

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO. *NI-513-92-5*

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

DATE RECEIVED *11-13-91*

1. FROM (Agency or establishment)
Department of Health and Human Services (DHHS)

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Public Health Service (PHS)

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

3. MINOR SUBDIVISION
Indian Health Service (IHS)

4. NAME OF PERSON WITH WHOM TO CONFER
Johanna O. Bonnelycke
PHS Records Management Officer

5. TELEPHONE EXT.
301-443-2055

DATE *2/26/93*
ARCHIVIST OF THE UNITED STATES
Raymond A. Moore

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 315 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

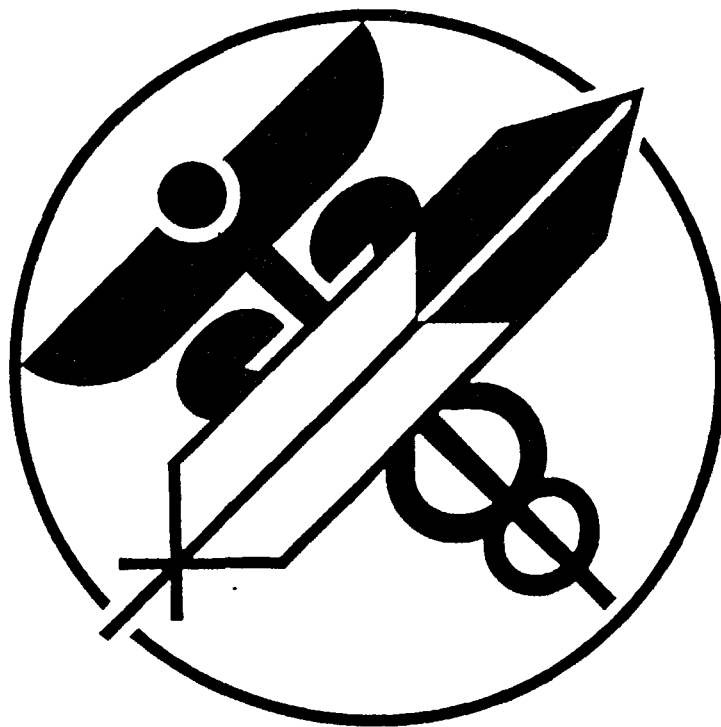
A. GAO concurrence: is attached; or is unnecessary.

B. DATE <i>10/3/91</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.	D. TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	Attached is the new Indian Health Service Records Disposition Schedule.		

Copies sent to agency, NSR-WA, NW-W, NARS, NCA, NIA 2/2/93

**INDIAN HEALTH SERVICE
RECORDS MANAGEMENT PROGRAM
RECORDS DISPOSITION SCHEDULE**



On December 3, 1987, the Secretary approved the Agency status of the Indian Health Service (IHS), effective January 4, 1988. Section 3101 of Title 44 of the United States Code requires the head of each Federal agency to preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the Agency. Agency records provide the necessary information to protect the legal and financial rights of the Government and of persons directly affected by the Agency's program. Before IHS became an agency, Health Resources and Services Administration (HRSA) had the responsibility of the IHS Records Management Program.

This records schedule is designed to provide disposition authorities for records collected and maintained by the Indian Health Service. It has been developed as a means of identifying and describing, in one publication, all records pertinent to the operations and functions of the Indian Health Service. No disposal action is to be taken on records not covered by this schedule. Instead, such records should be described in detail and reported to the IHS Records Management Officer.

RECORDS:

44 U.S.C. 3301 legally defines the word "records" to include:

" . . . all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business."

Correspondence marked "personal, confidential or private" is not a personal paper when it relates to Government business. Unlawful removal or destruction of Government records is punishable by fine or imprisonment or both. All employees have a legal responsibility to safeguard Government records and to notify the IHS Records Management Officer of any actual or threatened removal or loss.

Records are the memory of every Federal agency. In addition to providing the channels through which the business of the Government is transacted, they may

- Contain evidence of financial and legal commitments that must be preserved to protect the Government.
- Contain information necessary to protect the civic, legal, and property rights of private citizens.
- Provide the basis for continuity of policies, actions and the organizational and procedural patterns for sound administration.
- Contain a wealth of data and source materials basic to scholarly and technical research in almost every conceivable field.

This Schedule is divided into six parts and is written to interface with the Parts and Chapters of the Indian Health Manual, except for Schedule VI. The Schedule is patterned after the IHS Manual, but not in the strictest sense. The six Schedules are:

- SCHEDULE I. GENERAL
- SCHEDULE II. SERVICES TO INDIANS AND OTHERS
- SCHEDULE III. PROFESSIONAL SERVICES
- SCHEDULE IV. STAFF SERVICES/SPECIAL PROGRAMS
- SCHEDULE V. MANAGEMENT SERVICES
- SCHEDULE VI. RECORDS COMMON TO MOST OFFICES

All records in this Schedule are "non-permanent" unless otherwise indicated. Items designated as "non-permanent" records shall be: (1) destroyed, or (2) transferred to the Federal Records Center (FRC) for a specified retention period. Items designated as "permanent" records shall be offered to the National Archives and Records Administration (NARA) after they have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation.

