

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. <i>N1-514-92-1</i>	DATE RECEIVED <i>12-10-91</i>
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Public Health Service		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Office of the Assistant Secretary for Health			
4. NAME OF PERSON WITH WHOM TO CONFER Johanna O. Bonnerycke PHS Records Management Officer	5. TELEPHONE EXT. 301-443-2055	DATE <i>5-15-93</i>	ARCHIVIST OF THE UNITED STATES <i>Cindy Huskamp Peterson</i>
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 35 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>10/21/91</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.	D. TITLE DHHS Records Management Officer	
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 GRS OR SUPERSEDED JOB CITATION	10.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)
	Revision of the Records Disposition Schedule of the Office of the Assistant Secretary for Health (OASH). Appendix B-300 Schedule attached.		
<i>Copies sent to agency, NN-W, NNS, NNT, NCF, NIA 5/18/93</i>			

APPENDIX B-300

RECORDS DISPOSITION SCHEDULE

DEPARTMENT OF HEALTH AND HUMAN SERVICES (DHHS)
PUBLIC HEALTH SERVICE (PHS)
OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH (OASH)

Approved: The Archivist of the United States
Number

INTRODUCTION

This schedule provides for the disposition of records in OASH.

All previous authorizations for the disposition of OASH records are hereby superseded.

RECORDS MANAGEMENT LAWS AND REGULATIONS

1. 44 U.S.C. 3301 requires that the head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. The law defines 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 and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them."

2. 44 U.S.C. 3302 requires that the head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. The program among other things, shall provide for:
 - (1) Effective controls over the creation, and over the maintenance and use of records in the conduct of current business;
 - (2) Applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value.
3. 36 CFR 1220.14 defines nonrecord materials as those federally owned informational materials that do not meet the statutory definition of records (see item 1) or that have been excluded from coverage by definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.
4. 36 CFR 1222.36 defines personal papers as documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government.

OASH STAFF OFFICE REQUIREMENTS:

1. It is the responsibility of the OASH Staff Office Director to
 - o designate a Records Management Liaison Officer;
 - o maintain an effective records management program.
2. It is the responsibility of the OASH Records Management Liaison Officer to develop an effective records management program that includes
 - o informing all employees of records maintenance and disposition requirements;
 - o establishing safeguards against the unlawful disposal of records;

- ensuring that all employees know the difference between personal and agency records;
- establishing an official filing system;
- periodic review of records keeping practices including files cleanup.

RECORDS DISPOSITION SCHEDULE

Table of Contents

Advisory Committees	7
Administrative Office Files	7
Bill Files	7
Budget Preparation, Presentation, and Appointment	8
Claims - Civilian and Commissioned Corps Employee Claims . . .	8
Clinical Records of the PHS Clinics Administered for the Immigration and Naturalization Service	9
Correspondence	9
Delegation of Authority	11
Federal Register Documents	12
Grants	12
Hearing Files	16
Inquiry and Investigative Case Files	16
Management Improvement Files	16
Manual Issuances - PHS	17
Office Services and Supplies	17
Organization and Function Analysis	18
Personnel - Civilian	18
Personnel - Commissioned Corps	19
Policies and Procedures	23
Population Affairs	23
Procurement Policy and Management	27
Program Activities in OASH	27
Programs Under Current Legislative Consideration	27

Public Affairs Records	28
Motion Pictures	29
Video Recordings	30
Sound Recordings	31
Real Property Disposal	31
Reports	31
Working Papers, Drafts and Similar Files	32

Description

Disposition

1. Advisory Committees: These committees are established to consider health-related problems and advise ASH and his/her staff on possible solutions. These records relate to membership, operating guidelines, agendas, reports, presentations recommendations discussions, minutes of meetings, and decisions on committee recommendations. *The office of record is the committee secretariat.* (NC1-90-76-3/8)

PERMANENT. Cut off annually. Transfer to the Federal Records Center (FRC) when 4 years old or when no longer needed, whichever is sooner. Transfer to the National Archives when 15 years old.
2. Administrative Office Files: These files relate to minor administrative matters. They are routinely found in most offices and contain no information of significance. Examples are time cards; timekeeper copies of Earnings and Leave Statements; requests for overtime; personnel records that are duplicated in, or not appropriate for inclusion in official personnel folders; memorandums pertaining to exchange of general information between the components of an office, division, or branch; and similar materials. (NC1-90-76-3/11)

TEMPORARY. Destroy when 2 years old or earlier if no longer needed for day-to-day operations.
3. Bill Files: Bill files are in two sections - Senate and House bills. Folders are established in numerical order under each section as action is started on bills in Congress. Each folder contains copies of draft bills, bill reports, position statements, summaries, conference reports, Congressional Record items on each bill, veto messages, memorandum of disapproval or Presidential signing - statement on each bill, and a copy of Public Law assigned to each bill after enactment. (NC1-90-76-3/13a and 13b)

TEMPORARY. Transfer to inactive status at the end of the Congressional year, bills enacted or vetoed (except retain in pending status vetoed bills that are likely to be reintroduced in another Congressional year).

