.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. <u>Personnel Evaluation Surveys</u> : These records pertain to the evaluation of the effectiveness of personnel management in HRSA. Included are plans for individual surveys of specific installations or offices; implementation records such as questionnaires, results of interviews and documentation of day-to-day activities, and reports including identification of problems and recommendations for program improvements.	b. Destroy when 5 years old or when no longer needed for administrative purposes.
	c. <u>Supervisors' Personnel Files and Duplicate OPF Documentation</u> : Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	c. Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.
39.	<u>Privacy Act</u> :	<u>Temporary</u> .
	a. <u>Privacy Act Requests</u> : Files created in response to requests from individuals to gain access to their own records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.	
	(1) Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).	
	(a) Granting access to all the requested records.	(1)(a) Destroy 2 years after date of reply.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(b) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay HRSA reproduction fees.	(1)(b) <b>Request not appealed:</b> Destroy 2 years after date of reply. <b>Request appealed:</b> Destroy as authorized under next item: Privacy Act Amendments.
	(c) Denying access to all or part of the records requested.	(1)(c) <b>Request not appealed:</b> Destroy 5 years after date of reply. <b>Request appealed:</b> Destroy as authorized under next item: Privacy Act Amendments.
	(2) Official file copy of requested records.	(2) Dispose of in accordance with approved HRSA disposition instructions for the related records, or with the related Privacy Act request, whichever is later.
	b. <u>Privacy Act Amendments:</u> Case 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); to the individual's request for a review of HRSA's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against HRSA as provided under 5 U.S.C. 552a(g).	
	(1) Requests to amend agreed to HRSA. Includes individual's requests to amend and/or review refusal to amend, copies of HRSA's replies thereto, and related materials.	(1) Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after HRSA's agreement to amend, whichever is later.

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Item #	Description of Records	Disposition
	(2) Requests to amend refused by HRSA. Includes individual's requests to amend and to review refusal to amend, copies of HRSA's replies thereto, statement of disagreement, HRSA's justification for refusal to amend a record, and related materials.	(2) Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by HRSA, or 3 years after final adjudication by courts, whichever is later.
	(3) Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any to amend a record.	(3) Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.
	c. <u>Privacy Act Accounting of Disclosures</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, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	c. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.
	d. <u>Privacy Act Control</u> : Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.	d. <u>Registers or listings</u> : Destroy 5 years after date of last entry. <u>Other files</u> : Destroy 5 years after final action by HRSA or final adjudication by courts, whichever is later.
	e. <u>Privacy Act Reports</u> : Recurring reports and one-time information requirements relating to implementation, including biennial reports to the Office of Management and Budget and the Report on New Systems at all levels.	e. Destroy 2 years after termination of the system of records or after the danger of potential litigation when the system manager determines that the sensitivity of data suggests that such litigation is likely.

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Item #	Description of Records	Disposition
	f. <u>Privacy Act General Administrative Files:</u> Records relating to HRSA's general implementation of the Privacy Act, including memoranda, routine correspondence, and related records.	f. Destroy when 2 years old or sooner if no longer administratively useful.
	g. <u>Privacy Act System Notices and Related Records:</u>	g. Destroy 2 years after termination of the system of records or after the danger of potential litigation when the system manager determines that the sensitivity of data suggests that such litigation is likely.
40.	<b>Procurement and Supply Records:</b>	<u>Temporary.</u>
B-351 14.A. 17.B. GRS	a. <u>Routine Procurement Files:</u> Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related documents pertaining to award, administration, receipt, inspection and payment.  (1) Procurement or purchase organization copy and related papers: (a) Transactions of more than \$100,000 and all construction contracts exceeding \$2,000. (b) Transactions of \$100,00 or less and construction contracts under \$2,000.  (2) Obligation copy.  (3) Other copies of records described above used for administrative purposes by offices other than the Procurement Office.  (4) Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.	a.(1)(a) Destroy 6 years and 3 months after final payment. a.(1)(b) Destroy 3 years after final payment.  a.(2) Destroy when funds are obligated.  a.(3) Destroy upon termination or completion.  a.(4) Destroy when 5 years old.