NONRECORD MATERIALS:

"Nonrecord materials" is a designation for materials that are not included in the definition of the word "records" contained in the Records Disposal Act of 1943. Therefore, they should be retained for short periods only. Nonrecord materials include reference materials. Examples of reference materials are public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, policy and procedure documents published within DHHS, by other Federal agencies, by State and local government activities, and by public activities.

Nonrecord materials are papers having no documentary or evidential value. These include stocks of record material, such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value, such as drafts, worksheets, informal notes, and routing slips. Nonrecord materials are destroyed when their purpose has been served.

All records described in Schedules I, II, III, IV, and V are authorized for disposition. Nonrecord materials described in Schedule VI should never be scheduled for disposition. For further information on nonrecord material refer to Schedule VI, Records Common to Most Offices.

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SCHEDULE I. GENERAL

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8. Federal Employees Health Program
9. Occupational Health and Safety Management Program
10. Emergency Operations of IHS Field Activities
11. Authorized Dollar Thresholds -- P.L. 93-638 Contracts and Grants by Area

SCHEDULE II. SERVICES TO INDIANS AND OTHERS

Section

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4. Other Beneficiaries
5. Health Services for Indian and Alaska Native Advanced Students

SCHEDULE III. PROFESSIONAL SERVICES

Section

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3. Medical Records
4. Nursing Services
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7. Pharmacy
8. Social Services
9. Eye Care Program
10. Preventive Health
11. Environmental Health
12. Health Education
13. Maternal and Child Health
14. Mental Health Program
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SCHEDULE III. PROFESSIONAL SERVICES

Section

18. Alcoholism/Substance Abuse Program
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20. Audiology and Speech Pathology
21. Nuclear Medicine

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Section

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4. Program Planning for Indian Health Service
5. Office of Tribal Activities
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7. Management Appraisal Services
8. Equal Employment Opportunity
9. Quality Assurance Program
10. Communications
11. Scholarships

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1. (VACANT)
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3. Office Services
4. Personnel
5. Procurement
6. Supply Management
7. Security
8. Travel and Transportation
9. Facilities Management
10. Housekeeping
11. Real Property
12. Personal Property
13. Quarters Management
14. Biomedical Engineering
15. Records Management

SCHEDULE VI. RECORDS COMMON TO MOST OFFICES

Section

1. Nonrecord and Transitory Material

SECTION 1 - INDIAN HEALTH MANUAL

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

1-1 INDIAN HEALTH MANUAL FILES. Plan of the Indian Health Manual - Parts 1 through 5 - Each of the five manual parts are composed of chapters containing information pertinent to the part subject heading. Each chapter focuses on a specific IHS organizational function, IHS program function, or IHS administrative function. Primary chapters in the Indian Health Manual are issued by the IHS Headquarters Offices. The manual supplements are developed by Area Office staff prescribing administrative procedures for their Area operations.

The five manual parts provide the following information or policy and procedures:

PART 1 - GENERAL. Provides information concerning the Indian Health Manual and other general activities of the IHS.

PART 2 - SERVICES TO INDIANS AND OTHERS. Establishes the policies and procedures relating to services to American Indian and Alaska Native (AIAN) people and non-Indians of the IHS.

PART 3 - PROFESSIONAL SERVICES. Establishes the policies, responsibilities, standards and procedures governing the medical and professional activities of the IHS.

PART 4 - STAFF SERVICES/SPECIAL PROGRAMS. Establishes the policies, responsibilities, standards, and procedures relating to other specific activities of the IHS except for the Management Services activities contained in Part 5.

PART 5 - MANAGEMENT SERVICES. Establishes the policies, responsibilities, standards, and procedures governing the administrative management, management, and related activities necessary to delineate in further detail and specificity Department of Health and Human Services (DHHS) policy and procedural instructions.

1-1 IHS MANUAL (continued)

SECTION 1 - INDIAN HEALTH MANUAL

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

a. HQ and AO record copy.

a. **PERMANENT.** Cut off materials as they become superseded, obsolete, or rescinded and put in a closed file. Cut off the closed file every 5 years and transfer to the FRC when oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.

b. All other copies.

b. Destroy when superseded, obsolete, or rescinded.

