

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>11-129-99-7.</i>	
1. FROM (Agency or establishment) <b>Federal Bureau of Prisons</b>		DATE RECEIVED <i>2-19-99</i>	
2. MAJOR SUBDIVISION <b>Health Services Division</b>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
<b>Omar Herran</b>	<b>(202) 514-2254</b>	<i>11-29-99</i>	<b>WITHDRAWN</b>

**6. 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 on the attached \_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE <i>2-19-99</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Omar Herran</i>	TITLE <i>Information Mgmt. Officer</i>
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<b>SEE ATTACHED</b>  <i>Withdrawn</i> <i>11/29/99</i>		

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE HEALTH PROMOTION  
AND DISEASE PREVENTION SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

This office provides information and guidance to the field, and also develops Bureau policy on matters such as hospice programs, smoking and sexual abuse and assault

**1 Fitness Center Applications**

Volume 6 cubic feet (est)

Dates 1988- (est)

In addition to the forms, the series includes a brief medical history, liability waiver and demographic information

**Disposition** *Temporary. Destroy upon separation of employee.*

**2 Subject Files**

Volume 10-11 cubic feet (est)

Dates 1988- (est)

Correspondence, memoranda, reports, publications, conference material, catalogues, and other records covering topics such as hospice, inmate wellness, Federal Fitness Day, smoking cessation, and activities at various institutions

**Disposition** *Temporary Destroy when 5 years old or no longer needed for reference, whichever is later.*

**3 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE QUALITY MANAGEMENT SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

This office reviews inmate medical files, both randomly and in response to suggestions, reviews all inmate deaths, and performs some site visits. The last are similar to a program review examination, but are focussed on medical quality, not administration. The office also provides quarterly statistical information to JCAHO and maintains total figures of inmate deaths and causes, which are reported to the Director.

Review files are destroyed approximately six months after close of investigation unless the matter develops into a court case. The records then become part of the legal file. Site visits result in a report to the warden, with a copy provided to the regional office, these items are also kept in-house approximately six months. The only series kept long-term is noted below.

As before, the series dispositions and procedures appear reasonable, but need to receive official NARA sanction.

**4 Credential Files**

Volume 6 cubic feet (est)

Dates [?]

Records maintained on all clinical directors (i.e., chief physicians). These consist of copies of the c.v., educational credentials and medical privileges.

**Disposition** *Temporary. Destroy at the end of the individual's tenure in the position.*

**5 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE ASSISTANT DIRECTOR'S OFFICE  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

The Division (HSD) is responsible for programs covering inmates' physical health, as well as Bureau-wide safety and environmental health, and health promotion for staff members. HSD also administers the Drug Free Workplace program. There are [6] BOP medical facilities, in addition to medical staff at each institution.

**6 Controlled Correspondence**

Volume 35 cubic feet (est.)

Dates 1992-

Division copy of correspondence assigned by the Executive Secretariat. File also includes drafts of administrative remedies prepared for the General Counsel's office.

**Disposition** *Temporary. Destroy when 5 years old. (NOTE: the files are physically located in another HSD office, and are maintained by a staff member in the Health Programs Branch.)*

**7 Litigation Case Files**

Volume 1.5 cubic feet

Dates 1990- (est )

Correspondence, memoranda, copies of court documents and SENTRY data regarding issues such as placement of an inmate with medical problems, inmate allegations of mistreatment, and non-fulfillment of the service requirement by an individual who had received government assistance in financing his medical education. The General Counsel's office maintains the official case files.

**Disposition** *Temporary. Destroy upon close of case or when no longer needed for reference, whichever is later.*

**8 Meeting Files**

Volume 3 cubic feet

Dates 1996-

Documentation accumulated by the Assistant Director in attending conferences and other professional gatherings. Records include brochures, pamphlets, agendas, and travel documents.

**Disposition** *Temporary. Non-record material should be screened for obsolescence and destroyed. Travel documents should be checked against GRSs 9 and 6/1. Destroy any remaining material when 2 years old.*

**9 Region and Institution Files**

Volume 2.5 cubic feet (est)

Dates 1990- (est )

Correspondence, memoranda, reports and other documentation concerning topics such as long-range planning for medical facilities, resources, design and staffing for a new facility, kidney transplant, site audit, and requests for exceptions to the procedures manual.