 - a. Destroy those bills of little significance immediately after printed record of hearing is issued.
 - b. Destroy bill files one calendar year after enactment of law.

4. Budget Preparation, Presentation, and Appointment: Budget and apportionment records include the various files accumulated in OASH in the course of formulating its budget for submission to the Department, and in defending its request for funds to the Department, Office of Management and Budget (OMB), and to the Congress; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. Also included are summary status statements, program narratives, and schedules of obligations.
- a. Correspondence files of formally organized OASH budget offices showing procedures to be followed in governing budget administration, and reflecting established policy decisions affecting expenditures for programs. (NC1-90-76-3/6a)
- TEMPORARY. Cut off annually. Destroy when 2 years old.*
- b. File copies of budget estimates prepared or consolidated in formally organized OASH budget offices comprising appropriation language sheets, narrative statements, and related schedules and data. (NC1-90-76-3/6b)
- TEMPORARY. Cut off annually. Transfer to FRC when 3 years old. Destroy when 5 years old.*
5. Claims - Civilian and Commissioned Corps Employee Claims: These are claims presented by commissioned officer and civilian employees of PHS 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. (see General Records Schedule 6, items 10 and 11.)

6. Clinical Records of the PHS Clinics Administered for the Immigration and Naturalization Service: These records consist of all medical records of detainees examined or treated at INS Service Processing Centers or Staging Facilities. (N1-90-90-1)
- a. Medical Records Folder: Files consist of, but are not limited to reports of physicians, nurses and allied health professionals; graphs and charts; results of laboratory and special diagnostic procedures; interpretation of x-rays and other radiological procedures; and all other reports related to the treatment or care of any detainee. TEMPORARY. Close file 1 year after episode of last examination and/or treatment. Upon close of file transfer the complete medical records folder to the Krome North Service processing Center, Miami, Florida. Transfer to the FRC 1 year after receipt at Krome North. Destroy when 11 years old.
- b. Exposed x-ray films showing no active disease. TEMPORARY. Destroy 2 years after exposure.
- c. Exposed x-ray films showing active disease. TEMPORARY. Destroy 5 years after exposure.

Note: Exposed x-ray films that are unserviceable for the following reasons may be disposed of immediately: (1) Faulty exposure or processing. (2) Cannot be clearly read from diagnostic standpoint due to cloudiness, discoloration, breaking, or general deterioration. (3) Cannot be clearly identified as to A# of the detainee x-rayed.

7. Commissioned Officer Records - See Personnel
8. Contract and Grant Status Data: See item 12b.
9. Correspondence

- a. Congressional/White House Correspondence: These files consist of correspondence between members of Congress, the White House, and OASH. Included are incoming correspondence, suggestions for possible use in preparing a reply with supporting documentation, final reply with staff clearance obtained, along with any other supporting materials. The office of record is the responding office. These records are filed separately by each office as those of permanent value and those of temporary value. *Records should be deemed to have permanent value if they pertain to PHS or OASH policies, programs, or procedures; relate to substantive issues about PHS or OASH organization, methods, or funding; or in any other way document significant interaction between OASH and the Congress or White House.*
- Records may be deemed to be temporary only if they pertain to routine requests for information, publications, or constituent services.*
- (1) Office of Record - Those records of permanent value: Cut off annually. Transfer to FRC when 4 years old or when no longer needed for day-to-day operations, whichever is sooner. Transfer to National Archives when 15 years old. (NC1-90-76-3/4a)
- (2) Office of Record - Those records of temporary value: Cut off annually. Transfer to FRC when 2 years old and destroy when 7 years old, unless needed for a longer period due to incumbent's continuance in office. (NC1-90-76-3/4b)
- (3) All Other Offices - Destroy when 2 years old, or earlier if no longer needed for day-to-day operations. (NC1-90-76-3/4c)
- b. ASH Correspondence: Included are the Assistant Secretary for Health, Deputy Assistant Secretaries for Health, and Principal Office Directors, including the Surgeon General.