SECTION 2 - OTHER ISSUANCE SERIES

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

2-1 IHS CIRCULARS FILE. The IHS circulars issue temporary policies, responsibilities, and procedural instructions when an appropriate Indian Health Manual chapter does not exist or when further development of materials is required. Circulars provide the IHS with an efficient means of providing timely guidance to program staffs. Circulars shall be reissued to the appropriate Indian Health Manual part and chapter as soon as practical.

a. HQ and AO record copy.

a. **PERMANENT.** Cut off materials as they become superseded, obsolete, or rescinded and put in a closed file. Cut off the closed file every 5 years and transfer to the FRC when oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.

b. All other copies.

b. Destroy when superseded, obsolete, or rescinded.

2-2 SPECIAL GENERAL MEMORANDUMS FILE. The IHS Special General Memorandums are Headquarters initiated memorandums which identify, interpret, designate and/or reiterate policy or policy related matters to which special attention must be given.

a. HQ record copy.

a. **PERMANENT.** Cut off materials as they become superseded, obsolete, or rescinded and put in a closed file. Cut off the closed file every 5 years and transfer to the FRC when

SECTION 2 - OTHER ISSUANCE SERIES

ITEM

ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
			oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.
	b. All other copies.		b. Destroy when superseded, obsolete, or rescinded.
2-3	INDIAN SELF-DETERMINATION MEMORANDUMS AND ADVISORIES FILE. This memorandum series is used by the Office of Tribal Activities (OTA) to prescribe policies related to Public Law 93-638 (Indian Self-Determination and Education Assistance Act) which are directed at tribes and tribal/AIAN urban organizations.		
	a. HQ (OTA) record copy.		a. PERMANENT. Cut off file every 5 years and transfer to the FRC when oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.
	b. All other copies.		b. Destroy when superseded, obsolete, or rescinded.
2-4	COMMUNITY HEALTH REPRESENTATIVE (CHR) MEMORANDUMS AND ADVISORIES FILE. This memorandum series is used by the Office of Health Programs (OHP), CHR Program Section, to prescribe program policies, procedures, standards, and other development guidelines directed to IHS personnel as well as IHS/CHR program personnel.		
	a. HQ (OHP) record copy.		a. PERMANENT. Cut off materials as they become superseded, obsolete, or rescinded and put in a closed file.

SECTION 2 - OTHER ISSUANCE SERIES

ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
			Cut off the closed file every 5 years and transfer to the FRC when oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.
	b. All other copies.		b. Destroy when superseded, obsolete, or rescinded.
2-5	THE IHS DATA SYSTEMS POLICY MANAGEMENT MEMORANDUMS FILE. This memorandum series is used by the Office of Information Resources Management (OIRM) to provide guidance to Professional Specialty Groups (PSGs), field, and central office program area experts who are involved in the initial planning, implementation, operation, and maintenance of the Resource and Patient Management System (RPMS) software development.	Destroy when rescinded, superseded, or obsolete.	
2-6	CONTRACT POLICY MEMORANDUMS FILE. This memorandum series is used by the Division of Contracts and Grants Policy to prescribe acquisition policies, procedures, and standards for IHS acquisition personnel.	Destroy when rescinded, superseded, or obsolete.	
2-7	BULLETINS FILE. The IHS bulletins issue special announcements concerning matters affecting the internal administration of an office when they cannot be issued in manual form. Bulletins are issued for limited duration periods.	Destroy when rescinded, superseded, or obsolete.	

SECTION 3 - INDIAN HEALTH PROGRAM

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

3-1 RESERVED

SECTION 4 - ORGANIZATION OF THE SERVICE

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

4-1 ORGANIZATION PLANNING FILE. Documents relating to the establishment of and changes in the organization, functions, and relationships of IHS when such actions affect, or may affect, the management and operation of the Agency. Included are staff studies, reports of working groups, and minutes of committee or task force meetings and staff conferences relating to overall functions and mission, copies of published directives implementing establishment or change, and related or similar documents.

a. HQ record copy of organization charts, functional statements and published directives not found elsewhere in this manual.

a. **PERMANENT.** Cut off materials as they become superseded, obsolete, or rescinded and put in a closed file. Cut off the closed file every 5 years and transfer to the FRC when oldest record is 7 years old. Transfer to the National Archives when oldest record is 20 years old.

b. All other copies and all other documents.

b. Destroy extra copies of records scheduled under 4-1A above when superseded, obsolete, or rescinded. Destroy all other records 6 years after final action on project or 3 years after completion of report if no final action is taken.

4-2 ORGANIZATION PLANNING WORKING FILE. Background materials, drafts, interim and progress reports, and related papers accumulated in organization planning projects and surveys.

Destroy 6 years after final action on project or 3 years after completion of report if no final action is taken.