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Item #	Description of Records	Disposition
	b. <u>Supply Management Files</u> : Files of reports on supply requirements and procurement matters submitted for supply management purposes.	b. <u>Office of Record</u> : Destroy when 2 years old. <u>All Other Offices</u> : Destroy when 1 year old.
	c. <u>Solicited and Unsolicited Bids and Proposals Files</u> :	
	(1) Successful bids and proposals.	c.(1) Destroy with related contract case files, see item a.
	(2) Solicited and unsolicited unsuccessful bids and proposals.	c.(2)(a) Destroy 1 year after date of award or final payment whichever is later.
	(a) Relating to small purchases as defined in the FAR, 48 CFR Part 13.	
	(b) Relating to transactions above the small purchase limitations in 45 CFR Part 13.	c.(2)(b) When filed separately from contract case files: Destroy when related contract is completed. When filed with contract case files: Destroy with related contract case file, see item a.
	(3) Canceled solicitations files.	
	(a) Formal solicitations of offers to provide products or services, (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.	c.(3)(a) Destroy 5 years after date of cancellation.
	(b) Unopened bids.	c.(3)(b) Return to bidder.
	(4) Lists or card files of acceptable bidders.	c.(4) Destroy when superseded or obsolete.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	d. <u>Public Printer Files</u> : Records relating to requisitions on the Printer, and all supporting documents.	
	(1) Printing procurement unit copy of requisition, invoice, specifications, and related documents.	d.(1) Destroy 3 years after completion or cancellation of requisition.
	(2) Accounting copy of requisition.	d.(2) Destroy 3 years after period covered by related account.
	e. <u>Nonpersonal Requisition File</u> : Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts).	e. Destroy when 1 year old.
	f. <u>Inventory Requisition File</u> : Requisitions for supplies and equipment for current inventory.	f. Stockroom copy: Destroy 2 years after completion or cancellation of requisition. All other copies: destroy when 6 months old.
	g. <u>Inventory Files</u> :	
	(1) Inventory lists.	g.(1) Destroy 2 years from date of list.
	(2) Inventory cards/register.	g.(2) Destroy or delete item from register 2 years after discontinuance of item or 2 years after stock balance is transferred to new card/register or recorded under a new classification, or 2 years after equipment is removed from HRSA control.

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Item #	Description of Records	Disposition
	(3) Report of survey files and other documents used as evidence for adjustment of inventory records, not otherwise covered in the GRS or this disposition schedule.	g.(3) Destroy 2 years after date of survey action or date of posting medium.
	h. <u>Contractors' Payroll Files</u> : Contractors' payrolls (Construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related documents.	h. Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
	i. <u>Tax Exemption Files</u> : Tax exemption certificates and related documents.	i. Destroy 3 years after period covered by related account.
	j. <u>Contract Appeals Case Files</u> : Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgements thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related documents.	j. Records created prior to 10/1/79: Destroy 6 years, 3 months, after final action on decision. Records created after 9/30/79: Destroy 1 year after final action on decision.
	k. <u>Contractor's Statement of Contingent or Other Fees</u> : SF 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	k. Destroy when superseded, obsolete, or no longer needed, whichever is sooner.
	l. <u>Small and Disadvantaged Business Utilization Files</u> : Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507.	l. Destroy when 3 years old.

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Item #	Description of Records	Disposition
B-351   18.6.3.	m. <u>Negotiated Indirect Cost Rates</u> : Working and reference file of negotiated indirect cost rated for nonprofit and commercial contractors.	m. Pull superseded rate pages and file separately. Destroy when no longer needed for administrative/program purposes.
B-351   18.4.	n. <u>Prospective Minority Contractors</u> : Statutorily required file organized by contractor's name which includes comments and brochures on contractor's specialties and capabilities.	n. Retain in reference files area until individual contracts are considered as nonpotential bidders. Destroy 1 year thereafter.
	Records of Contract Physicians and Consultants that are retrieved by individual identifier are maintained in Privacy Act system of records 09-15-0003, Contract Physicians and Consultants, HHS/HRSA/BPHC.	
41.	<u>Property</u> :	<u>Temporary</u> .
B-351   14K.   17.B. GRS	a. <u>Property Disposal Correspondence Files</u> : Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	a. Destroy when 2 years old.
	b. <u>Property Pass Files</u> : Property pass files, authorizing removal of property or materials.	b. Destroy 3 months after expiration or revocation.
	c. <u>Property Voucher File and Register</u> : Contains the property voucher register and property and supply management documents assigned a voucher number, maintained in property voucher sequence, that support entries on the accountable transaction register and Property Voucher Summary for the accounting period.	c. Cut off annually. Transfer to FRC when 2 years old; destroy when 6 years old.