Description

Disposition

(1) These files consist of or relate to guidance, instructions, and decisions issued or received by OASH; pertinent correspondence with the Secretary, DHHS, and his/her staff; principal operating components, DHHS; PHS agencies; Regional Health Administrators; and other Federal agencies; as well as correspondence regarding budget statements, briefings, presentations, speeches, digests, and backup materials of a highly significant and sometimes sensitive nature. (NC1-90-76-3/1a)

(1) PERMANENT. Cut off annually. Transfer to the FRC when 4 years old or when no longer needed for administrative purposes, whichever is sooner. Transfer to the National Archives when 15 years old.

(2) These records pertain to general correspondence with State and local government activities; and activities outside Government. These files 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. (NC1-90-76-3/1b)

TEMPORARY. Cut off annually. Transfer to FRC when 1 year old; destroy when 5 years old.

(3) These records pertain to routine correspondence.

TEMPORARY. Destroy when 5 years old.

10. Delegation of Authority: The purpose of delegations of authority is to authorize an official to take actions or make decisions which have legal significance.

Description

Disposition

- a. Instruments of Delegation - The Secretary of Health and Human Services or his/her designee delegates program and administrative, financial, and personnel management authorities to ASH. The authorities are redelegated as appropriate. These records consist of original copies of instruments to ASH and by ASH or his designee to key PHS officials. They also consist of incoming facsimile copies of instruments addressed to ASH. *Thermal faxes are unstable; the image may degrade beyond readability in a very short time. Thermal faxes should be immediately copied to a more stable medium such as a photocopy.* (NC1-90-76-3/22a1)
- PERMANENT. Cut off annually when the delegations are no longer in effect, have been superseded, or rescinded and place in an inactive file. Transfer to the FRC when 3 years old. Transfer to the National Archives when 15 years old.
- b. Delegation Background Files - These are materials accumulated by delegation control officers within OASH or those OASH offices which develop, draft, or coordinate proposed delegations of authority. Also included are original copies of those delegations not covered under item a. above and/or facsimile copies of delegations. (NC1-90-76-3/22a2&3 and 22b)
- TEMPORARY. Destroy three years after the delegations are no longer in effect or needed for reference.
11. Federal Register Documents: These records consist of materials pertaining to compilation of total interactions between OASH offices and PHS agencies, as well as input from OS regarding regulations and notices. Also included are drafts, comments, recommendations, changes, coordination, evaluations, and final proposed documents. (N1-90-90-14)
- TEMPORARY. Dispose of when 10 years old or when no longer needed for reference, whichever is sooner. Records requiring retention for the full ten years may be retired to an FRC when 5 years old. All other records may be destroyed in office space when no longer needed.
12. Grants

a. Construction Grant Programs:
Construction grants are awarded to provide support for building, expanding, and modernizing health facilities. Construction grants may be 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.

(1) General Program Information File:
The office of record for this file will normally be the PHS agency's program office. However, OASH offices may have copies of these materials for reference purposes. These records must include:

(a) Program announcement, program management procedures (regulations), and terms and conditions of the grant program. (NC1-90-76-3/56a1)

TEMPORARY. Destroy when superseded or rescinded.

(b) Lists of application evaluators and instructions to evaluators. (NC1-90-76-3/56a2)

TEMPORARY. Destroy when superseded.

(c) These records may also include authorizing legislation, Federal Register documents, General Counsel, and Court opinions. (NC1-90-76-3/56a3(a-c))

TEMPORARY. Destroy when superseded, obsolete or expired.

Description

Disposition

b. Contract and Grant Status Data: These files consists of ADP lists of detailed grant and contract data, programmed computer reports of summary data, report formats, and background materials. These data are used to prepare and annual summary report on all PHS grant and contract awards, an annual publication of detailed lists of grant awards, and required departmental and Federal-wide reports, e.g. the CASE report to the National Science foundation. Base data are maintained also on magnetic tapes and are the basis for special trend studies. (NC1-90-78-5/1)

TEMPORARY. Transfer master files to FRC when 1 year old, together with 1 copy of each pertinent data element directory, code book, record layout, user manual, and report format manual. Destroy when 4 years old.

Destroy all other materials when 10 years old.

c. Discretionary Grant Program: These grants are made in support of an individual project in accordance with legislation which permits the grantor agency to exercise judgement in selecting the project, the grantee, and the amount of the award. PHS components administering discretionary grant programs are required to generate two distinct types of records as follows:

(1) General Program Information File: The office of record for this file will normally be the PHS agency's program office. However, OASH offices may have copies of these materials for reference purposes. These records must include:

(a) Program announcement, program management procedures (regulations), and terms and conditions of the grant program. (NC1-90-76-3/54a1)

TEMPORARY. Destroy when superseded or rescinded.