SECTION 4 - ORGANIZATION OF THE SERVICE

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

4-3 PROGRAM EVALUATION PROJECT FILE. Documents accumulated in evaluating IHS program efforts to determine if goals were achieved, to assess the effectiveness of the program, and to identify successful and unsuccessful projects. Included are copies of reports, questionnaires, and other data; evaluation of guidelines and procedural documents; progress reports and other papers reflecting status of project; background materials, similar papers; and a copy of the final evaluation report.

a. Final reports.

PERMANENT. Cut off after completion of project and place in an inactive file. Cut off inactive file every 5 years and transfer to the FRC when oldest records are 7 years old. Transfer to the National Archives when oldest record is 20 years old.

b. All other documents.

Cut off at close of fiscal year in which evaluation project is completed. Hold 3 years, then transfer to the FRC. Destroy 10 years after cutoff.

SECTION 5 - DELEGATIONS OF AUTHORITY

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

5-1 DELEGATIONS OF AUTHORITY. Case files which document the development and clearance of delegations of authority. The office of record is the office developing the delegation of authority.

a. HQ and AO record copy of program delegations which are unique to the Agency. (Delegations only. See item b below for disposition of the case files.)

a. **PERMANENT.** Cut off superseded, rescinded, or obsolete delegations of authority and place in an inactive file. Cut off inactive file every 5 years and transfer to the FRC when oldest records are 7 years old. Transfer to the National Archives when oldest record is 20 years old.

b. Administrative delegations which deal with matters such as annual leave, printing, travel, etc., all copies of program delegations (item 5-1A above) other than the record copy, and all case files relating to the development and clearance of delegations of authority.

b. Cut off when rescinded, superseded or obsolete and place in an inactive file. Cut off inactive file annually and destroy when 5 years old.

SECTION 6 - PROGRAM ADMINISTRATION

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

- 6-1 PROGRAM CORRESPONDENCE FILE.** Correspondence, memoranda, reports, forms, and other records pertaining to the administration and operation of IHS activities but excluding files described elsewhere in this handbook.
- a. Program correspondence files maintained at the division level or above in IHS Headquarters Offices. These files are accumulated by the Director, Associate Directors, Service Unit Directors, Division Directors and above and by the tribes and their immediate staffs. They document policy making decisions or significant program management functions.
 - a. **PERMANENT.** Cut off file at the close of the fiscal year. Transfer to the FRC when 5 years old. Transfer to the National Archives in 5 year blocks when oldest records are 20 years old.
 - b. Program correspondence files maintained below the division level.
 - b. Cut off at the close of the fiscal year. Transfer to the FRC when 2 years old. Destroy when 6 years old.
 - c. Correspondence of a nonpolicy nature maintained by units responsible for housekeeping and administrative functions, such as payroll and procurement, relating to internal administration and operation of unit.
 - c. Cut off at the close of the fiscal year. Destroy when 2 years old.
- 6-2 EXECUTIVE CHRONOLOGICAL FILE.** Files consisting of extra copies of outgoing correspondence signed by the Director.
- Cut off at the close of the fiscal year. Destroy when 1 year old. (Record copy is maintained under Schedule 1, Item 6-1, Program Correspondence files.)
- 6-3 COMMITTEE MANAGEMENT FILE.** Documents created in reviewing and coordinating the establishment, continuance and dissolution of joint, interagency, intra-agency, and extra-governmental committees, including tribal committees, task forces, councils, boards, commissions, panels, conferences, and comparable groups. The coordination review is to prevent overlap and duplication, to preclude committee establishment when normal staff action will suffice, and to apply other management practices to committees. Included are committee establishment proposals, approvals, papers reflecting changes in committee membership, committee charters, reports on establishment and composition,

SECTION 6 - PROGRAM ADMINISTRATION

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

and related papers.

a. Interagency and extra-governmental committees.

a. **PERMANENT.**
Place in an inactive file upon discontinuance of committee. Transfer to the FRC when 2 years old. Transfer to the National Archives when 20 years old.

b. Internal committees.

b. Refer to GRS 16/8, subitems a-c.

6-4 COMMITTEE OPERATIONS FILE. Includes directives and charters establishing the committee, a resume of major points of interest concerning committee meetings and the general operations thereof, a terminating directive, and a final committee report and finding. They may also include copies of minutes of meetings and other papers relating to the establishment, revision or termination of individual studies and/or projects.

a. Files of committee chairman, secretary, or recorder which are designated as "office or record."

a. **PERMANENT.** Cut off upon completion of action or termination of committee. Transfer to the FRC when 5 years old. Transfer to the National Archives when 20 years old.

b. Committee members' files.

Destroy when purpose has been served or after 1 year, whichever is later. Informational copies of minutes of meeting which relate to another official file series will be disposed of with the records to which they pertain.

6-5 MANAGEMENT OBJECTIVES FILE. Documents that accumulate from the process of establishing short-, mid-, and

SECTION 6 - PROGRAM ADMINISTRATION

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

long-range management objectives for IHS. Included are documents reflecting the establishment of schedules to accomplish objectives, the formation of new concepts and requirements for planning purposes, and the evaluation of progress and accomplishments in meeting the management objectives established by the plans.

- a. IHS Headquarters Office responsible for preparation of the plan. Destroy when no longer needed.
- b. Commenting or Coordinating offices. b. File comments in Program Correspondence Files and dispose of in accordance with Schedule I, Item 6-1.

6-6 MANAGEMENT SURVEY CASE FILE. Consists of staff studies or management improvement projects regarding analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, work simplification and standardization studies, work load and work distribution analyses, and similar studies. It includes papers authorizing the project and describing its scope, purpose, and objectives; intermediate progress reports and correspondence; the finished survey report and actions taken as a direct result of the survey accumulated by the office conducting the survey or the office sponsoring a contract for survey services.

- a. Office conducting the survey or office sponsoring the contract to perform survey services. a. Destroy on completion of next comparable survey or when no longer required for reference.
- b. Office surveyed. b. Destroy on completion of next comparable survey or when no longer required for reference.

6-7 MANAGEMENT SURVEY BACKGROUND FILE. Documents created or accumulated in collection of data for Cut off at close of fiscal year in which survey is

SECTION 6 - PROGRAM ADMINISTRATION

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NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
	ordering a management survey or staff study. Included are notes, statistical data, feeder reports, working papers, copies of directives and local operating procedures, charts, personnel data, and similar material collected for fact finding or backup purposes.		completed. Destroy when no longer needed for reference or 3 years after completion of all actions on report, whichever is sooner.
6-8	AUDIT CASE FILE. Documents accumulated in the coordination of GAO audits of IHS operations and in the internal review and examination of IHS operations by auditors to ensure accuracy, propriety, legality, and reliability of the use of assets. Included are communications about scheduled audits, drafts and final audit reports, responses, comments, recommendations, reports on corrective actions planned and taken, and directly related papers.		Cut off at close of fiscal year in which audit is completed. Transfer to the FRC when 4 years old. Destroy when 10 years old.
6-9	AUDIT WORKING FILE. Documents created or accumulated in the collection of data for ordering an interim or GAO audit. Included are notes, statistical data, feeder reports, and other working papers.		Cut off at close of fiscal year in which audit is completed. Destroy when no longer needed for reference or 3 years after completion of all actions on audit reports, whichever is later.
6-10	WORKING PAPER FILE. Project background records such as studies, analyses, notes, drafts, and interim reports.		Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
6-11	CONGRESSIONAL INVESTIGATION FILE. Documents accumulated as a result of investigations and studies of IHS activities by congressional committees. Included are papers relating to the conduct of the investigations, information on the activities of investigating committees, analysis of committee reports, committee recommendations, and IHS replies.		

SECTION 6 - PROGRAM ADMINISTRATION

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

a. Records maintained in the office responsible for congressional liaison. PERMANENT. Place in inactive file when investigation is closed. Cut off inactive file at close of fiscal year. Transfer to the FRC when 1 year old. Transfer to the National Archives when 20 years old.

b. Records maintained in other offices. Cut off at close of fiscal year in which investigation is closed. Destroy when 2 years old.

6-12 CONGRESSIONAL AND WHITE HOUSE CORRESPONDENCE FILE. Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to congressional and White House inquiries.

a. Papers containing policy and precedent and requiring extensive research which document relations with the Executive Office of the President and Congress. a. PERMANENT. Cut off at close of fiscal year. Transfer to the FRC when 2 years old. Transfer to the National Archives when 20 years old.

b. All other routine correspondence. Cut off at close of fiscal year. Transfer to the FRC when 2 years old. Destroy when 6 years old.

6-13 LEGISLATIVE HISTORY FILE. Printed and processed materials compiled by the IHS Library to document the legislative history of the IHS and appropriation bills. Destroy when no longer needed for reference or when 5 years old, whichever is sooner.

SECTION 6 - PROGRAM ADMINISTRATION

ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
6-14	LEGISLATION HISTORY. Files describing IHS legislative interpretations, requests for Agency representation at scheduled congressional hearings, final copies of prepared opening statements and testimonies given before congressional committee hearings, written comments on Agency-related bills, compilations of historical summaries of laws applicable to the Agency's mission and functions, legislation establishing or amending Agency programs, copies of all Agency-related bills as approved by the President, back-up files and related materials from the Department, Office of Management and Budget (OMB) and Congress.	Cut off at close of fiscal year. Transfer to the FRC when 6 years, 3 months old. Destroy when 11 years, 3 months old.	
6-15	LEGISLATIVE PROPOSALS. Individual case files which include back-up documents from all IHS components, essential working documents, and final legislative proposals from IHS (with any modifications), Public Health Service (PHS), Department of Health and Human Services (DHHS) or OMB.	Cut off at close of fiscal year. Transfer to the FRC when 6 years, 3 months old. Destroy when 11 years, 3 months old.	
6-16	LEGISLATIVE REPORTS. Files consist of periodic, statutorily-required reports to Congress, intermittent reports, and the finalized record copy transmitted to the Secretary with pertinent supporting documentation.	Cut off at close of fiscal year. Destroy when 5 years old.	
6-17	LEGISLATIVE BRIEFING NOTEBOOKS. Binders developed on all major IHS related issues and pending legislation by program area issues. Consists of issues and proposed legislation, with supporting documentation.	Cut off at the end of the current session of Congress. Transfer the record set of briefing notebooks to the FRC. Destroy when 20 years old.	
6-18	COMMENTS ON BILLS. Individual case files consist of requests from the Congress to comment on proposed legislation impacting the programs of IHS and final comments transmitted to Congress.	Destroy when 2 years old.	

SECTION 6 - PROGRAM ADMINISTRATION

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NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
6-19	COMMENTS ON PUBLIC LAWS AND RELATED MATERIAL. Files contain plans and other documents, including copies of written opinions from the Office of the General Counsel (OGC), relating to the implementation of specific public laws that concern IHS programs at Headquarters and at the Area Offices. The files contain separate folders of records accumulated in drafting or commenting and proposed legislation for IHS programs.	Destroy when 2 years old.	Destroy when 2 years old.
6-20	PUBLIC COMMENTS ON REGULATIONS. Contains comments received after publication in the <u>Federal Register</u> of a Notice of Proposed Rule Making (NPRM) or other notice concerning a regulation. Contains records of public meetings held after publication of an NPRM.	Destroy 1 year after regulation becomes effective.	Destroy 1 year after regulation becomes effective.
6-21	IHS REGULATIONS FILE. Files consist of records which establish policies and procedures pertaining to developing and processing IHS regulations. All Agency regulations (those pending or published in final form) are included in addition to the format for developing and processing General Notices, NPRM's, and Final Regulations for publication in the <u>Federal Register</u> .	Cut off at close of fiscal year. Transfer to the FRC when 5 years old. Destroy when 10 years old. See Schedule VI, Item 1-13, for nonrecord copies or reference files.	Cut off at close of fiscal year. Transfer to the FRC when 5 years old. Destroy when 10 years old. See Schedule VI, Item 1-13, for nonrecord copies or reference files.
6-22	INTERAGENCY AGREEMENT CASE FILE. Files contain formal agreements between IHS and other Federal agencies to perform services on a reimbursable basis. Documents include preaward data such as contract status control, request for contract action; basic interagency agreement and subagreement; modifications and supporting papers; cost estimates and related data; voucher transfers between appropriations and/or funds; vouchers and schedules of withdrawals and credits; technical, financial, and other miscellaneous reports; press releases, information bulletins, and related papers.	File in an inactive file when final payment is made. Cut off inactive file at close of fiscal year. Transfer to the FRC when 2 years old. Destroy when 6 years old.	File in an inactive file when final payment is made. Cut off inactive file at close of fiscal year. Transfer to the FRC when 2 years old. Destroy when 6 years old.

SECTION 7 - RESEARCH ACTIVITIES

ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
7-1	RESEARCH PROJECT ACTIVITIES FILE. These projects are funded by IHS and other funding sources. Information consists of the description of the project, methodology, funding requirements, progress reports, site visit reports, committee reports and other records pertaining to research projects. Excluded are such non-record items such as intermediate drafts, reference copies of articles, memoranda containing non-substantive comments reports, and the like, which should be destroyed when the project is closed out.	PERMANENT. Cut off on completion of project. Transfer to the FRC when 2 years old. Transfer to the National Archives when 20 years old.	
7-2	RESEARCH COMMITTEE FILE. Meeting minutes concerning research, cancer research, funding, health projects, and policies and procedures.	PERMANENT. Cut off on completion of project. Transfer to the FRC when 2 years old. Transfer to the National Archives when 20 years old.	
7-3	PROGRAM STUDY FILE. These records consist of program studies, program process, program progress and patient satisfaction studies.	PERMANENT. Cut off at end of study. Transfer to the FRC when 3 years old. Transfer to the National Archives when 20 years old.	