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Item #	Description of Records	Disposition
	d. <u>Surplus Property</u> : Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.	d. Transactions of more than \$25,000: destroy 6 years after final payment. Transactions of \$25,000 or less: destroy 3 years after final payment.
	e. <u>Excess Personal Property Reports</u> :	e. Destroy when 3 years old.
	f. <u>Personal Property--Lost and found</u> :	
	(1) Ledger files relating to accountability for personal property lost or stolen.	f.(1) Destroy 3 years after final entry.
	(2) Reports, loss statements, receipts and other documents relating to lost and found articles.	f.(2) Destroy when 1 year old.
42.	<b>Public Affairs:</b>	
B- 351 / 2.A.	a. <u>Formal Informational Releases</u> such as press releases, press conference transcripts, official speeches, graphic progress presentations, public affairs policies and procedures which document the development of public affairs activities within HRSA.	<b>Office of Record: <u>Permanent</u>.</b> Cut off files annually. Transfer complete paper files sets to FRC in 5-year blocks. Transfer to the National Archives when 15 years old. Transfer electronic records to National Archives annually. <b>All Other Offices: <u>Temporary</u>.</b> Destroy when 1 year old or when no longer administratively useful.
	b. <u>Clearance Files</u> : Official clearance of proposed news releases, HRSA publications, periodicals, audio-visual, and other similar materials.	<b><u>Temporary</u>.</b> Cut off files annually. Transfer to FRC when 3 years old. Destroy when 10 years old.



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Item #	Description of Records	Disposition
43.	<b>Publications, Displays, Exhibits:</b>	
B-351   2.B. B-341   7-2	a. <u>Project Files</u> : Publications and other materials documenting the production and execution of HRSA graphic presentations, exhibits, graphic designs, audiovisual exhibits, displays at conventions, conference or other special showings. Also included are correspondence, drawings, planning documents, photographs of completed exhibits, and related materials.	a. <u>Office of Record</u> : <u>Permanent</u> . Significant documents and materials of historical or research value. Transfer to the National Archives when 10 years old, or sooner if volume permits. Transfer electronic records to National Archives annually.  <u>Temporary</u> . All other documents and materials, destroy 5 years after publication or presentation.  <u>All Other Offices</u> : <u>Temporary</u> . Destroy when 3 years old or when no longer administratively useful, whichever is sooner.
B-351   3C.	b. <u>Publication Index for Public Inquiry</u> : Continuously updated index of HRSA publications by number and title for reference and inquiry response purposes.  c. <u>Information Requests Files</u> : Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.	b. <u>Temporary</u> . Destroy when no longer needed for administrative purposes.  c. <u>Temporary</u> . Destroy when 3 months old or when no longer needed, whichever is sooner.

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Item #	Description of Records	Disposition
44.	<b>Records:</b>	<u>Temporary.</u>
B-351 / 13.C. GRS	<p>a. <u>Records Management Files</u>: Correspondence, reports, authorizations, and other records that relate to the management of HRSA's records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not listed elsewhere.</p> <p>b. <u>Records Disposition Files</u>: Descriptive inventories, disposal authorizations, schedules, and reports.</p> <p>(1) Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to NARA; and related documentation.</p> <p>(2) Routine correspondence and memoranda.</p> <p>c. <u>Filing Equipment</u>: Copies of requests and justifications for filing equipment, equipment inventory records, and other related material.</p>	<p>a. Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.</p> <p>b.(1) Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.</p> <p>b.(2) Destroy when no longer needed for reference.</p> <p>c. <u>Office of Record</u>: Destroy after 1 year. <u>All Other Offices</u>: Destroy requests 3 months after equipment is received and equipment inventory is completed.</p>