(b) Lists of application evaluators and instructions to evaluators. (NC1-90-76-3/54a2)

TEMPORARY. Destroy when superseded.

Description

Disposition

(c) These records may also include authorizing legislation, Federal Register documents, General Counsel, and Court opinions. (NC1-90-76-3/54a3(a-c))

TEMPORARY. Destroy when superseded, obsolete or expired.

- d. Formula Grant Programs: A formula grant is one in which funds are provided to specified grantees on the basis of a specific formula prescribed in legislation or regulations, rather than on the basis of an individual project review. The formula is usually based on such factors as populations, per capita income, enrollment, mortality, and morbidity. These grants are generally mandatory. PHS components administering formula grant programs are required to generate two distinct types of records as follows:

(1) General Program Information File: The office of record for this file will normally be the PHS agency's program office. However, OASH offices may have copies of these materials for reference purposes.

(a) Program management procedures (regulations), terms and conditions, and State plan check lists. (NC1-90-76-3/55a1)

TEMPORARY. Destroy when superseded or rescinded.

(b) These records may also include authorized legislation, Federal Register documents, and general counsel and court opinions. (NC1-90-76-3/55a2(a-c))

TEMPORARY. Destroy when superseded, rescinded, or expired.

Description

Disposition

13. Hearing Files: Hearing folders are established during each Congressional year. Folders are filed in chronological order by date of hearing. These files show the actions taken prior to hearings. Folders include invitations to hearings and responses; draft copies of prepared statements of witnesses and clearances within the Department of these drafts; lists of witnesses for hearings; and copies of printed statements in final form. (NC1-90-76-3/14)

TEMPORARY. Transfer to inactive status at end of Congressional year. Destroy one calendar year thereafter.

~~14. Inquiry and Investigative Case Files: These case files contain records related to or collateral to pending, current or completed allegations, inquiries, investigations or findings of misconduct in science, and/or to actions that PHS has taken in connection with such allegations, inquiries, investigations, and findings. Files consist of all documents used in the inquiry and investigation including reports, research data, proposals, publications, correspondence, memoranda of telephone calls, summaries of interviews, interim and final reports prepared by the institution, and other related data. The original records are located in the Office of Scientific Integrity and/or the Office of Scientific Integrity Review. Copies of selected documents in these cases are in the Misconduct Policy offices of the applicable PHS component.~~

WITHDRAWN

15. Management Improvement Files: This activity is associated with staff support in the area of management and contingency planning for management action required by impending or possible legislation. Also included is the management effectiveness of PHS programs. These records consist of materials such as studies, data collection sheets, interviews, staff papers, memorandums, action papers, analyses, evaluations, recommendation, results of surveys, final decisions, and other documentation used in arriving at decisions and realistic conclusions on management, including manpower oriented problems and requirements.

a. Office of Record - TEMPORARY. Transfer to FRC when 5 years old or earlier if no longer needed for day-to-day operations, and destroy when 10 years old. (NC1-90-76-3/23a)

b. All Other Offices - TEMPORARY. Destroy when 3 years old or earlier if no longer needed for day-to-day operations. (NC1-90-76-3/23b)

Description

Disposition

16. Manual Issuances - PHS: The purpose of these issuances is to implement the contents of the Department Manual System within PHS.

a. Issuance Files - These records consist of chapters, circulars, guides, and handbooks published as PHS issuances to the Department Staff Manual System. These issuances usually prescribe major policies and procedures to be followed with-in PHS for administrative and program operations, as well as responsibilities, information to be retained on each subject matter, and reports required. The office of records is the office (usually an OASH office) having primary responsibility for the administrative or program area to which the issuance pertains.

(1) Office of Record - PERMANENT. Cut off when superseded, obsolete, or no longer needed for reference and place in an inactive file. Transfer to the FRC when 4 years old. Transfer to the National Archives when 15 years old. (NC1-90-76-3/24a1)

(2) All Other Offices - Destroy when 3 years old or earlier if no longer needed for day-to-day operations. (NC1-90-76-3/24a2)

b. Issuance Background Files - These are materials accumulated by all OASH offices on manual issuances which they are required to review, approve, or prepare. They consist of drafts, evaluations, comments, recommendations, concurrences, approvals, mats, and other documentation contributing to clearances and publication. (NC1-90-76-3/24b)

TEMPORARY. Cut off when issuance is approved or denied. Destroy when 1 year old, unless needed for a longer period of time for administrative purposes.