SECTION 8 - FEDERAL EMPLOYEES HEALTH PROGRAM

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

GENERAL RECORDS RELATING TO THE FEDERAL EMPLOYEES HEALTH PROGRAM MAY
BE FOUND IN GENERAL RECORDS SCHEDULE 1

SECTION 9 - OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT PROGRAM

ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
9-1	ANNUAL SAFETY MANAGEMENT REPORT. An annual report compiled by IHS Safety Management Officer which details activities conducted by Headquarters and Area Safety Officers.		Destroy when 5 years old.
9-2	ACCIDENT REPORTING SYSTEM. A collection of Department of Health and Human Services (DHHS) 516 reports of injuries to IHS employees, patients, and visitors to IHS facilities and property damage in excess of \$500.00.		Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy when 3 years old.
9-3	SAFETY DATA MANAGEMENT. A collection of incident reports involving employee, patient, or visitor injuries; property damage; equipment malfunction or operator errors; and utilities malfunctions or operator errors.		Cut off file at end of the fiscal year. Destroy when 3 years old.

SECTION 10 - EMERGENCY OPERATIONS OF IHS FIELD ACTIVITIES

ITEM

NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

10-1 EMERGENCY PLANNING CASE FILES. Emergency operating plans which provide for continuity of Agency operations and other background papers, such as changes to plans, coordinating actions, and other documents.

a. One record copy of each plan or directive issued, if not included in the Agency's permanent set of master directives files.

a. **PERMANENT.** Cut off when superseded or obsolete and place in an inactive file. Cut off inactive file every 10 years. Transfer to the National Archives in 10 year blocks when oldest record is 20 years old.

b. Case file copy of plan or directive if Agency record copy is maintained in a master directives file and all related background materials.

b. Destroy 3 years after issuance of a new plan or directive. **GRS 18/27**

10-2 EMERGENCY TEST AND EXERCISE FILE. Consolidated or comprehensive reports reflecting Agency-wide results of tests such as instructions to participants, staff assignments, messages, tests of communications and facilities, and copies of report or directives.

a. Consolidated or comprehensive reports.

a. **PERMANENT.** Cut off when related plan or directive becomes obsolete or is superseded and place in an inactive file. Cut off inactive file in 10 year blocks. Transfer to the National Archives in 10 year blocks when oldest record is 20 years old.

b. Other papers.

b. Cut off at close of fiscal year in which test is completed. Destroy when 3 years old. **GRS 18/28**

SECTION 11 - AUTHORIZED DOLLAR THRESHOLDS - P.L. 93-638
 CONTRACTS AND GRANTS BY AREA

ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
11-1	ACQUISITION CERTIFICATION FILES - HEADQUARTERS (HQ). Department of Health and Human Services (DHHS)/Public Health Service (PHS) Certifications of Area Acquisition Personnel. (Certification is a mandatory prerequisite to delegation of acquisition authority and responsibilities.)	Destroy 3 years after superseded or obsolete.	Destroy 3 years after superseded or obsolete.
11-2	ACQUISITION TRAINING FILES - HQ. Area acquisition personnel training completion certificates, course descriptions, student HHS 350s. (Training is a prerequisite for certification and delegation of acquisition authority.)	Cut off when superseded or obsolete. Transfer to the FRC when 3 years old. Destroy when 6 years old.	Cut off when superseded or obsolete. Transfer to the FRC when 3 years old. Destroy when 6 years old.
11-3	ACQUISITION OPERATING INSTRUCTIONS FILE - HEADQUARTERS (HQ)/AREA OFFICE (AO). Instructions implementing Federal Acquisition Regulations (FAR), Health and Human Services Acquisition Regulations (HHSAR), and Health Services Acquisition Regulations (HSAR).	Destroy 3 years after superseded or obsolete.	Destroy 3 years after superseded or obsolete.
11-4	ACQUISITION POLICY LETTERS FILE - HQ/AO. New policies and regulations affecting acquisition policies and procedures.		
a.	HQ.	Destroy 3 years after superseded or obsolete.	Destroy 3 years after superseded or obsolete.
b.	AO.	Destroy when superseded or obsolete.	Destroy when superseded or obsolete.
11-5	BUY INDIAN FILES - HQ/AO. Legislation, both current and historical relative to inception of the Buy Indian Act, General Accounting Office (GAO) decisions, and court decisions.	Destroy 3 years after superseded or obsolete.	Destroy 3 years after superseded or obsolete.
11-6	CONSTRUCTION, ARCHITECT AND ENGINEERING (A&E) FILES - HQ/AO.		
a.	Policies and guidelines.	Cut off when superseded by FAR Circulars (FAR, Parts 36 and 53). Destroy when 3 years old.	Cut off when superseded by FAR Circulars (FAR, Parts 36 and 53). Destroy when 3 years old.