**Disposition** *Temporary. Destroy when 5 years old.*

**10 Subject Files**

Volume 13 cubic feet

Dates 1986- (est )

Documentation covering topics such as the efforts of an interagency committee on minority careers in health and science, BOP task force on medical and mental health care, draft procedures for medical exams at Metropolitan Correction Centers, addiction medicine, budget and population issues, organ transplants, staffing guidelines and professional organizations

**Disposition** *Temporary. Destroy when 10 years old.*

(NOTE part of this series has already been designated as inactive )

**11 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE DRUG FREE WORKPLACE OFFICE  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

The office administers all urine tests for applicants and contractors, as well as random tests on individuals whose duties include operating motor vehicles. The actual testing is performed off-site, at various contract laboratory facilities, which retain the test results. The office has only its copy of the signed acknowledgement forms on file, which are retained for approximately one year. BOP has signed a memorandum of understanding with the Department of Interior to "piggyback" on their laboratory contract. In addition, the office also supervises the employee health unit.

**12 Administrative Files**

Volume 6 cubic feet (est)

Dates 1990-

Documentation is largely contract-related copies of that document, invoices, lab lists, correspondence, memoranda, and so forth. Background material and draft versions of their covering Program Statement are also included. Health unit records include invoices, correspondence with the contractor who provides the nurse, and information on tuberculosis and hepatitis testing, flu vaccination, and so forth.

**Disposition** *Temporary. Destroy when 6 years and 3 months old.*

**13 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE FOOD SERVICES SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

Program Statement 4700 04 specifies institutional, regional and central office retention periods for records relating to this function. Only six of the 23 series are maintained at Central Office, and four of those are now in electronic format only. These files are received via the LAN in ASCII, converted to WordPerfect, and organized by region, institution and date.

Without examining regional and institutional records, only a preliminary assessment can be made, but the disposition specifications and procedures appear reasonable. They do, however, require official NARA sanction for all series that cannot be covered by the General Records Schedule (GRS). Although documents at the institutional level would presumably be the record copies, the regional and central office files also need to be scheduled.

- 14 **Thirty-Five Day Master Cycle Menu**  
Menu listings for all institutions  
**Disposition** *Temporary. Destroy when 1 year old.*
- 15 **Monthly Nutrition Report**  
Includes financial as well as dietary information  
**Disposition** *Temporary. Destroy when 1 year old.*
- 16 **Program Reviews**  
Copies of the Program Review Division's reports of their findings after an examination of an institution  
**Disposition** *Temporary. Destroy when 3 years old.*
- 17 **Food Service Monthly Staff Meeting Minutes**  
Includes information on expenditures as well as operational and administrative issues  
**Disposition** *Temporary. Destroy when 1 year old.*
- 18 **Food Service Staff Roster**  
Listing of filled positions, job titles and vacancies at each institution  
**Disposition** *Temporary. Destroy when 1 year old.*
- 19 **Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**  
**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE PERSONNEL MANAGEMENT  
AND RECRUITMENT SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

Bureau medical staff may be hired from a civil service or Public Health Service (PHS) Commissioned Corps roster. There are no organizational or reporting differences between civil service and PHS staff members, but the latter are paid on a reimbursable basis by PHS, and their personnel files are maintained separately. **NOTE: The original PHS personnel files are maintained by that agency, and have been scheduled for permanent retention (transfer to NARA after 75 years.)**

**20 Personnel Files**

**a Active**

Volume 28-30 cubic feet

Dates [ ? ]

Application forms, reports on topics such as injuries, vaccinations, and effectiveness, personnel orders (i.e., transfers), award nomination forms, and other documentation

**Disposition** *Temporary. Destroy 20 years after separation from BOP employment.*

**b Inactive**

Volume 10 cubic feet (est)

Dates [1974 - ? ]

Analogous documentation to that noted above, for individuals no longer employed at BOP

**Disposition** *Temporary. Destroy 20 years after separation from BOP employment.*

**21 BP MED-18 Files**

Volume 6 cubic feet (est)

Dates 1989-

Monthly staffing report from each institution, providing numbers and categories of authorized positions, professional status, personnel system (i.e., CS or PHS), date employed, projected departure date (for temps/contractors) and fill date for vacancies

**Disposition** *Temporary. Destroy when 5 years old.*

**22 Health Professional Shortage Area (HPSA) Files**

Volume 2-2.5 cubic feet (est)

Dates 1994- (est)

Institutional applications to the Department of Health and Human Services (HHS) for HPSA designation, which qualifies the site for National Health Service Corps (NHSC, q.v.) enrollees. Applications must be resubmitted every four years. Documentation includes the application, certification from HHS, lists of qualified NHSC applicants, and background material such as copies of regulations

**Disposition** *Temporary. Destroy when 4 years old.*

**23 National Health Service Corps (NHSC) Files**

Volume 2-2.5 cubic feet (est)

Dates 1992- (est)



**BOP-Health Services Division**  
**Records of the Personnel Management and Recruitment Section**

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The NHSC program covers the cost of medical education in return for several years of practice in an underserved area. The records are maintained in four alphabets: individuals currently in the system, individuals who have defaulted, applicants "unsuitable" for BOP (refuse to use a weapon, for example), and transfers. Documentation includes correspondence, memoranda and copies of personnel information.