17. DELETED

18. Office Services and Supplies: These documents relate to ordinary supplies and equipment used by an office; office space and utilities, communications, transportation, custodial, or other services required by an office; and to the general maintenance of an office. These records include, but are not limited to:

Description

Disposition

- a. Requests and receipts for supplies and equipment, requests for disposal of equipment, and similar papers pertaining to routine office supply and equipment matters. (NC1-90-76-3/40a) TEMPORARY. Destroy when 2 years old or earlier if no longer needed for day-to-day operations.
- b. Requests for installation of telephones and telephone extensions, requests for changes to telephone directories and systems, and similar matters. (NC1-90-76-3/40b) TEMPORARY. Destroy when 2 years old or earlier if no longer needed for day-to-day operations
- c. Documents related to building facilities such as floor plans, office relocations plans, space surveys, requests and replies for changes in assignment of office space, and related correspondence. (NC1-90-76-3/40c) TEMPORARY. Destroy when no longer needed for reference purposes, or when the activity is completed.
- d. Drawings, charts, assignment schedules, requests, and logs pertaining to requests for and assignment of parking spaces in government operated parking areas. (NC1-90-76-3/40d) TEMPORARY. Destroy when no longer needed for reference.
19. Organization and Function Analysis: These records include statutes and Executive Orders as well as drafts and supporting material relating to organization or reorganization, including the creation, discontinuance, and consolidation of functions of various organizational elements; interpretations, opinions, and memoranda of law; organizational and functional charts; directories; correspondence and memoranda defining responsibilities, or showing working relationships with Federal activities outside PHS, State and local governments, or industry and private organizations; and staff studies and special reports relating to organizational problems.
- a. Office of Record - PERMANENT. Cut off when superseded. Transfer to the FRC when 4 years old. Transfer to National Archives when 15 years old. (NC1-90-76-3/21a)
- b. All Other Offices - TEMPORARY. Destroy when superseded or obsolete. (NC1-90-76-3/21b)
20. DELETED
21. Personnel - Civilian

Description

Disposition

a. Personnel Data Reports: These files consist of computer listings of PHS personnel and statistical personnel data reports received on a regular or one-time basis. The listings contain various numbers of data elements on PHS employees showing personal identifying information, and records of employee Federal service and current position and pay status. Statistical data reports contain current PHS employment and personnel ceiling information. (NC1-90-76-3/61)

TEMPORARY. Destroy when next most current report is received.

b. Personnel Evaluation Surveys: These records pertain to the evaluation of the effectiveness of personnel management in PHS field installations, PHS agencies, and OASH. 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. (NC1-90-76-3/59)

TEMPORARY. Close out surveys when 5 years old. Destroy when no longer needed for administrative purposes.

22. Personnel - Commissioned Corps

a. Applications for Commission: 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. (NC1-90-76-3/64)

TEMPORARY. Destroy 1 year after date of application.

Description

Disposition

- b. Awards: These are case history files containing material on recommendations, evaluations, approvals, and presentation of awards to commissioned officers. Also included are periodic reports on the commissioned corps awards program. Approved awards are recorded in the officer's official personnel folder. (NC1-90-76-3/73)
- TEMPORARY. Destroy when 2 years old.
- c. Board for Correction Files: 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. (NC1-90-81-7)
- TEMPORARY. Transfer to FRC 1 year after a change in personnel record has been effected by DCP or 3 years after a recommendation by the Board denying applicant's request for a change in record, whichever is applicable to the final disposition of a case. Destroy when 20 years old.
- d. Examining Board: These records consist of minutes of meeting of commissioned officer examining boards. The examining boards evaluate and rate officers for assignment and promotion. Agendas of board meetings are also included. (NC1-90-76-3/69)
- TEMPORARY. Destroy when 1 year old unless needed for a longer period of time for administrative purposes.
- e. General Subject Files: These records consist of correspondence, reports, memoranda, and related materials establishing policies and procedures for overall operation of the Commissioned Corps personnel program. Included are planning, precedences, studies, evaluations, coordination, and recommendations pertaining to policy and procedural matters, as well as correspondence and information on program activities. (NC1-90-76-3/62)
- TEMPORARY. Destroy when 3 years old unless needed for a longer period of time for administrative purposes.