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ITEM

NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
	b. Evaluations.		b. Cut off when superseded by FAR Circulars (FAR, Parts 36 and 53). Destroy when 3 years old.
11-7	CONTRACT CLOSEOUT FILES - HQ/AO. Instructions and guidance.		
	a. HQ.		a. Destroy 3 years after superseded or obsolete.
	b. AO.		Destroy when superseded or obsolete.
11-8	DELEGATION OF ACQUISITION AUTHORITY FILES - HQ/AO. Original requests for delegation, justification of need and nominees' qualifications.		Cut off on termination of authority. Transfer to the FRC when 3 years old. Destroy when 6 years old.
11-9	FEDERAL REGISTER NOTICES - HQ/AO. Pertinent information and data on newly published acquisition rules and regulations.		Destroy when superseded by Federal Acquisition Circulars (FAC).
11-10	FINDINGS AND DETERMINATIONS, JUSTIFICATIONS AND APPROVALS FILE - HQ/AO. Signed originals required by FAR, Part 6, and copies of supporting documents and data.		
	a. HQ.		a. Cut off at the close of the fiscal year. Transfer to the FRC when 3 years old. Destroy when 6 years old.
	b. AO.		b. Cut off at the close of the fiscal year. Transfer to the FRC when 6 years, 3 months old. Destroy when 9 years, 3 months old.
11-11	PREAWARD REVIEWS FILES - HQ/AO. Results of files reviewed by the Agency designated approval official.		

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NO.	TITLE AND DESCRIPTION OF RECORDS	DISPOSITION	AUTHORITY
a. HQ.			a. Cut off at the close of the fiscal year. Transfer to the FRC when 3 years old. Destroy when 6 years old.
b. AO.			b. Cut off at the close of the fiscal year. Transfer to the FRC when 6 years, 3 months old. Destroy when 9 years, 3 months old.
11-12	PROCUREMENT REPORTS, MANDATORY FILES - HQ/AO. (Types of reports listed below.)		Cut off at the close of the fiscal year. Transfer to the FRC when 5 years old. Destroy when 7 years old.
a.	Small purchases		
b.	Cost type reports physically completed for 12 months or more.		
c.	Socioeconomic		
d.	Ratifications		
e.	Advisories and assistance		
f.	Phase II procurement planning		
g.	Quarterly advance payment		
h.	Indirect cost reports		
11-13	PROTESTS FILE - HQ/AO. Claims for/against the U.S., cases pending or in litigation and other similar matters.		Transfer to the FRC 6 years, 3 months after final payment, final clearance, or settlement. Destroy when 9 years, 3 months old.
11-14	PUBLIC LAW (P.L.) 93-638 FILES - HQ/AO. Legislation, both current and historical documents, relative to the inception of this Act.		

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	a. HQ.		Cut off when superseded or obsolete. Destroy when 3 years old.
	b. AO.		Destroy when superseded or obsolete.
11-15	RATIFICATIONS FILE - HQ/AO. Approvals or disapprovals and documents regarding unauthorized procurement actions.		
	a. HQ.		Cut off on approval. Transfer to the FRC when 3 years old. Destroy when 6 years old.
	b. AO.		Cut off on final payment. Transfer to the FRC when 6 years, 3 months old. Destroy when 9 years, 3 months old.
11-16	SITE VISITS FILE - HQ/AO. Reports identifying standard deficiencies and corrective actions cited at various site reviews.		Transfer to the FRC when 5 years old. Destroy when 7 years old.
11-17	CONTRACTS, ORIGINALS FILE - AO. Signed originals or contract modifications thereto and all allied documents (requisitions, Requests for Contracts (RFC), Acquisition Planning, etc.). All construction contracts exceeding \$2,000.		Cut off on final payment. Transfer to the FRC when 6 years, 3 months old. Destroy when 9 years, 3 months old.
11-18	LABOR, COMPLIANCE FILE - AO. Labor compliance records, including equal employment opportunity records.		Destroy 3 years after final payment.
11-19	PROPOSALS, SOLICITED/UNSOLICITED FILE - AO. Solicited and unsolicited unsuccessful offers and quotations.		
	a. Relative to small purchases as defined in FAR, Part 13.		Destroy 3 years after final payment.

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NO. TITLE AND DESCRIPTION OF RECORDS DISPOSITION AUTHORITY

b. Relative to transactions above the appropriate small purchase limitation under FAR, Part 13:

(1)When filed separately from contract case files. Destroy when related contract is completed.

(2)When filed with contract case files. Destroy 6 years, 3 months after final payment on related contract.

11-20 SMALL PURCHASES FILE - AO. Signed originals of small purchases and modifications thereto and construction contracts under \$2,000. Destroy 3 years after final payment.

11-21 SOLICITATIONS, CANCELED FILE - AO. Canceled solicitations including formal solicitations of offers such as Invitations for Bids (IFB), Requests for Proposals (RFP), and Requests for Quotes (RFQ), which were canceled prior to the awarding of a contract. Also includes presolicitation documentation on the Government actions up to the time of cancellation and evidence of cancellations. Destroy 5 years after cancellation.

11-22 GENERAL CORRESPONDENCE FILES - AO. Correspondence files concerning matters not covered elsewhere in this Schedule. Destroy when 2 years old.