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Item #	Description of Records	Disposition
45.	<b>Regulations:</b>	<u>Temporary.</u>
B-341 / 23.	a. <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.	a. <b>Office of Record</b> : Destroy 5 years after regulation is revoked. <b>All Other Offices</b> : Destroy 1 year after regulation is revoked.
	b. <u>Public Comments on Regulations</u> : Comments received after publication in the <u>Federal Register</u> of a Notice of Proposed Rulemaking or other notice concerning a regulation.	b. Destroy 1 year after Final Regulation is published.
46.	<b>Reports:</b>	
B-351 / 8E. B-341 / 2.	a. <u>Management/Congressional Reports</u> : Reports that describe significant HRSA policies, activities, or programs of historical or research value. The records include, but are not limited to, assessment reports, development plans, and status reports that monitor HRSA's progress.	a. <b>Office of Record</b> : <u>Permanent</u> . Cut off annually. Transfer paper records to FRC when 5 years old or when no longer needed for day-to-day activities. Transfer to the National Archives when 15 years old. Transfer electronic records to National Archives annually. <b>All Other Offices</b> : <u>Temporary</u> . Destroy when 2 years old or when no longer administratively useful or needed for reference.

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Item #	Description of Records	Disposition
B-351   18.F B-341   11-1   11-15	b. <u>Grants and Contracts Reports</u> : A random sample of final products of grants and contracts to be selected by the Office of Grants and Contracts, taking into consideration the records' historical or research value. The sample shall not exceed 1% of all grants and contracts in a <u>5-year period</u> . The records include, but are not limited to, authorities, background, problems, findings, conclusions, final published technical reports, textbooks, or audiovisual items produced.	b. <u>Office of Record</u> : <u>Permanent</u> . Transfer paper records to FRC 2 years after final payment or after audit, whichever is sooner. Transfer to the National Archives when 15 years old. Transfer electronic records to National Archives as soon as administratively feasible. <u>All Other Offices</u> : <u>Temporary</u> . Destroy when 2 years old or when no longer administratively useful or needed for reference.
B-351   13.D.	c. <u>Recurring Internal, Interagency, and Public Use Reports</u> : Included are records which provide standards and guidelines for the creation and use of reports, copies of the reports and their format or form, procedures describing reporting requirements, internal contracts for review and clearance of proposed reports, justification and other materials constituting the request for approval and clearance of reports, cost effectiveness and evaluation data, summary worksheets and backup materials, form OMB 83, and report control files.	c. <u>Temporary</u> . <u>Office of Record</u> : Destroy 2 years after the report is discontinued or when no longer administratively useful, whichever is later. <u>All Other Offices</u> : Destroy immediately after report is discontinued or when no longer administratively useful or needed for reference.
GRS	d. <u>IRM Triennial Reviews</u> : Reports required by GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.	d. <u>Temporary</u> . <u>Office of Record</u> : Destroy when 7 years old. <u>All Other Offices</u> : Destroy when no longer administratively useful or needed for reference.
	e. <u>Non-Recurring Reports</u> : One-time reports that are usually submitted to higher echelons.	e. <u>Temporary</u> . Destroy 1 year after report has been submitted to requesting office.

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Item #	Description of Records	Disposition
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**NOTE:** Should any of the above activities result in an AIS, the AIS manager should consult with the HRSA Records Management Officer. **Permanent** electronic records should be transferred to NARA as quickly as possible, in accordance with NARA instructions. In some instances, due to the many possibilities of data configuration of electronic records, the historic, societal, or other value of previously temporary records may now be sufficiently significant to warrant preservation as permanent records.

47. **Safety Management:** Records include reports of the HRSA Safety Officer in connection with the general reporting of accidents; forms associated with reporting of accidents; and documents submitted to the Bureau of Worker's Compensation.

Temporary.