- f. Health Manpower Studies: 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. (NC1-90-76-3/71)
- (1) TEMPORARY. Destroy published reports when obsolete or no longer needed for reference. (NC1-90-76-3/71a)
- (2) Destroy report source data 1 year after publication of report. (NC1-90-76-3/71b)
- g. Merit Rolls: These records contain registers of eligibles from which selections are made for assignments in the corps. Also included is backup material concerning evaluations of officer's qualifications, and qualifications requirements (knowledge, skills, and abilities) for assignments. Registers are developed from implementation of prescribed evaluation and selection processes, and records which are included for review purposes. (NC1-90-76-3/20)
- TEMPORARY. Destroy when 2 years old unless needed for a longer period of time for administrative purposes.
- ✓h. Official Personnel Folders: These folders are the official repositories of records and reports of personnel actions (including awards) effected during the service of an officer in the PHS Commissioned Corps and the documents and papers required in connection with these actions. The personnel orders and other documents filed as permanent records in the folders give legal force and effect to personnel transactions and establish officer rights and benefits under pertinent laws and regulations. These folders also contain papers documenting the Commissioned Officer's medical history to included disability retirement examinations. (NC1-90-76-3/63)
- PERMANENT. Transfer to National Personnel Records Center (CPR), St. Louis, Missouri, 1 year after officer has been separated from the corps. Transfer to the National Archives when 75 years old.

Description

Disposition

- i. Position Descriptions: Description of billet to which officer is assigned, along with related informational material. These files provide information of the official duties and responsibilities of each billet established within the organization. They provide information helpful in position management and in maintaining a proper classification structure. (NC1-90-76-3/66)
- TEMPORARY. Destroy 2 years after position has been canceled.
- j. Qualification Profile: These forms contain information on the officer's education (including colleges or universities attended and degrees received), work experience (including all military and civilian positions held with emphasis on experience pertinent to current placement), awards received (including performance, special act or service, and suggestion awards), and appraisal of performance. (NC1-90-76-3/67)
- TEMPORARY. Destroy when officer is separated, or when updated form is created, whichever is sooner.
- √k. Service Record Cards: 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. (NC1-90-76-3/65)
- TEMPORARY. Destroy 5 years after date of officer's separation.
- l. Strength Reports: 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. (NC1-90-76-3/68)
- TEMPORARY. Destroy when 1 year old unless needed for a longer period of time for administrative purposes.

Description

Disposition

- m. Variable Incentive Pay Programs: 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. (NC1-90-76-3/72)
23. Policies and Procedures: These records reflect the policies and procedures established for program and administrative operations throughout PHS, and usually require approval for the immediate office of ASH. Included are staff studies, action papers, summaries, digests, presentations, interpretations, clarifications, evaluations, conclusions, recommendations, evidence of staff coordination, and decisions. The office of record is the OASH office initiating, or primarily responsible for implementing the policy or procedure. The policies and procedures are usually promulgated in PHS issuances to the DHHS Staff Manual System.
24. Population Affairs: (N1-90-90-9)
- a. Office of Record - *PERMANENT.* Cut off when superseded, obsolete, or no longer needed for reference, whichever is sooner. Transfer to the FRC when 1 year old. Transfer to the National Archives when 15 years old. (NC1-90-76-3/2a)
- b. All Other Offices - Destroy when superseded, obsolete or no longer needed for reference. (NC1-90-76-3/2b)
- TEMPORARY. Destroy 6 months after program becomes inactive or after changes in specific regulations.

- a. Adolescent Family Life Grant Case Files. These records are created and accumulated in carrying out the Adolescent Family Life Program enacted as part of the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35) under Title XX of the Public Health Service Act (PHSA). The purpose of the program is to develop and test family-centered approaches for providing 1) prevention services to encourage unmarried teens to postpone sexual activity, 2) effective care services for pregnant adolescents and adolescent parents, and 3) to support research that contributes to the understanding of the broad issue of adolescent pregnancy.

(1) Applications for and Final Reports of Adolescent Family Life Grants.

PERMANENT. Place in inactive file upon closeout of grant. Transfer to the National Archives in 6-year blocks when 2 years old.

(2) Awards and Follow-up Documentation for Adolescent Family Life Grants. These records consist of individual project folders on funded grant awards to public and private institutions. They include the award letter, supplemental requests, and reports on financial status, progress, evaluation and site visits.

TEMPORARY. Place in inactive file upon closeout of grant. Retire to the FRC two years after closeout. Destroy when 6 years and 3 months old.

- b. Adolescent Health Services Grants Case Files. These records are created and accumulated in carrying out Title VI of the Adolescent Pregnancy Program enacted by P.L. 95-626 in 1978 and superseded by Title XX of the PHSA in 1981. The objectives of the program are: 1) to develop and expand services to prevent initial and repeat pregnancies among adolescents, 2) to encourage linkages among public and private community organizations providing services for pregnant adolescents and adolescent parents, and 3) to assist pregnant adolescents and adolescent parents to become productive, independent contributors to family and community life.

(1) Applications for and Final Reports of Adolescent Health Services Grants.

PERMANENT. Place in inactive file upon closeout of grant. Transfer to the National Archives in 6-year blocks when 2 years old.