**Disposition** *Temporary. Destroy when 10 years old. (Longer retention is justified by the Bureau's need for information on defaulters or other unacceptable applicants.)*

**24 Physicians' Comparability Allowance Files**

Volume 6 cubic feet (est)

Dates 1984- (bulk 1990-)

Applications for pay differential, and approvals, which are signed by the HSD Assistant Director

**Disposition** *Temporary. Destroy upon separation from Bureau employment.*

**25 Recruitment Trip Files**

Volume 2 cubic feet (est)

Dates 1992-

Correspondence, memoranda and other documentation largely concerned with booths and other displays at professional conferences

**Disposition** *Temporary. Destroy when 2 years old.*

**26 Applicant/Vacancy Tracking System**

Volume [?]

Dates 1996- (est)

Electronic system ([modified version of] Microsoft ACCESS, developed with OIS) providing educational and NHSC status information as well as standard personal data on applicants, and tracking referrals given to the applicants

**Disposition** *Temporary. Delete when 5 years old.*

**27 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE MEDICAL DESIGNATIONS AND TRANSPORT SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

The section determines and coordinates inmates' assignments to Bureau medical facilities. The two categories include newly-sentenced individuals with conditions such as diabetes or a physical disability (initial designations), and currently incarcerated individuals who develop a medical problem that cannot be addressed either at the institution or in the local community (redesignations). There are approximately 15,000 of the former and 2,000 of the latter per year (The Bureau has a maximum of 2,000 hospital beds.)

Inmates' medical records are merged with the corresponding central files (covered by NC1-129-77-11) when the records are retired.

**28 Judicial Correspondence Files**

Volume 15 cubic ft (est)

Dates 1991-

One factor in an initial designation is any recommendation of the sentencing judge as to the prisoner's medical requirements. In those instances where, in the staffer's opinion, the recommendation cannot be implemented, the section chief writes for the Assistant Director to the judge giving their reasons for noncompliance.

**Disposition** *Temporary. Destroy when 10 years old.*

**29 Medical Designations Files**

Volume 300 cubic feet (est)

Dates 1991-

An individual record includes the initial assignment, security/designation data (printout from SENTRY), printouts of e-mail regarding medical information, and copies of the judgment and portions of the pre-sentence investigation report (last two from the court file).

**Disposition** *Temporary. Cut off annually. Transfer to the Washington National Records Center when 3 years old. Destroy in accordance with instructions for inmate medical records.*

**30 Medical Redesignations**

Volume 60 cubic feet (est)

Dates 1991-

Forms, memoranda and printed e-mail requesting and authorizing the transfer and notifying the receiving and transferring institutions. Records include medical data and narrative, instructions re transport and finance, and any special instructions.

**Disposition** *Temporary. Cut off annually. Transfer to the Washington National Records Center when 3 years old. Destroy in accordance with instructions for inmate medical records.*

**31 Pre-Certification Files**

Volume 9-10 c f (pilot prog ),  
2-2 5 (nationwide)

Dates 1996- (pilot),  
1/20/1998- (nationwide)

This program requires that the section's managed care coordinator review and approve or deny all non-emergency hospitalization requests (Emergency hospitalizations must also be authorized, but the requests are submitted after the event ) Files include the request form, authorization form, selections from the inmate's medical history, and copies of all bills and statements The records are duplicates of documents in the inmate's medical file held at the institution

**Disposition** *Temporary. Cut off annually. Transfer to the Washington National Records Center when 3 years old. Destroy in accordance with instructions for inmate medical records.*

**32 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
CHIEF HEALTH PROFESSIONALS AND MEDICAL RECORDS PROJECT  
(HEALTH PROGRAMS SECTION)  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

The Chief Health Professional (CHP) positions--dentist, nurse, physicians' assistant, and pharmacist--function as consultants or advisors in their areas of specialization, promote and protect the interests of others in their field, represent them on Professional Advisory Committees (run by PHS), and participate in recruiting efforts. They occasionally perform peer reviews and participate in program reviews.