**Office of Record:** Cut off files annually. Destroy when 3 years old.

**All Other Offices:** Cut off files annually. Destroy when 2 years old.

48. **Time and Attendance:**

Temporary.

a. Time and Attendance Source Records: All time and attendance records, including SF 71's, upon which leave input data is based, such as work schedule sheets; leave applications for jury and military duty; and authorized premium pay or overtime. Records may be in either machine-readable or paper form.

a. Destroy after GAO audit or when 6 years old, whichever is sooner.

b. Time and Attendance Input Records: Records in either paper or machine-readable form used to input time and attendance data into a payroll system, maintained either by or payroll processor.

b. Destroy after GAO audit or when 6 years old, whichever is sooner.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
49.	<b>Training and Education:</b>	<u>Temporary.</u>
GRS B-351 110.C.	a. <u>General Records of HRSA-Sponsored Training</u> (excluding record copy of manuals, syllabuses, textbooks, and other training aids developed by HRSA which have to be scheduled separately):	
	(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.	a.(1) Destroy when 5 years old or 5 years after completion of a specific training program.
	(2) Background and working files.	a.(2) Destroy when 3 years old.
	b. <u>Employee Training:</u> Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in HRSA-sponsored training and training programs sponsored by other government agencies or non-government institutions.	b. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
50.	<b>Travel and Transportation:</b>	<u>Temporary.</u>
B-351 117B.13. GRS	a. <u>Commercial Freight and Passenger Transportation Files:</u>	
	(1) Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, EXCLUDING records listed under item (2) below.	a.(1) <b>Office of Record:</b> Destroy 6 years after the period of the account. (Transfer to FRC when volume warrants). <b>All Other Offices:</b> Destroy when 2 years old or when no longer needed for administrative purposes.

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<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) Records covering payment for commercial freight and passenger transportation charges for services for which (a) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, (b) deduction or collection action has been taken, (c) voucher contains inbound transmit shipments(s), (d) parent voucher has print of paid supplemental bill associated, (e) voucher has become involved in litigation, or (f) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 years retention period, such as detection of overcharge.	a.(2) Destroy when 10 years old.
	(3) Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.	a.(3) Destroy 6 years after the period of the account.
	(4) Obligation copy of commercial passenger transportation vouchers.	a.(4) Destroy when funds are obligated.
	(5) Unused ticket redemption forms, such as SF 1170.	a.(5) Destroy when no longer needed for administrative use.
b.	<u>Lost or Damaged Shipments Files:</u>	
	(1) Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.	b.(1) Destroy when 6 years old.

HRSA Appendix B-351 (00/00/00)

<u>Item #</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) Claims of Military Personnel and Civilian Employees: Claims presented by commissioned officers and civilian employees for damage to, or loss of, personal property while acting within the scope of their office of employment. The files contain correspondence with claimants, moving companies, and appropriate facilities; supporting evidence necessary to substantiate the claims with recommendations and final determinations, logs and other case control systems; and materials showing final disposition on each case.	b.(2) Destroy 4 years after claim is closed.
	c. <u>Noncommercial, Reimbursable Travel Files:</u> Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.	
	(1) Travel administrative office files.	c.(1) Destroy when 6 years old.
	(2) Obligation copies.	c.(2) Destroy when funds are obligated.
	d. <u>General Travel and Transportation Files:</u>	
	(1) Routine administrative records including correspondence, forms, and relating records pertaining to commercial and noncommercial travel and transportation, and freight functions, not covered elsewhere under this item.	d.(1) Destroy when 2 years old.
	(2) Accountability records documenting the issue or receipt of accountable documents.	d.(2) Destroy 1 year after all entries are cleared.
	e. <u>Records Relating to Official Passports:</u> (NOTE: Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.)	



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	(1) Application files: Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.	e.(1) Destroy when 3 years old or upon separation of the bearer, whichever is sooner.
	(2) Annual reports concerning official passports: Reports to the Department of State concerning the number of official passports issued and related matters.	e.(2) Destroy when 1 year old.
	(3) Passport Registers: Registers and lists of HRSA personnel who have official passports.	e.(3) Destroy when no longer needed.
51.	<b>Working Papers, Drafts and Similar Files:</b>	
	a. Working papers, drafts, etc., that were circulated or made available to other employees for official purposes, such as approval, comment, actions, recommendations, etc., and that contain unique information which adds to a proper understanding of HRSA's formulation and execution of basic policies, actions, or decisions and that was not incorporated into the final document.	a. Maintain and dispose of together with the final document.
	b. Working papers, drafts, etc., that were fully incorporated into the final document.	b. Destroy when no longer needed for administrative purposes or when 1 year old, whichever is sooner.