(2) Awards and Follow-up Documentation for Adolescent Health Services Grants. These records consist of individual project folders on funded grant awards to public and private institutions. They include the award letter, supplemental requests, and reports on financial status, progress, evaluation and site visits.

TEMPORARY. Place in inactive file upon closeout of grant. Retire to FRC two years after closeout. Destroy when 6 years and 3 months old.

c. Family Planning Program Grant Case Files. The Family Planning Services and Population Research Act of 1970 (P.L. 91-752) established Title X of the PHSA as the major direct source of Federal support for family planning services programs. The program authorizes three project grant award programs: 1) for voluntary family planning services (currently awarded through the 10 PHS Regional Offices), 2) for research to improve services delivery, and 3) for grants to train family planning personnel. The grants for research and training are awarded through the Family Planning Program's Headquarters Office and are the focus of this schedule. These files are accumulated by the Office of Population Affairs, Family Planning Program.

(1) Applications for and Final Reports of Family Planning Program Grants.

PERMANENT. Place in inactive file upon completion of 3 year grant period. Transfer to the National Archives in 3-year blocks when 2 years old.

(2) Awards and Follow-up Documentation for Adolescent Health Services Grants. These records consist of individual project folders on funded grant awards to public and private institutions. They include the award letter, supplemental requests, and reports on financial status, progress, evaluation and site visits.

TEMPORARY. Place in inactive file upon completion of 3 year grant period. Retire to FRC two years after completion. Destroy when 6 years and 3 months old.

Description

Disposition

25. Procurement Policy and Management: These records involve the development of proposed procurement policies and procedures and the analysis and review of management and procurement activities. They include analytical, research, and evaluation documentation leading to the development of policies and procedures. Also included are clearances, approval of waivers, deviations, determinations, findings, and contract management review reports. (NC1-90-82-10)
- TEMPORARY. Transfer to FRC when 4 years old or when no longer needed for reference. Destroy when 7 years old.
26. Program Activities in OASH: ASH or the Surgeon General has responsibility for certain special activities that are related to the overall program and administrative responsibilities of PHS. Examples are international health and population affairs. These responsibilities are assigned to special staff offices established for the purpose of carrying out these technical programs. Such offices report directly to the Immediate Office of ASH. Certain program records created in these special staff offices have significant historical and/or research value, and consist of or relate to such matters as council and committee membership; transcripts, minutes, presentations, digests, summaries, recommendations, evaluations, and reports on pertinent meetings and conferences; and pertinent other reports, staff papers, memorandums, inter- and intra-agency agreements, resolutions, letters, and studies. *Records relating to Advisory Committees should be maintained in accordance with item 1 of this schedule.* (NC1-90-76-3/3)
- PERMANENT. Cut off at end of fiscal year. Transfer to FRC when 4 years old or when no longer needed for administrative purposes. Transfer to National Archives when 15 years old.
27. Programs Under Current Legislative Consideration. Emphasis on legislation of PHS programs varies from year to year. (NC1-90-76-3/15a&b)
- TEMPORARY. Retire to inactive status after legislation is enacted or denied. Destroy 2 years thereafter.

28. Public Affairs Records: Complete set of formal informational releases and publications such as press releases, press conference transcripts, official speeches, graphic progress presentations; films; audio and video tapes; and indexes thereto. Each OASH Staff Office that maintains the original copy of the material is the office of record. (N1-90-91-2)

A. Office of Record:

(1) Textual (paper records):

PERMANENT. Cut off annually. Transfer to FRC when 4 years old or when no longer needed for administrative purposes, whichever is sooner. Transfer to National Archives when 10 years old.

(2) Audio-Visual Records: For audio-visual records scheduled for permanent transfer to the National Archives, the following elements should be transferred, where available.

Still photographs: original negatives and a captioned print, and an additional negative in the case of color photographs.

Color transparencies and slides: original and one duplicate.

Slide sets or film strips: two copies plus two copies of accompanying audio records or scripts.

(a) Still Photographs

Description

Disposition

(i) Official portraits of senior agency officials; photographs produced or collected for use in agency publications, exhibitions, or other media productions; documentary photographs; photographs that depict the mission of the office; slides or filmstrip programs that depict the mission of the office; and related finding aids such as indexes or title lists.

PERMANENT. Cut off file annually. Transfer to National Archives via an SF 258 when 8 years old, or when no longer needed for administrative purposes, whichever is sooner.

(ii) All other still photography

TEMPORARY. Cut off annually. Destroy when 3 years old or when no longer needed for administrative purposes, whichever is sooner.

b. Graphic Arts: (N1-90-91-3)

(1) Posters distributed agency-wide or to the public.

PERMANENT. Transfer two copies to the National Archives upon publication.

(2) All other graphic art, and excess copies of published posters.

TEMPORARY. Cut off annually when discontinued, superseded, or no longer needed. Destroy when 3 years old.

c. Motion Pictures:

(1) Agency-sponsored informational, educational films intended for public distribution; agency-sponsored television news releases and information reports; agency-sponsored television public service or spot announcements; films produced under grant that are submitted to the agency; films acquired from outside sources that document or are used to carry out agency programs, other than those acquired for personnel and management training; unedited footage created during the course of an agency-sponsored production that shows unstaged unrehearsed events of historical interest; and related finding aids such as indexes or title lists.

PERMANENT. Cut off file annually. Transfer to National Archives via an SF 258 when 8 years old, or when no longer needed for administrative purposes, whichever is sooner.

(2) All other motion pictures.

TEMPORARY. Cut off annually. destroy when 3 years old or when no longer needed for administrative purposes, whichever is sooner.

d. Video Recordings:

(1) Agency sponsored informational, educational films intended for public distribution; agency-sponsored television news releases and information reports; agency-sponsored television public service or spot announcements; films produced under grant that are submitted to the agency; films acquired from outside sources that document or are used to carry out agency programs, other than those acquired for personnel and management training; recordings of public meetings or speeches, guest speakers, and testimony of agency officials before Congress and at other hearings; media appearances by top agency officials; documentary records shot for factfinding; and related finding aids such as indexes or title lists.

PERMANENT. Cut off file annually. Transfer to National Archives via an SF 258 when 8 years old, or when no longer needed for administrative purposes, whichever is sooner.

(2) All other video recordings.

TEMPORARY. Cut off annually. Destroy when 3 years old or when no longer needed for administrative purposes, whichever is sooner.

e. Sound Recordings:

(1) Agency-sponsored radio programs intended for public broadcast, news releases and information programs; public service or spot announcements; recordings of public meeting or speeches, guest speakers, and testimony of agency officials before Congress and at other hearings; media appearances by top agency officials; documentary recordings for factfinding; and related finding aids such as indexes or title lists.

PERMANENT. Cut off file annually. Transfer to National Archives via an SF 258 when 8 years old, or when no longer needed for administrative purposes, whichever is sooner.

(2) All other sound recordings.

TEMPORARY. Cut off annually. Destroy when 3 years old or when no longer needed for administrative purposes, whichever is sooner.

f. All Other OASH Offices that are not the Office of Record:

Textual and audio-visual records.

TEMPORARY. Destroy when 1 year old.

29. Real Property Disposal: Case files on surplus real property conveyed by DHHS public bodies and nonprofit entities for health purposes at a public benefit allowance. (N1-90-88-5)

PERMANENT. Transfer to FRC 10 years after the file is closed or when no longer needed, whichever is sooner. Transfer to National Archives 15 years after close.

30. Reports:

- a. General Reports: These are administrative and program-oriented reports of historical value. They are either created within OASH or submitted to OASH by other PHS components. The offices of record are located within OASH. These records include one-time reports on designated subjects; periodic progress reports, whether narrative or statistical; special reports of accomplishments; transcripts of hearings; and minutes of pertinent meetings and conferences called to discuss program goals, achievements, problems, and new policies and procedures.
- (1) Offices of Record - PERMANENT. Transfer to FRC when 7 years old or earlier if no longer needed for day-to-day operations. Transfer to National Archives when 15 years old. (NC1-90-76-3/5a)
- (2) All Other Offices - Destroy when 3 years old. (NC1-90-76-3/5b)
- b. Health Program Contracts - Final Reports: These reports are submitted on all contracts except those pertaining to small purchases (Final reports on grants are not received at OASH.) These reports have both historical and research value. Included in these reports is such information as authority, background, problems, discussions, findings, conclusions and recommendations. (NC1-90-76-3/57)
- PERMANENT. Transfer to the FRC 5 years after final payment to contractors or after resolution of any adverse audit findings, whichever occurs first. Transfer to the National Archives when 15 years old.
31. Working Papers, Drafts and Similar Files:
- a. Working papers, drafts, etc., that were circulated or made available to other employees for official purposes such as approval, comment, actions, recommendation, etc. Also, drafts that contain unique information that adds to a proper understanding of the agency's formulation and execution of basic policies, actions or decisions and that was not incorporated into the final document.
- Maintain and dispose of together with the final document.
- b. Working papers, drafts, etc, that were fully incorporated into the final document.
- Destroy when no longer needed for administrative purposes or when 1 year old, whichever is sooner.