They also have "no records." The chief dentist keeps credential files analogous to those retained in the Quality Management Section, but the number of employees prevents the other CHPs from following suit (the files are maintained at the institution and/or the regional office). Personnel material is kept in that office, correspondence and memoranda would be signed and maintained by the Assistant Director's office, and after-action reports are sent to the institution under the Director's signature.

This office is also developing, in concert with OIS and a private contractor, an automated system for inmate medical records, using Windows 95 and Oracle. It is intended to allow electronic transfer of the file when the inmate is transferred to another institution, but is still in the experimental stage. The agency expects to select a lead site by summer of 1998.

OIS is also developing a related system, OUTBOUND, to exchange demographic data between SENTRY components and the Inmate Medical Folder (IMF). The components include Sensitive Medical Data, which contains data on morbidity and chronic and infectious diseases from approximately 1990, Medical Duty Status, created in the 1970s, which notes any disabilities or diseases which affect an inmate's work placement, and Callout, which is a system for all inmate medical appointments.

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE FISCAL MANAGEMENT SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

This office handles smaller financial transactions, particularly credit card purchases, that the central budget office no longer carries out. Most of these records are therefore not duplicated in that office. The office also handles property inventories and contract tracking, but most of the latter is duplicated in the procurement office.

Documentation includes monthly expenditure report by area, broken out by individual and category, and monthly budget summaries. The staff also log and document all credit card purchases, and maintain logs for each cost center. The current and two previous years' records are on-site, earlier files are stored in the basement.

All series should be covered by various GRS items, especially 3/3, 3/9 and 6/1.

The section is also responsible for the financial records of the Continuing Professional Education program. The documentation consists of SFs 182 (GRS 1/18b), approvals thereof, and copies of travel vouchers (SF 1012, GRS 6/1) documenting completion of the course.

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE INFECTIOUS DISEASE COORDINATOR  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

This staff member provides advice and guidance, usually telephonically, to field medical personnel, and may also investigate outbreaks. The latter does not usually result in a formal report. He is also developing a data base for tracking infectious diseases. The tuberculosis component, a standalone system on the LAN, was begun in 1996. Data accumulated include location, date of diagnosis, name of laboratory, treatment provided, risk factors, strain and test results.

At a minimum, this system will have long-term internal usefulness, and will likely qualify for permanent retention, especially if any personal identifiers can easily be screened. More information will be needed for formal scheduling, such as other illnesses to be tracked, the type of information collected, and the backup and other security features for this system.

**BUREAU OF PRISONS - HEALTH SERVICES DIVISION  
RECORDS OF THE SAFETY SECTION  
RECORDS DESCRIPTION AND PROPOSED DISPOSITIONS**

Staff of this office provide policy and technical assistance to the field, monitor contractors who perform safety surveys, and ensure that equipment, procedures, and so forth at institutions comply with federal regulations

**33. Life Safety Surveys**

**a Hard Copy Files**

Volume 15 cubic feet (est )

Dates 1983-

Narrative reports including the survey's scope and budget, a general description of the facility and descriptions of individual buildings, a description of the UNICOR operation at the site, and a list of recommendations. Surveys are conducted on an as-needed basis

**Disposition** *Temporary. Destroy when superseded by next survey.*

**b Status Reports**

Internal (i e , no OIS involvement at this point) electronic system tracking implementation of survey recommendations. Survey status fields include location, date, number of items noted and number corrected, whether the survey has been closed and whether variances were granted

**Disposition** *Temporary. Delete when superseded.*

**c Breathing Apparatus Inventory**

Newly-created internal electronic system listing manufacturer, model, number, type and age of the breathing equipment maintained at each institution

**Disposition** *Temporary. Delete when item is replaced or disposed of.*

**34 Subject Files**

Volume 5 cubic feet (est )

Dates. 1990-

Copies of correspondence, memoranda, reports, court documents and other material covering matters such as litigation regarding workmen's compensation, training in areas such as lead abatement, and inmate injury

**Disposition** *Temporary. Destroy when 5 years old.*

(NOTE This series is composed almost entirely of duplicate material )

**35 Electronic Version of Records Created by the Electronic Mail and Word Processing Applications**

**Disposition** *Temporary. Delete after the file copy is generated or when no longer needed for reference or updating.*