

Request for Records Disposition Authority

Records Schedule Number DAA-0514-2018-0001

Schedule Status Approved

Agency or Establishment Office of the Assistant Secretary for Health

Record Group / Scheduling Group Records of the Office of the Assistant Secretary for Health

Records Schedule applies to Agency-wide

Schedule Subject Office of the Surgeon General - Commissioned Corps Officers
 Records

Internal agency concurrences will
 be provided No

Background Information The Office of the Surgeon General (OSG), Division of Commissioned Corps Personnel and Readiness (DCCPR) is situated within the U.S. Department of Health and Human Services (HHS). DCCPR staff guides Commissioned Corps officers from their application to the corps to their final separation from the Commissioned Corps. DCCPR does this by managing human resource functions for the Commissioned Corps officers by processing payroll, leave request, and personnel orders, fitness for duty boards, promotion boards, and Commissioned corps readiness. DCCPR also manages Commissioned Corps officers during and after deployments to areas affected by disasters.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
16	2	14	0

GAO Approval

Outline of Records Schedule Items for DAA-0514-2018-0001

Sequence Number	
1	Electronic Document Upload (eDOC-u)
1.1	Official Medical record Disposition Authority Number: DAA-0514-2018-0001-0001
1.2	Medical Records Request form Disposition Authority Number: DAA-0514-2018-0001-0002
1.3	Medical Review Board records Disposition Authority Number: DAA-0514-2018-0001-0003
1.4	Mental Health Records Disposition Authority Number: DAA-0514-2018-0001-0004
1.5	Substance Abuse Records Disposition Authority Number: DAA-0514-2018-0001-0005
1.6	Commissioned Corps officers Award Files Disposition Authority Number: DAA-0514-2018-0001-0006
1.7	Official Personnel Folders Disposition Authority Number: DAA-0514-2018-0001-0007
1.8	Officer Promotion Records Disposition Authority Number: DAA-0514-2018-0001-0008
1.9	Board for Correction Files Disposition Authority Number: DAA-0514-2018-0001-0009
1.10	Service Record Cards Disposition Authority Number: DAA-0514-2018-0001-0010
2	Applications for Commission Non Selected Disposition Authority Number: DAA-0514-2018-0001-0011
3	Promotion Board Records Disposition Authority Number: DAA-0514-2018-0001-0012
4	Health Manpower Reports Disposition Authority Number: DAA-0514-2018-0001-0013
5	Health Manpower Reports Source Data Disposition Authority Number: DAA-0514-2018-0001-0014
6	Strength Reports Disposition Authority Number: DAA-0514-2018-0001-0015
7	Variable Incentive Pay Programs Disposition Authority Number: DAA-0514-2018-0001-0016

Records Schedule Items

Sequence Number	
1	<p>Electronic Document Upload (eDOC-u) This system supports officer career management and readiness within the Commissioned Corps by allowing officers to upload their records into an electronic records system. This system is then used by staff members within the Division of Commissioned Corps and Readiness (DCCPR) to include but not limited to the review of officer records to determine if an officer is eligible for deployment, to track active medical conditions of officers, review promotion packages, receive medical board records, and to manage officer record request. Once DCCPR staff is finished reviewing their necessary records the records are stored electronically in the archives part of the system so that the records can be accessed by DCCPR staff as needed until the records reach their appropriate disposition.</p>
1.1	<p>Official Medical record</p> <p>Disposition Authority Number DAA-0514-2018-0001-0001</p> <p>Medical Forms and related records submitted by active duty Commission Corps officers. These records are reviewed to determine if an officer meets basic medical readiness requirements. The records include medical history form, physical exam, EKGs, labs, dental evaluations, ambulatory reports, surgery reports, supplemental history form, medical records prior to service, narrative treatment summary, deployment waivers, and qualification letter.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation These records are all in electronic format</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff when the Commissioned Corps officer separates from active duty.</p> <p>Retention Period Destroy when survivor or retirement claims are adjudicated or when records are 75 years old, whichever is later.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

1.2

Medical Records Request form

Disposition Authority Number DAA-0514-2018-0001-0002

These records consist of a written request/fillable form that an officer or a designee of the officer submits requesting CCHQ to release the officer's medical records to the officer or officer's designee only. records to an individual or organization to the officer or officer's designee only.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation These records are all in electronic format

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year that the request was received.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

1.3

Medical Review Board records

Disposition Authority Number DAA-0514-2018-0001-0003

The medical review board evaluates an officer's medical record to determine if an officer meets basic medical requirements to remain on active duty. Records generated by the board consist of correspondence, request for fitness for duty, board minutes, board transcriptions, board reports, and a notification letter of board findings.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

1.4	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff when the Commissioned Corps officer separates from active duty.
	Retention Period	Destroy when survivor or retirement claims are adjudicated or when records are 75 years old, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	Mental Health Records	
	Disposition Authority Number	DAA-0514-2018-0001-0004
	These records consist of but are not limited to mental health evaluations, prescriptions relating to treatment of mental health, and observational notes from psychologist.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
1.5	Disposition Instruction	
	Cutoff Instruction	Cutoff when the Commissioned Corps officer separates from active duty.
	Retention Period	Destroy when survivor or retirement claims are adjudicated or when records are 75 years old, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	Substance Abuse Records	
	Disposition Authority Number	DAA-0514-2018-0001-0005

These records consist of medical records and correspondence that pertain directly to treatment for addiction or abuse of any substance that can alter the service member state of mind while under its influence.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cutoff when the Commissioned Corps officer separates from active duty.

Retention Period Destroy when survivor or retirement claims are adjudicated or when records are 75 years old, whichever is later.

Additional Information

GAO Approval Not Required

Commissioned Corps officers Award Files

Disposition Authority Number DAA-0514-2018-0001-0006

These are records containing material on recommendations, evaluations, approvals, and presentation of awards to commissioned officers. Also included are periodic reports on the commissioned corps awards program. These records are currently in paper format.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-514-92-1, Item 22b

1.6

1.7	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of calendar year that the officer separates from the Commissioned Corps
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Official Personnel Folders	
	Disposition Authority Number	DAA-0514-2018-0001-0007
	<p>The Division of Commissioned Corps Personnel and Readiness DCCPR maintains the OPF for active duty commissioned corps officers. These folders are the official repositories of records and reports of personnel actions (including official PHS awards) effected during the service of an officer in the PHS Commissioned Corps. These records consist of personnel actions, adverse actions, supporting documents, application documents, security clearances and statement of service. The personnel orders and other records give legal force and effect to personnel transactions and establish officer rights and benefits under pertinent laws and regulations.</p>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-514-92-1, Item 22h
	Disposition Instruction	
If this item has multiple sections, indicate here records to which this section apply	Non-electronic Textual Records	
Cutoff Instruction	Cutoff at the end of calendar year that the officer separates from the Commissioned Corps.	
Transfer to the National Archives for Accessioning	Transfer to the National Archives St. Louis 15 years after cutoff.	
Additional Information		

First year of records accumulation **1950**

What will be the date span of the initial transfer of records to the National Archives? **From 1980 To 2004**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	250 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cut off at the end of the calendar year that the officer separates from the Commissioned Corps**

Transfer to the National Archives for Accessioning **Transfer to the National Personnel Records Center 15 years after cutoff**

Additional Information

First year of records accumulation **2009**

What will be the date span of the initial transfer of records to the National Archives? **From 2009 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	600 GB	
Paper		

Microform		
Hardcopy or Analog Special Media		

1.8

Officer Promotion Records

Disposition Authority Number **DAA-0514-2018-0001-0008**

These records include but are not limited to Commission Officers Effectiveness Rating (COER), Curriculum Vitae, Officer Statement, Certificate of Completion, Certificate of Appreciation and Letter of Appreciation. Commissioned corps officers submit these documents to DCCPR so that the promotion board can provide a promotion rating on the officer.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of calendar year records are reviewed by promotion board.**

Retention Period **Destroy 7 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

1.9

Board for Correction Files

Disposition Authority Number **DAA-0514-2018-0001-0009**

These records consist of case files of the Board for Corrections for Public Health Service Commissioned Corps Records. Such case files include applications for correction, applicable laws and regulations, portions of official personnel files, case briefs, findings, conclusions and recommendations of the Board and pertinent correspondence relative to the status of the applications and the issue to be resolved.

	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-514-92-1, item 22c
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the Calendar year in which the officer separate or retires from the Commissioned Corps, whichever is later.
	Retention Period	Destroy 75 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
1.10	Service Record Cards	
	Disposition Authority Number	DAA-0514-2018-0001-0010
	Visible file record of officer's service in the corps. These cards are filed by organization and provide the personnel office with summary information on organizational structure, budgeted billets within each organizational segment, and historical and current status data on officers occupying these billets. The Service Record Cards are the earlier Official Personnel Folders and were replaced by them. These records are classified by 1. Retired Commission Corps Officials, and 2. Terminated Commission Corps Officials	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records exist only in paper
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-514-92-1, item 22k

Disposition Instruction

Transfer to Inactive Storage Transfer to National Personnel Records Center (CPR), St. Louis, Missouri, immediately upon approval of this schedule.

Transfer to the National Archives for Accessioning Transfer to the National Archives immediately after 15 years

Additional Information

First year of records accumulation 1890

End year of records accumulation 2005

What will be the date span of the initial transfer of records to the National Archives? From 1890 To 2005

How frequently will your agency transfer these records to the National Archives? Unknown
This will be a one time transfer

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	35 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Applications for Commission Non Selected

Disposition Authority Number DAA-0514-2018-0001-0011

Forms and related material submitted by unsuccessful applicants for commission in the corps. This material has been reviewed and the applicant evaluated and rated for consideration for a commission. The records include applications, vouchers, evaluation records, ratings, comparisons, decisions and non-selection documentation.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

3	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-514-92-1, item 22a
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of calendar year after the application was submitted.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Promotion Board Records	
	Disposition Authority Number	DAA-0514-2018-0001-0012
	These records consist of minutes of meeting of the commissioned officer promotion boards, and Promotion information report. The promotion boards evaluate and rate officers for promotion. Agendas of board meetings are also included.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-514-92-1, item 22d
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year that the boards convene.
	Retention Period	Destroy 3 year(s) after cutoff
Additional Information		

4

GAO Approval Not Required

Health Manpower Reports

Disposition Authority Number DAA-0514-2018-0001-0013

These records contain periodic updated reports of studies made of the current availability and location of various categories of health manpower and projections of near future sufficiency of such manpower. These reports are used in the projected placement of officers. Included, in addition to the published reports, are questionnaires completed by concerned organizations and individuals, punch cards, tabulations, and related backup materials.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-514-92-1, item 22f

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year that a new report is published.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Health Manpower Reports Source Data

Disposition Authority Number DAA-0514-2018-0001-0014

These records contain periodic updated reports of studies made of the current availability and location of various categories of health manpower and projections of near future sufficiency of such manpower. These reports are used in the projected placement of officers. Included, in addition to the published reports, are questionnaires completed by concerned organizations and individuals, punch cards, tabulations, and related backup materials.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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6	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year that the report was published.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Strength Reports	
	Disposition Authority Number	DAA-0514-2018-0001-0015
	These records are monthly reports of commissioned officers on PHS rolls. Reports are produced alphabetically and by service category. Total strength reflects all actions reported on personnel orders through the current month having effective dates through the last day of the month, and includes officers on leave without pay.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-514-92-1, item 22I
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year the reports were created.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
GAO Approval	Not Required	

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Variable Incentive Pay Programs

Disposition Authority Number DAA-0514-2018-0001-0016

These records pertain to legislation and development of implementation regulations for the program covering incentive pay for commissioned medical officers serving in critical specialty categories. Included are copies of legislation and original regulations with backup material and working papers compiled in the development of regulations and procedures.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-514-92-1, item 22m

Disposition Instruction

Cutoff Instruction Cut off end of the calendar year the new regulations and procedures were implemented

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Agency Certification

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/27/2018	Certify	Karen Ballesteros	Management Analyst	Office of the Secretary - Assistant Secretary for Administration
03/13/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
03/13/2019	Submit For Certification	Karen Ballesteros	Management Analyst	Office of the Secretary - Assistant Secretary for Administration
03/19/2019	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/26/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
04/22/2019	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
05/02/2019	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
09/26/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/26/2019	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
09/26/2019	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
04/21/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration

				- ACR3, Appraisal Team 3
04/21/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
04/21/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
08/24/2020	Submit for Concurrence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - ACRA
09/01/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/02/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist