

**REQUEST FOR RECORD DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*Per NCD 11/20/80*

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

1 FROM (AGENCY OR ESTABLISHMENT)  
**Department of Health, Education, & Welfare**

2 MAJOR SUBDIVISION  
**Office of the Secretary**

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
*Abel Carder*  
**Abel Carder**

5. TEL EXT  
**245-9080**

LEAVE BLANK

JOB NO  
**NCL-235-80-1**

DATE RECEIVED  
**1-11-80**

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

**7-23-80**  
Date *Richard A. ...*  
Archivist of the United States

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 69 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C DATE	D SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
<i>1/9/80</i>	<i>Abel Carder</i>	<i>Branch Chief SMB / OS</i>

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<u>Records Common to Most Offices</u>		
000-01.	<u>Office Working Files.</u> Non-essential working papers retained by staff members for reference purposes. Included are extra copies of official correspondence, supporting or background material used in developing official files, but not needed for the official file, studies or other materials not acted upon, papers used as internal administrative aids, and any documents which do not serve as the basis for official action. (Excludes program and administrative correspondence identified elsewhere in this manual).  <u>Disposition:</u> Destroy when two years old, or when no longer needed for reference, whichever is earlier.		
000-02.	<u>Reading or Chronological Files.</u> Extra copies of correspondence prepared and maintained by the originating office and used only as a		

115-10 *Copies to NNF, NND, NNA*

*233 items*

**STANDARD FORM 115**  
Revised April, 1975  
Prescribed by General Services Administration  
FPMR (41 CFR) 101-11.4

*42*

7  
ITEM NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)9.  
SAMPLE OR  
JOB NO10.  
ACTION TAKEN

reading or reference file for staff convenience.

Disposition: Cutoff at close of FY. Destroy after one year, or when no longer needed for reference, whichever is earlier.

000-03

Suspense Files.

Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or a transitory paper being held for reference may be destroyed on a given date. Examples of papers in suspense files are:

- a. A note or other reminder to submit a report or to take some other action.

Disposition: Destroy after action is taken.

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Disposition: Withdraw papers when reply is received. If suspense copy is an extra copy, destroy; if it is the file copy, place with other papers for file.

- c. Papers which may be destroyed in 30 days or less because they have no further value.

Disposition: Destroy on date for which they are suspended.

000-04

Transitory Files.

have

Papers of short-term interest which no record value and normally need not be kept more than 90 days. Examples of transitory correspondence are:

- a. Requests for information or publications. Routine requests for information or publications which require no administrative action, no policy decisions,

89

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>and no special compilations or research for reply, such as requests for publications or other printed material.</p> <p>b. <u>Letters of transmittal.</u> Letters of transmittal that do not add information to that contained in the transmittal material.</p> <p>c. <u>Quasi-official notices.</u> Memorandums and other papers that do not serve as the basis of official actions, such as notices of holidays or charity or welfare fund appeals, bond campaigns, and similar papers.</p> <p>Recordkeepers shall combine the types of temporary material described above into one transitory file arranged chronologically. If more than one folder is needed, four folders labelled as follows may be used:</p> <p style="padding-left: 40px;">Transitory (JAN-MAY-SEP) Transitory (FEB-JUN-OCT) Transitory (MAR-JUL-NOV) Transitory (APR-AUG-DEC)</p> <p>A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.</p> <p><u>Disposition:</u> Destroy all items listed above when 90 days old.</p>		
000-05	<p><u>Files Maintenance and Disposition Plans.</u></p> <p>Documents which provide information concerning file categories, disposal instructions, and other matters regarding the files maintained in particular offices.</p> <p><u>Disposition:</u> Destroy when a revised plan is received.</p>		
000-06	<p><u>Office Organization Reference Files.</u></p>		112

## Request for Records Disposition Authority—Continuation

JOB NO

PAGE OF

90

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Documents relating to the organization and functions of an office. Included are copies of organization and functional charts and functional statements; documents relating to office staffing; documents concerning functional assignments and changes. Included also are documents reflecting minor changes in the office organization or functional assignments that are made by the office supervisor.</p> <p><u>Disposition:</u> Destroy when superseded, obsolete, or no longer needed for reference.</p>		
000-07	<p><u>Policy and Precedent Reference File.</u></p> <p>Copies of documents establishing policy or precedents related to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. These files consist of non-record copies maintained only for convenience or reference. Original or official record copies will NOT be placed in this file.</p> <p><u>Disposition:</u> Destroy when obsolete or when no longer needed for administrative purposes,</p>		
000-08	<p><u>Employee Travel Files.</u></p> <p>Correspondence, requests, travel authorizations and orders, itineraries, and similar papers pertaining to employee travel exclusive of records maintained for accounting purposes. Arranged alphabetically by name of traveller.</p> <p><u>Disposition:</u> Cutoff at close of FY and destroy two years thereafter.</p>		
000-09	<p><u>Office General Personnel Files.</u></p> <p>Documents that relate to the daily administration of personnel in individual offices. Included are papers that relate to attendance, copies of reports of attendance and overtime, notices of holidays and hours worked; notices and lists of per-</p>		113



7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
100-01.	<p>Chapter One of the records disposition schedule covers records of the Immediate Office of the Secretary, the Office of the Under Secretary, the Executive Secretariat, and Official Correspondence Files of the OS components.</p> <p><u>Official Correspondence File of the Secretary, DHEW.</u></p> <p>Official record copies of correspondence and associated background materials (copies of incoming memorandums, comments, drafts, and similar documents) of the Secretary, Under Secretary, and Executive Secretary, DHEW. Included are documents submitted for review and/or approval with notes to the file made by the Secretary, Under Secretary, and Executive Secretary.</p> <p><u>Disposition:</u></p> <p>A. Documents which: (1) issue policy, prescribe procedures, or affect organizational structures; (2) provide executive direction or document major functions (3) pertain to relations with the White House, Executive Office of the President, Congress, or the public; (4) prescribe budget policy; (5) pertain to litigation and formal legal opinions; and (6) relate to major agency programs and plans.</p> <p>PERMANENT. Transfer to WNRC three years after annual cutoff. Offer to NARS when 20 years old.</p> <p>B. Documents of a routine, administrative, or non-policy nature and all files <sup>not</sup> covered by "a".</p> <p>Transfer to WNRC three years after annual cutoff. Destroy when seven years old.</p>	B 100, #1 and NCI-235- 79-1	
100-02.	<p><u>Official Correspondence Files of OS Components.</u></p> <p>Official correspondence, reports, forms, and other records pertaining to the administration and operation of the OS components: Inspector General, Civil Rights, General Counsel, Legislation,</p>		115

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>Management and Budget, Personnel Administration, Planning and Evaluation, and Public Affairs. Official correspondence files are arranged according to the subject classification systems outlined in this manual.</p> <p>A. <u>Program Correspondence Files</u> relate directly to the primary mission of the OS component of office and document the policies, programs, and organizational structure established to fulfill the primary mission. Program files are generally arranged according to the subject classification system that is directly pertinent to the primary mission of the office. (Central Office)</p> <p><u>Disposition: PERMANENT.</u></p> <p>Cutoff at the close of the FY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when 20 years old.</p> <p>B. <u>Administrative Correspondence Files</u> relate to administrative support activities, internal management functions, and other subjects for which the primary program responsibility is elsewhere. Arranged according to the subject classification system. (Central Office)</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Hold three years or until volume warrants and transfer to WNRC. Destroy eight years after cutoff.</p> <p>C. <u>Regional Correspondence Files</u> relate to the administration and operation of OS activities on the regional level. Arranged according to the subject classification system.</p> <p><u>Disposition:</u></p> <p>1. Official record copies of program and administrative correspondence. Cutoff at the close of the FY. Hold three years or until volume warrants and transfer to the FARC. Destroy eight years after cutoff.</p> <p>2. <u>PRO Subject File</u>. consists of extra copies of correspondence signed by the PRO. Cut-</p>	<p>B 100, # 1 &amp; 11 B 110, # 6.</p> <p>B 100, #1, 5A, &amp; 11. B 110, #6 &amp; 20.</p>	

116

94

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
100-03.	<p>off at the close of the FY. Destroy three years after cutoff.</p> <p>NOTE: The official record copies of correspondence should be centralized at the division level or above for headquarters offices.</p> <p><u>Office Working Files.</u></p> <p>Non-essential working papers retained by staff members for reference purposes. Included are extra copies of official correspondence, supporting or background material used in developing official files, but not needed as part of the official file, studies or other materials not acted on, papers used as internal administrative aids, and any documents which do not serve as the basis for official action. These records are generally maintained below the division level or by individual staff members.</p> <p><u>Disposition:</u></p> <p>Destroy when two years old or when no longer needed for reference, whichever is earlier.</p>		
100-04.	<p><u>Organization Contact Case Files.</u></p> <p>Consists of correspondence and reference materials on any of the DHEW programs. Arranged by State or region and thereunder by organization. These records accumulate in regional offices of Intergovernmental and Congressional Affairs.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy three years after cutoff.</p>		
100-05.	<p><u>Trip Report Case Files.</u></p> <p>Consist of copies of correspondence written from specialists to the PRO. Includes items such as purpose of trip, issues, problems involved, names of agencies or organizations contacted, conclusions, follow-up, and similar information. These files accumulate in the regional office of Inter-</p>		117

Request for Records Disposition Authority - Continuation		JOB NO. 95	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>governmental and Congressional Affairs.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy three years after cutoff.</p>		
100-06.	<p><u>Residence Requirement Waiver Files.</u></p> <p>Applications received from foreign residents requesting a waiver of the two-year residence requirement of the Exchange Visitor Program, memorandums, related background materials, and decisions received from the Department of State or the Attorney General concerning the waiver.</p> <p><u>Disposition:</u></p> <p>A. Cases. Cutoff at the close of the CY in which case is resolved. Transfer to WNRC when case has been inactive for three years. Destroy six years after cutoff.</p> <p>B. Indexes. Destroy when no longer needed for administrative purposes.</p>	NCI-235-79-4	
100-07.	<p><u>Country File.</u></p> <p>Documentation pertaining to inquiries and requests received by the Office of International Affairs. Included are requests from foreign nationals concerning Federal regulations and programs for which DHEW has primary government-wide responsibility. Consists largely of general correspondence arranged alphabetically by name of country.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy three years after cutoff, or when no longer needed for administrative purposes, whichever is earlier.</p>		

**Request for Records Disposition Authority - Continuation**

JOB NO . . .

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Chapter TWO. Management and Budget</u></p> <p>The records described in this section of the records disposition schedule relate generally to records of the Assistant Secretary for Management &amp; Budget. The separate series of files concern management, budget, personnel, organization, and planning. <u>In some cases</u> these records do not exist as separate series since they are filed in the office correspondence file. If volume warrants and if information retrieval purposes are better satisfied, the records may be filed according to the series identified in this schedule. Offices may continue to file these series in the official correspondence file if this arrangement better serves administrative needs. If the files are placed in the official correspondence file, the arrangement is according to the Subject Classification System of this manual.</p>		

119

**Request for Records Disposition Authority—Continuation**

JOB NO

PAGE OF

7  
ITEM NO

8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9  
SAMPLE OR  
JOB NO

10  
ACTION TAKEN

201-01. Publication Master Files.

Consists of the official file copy of each publication, special or periodic report for which OS is the HEW office of primary responsibility. Excludes publications described elsewhere in this manual and publications for which another POC is the office of record.

Disposition:

A. Publications of a program or informational nature. PERMANENT. Place in an inactive file when publication is issued. Cutoff at the close of the FY. Hold three years or until volume warrants and transfer to FARC. Offer to NARS when 20 years old.

B. Publications of a short-term administrative nature. Cutoff at the close of the FY in which issued. Destroy five years after issuance, or when no longer needed for administrative purposes, whichever is earlier.

C. Regional Offices. Destroy when superseded or obsolete.

D. Background materials for all publications. Destroy in accordance with GRS 16, item 2b.

201-02. Organizational Analysis Files.

Records which effect substantive changes in the organization, functions, or relationships of components of DHEW. Included are approved/disapproved organizational and staffing plans and charts, reorganization plans, functional or mission statements, and directly related papers.

Disposition:

Office with HEW-wide organization planning responsibility. Place in an inactive file when superseded. Cutoff inactive file when five years old. and transfer to WNRC. Destroy 20 years after cutoff.

201-03. Delegation of Authority File.

Program and administrative delegations of authority (continuing) and revocations of those author-

120

## Request for Records Disposition Authority - Continuation

JOB NO . . .

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	ities.  <u>Disposition:</u>  A. Record copy. Place in an inactive file upon revocation or supersession, Cutoff inactive file after five years and transfer to FARC. Destroy 20 years after cutoff.  B. Other offices. Destroy when no longer needed for administrative purposes.		
201-04.	<u>Management Objectives File.</u> Documents created and maintained in developing management objectives for the Office of the Secretary and the department. Included are documents reflecting the establishment of schedules to achieve objectives, the formulation of new concepts and requirements for planning purposes, and the evaluation of accomplishments in meeting the objectives established in the plan.  <u>Disposition:</u>  A. OS office responsible for the preparation of the plan. Cutoff at the close of the FY in which plan is superseded. Hold three years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.  B. Contributing, commenting, or coordinating offices. Cutoff at close of FY in which plan is superseded. Destroy two years after cutoff or when no longer needed for reference.		
201-05.	<u>Management Study Case Files.</u> Documentation on the inception, scope, findings, and accomplishments of management study, appraisal, or survey projects. In general, projects relate to the review and evaluation of organizational structures, operating procedures, and management practices. Included are records reflecting the request and authorization to undertake the project, project plans, the final project report, followup reports, and related materials.  <u>Disposition:</u>		

## Request for Records Disposition Authority - Continuation

JOB NO . . .

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>A. Office responsible for the project. Destroy five years after completion of the final report.</p> <p>B. Other offices. Destroy two years after completion of the final report, or when no longer needed for reference, whichever is earlier.</p>		
201-06.	<p><u>Management Study Working Files.</u> Working papers accumulated in the preparation, clearance, and issuance of final project records. Included are notes, drafts, feeder reports, statistical listings, clearance comments, and similar files.</p> <p><u>Disposition:</u></p> <p>Destroy five years after completion of the final report.</p>		
201-07.	<p><u>Directives Record Set.</u> Consists of the official file copy of each formal policy and procedural issuance published by OS and relating to HEW-wide or OS-wide policy.</p> <p><u>Disposition:</u></p> <p>A. Headquarters. PERMANENT. Place in an inactive file when the directive is rescinded, superseded, or obsolete. Cutoff inactive file at the close of the FY. Hold three years or until volume warrants and retire to WNRC. Offer to NARS 20 years after cutoff.</p> <p>B. Regional offices. Destroy 7 years after supersession.</p>		
201-08.	<p><u>OS Forms File.</u> Case files containing copies of each OS form, requests for approval and justification, copies of prescribing issuance, clearance reprint authorization, and related correspondence. Office of Record is the Division of Administrative Services.</p> <p><u>Disposition:</u></p> <p>A. Record copy of each OS form. PERMANENT. Offer to NARS in 5-year blocks when 20 years old.</p>		

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>B. Case history files. Place in an inactive file when form is rescinded, superseded, or obsolete. Cutoff inactive file at the close of the FY. Hold 6 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>C. Regional office forms. Destroy three years after supersession.</p>		
201-09.	<p><u>Form Registers.</u> A register or card system used to record and control the assignment of form numbers.</p> <p><u>Disposition:</u> Destroy particular register sheets when all entries are cancelled, superseded, or transferred to a new sheet or when no longer needed, whichever is earlier.</p>		
201-10.	<p><u>Forms Functional Files.</u> A collection of forms or reports, including Standard Form 83, used in forms management to determine if the new forms should be developed and approved, and if current forms should be consolidated or replaced by other forms.</p> <p><u>Disposition:</u> Destroy when form is superseded or discontinued.</p>		
201-11.	<p><u>Budget Estimates and Justifications.</u> Budget estimates and justifications prepared or consolidated in formally organized budget offices and divisions. Included are appropriation language sheets, narrative statements, and related schedules and data.</p> <p><u>Disposition:</u></p> <p>A. Record copy of final consolidated submissions. PERMANENT. Cutoff at the close of the FY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS 25 years after cutoff.</p> <p>B. Other copies. Destroy when obsolete, super-</p>		

Request for Records Disposition Authority—Continuation		JOB NO . . .	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>seded, or no longer needed for reference.</p>		
201-12.	<p><u>Directives Case History Files.</u> Documents relating to the preparation, review, clearance, publication, and distribution of OS issuances. Includes materials on the clearance and concurrence of draft issuances and other coordinated actions, revisions, and cancellations, and a copy of the final issuance. Arranged by issuance identification number.</p> <p><u>Disposition:</u></p> <p>A. Headquarters. Place in an inactive file when the directive is rescinded, superseded, or obsolete, Cutoff inactive file at the close of the FY. Hold three years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>B. Regional offices. Destroy 7 years after supersession.</p>		
201-13.	<p><u>Assessment Case Files.</u> Records of the Office of Service Delivery Assessment pertaining to the assessment of major departmental programs. Included in these files are the final report, draft reports, feeder reports, planning materials, instructions for the conduct of the assessment, administrative guidance materials, briefing and training agenda, listings of participants and contacts, site profiles, client reports, and summaries, analyses of data, consultant reports, pertinent publications, and related correspondence.</p> <p>A. Files created in offices having the lead role in the assessment.</p> <p>1. Destroy the original final report, draft report, and planning materials 10 years after the close of the FY in which final report is issued.</p> <p>2. Destroy all other materials three years after the close of the FY in which final report is issued.</p> <p>B. Files created in offices participating in the assessment but not the lead region.</p>		

124

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Cutoff at the close of the FY. Destroy three years after cutoff.</p>		
201-14.	<p><u>Conference Planning Files.</u> Files accumulated in planning for national and regional conferences for which OS has primary planning or management responsibility. Included in these files are documents relating to establishment, organization, membership, and procedures.</p> <p><u>Disposition:</u></p> <p>A. OS Office of Primary Responsibility. Destroy five years after the close of the FY in which conference is held.</p> <p>B. Other offices. Destroy when two years old.</p>		
201-15.	<p><u>Conference Records.</u> Records documenting the actual workings of specific national or regional OS conferences. Included are agenda, minutes, and reports highlighting the significant conclusions, recommendations, opinions, and action items which result from the conferences.</p> <p><u>Disposition:</u></p> <p>A. Records of conferences which have significant implications for OS or departmental policies, programs, or functions. PERMANENT. Place in an inactive file at the close of the FY in which conference is held. Cutoff inactive file after five years and transfer to FARC. Offer to NARS 20 years after cutoff.</p> <p>B. Other conference records. Destroy when two years old.</p>		
201-16.	<p><u>Emergency/Disaster Planning Reports.</u> Agency reports of operations <sup>and</sup> tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency/disaster plans.</p>		

125

Request for Records Disposition Authority - Continuation		JOB NO . . .	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>A. Office of primary responsibility. <del>PERMANENT</del>. Cutoff when superseded or obsolete. Retire to FARC if volume warrants. <del>Offer to NARS 20 years after cutoff.</del> <i>Destroy five years after cutoff.</i></p> <p>B. Copies of reports not maintained by the office of primary responsibility. Destroy when superseded or obsolete.</p>		
201-17.	<p><u>Federal Educational Rights and Privacy Act Complaints.</u></p> <p>Complaints concerning the privacy of student educational records maintained by schools that receive financial assistance from the Office of Education. Included are the HEW response and related correspondence.</p> <p><u>Disposition:</u></p> <p>A. Formal complaints. Destroy five years after resolution.</p> <p>B. Informal complaints. Destroy five years after resolution.</p>		
201-18.	<p><u>Audit Resolution Files (Institutional).</u></p> <p>Files documenting the review of grantee institutions, especially colleges and universities, for resolution of audits in which there are deficiencies in records-keeping systems. Included are a status report of individual findings, a copy of the audit report, memoradums, and similar materials. Arranged by name of institution.</p> <p><u>Disposition:</u></p> <p>Place closed cases in an inactive file. Destroy <del>three</del> <sup>four</sup> years after close of the FY in which case is closed.</p>		
201-19.	<p><u>Indirect Cost Negotiations Agreements.</u></p> <p>Background files on indirect cost negotiations agreements which regional offices send to the Office of Grant and Contract Management. The agreements contain agreed-upon rates for use in grants</p>		

126

## Request for Records Disposition Authority - Continuation

JOB NO . . .

PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>and/or contracts with the Federal Government. Arranged by state and thereunder by name of institution.</p> <p><u>Disposition:</u></p> <p>Destroy five years after supersession or obsolescence, or earlier if no longer needed for administrative purposes.</p>		
201-20.	<p><u>Prospective Minority Contractors Files.</u></p> <p>Files documenting the qualifications of private businesses for contracts with HEW. This file is created and maintained to insure that minority businesses are included in departmental contracts and to assure compliance with HEW procurement regulations.</p> <p><u>Disposition:</u></p> <p>Destroy when individual contractors are considered non-potential bidders, or when no longer needed for administrative purposes, whichever is appropriate.</p>		
201-21.	<p><u>Safety and Occupational Health Complaints.</u></p> <p>Complaint files relating to safety and health factors in HEW facilities. Files include the complaint, papers involving the processing of the complaint; the official response to the complaint; and related materials.</p> <p><u>Disposition:</u></p> <p>Destroy five years after close of the case.</p>		
201-22.	<p><u>Preliminary Energy Audit Reports.</u></p> <p>Annual reports outlining energy use and conservation measures in HEW facilities. This report is submitted annually to the Department of Energy.</p> <p><u>Disposition:</u></p> <p>Destroy five years after submission.</p>		

## Request for Records Disposition Authority - Continuation

JOB NO . . .

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
201-23.	<p><u>HEW Facilities Waiver Files.</u> Files consisting of building plans, construction drawings, waiver requests, and related correspondence. Waivers are requested for facilities or parts of facilities which do not meet Federal or departmental standards regarding use by the handicapped.</p> <p><u>Disposition:</u></p> <p>Destroy when rescinded or superseded or when building is transferred from Federal control.</p>		
201-24.	<p><u>Building Construction Files.</u> Files that document the acquisition, initial construction, and occupation of HEW buildings at central office and in the regions. Included are site maps and surveys, plot plans, environmental impact studies, architect's sketches, working diagrams, budget and cost estimates, preliminary drawings, copies of blueprints, master tracings, utility outlet plans, specifications, construction progress reports, inspection reports, copies of deeds and certificates of title, and related documents.</p> <p><u>Disposition:</u></p> <p>A. Records of buildings for which OS has direct management responsibility. Destroy when buildings are demolished or removed from Federal ownership, or when documents become obsolete. If requested, these documents may be transferred to new owner.</p> <p>B. Records of buildings for which other HEW components or other Federal agencies have direct management responsibility. Destroy when five years old. (These records may be transferred to an FARC if volume warrants).</p>		
201-25.	<p><u>Property Disposal Case Files.</u> Case files documenting the sale, transfer, or exchange of surplus property. Included in these files are invitations, proposals, acceptances, lists of surplus property, vouchers, correspondence, and related material.</p>	B 100, #14D	

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7  
ITEM NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)9  
SAMPLE OR  
JOB NO10  
ACTION TAKENDisposition:

Place in an inactive file upon completion of disposal action, hold for two years, and transfer to the FARC. Destroy four years after completion of disposal action.

201-26. Procurement Policy Case Files.

Files document HEW policies on grants, contracts, and general procurement activities. These files document only those Federal regulations which HEW supplements for departmental purposes.

Disposition:

A. Office of primary responsibility. Transfer to the FARC when obsolete or superseded. Destroy 15 years after supersession or obsolescence.

B. Other offices. Destroy five years after supersession or obsolescence, or when no longer needed for administrative purposes, whichever is earlier.

201-27. Grant Case Files.

Record copies of proposals or applications, contracts, project reports, studies, certificates, agreements, memoradnums, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds, project budgets, and final products. (This item does not cover grants appealed to the Departmental Grant Appeals Board or long-term grants which directly relate to major departmental programs).

Disposition:

Destroy 10 years after final audit or payment of grant, whichever is later. Files may be transferred to FARC after termination of grant, if volume warrants.

201-28. Unsuccessful Bidders Protest File.

Copies of IFBs, abstracts, bids of successful bidders, any protestor's bid, contracting officer's statement of facts, recommendations, supporting

129

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	documentation, and related correspondence.  <u>Disposition:</u>  Destroy three years after final decision is submitted to protestor.		
201-29.	<u>Draft and Final Environmental Impact Statements (EIS) prepared by HEW.</u> EISs assess the environmental impact of an action taken by DHEW. The EISs are distributed to other Federal agencies, public, and private groups for review and comment. Final EISs must address written comments on the draft EIS submitted by reviewers.  <u>Disposition:</u>  Destroy when six years old.	NCI-235-79-2/1	
201-30.	<u>Draft and Final Limited Impact Statements prepared by HEW.</u> Limited Impact statements assess environmental impacts that are not considered to be "significant" and therefore do not require preparation of an EIS. The documents must be available for the public upon request, but they do not require distribution.  <u>Disposition:</u>  Destroy when six years old.	NCI-235-79-2/2	
201-31.	<u>Environmental Analysis prepared by HEW.</u> Environmental analyses are the documents used to support the decision to prepare either an EIS or limited impact statement. Environmental analyses are retained either with the EIS or limited impact statements in the project file of the agency which prepare the EIS or limited impact statement.  <u>Disposition:</u>  Destroy when six years old.	NCI-235-79-2/3	
201-32.	<u>Categorical Exclusions.</u> Categorical exclusions are analyses that are prepared by HEW program staff which may determine that	NCI-235-79-2/4	130

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>program actions are not capable of creating significant environmental impact, and therefore exclude that program activity from any further consideration of the need for an environmental analysis or environmental impact statement.</p> <p><u>Disposition:</u></p> <p>Destroy on expiration of the authority for the activity covered by the analyses, or two years after supersession by a revised analysis, whichever is earlier.</p>		
201-33.	<p><u>Draft Environmental Impact Statement prepared by other Federal agencies and sent to HEW for review and comment.</u></p> <p>The National Environmental Policy Act (NEPA) requires agencies to send EISs to other Federal agencies having jurisdiction or technical expertise in relation to potential environmental impacts caused by Federal actions. The external EISs are reviewed by HEW. If they involve impacts within the jurisdiction or technical expertise of HEW, comments are prepared and forwarded to the original agency.</p> <p><u>Disposition:</u></p> <p>The EISs on which comments are submitted will be retained with the comments and then destroyed when one year old, or as follows, whichever is less:</p> <p>A. 30 days after issuance of a final EIS.</p> <p>B. An amended draft has been issued.</p> <p>C. The proposed undertaking has been cancelled.</p>	<p>NC1-235- 79-2/5</p>	
201-34.	<p><u>Final Environmental Impact Statements prepared by other Federal agencies where HEW agencies have commented on the draft EIS.</u></p> <p><u>Disposition:</u></p> <p>Destroy when one year old.</p>	<p>NC1-235- 79-2/6</p>	

**Request for Records Disposition Authority - Continuation**

JOB NO . . . . . PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
201-35.	<p><u>School Assistance in Federally-affected Projects.</u>  Files consist of forms (OE/OFE 1-4) pertaining to certification of availability of funds for schools in Federally-affected areas, project contracts, and related materials. The program is the responsibility of the OS Office of Facilities Engineering and the Office of Education.</p> <p><u>Disposition:</u></p> <p>Transfer to FARC after termination of loan;  Destroy three years after termination.</p>	B-200, #59.	

132

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
202-01.	<u>Investigatory Material from the Office of Person- Management.</u> Investigatory material from the Office of Person- nel Management on employees or potential employ- ees in nonsensitive positions.  <u>Disposition:</u> Destroy after the decision is made on hiring or retaining employee.	NC1-235- 78-1/1	
202-02.	<u>Suitability or Qualifications Information.</u> Suitability or qualifications information obtain- ed on employees or potential employees. (This does not include investigatory material received from OPM).	NC1-235- 78-1/2	
202-03.	<u>Official Reprimands.</u>  <u>Disposition:</u>  Destroy when employee separates; after the date specified in the reprimand; or after two years, whichever is first.	NC1-235- 78-1/3	
202-04.	<u>Notices of Proposed Adverse Actions or Reprimands.</u> Notices of proposed adverse actions or proposed reprimands that were officially proposed but were not effected.  <u>Disposition:</u>  Destroy when proposal is withdrawn; decision is made not to proceed; or one year after date of proposal notice; whichever is first.	NC1-235- 78-1/4	
202-05.	<u>Disciplinary Action Records.</u> Admonishments, warnings, and similar disciplinary actions.  <u>Disposition:</u>  Destroy when employee separates; after date specified in the record; when there is no further administrative need for the record; or after one year; whichever is first.	NC1-235- 78-1/5	

## Request for Records Disposition Authority - Continuation

JOB NO . . .

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
202-06.	<p><u>Disciplinary Documentation.</u> Letters, memorandums, or other documentation on an employee pertaining to possible disciplinary or adverse action.</p> <p><u>Disposition:</u></p> <p>Destroy when employee separates; when there is no further administrative need for the record; or after one year; whichever is first.</p>	<p>NCI-235- 78-1/6</p>	
202-07.	<p><u>Complaints, Inquiries, and Debt Correspondence.</u> Complaints, inquiries, and debt correspondence received on an employee.</p> <p><u>Disposition:</u></p> <p>Destroy when employee separates; when there is no further administrative need for the record; or one year after the issue is resolved; whichever is first.</p>	<p>NCI-235- 78-1/7</p>	
202-08.	<p><u>Special Employment Program Files.</u> Files on participants in special employment programs, including Upward Mobility, Junior Fellows, Management Intern, HEW Fellows, etc.</p> <p><u>Disposition:</u></p> <p>Destroy when there is no further administrative need for the record; or two years after participant leaves program; whichever is first.</p>	<p>NCI-235- 78-1/9</p>	
202-09.	<p><u>Performance Appraisals and Ratings.</u> Performance appraisals and ratings (except those required to be filed on the permanent side of the Official Personnel Folders in FPM Supplement 293-31).</p> <p><u>Disposition:</u></p> <p>Destroy after whichever of the following come first: when employee separates; after two years; or when employee receives a new appraisal/rating and the applicable appeal/grievance period has expired.</p>	<p>NCI-235- 78-1/10</p>	<p>138</p>

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
202-10.	<p><u>Training Materials Master Files.</u></p> <p>Records accumulated as master files for OS training courses. Included are transcripts, handouts, charts, graphs, transparencies, course outlines, manuals, and similar materials.</p> <p><u>Disposition:</u></p> <p>Destroy five years after the material is superseded or the course is discontinued.</p>		

135

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7  
ITEM NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)9  
SAMPLE OR  
JOB NO10  
ACTION TAKEN203-01. Still Photographs.

These photographs are maintained in the Photo Section, Printing and Visual Systems Branch, Office of Management Services. They consist of the following items.

Disposition:

A. Central Negatives Files of photographs that document activities, programs, and mandated functions of the Department; spot news coverage; and photographs that document significant activities of the Office of the Secretary.

PERMANENT. Break file every five years. Offer five-year accumulations to NARS five years after break.

B. Portrait Negative File of personnel occupying positions of Assistant Secretary and above.

PERMANENT. Apply disposition instructions of "A" above.

D. Index to Portraits. Index is arranged alphabetically by surname.

PERMANENT. Apply disposition instructions of "A" above.

E. Non-Program Photography. Includes material pertaining to suggestion awards, length of service awards; presentation of diplomas; charity and civic drives; social events; athletic events; routine conferences and meetings; identification photographs; and personnel below the level of Assistant Secretary.

Destroy when five years old, or return to requestor with prints.

B. *Shelflist for Central Negative File. Arranged numerically. Provides negative number, date and caption for each item in the Central Negative File.*

*PERMANENT. Offer to NARS with the related portion of the Central Negative File.*

## Request for Records Disposition Authority—Continuation

JOB NO.

PAGE OF

114

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
301-01.	<p>Files in the offices of the Assistant Secretary for Planning and Evaluation consist largely of correspondence files. The disposition instructions for these files and all correspondence files of OS are given in Chapter One of this manual. Instructions for the identification of subjects for correspondence files are outlined in the Subject Classification System of the manual. The subjects which relate most directly to the primary functions of planning and evaluation are in the organization management subject outline.</p> <p>The separate series listed below may be used to file the appropriate records if volume warrants. For purposes of information retrieval, small volumes of these records may be filed in the correspondence files under the appropriate subject designations.</p> <p><u>Program Evaluation Planning Files.</u> Documents accumulated in planning and evaluating DHEW program objectives. Information in these files pertains to the achievement of goals, effectiveness of the program, identification of successful and unsuccessful projects, and evaluation of procedures. Included are planning documents, progress reports, correspondence, memorandums, and similar materials. Arranged by title of project.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY in which project or plan is completed. Transfer to WNRC two years later. Offer to NARS when 20 years old.</p>		
301-02.	<p><u>Special Studies and Reports File.</u></p> <p>Special studies and reports relating to DHEW program responsibilities. Included are preliminary and final reports, background materials, correspondence, and related materials. These studies involve the basic Departmental programs: health, education, and welfare. Excluded are management studies covered by Chapter Two and studies for which SSA, PHS, or another HEW component is the office of primary responsibility.</p>		137

115

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>Disposition:</u></p> <p>A. Record copy of final report. PERMANENT. Cutoff at the close of the FY in which project or study is completed. Transfer to WNRC three years later. Offer to NARS when 20 years old.</p> <p>B. Case files. Cutoff at the close of the FY in which the project is completed. Transfer to WNRC three years later. Destroy 10 years after cutoff.</p>		

138

116

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
401-01.	<p><u>Departmental Level Awards Files.</u></p> <p>Records relating to awards made at the departmental level or higher, including awards of the Secretary. (For disposition instructions for awards not covered by this item, see GRS 1, #12).</p> <p><u>Disposition:</u></p> <p>Destroy when employee leaves HEW.</p>		
401-02.	<p><u>Merit System Investigative Files.</u></p> <p>Documentation pertaining to the investigation of prohibited personnel practices and non-criminal standards of conduct. Included are investigative reports, evaluations of investigations, correspondence, memorandums, and related papers.</p> <p><u>Disposition:</u></p> <p>Destroy five years after complete resolution of the case.</p>		
401-03.	<p><u>EEO Reporting Files.</u></p> <p>Consists of monthly reports that OS sends to the Office of Personnel Management concerning information on EEO activities throughout DHEW. Includes Monthly Report on Precomplaint Counseling and Monthly Report on Discrimination Complaint Processing.</p> <p><u>Disposition:</u></p> <p>a. Monthly reports. Destroy five years after submission.</p> <p>b. Feeder reports. Destroy when no longer needed for administrative purposes.</p>		
401-04.	<p><u>Intergovernmental Personnel Act Files.</u></p> <p>Records relating to the program through which HEW <sup>borrowed</sup> borrows employees from private industry and other sources for short periods of employment. Included are memorandums concerning the date of</p>		139

Request for Records Disposition Authority - Continuation	JOB NO	PAGE OF	
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>appointment, the nature of the assignment, and the termination of the assignment.</p> <p><u>Disposition:</u></p> <p>Destroy three years after termination of the assignment.</p> <p>401-05. <u>Committee Records.</u></p> <p>Records documenting the workings of committees over which OS has primary management responsibility. Included are meeting agendas, minutes, reports, issued or approved by the committee, charters, lists of committee members, and similar materials.</p> <p><u>Disposition:</u></p> <p>a. Interagency, departmental, advisory, or international committees. PERMANENT. Place in an inactive file at the close of the FY in which committee is dissolved. Cutoff inactive file after five years and transfer to FARC. Offer to NARS 20 years after cutoff.</p> <p>b. Internal committees and committees that do not relate to significant policy functions of HEW. Destroy two years after termination of the committee.</p>		
401-06.	<p><u>Committee Management Files.</u></p> <p>Files accumulated in exercising management control over the establishment, operation, and dissolution of committees for which OS has primary management responsibility. Included are proposals, approvals, disapprovals; documents used to approve, appoint, evaluate, and relieve committee members; and similar records.</p> <p><u>Disposition:</u></p> <p>a. OS Office of Primary Responsibility. Destroy five years after disapproval or dissolution of the committee.</p>		140

118

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
401-07.	<p>b. Other offices. Destroy two years after disapproval or dissolution of the committee.</p> <p><u>Reviewing Authority Civil Rights Case Files.</u></p> <p>These files are created as a result of administrative hearings under Title VI of the Civil Rights Act of 1964, Title IX of the Higher Education Amendment of 1972, and Executive Order 11246. Included are legal documents, motions, pleadings, exhibits, hearing transcripts, initial decisions of the Administrative Law Judge, final decision of the Reviewing Authority, appeals to the Secretary, and Secretarial dispositions.</p> <p><u>Disposition:</u></p> <p>Transfer to FARC seven years after close of procedure. Destroy 25 years after close of procedure unless needed for precedential cases or for legal purposes. The files that are saved for these purposes must be reviewed annually for disposal.</p>	NCI-235-78-5/1	
401-08.	<p><u>Grant Appeals Review Files.</u></p> <p>Case files documenting the review of postaward disputes which have developed in the administration of grant programs by constituent agencies of HEW. In accordance with 45 CFR Part 16 and 201.14, the Departmental Grant Appeals Board, or its Chairman in certain cases, is responsible for reviewing and providing hearings on postaward disputes. Files may include copies of audit reports, grant awards, depositions, affidavits, narratives, and related correspondence.</p> <p><u>Disposition:</u></p> <p>Cutoff when final HEW decision is reached. Hold for seven years, review for precedential material and transfer the balance to WNRC. Destroy 20 years after cutoff.</p>	NCI-235-79-5/1	
401-09.	<p><u>Official Grant Appeals Decisions.</u></p>	NCI-235-79-5/2	141

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Record copies of official decisions of the departmental Grant Appeals Board in postaward disputes involving HEW grants.</p> <p><u>Disposition:</u></p> <p>Destroy when no longer needed for precedential value.</p>		

142

Request for Records Disposition Authority - Continuation		JOB NO . . .	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
501-01.	<p><u>Publication Clearance Files.</u></p> <p>Consists of documents pertaining to the clearance of publications and audiovisual materials for issuance and distribution. Excludes record set of publications that are listed in the 200 series of this disposition schedule.</p> <p><u>Disposition:</u></p> <p>Destroy when five years old, or when no longer needed for administrative purposes, whichever is earlier.</p>		
501-02.	<p><u>Press Release Files.</u></p> <p>Record set of press releases arranged chronologically. The office of record is the Office of Public Affairs.</p> <p><u>Disposition:</u></p> <p>A. Record Set. PERMANENT. Cutoff at the close of the FY. Hold two years or until volume warrants and transfer to WNRC. Offer to NARS 20 years after cutoff.</p> <p>B. Regional Office Press Releases. Cutoff at the close of the FY. Destroy five years after cutoff.</p> <p>C. Regional Office copies of headquarters press releases. Cutoff at the close of the FY. Destroy when superseded or no longer needed for reference.</p>		
501-03.	<p><u>HEW Informational Materials.</u></p> <p>Consists of the <u>Green Sheet</u> and other issuances that are used primarily for employee information or for briefings on on-going events throughout the Department.</p> <p><u>Disposition:</u></p> <p>A. Record Set. Place in an inactive file after</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>issuance. Cutoff inactive file after the close of the FY. Destroy seven years after cutoff, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>B. Reference copies. Destroy when no longer needed for reference.</p>		
501-04.	<p><u>Articles Master File.</u></p> <p>Consists of articles that the Secretary has written for magazines. Includes the request for the article, drafts, and a copy of the article. Arranged by the name of the magazine.</p> <p><u>Disposition:</u></p> <p>A. Headquarters. Place in an inactive file after publication. Cutoff inactive file at the close of the FY. Destroy five years after cutoff.</p> <p>B. Regional offices. Cutoff at the close of the FY in which issued. Destroy when superseded or obsolete.</p>		
501-05.	<p><u>Speech File.</u></p> <p>Official speeches of the Secretary, Under Secretary, or major departmental officials. Arranged by date of speech.</p> <p><u>Disposition:</u></p> <p>A. Record set. PERMANENT. Cutoff at the close of the FY. Hold two years or until volume warrants. and transfer to WNRC. Offer to NARS 20 years after cutoff.</p> <p>B. Regional office files. Cutoff at the</p>		

144

122

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
501-06.	<p>close of the FY. Destroy three years after cut- or when no longer needed for reference, which- ever is earlier.</p> <p><u>Biographies File.</u></p> <p>Files contain personal data sketches, photographs, newspaper clippings, copies of press releases, and similar materials pertaining to major DHEW offic- ials. Arranged by name of individual.</p> <p><u>Disposition:</u></p> <p>A. Headquarters. Cutoff at close of the FY in which individual leaves DHEW. Destroy five years after cutoff.</p> <p>B. Regional Offices. Cutoff at close of the FY in which individual leaves DHEW. Destroy one year after cutoff.</p>		
501-07.	<p><u>Conference and Public Hearings Files.</u></p> <p>Files contain information about conferences or hearings of the regional offices. Included are agenda, announcements of the conference, press releases, listings of participants, conference summaries, and copies of publications and speech- es.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy four years after cutoff.</p>		
501-08.	<p><u>Quote/Unquote File.</u></p> <p>File consists of excerpts from speeches of major HEW officials including administrators of HEW com- ponents.</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy five years after cutoff, or when no longer needed for administrative purposes, whichever is ear- lier.</p>		

145

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
501-09.	<p><u>News Conference File.</u></p> <p>Consists of transcripts of the Secretary's press conferences and some related background materials. These records are in binders and are arranged by date of press conference.</p> <p><u>Disposition:</u></p> <p>PERMANENT. Transfer to WNRC if volume warrants. Offer to NARS in blocks of five years when 20 years old.</p>		
501-10.	<p><u>Distinguished Speakers Program Documentation.</u></p> <p>File consists of invitations, guest lists, schedules, and other materials related to arrangements for the DHEW Distinguished Speakers Program.</p> <p><u>Disposition:</u></p> <p>Destroy when no longer needed for reference.</p>		
501-11.	<p><u>Itineraries of Visits Files.</u></p> <p>Files pertaining to speaking engagements and visits of the Secretary or other major Departmental officials.</p> <p><u>Disposition:</u></p> <p>Destroy when official leaves HEW, or earlier if not needed for administrative purposes.</p>		
502-01.	<p><u>Sound Recordings File.</u></p> <p>Sound recordings on tapes or discs that provide documentation of the organization, functions, policies, procedures, and essential transactions of DHEW. These files consist of sound recordings of official speeches, <i>meetings, interviews, and panel discussions</i> of the Secretary, Under Secretary, or other major agency officials of DHEW. Excluded are recordings maintained in record form in other HEW components, e.g. SSA, PHS, etc.</p> <p><u>Disposition:</u></p>		



124A

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>scripts, transcripts, and other documentation bearing on the origin, acquisition, release, and ownership of the production are to be transferred with the films. Estimate annual volume less than 1 cubic foot.</p> <p>B. Films and related records not described in "A". See GRS 21 for disposition instructions.</p> <p>C. Outtakes and trims from motion picture films sponsored or produced by DHEW.</p> <p><u>Disposition:</u> Offer immediately after receipt to the Stock Film Library (NNVS) Audiovisual Archives Division, NARS in accordance with OMB Circular A-114, Attachment D, #9.</p>		

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
601-01.	<p><u>Legal Opinion Precedent File.</u></p> <p>Precedential legal opinions issued by the General Counsel for application to programs throughout DHEW. Included are legal opinions, directly related memorandums, copies of laws, and related documents. Arranged by year and thereunder by docket control number. Estimated annual volume: 1 CF.</p> <p><u>Disposition:</u></p> <p>PERMANENT. Cutoff at the close of the FY and transfer to WNRC two years thereafter. Offer to NARS with related indexes 20 years after cutoff.</p>	<p>B-110, # 1 &amp; 4 <i>and</i> NCI-235- 79-3/1</p>	
601-02.	<p><u>Litigation Case Files.</u></p> <p>Files consist of court pleadings, correspondence, memorandums, studies, appraisals, court decisions, and similar documents. These files accumulate in various divisions of the OGC and relate to primary program areas of DHEW.</p> <p><u>Disposition:</u></p> <p><i>POC all other cases.</i> B. Headquarters. After litigation is terminated, retain case file as long as administratively useful two years, whichever is earlier. Transfer to WNRC, destroy five years after termination.</p> <p><i>POC</i> A. Headquarters. Cases which are determined to have precedential value for other litigation cases. Transfer to WNRC two years after termination of case or when volume warrants. Destroy 25 years after termination.</p> <p>C. Regional Offices. Destroy two years after termination of the case.</p>	<p>B 110, #7 &amp; 16A</p>	
601-03.	<p><u>Administrative Hearing Files.</u></p> <p>Case files accumulated in various offices of OGC, to document hearings and appeals within DHEW. Included in these files are letters of deferrals, hearing transcripts, legal briefs, affidavits, hearing transcripts, trial exhibits, initial decisions of the administrative law judge, appeals</p>	<p>B 110, #10</p>	<p style="text-align: right;"><i>148</i></p>

## Request for Records Disposition Authority - Continuation

JOB NO .

126

PAGE OF

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>to the Secretary, Secretarial dispositions, and related materials. If these files exist as a separate set of records, the following disposition instructions apply. If the essential administrative hearings documents are filed in the related case file, the disposition instructions for the case file applies.</p> <p><u>Disposition:</u></p> <p>Destroy five years after complete termination of case.</p>		
601-04.	<p><u>FDA Injunction Files.</u></p> <p>Files contain complaints, injunction recommendations from the districts, affidavits, letters to U.S. Attorneys, dissent or default decrees, and related correspondence. These cases are considered "open" until the action against the firm or individual has been resolved.</p> <p><u>Disposition:</u></p> <p>Transfer to WNRC one year after complete termination of the case, or one year after all appellate action has been taken. Destroy five years after complete close of case.</p>		
601-05.	<p><u>FDA Suit Files.</u></p> <p>Case files consisting of suits against FDA by individuals or firms. These cases remain active until the case is heard and resolved in court.</p> <p><u>Disposition:</u></p> <p>Transfer to WNRC one year after termination of the case, or one year after all appellate actions have been taken. Destroy five years after termination.</p>		
601-06.	<p><u>HEW Draft Legislation Files.</u></p> <p>Case files on the development of Departmental legislation presented or intended for presentation</p>	B 110, #18 & 19	149

121

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>to Congress. Included are internal memorandums, documentation on the complete legislative history, HEW positions, enrolled bill reports, and related correspondence.</p> <p><u>Disposition:</u></p> <p>Cutoff file at end of the Congressional session (two years). Transfer to WNRC two years later. Destroy 25 years after close of file.</p>		
601-07.	<p><u>Non-HEW Draft Legislation Files.</u></p> <p>Case files of bills on which HEW comment is requested by OMB. These files include draft bills from other Federal agencies and bills drafted in HEW for individual Congress persons as technical assistance.</p> <p><u>Disposition:</u></p> <p>Cutoff files at end of the Congressional session (two years). Transfer to WNRC two years later. Destroy 20 years after close of file.</p>		
601-08.	<p><u>Numbered Bill Files.</u></p> <p>Consists of correspondence, reports to Congress, and documentation on the legislative history of bills introduced in Congress, but not enacted.</p> <p><u>Disposition:</u></p> <p>Cutoff files at end of the Congressional session (two years). Transfer to WNRC two years later. Destroy 20 years after close of file.</p>		
601-09.	<p><u>Public Law Files.</u></p> <p>Consists of correspondence, copy of the enacted bill, reports, and documentation on the legislative history of the bills that are enacted into law.</p> <p><u>Disposition:</u></p> <p>Cutoff files at the end of the Congressional</p>		150

## Request for Records Disposition Authority—Continuation

JOB NO. . . . . 128 PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
601-10.	<p>session (two years). Transfer to WNRC two years later. Destroy 25 years after close of file.</p> <p><u>Testimonies and Statements.</u></p> <p>Testimonies and statements of DHEW officials before Congressional committees. In many cases, the testimonies are published in Congressional reports. Files may relate to "oversight hearings" in which no specific bill is involved or to hearings on specific bills.</p> <p><u>Disposition:</u></p> <p>A. If filed as a separate series. Destroy two years after the end of the Presidential term of office, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>B. If filed in a correspondence or case file. Destroy in accordance with the disposition instructions of that file.</p> <p>C. Reference copies maintained for public affairs purposes. Destroy when no longer needed for administrative purposes.</p>		
601-11.	<p><u>Military Personnel and Civilian Employees Claim Files.</u></p> <p>Claims files regarding loss of personal property or damage to personal property for employees acting within the scope of their office of employment. Included in these files are memorandums, correspondence with claimants, moving companies, and appropriate facilities; supporting evidence necessary to substantiate the claims with recommendations and final determinations; and materials indicating the final disposition of each case.</p> <p><u>Disposition:</u></p> <p>Destroy four years after claim is closed.</p>		
601-12.	<p><u>Federal Claims Collection Act Files.</u></p>		151

## Request for Records Disposition Authority - Continuation

JOB NO. 129 PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>Claims covered under this Act apply to administrative collections of monies due DHEW. These records document how claims arose, amounts, circumstances of debtors, and collection efforts made, basis for compromise, suspension, or termination of claims; and materials indicating final disposition of each case.</p> <p><u>Disposition:</u></p> <p>Transfer to WNRC when claim is closed. Destroy six years after close of claim.</p>		
601-13.	<p><u>Administrative Tort Claims Files.</u></p> <p>These are claims filed pursuant to the Federal Tort Claims Act relating to personal injury and damage to property. Included in these files are correspondence with claimants, legal representatives and appropriate facilities; legal documentation relating to evaluations, determinations, and disposition of claims; and similar papers.</p> <p><u>Disposition:</u></p> <p>Destroy four years after claim is closed.</p>		
601-14.	<p><u>Federal Medical Care Recovery Act Files.</u></p> <p>These files are maintained to document DHEW collections of monies for expenses incurred when treatment is provided to persons in PHS hospitals. If the Federal Government is entitled to recovery under the Act, the Department asserts the claim against the third party for the reasonable value of the care and treatment. Included in these files are the third party report, a description of the accident, and medical information; notice of claim to the third party; and copies of medical summaries, police reports, and correspondence.</p> <p><u>Disposition:</u></p> <p>A. Record copies in Headquarters and Regional Offices. Cutoff settled claims at the close of the FY in which settled. Destroy seven years after cutoff.</p>		152

130

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
--------------	--	--------------------------	--------------------

601-15.

Disability Claims Files.

B. Copies of claims for which OS/OGC is not the office of primary responsibility. Destroy when no longer needed for administrative purposes.

Consist of copies of documents accumulated at the regional level for several types of actions including overpayment, insurance benefits, supplemental security insurance, and underpayment. Included also are copies of court instruments such as Complaint, Answer, Motions, Memorandum in Support of Motion, Brief, Report, and Recommendation of the U.S. Magistrate, Judgment, Transcript of Testimony, and similar items. Official file of these documents is maintained at SSA Central Office.

Disposition:

Cutoff at the close of the FY. Destroy two years after cutoff.

601-16.

Disability Case Docket Sheet Files.

Consists of one sheet for each case showing name, district, case number, type of case, judge, outcome (for or against the Department); the complaint, transcript and suggested answer, assignment, deadline for brief, and similar matters. Arranged by name of case.

Disposition:

A. Cases decided in favor of the Department. Cutoff at the close of the FY. Destroy seven years after cutoff.

B. Cases decided against the Department. Cutoff at the close of the FY. Destroy two years after cutoff.

601-17.

Rejected Inventions Report File.

Case files documenting the rejection of inventions submitted for General Counsel review from NIH grants research or university research activities, Files

NCI-235-79-6/1

153

## Request for Records Disposition Authority--Continuation

JOB NO .

PAGE OF

131

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
601-18.	<p>include information concerning the request for review of the invention, scientific evaluations, and correspondence concerning the rejection of the invention. Arranged by year and thereunder by name of inventor.</p> <p><u>Disposition:</u></p> <p>Destroy three years after rejection.</p> <p><u>FEDERAL REGISTER Regulations Files.</u></p> <p>Copies of Departmental regulations and supporting background materials pertaining to regulations that are published in the <u>Federal Register.</u></p> <p><u>Disposition:</u></p> <p>A. Office of primary responsibility. Destroy 15 years after the publication of the regulation, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>B. Other offices. Destroy when no longer needed for reference.</p>		
601-19.	<p><u>Congressional Correspondence Files.</u></p> <p>Correspondence files maintained for Departmental liaison with Congress. Arranged by name of Representative or Senator.</p> <p>A. Review files after the end of a Presidential administration. Destroy files which are no longer needed. Transfer other files to the files for the new administration.</p> <p>B. Offices responsible for control of replies. Destroy six months after reply, or when no longer needed for reference, whichever is earlier.</p>		

154

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION T
---------------	---	---------------------------	----------------

701-01

Education Discrimination Review Files

Case files developed in investigating complaints and in reviewing elementary, secondary and higher education programs to determine if these programs are in compliance with Federal laws which prohibit discrimination on the basis of race, color, national origin, sex, age and physical and mental handicaps in federally-assisted programs. These records are created in response to Title VI of the Civil Rights Act of 1974, Title IX of the Higher Education Amendments of 1972, and Section 504 of the Rehabilitation Act of 1973.

Disposition:

a. Headquarters: Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for five years. Destroy 15 years after cutoff.

b. Regions: Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for two years. Destroy 15 years after cutoff.

NOTE: Cases which are submitted to the Reviewing Authority are disposed of in accordance with item 401-07.

701-02

Health and Human Development Discrimination Review Files

Case files developed in investigating complaints and in reviewing programs of health and human development service institutions for compliance with Title VI and Section 504.

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TA
	<p><u>Disposition:</u></p> <p>a. <u>Headquarters:</u> Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for five years. Destroy 15 years after cutoff.</p> <p>b. <u>Region:</u> Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for two years. Destroy 15 years after cutoff.</p>		
701-03	<p><u>Request for ESAA Assistance</u></p> <p>Documents accumulated in determining the eligibility of school districts to receive financial assistance under the Emergency School Aid Act (ESAA). Documents in these files include the notification of eligibility supporting evidence, requests for waivers, Secretary's response concerning granting or denial of the waiver, and related correspondence and documentation.</p> <p><u>Disposition:</u></p> <p>Cutoff annually following final determination of school district's eligibility for ESAA funds, in any one particular funding period. Transfer to FARC when case has been inactive for five years. Destroy 15 years after cutoff.</p>		
701-04	<p><u>Reports of Monitoring Visits</u></p> <p>Reports and background documents developed as a result of monitoring visits in regional offices. Reports are used in evaluating the conduct of regional investigations.</p> <p><u>Disposition:</u></p> <p>Cutoff annually after report is prepared, destroy three years after cutoff.</p>		

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
701-05	<p><u>Civil Rights Investigative Manuals</u></p> <p>Procedural manuals prepared by the Special Projects and Procedures Division for the conduct of civil rights investigations in regional offices. The manual is used to assist investigators in determining problems, analyzing data, using statistical information, and similar techniques relating to investigations.</p> <p><u>Disposition:</u></p> <p>a. <u>Superseded pages.</u> Destroy two years after supersession, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>b. <u>Background paper.</u> Destroy six months after final action on project, or three years after completion of project if no final action is taken.</p>		
701-06	<p><u>Adams Order files and Related Cases</u></p> <p>Files developed in responding to the ADAMS court order requiring DHEW to monitor state-wide higher education desegregation policies and plans. Under the order, the Department was required to issue criteria for removing vestiges of segregation in six states. These file consist of copies of legal documents, evaluation reports of state activities in higher education, plan correspondence, and similar documents.</p> <p><u>Disposition:</u></p> <p>PERMANENT. Cutoff at the close of the fiscal year following a determination by DHEW or the courts that all states cited in the ADAMS order have a unitary system, and transfer to the FARC five years after cutoff. Offer to NARS after 20 additional year.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TA
---------------	---	---------------------------	------------------

701-07

Assurance of Compliance Statements

Statements from an educational or health facility assuring OCR that the facility is in compliance with Federal laws in federally-funded projects.

Disposition: Destroy on change of implementing regulation or repeal of enabling legislation, whichever is appropriate.

701-08

Statistical Surveys (Edited and unedited survey forms)

Annual and bi-annual statistical data submitted to and used by OCR in monitoring the compliance status pursuant to Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973. (Excluding ADAMS surveys.)

Disposition: Cutoff annually after being superseded by next survey. Transfer to FARC five years after cutoff. Destroy 15 years after cutoff.

NOTE: Recurring OCR statistical surveys conducted during the years 1968 through 1978 shall be cutoff at the end of FY 80, transferred to the FARC at the end of FY 85, and destroyed at the end of FY 95. (One-time surveys will not become inactive until superseded by the next survey of the same data.)

701-09

Big Cities Review Files

Files developed in the special, comprehensive review of urban school systems in New York, Philadelphia, Chicago, and Los Angeles to determine if these systems are in compliance with Title VI, Title IX and Section 504. Included are contracts and related materials, monthly progress reports, preliminary analyses, final narrative reports, administrative files.

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7.  
ITEM NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)9.  
SAMPLE OR  
JOB NO10  
ACTION T/Disposition:

a. Contract records. See General Records Schedule (GRS) 3, Item 4, Routine Procurement files.

b. Monthly progress reports and preliminary analyses. Destroy with related contract records.

c. Final narrative reports. PERMANENT. Offer to NARS on completion of project. (Arranged by name of report. Volume: 4 reports).

701-10

Case Management Data Files

Forms and reports used for management purposes in monitoring the investigation of Civil Rights cases.

Disposition:a. Open Case System:

1. Monthly Case Control Forms: Cutoff annually, destroy two years after cutoff.

2. Closed Case Control Forms: Cutoff annually, destroy two years after cutoff.

3. Time Sheets: Cutoff annually, destroy one year after cutoff.

4. Case Disposition Report: Cutoff annually, destroy two years after cutoff:

b. Closed Case System: Printout reports. Cutoff annually, destroy one year after cutoff.

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION
701-11	<p><u>Letters of Findings (LOF)</u></p> <p>A comprehensive file of all letters of findings for complaints and compliance reviews issued by regional offices. These files are maintained by OMA for budget analysis to determine when compliance reviews should be conducted, for program analysis to identify precedential cases, and for purposes of administrative management.</p> <p style="text-align: center;"><u>Disposition:</u></p> <p>OCR/OMA: Cutoff annually after issuance of LOF. Transfer to Washington National Records Center (WNRC) four years after cutoff. Destroy ten years after cutoff.</p>		
701-12	<p><u>Case Production Statistical Data</u></p> <p>Data developed in analyzing case workloads on a national and regional basis. Charts or reports are prepared from this data to compare regional progress and MITS objectives, and to chart regional progress in each complaint and compliance review category.</p> <p style="text-align: center;"><u>Disposition:</u></p> <p>Destroy when no longer needed for administrative purposes.</p>		
701-13	<p><u>Early Warning Reports</u></p> <p>Reports of letters of findings prepared by the regions and ready for release. These reports are evaluated by headquarters staff to determine if there is reason to withhold immediate release.</p> <p style="text-align: center;"><u>Disposition:</u></p> <p>Cutoff annually after preparation of report, destroy two years after cutoff.</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	ACTIO
701-14	<p><u>Special Problems and Requirements Survey</u></p> <p>Reports developed from interviews with regional officials concerning workload, records, staff needs, and staff efficiency. These reports are used by management personnel to analyze problems in the regions and to develop solutions to ensure better management.</p> <p><u>Disposition:</u></p> <p>Cutoff annually, destroy four years after cutoff.</p>		
701-15	<p><u>Conference Briefing Reports</u></p> <p>Reports developed on a particular region in anticipation of a conference with the Regional Director. These reports are summaries of regional activities, and provide information on complaint processing, compliance reviews, compliance with the ADAMS order, and administrative matters.</p> <p><u>Disposition:</u></p> <p>Cutoff annually destroy one year after cutoff.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION
------------	---	---------------------	------------

702-01

~~Case Information Management System (CIMS)~~

This automated system of files monitors each complaint or case of discrimination filed with OCR from the initial action to final resolution. The system contains background to the complaint, the action taken by OCR to investigate and resolve the complaint, the amount of time spent by OCR personnel, and the final disposition. The system produces a series of reports which document the number and types of complaints and the effectiveness of OCR's investigative and enforcement activities and techniques.

Input documents to the system are scheduled on NCI-235-80-/, item 701-10a, and reports from the system are scheduled on NCI-235-80-/, item 701-10b.

Disposition:

- a. Input or initial data files. Destroy after input into the system and no longer needed for reconstruction of the master data base.
- b. Processing files. Destroy after master data base files have proved satisfactory.
- c. Master data base files. Destroy when no longer needed for agency use.
- d. Print or publication files. Destroy upon issuance of reports or publications.

WITHDRAWN

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION T/
------------	---	---------------------	---------------

702-02

~~Elementary and Secondary School Civil Rights Surveys, biennial starting in 1968. 1-2 tapes per survey.~~

The machine-readable data files are compiled from OCR Forms 101 and 102 which are designed to assist in monitoring the progress of desegregation in elementary and secondary schools nationwide.

Information on the student body is broken down by race, ethnicity, and sex at the system, school and classroom levels. Staff data is also included in the 1968, 1970, and 1972 files.

Related textual records are scheduled on NCI-235-80- / , item 701-08.

Disposition:

a. Final edited master. PERMANENT. Transfer to the National Archives biennially as preparation of the final master is completed.

b. Copies of the final master at headquarters used for in-house reference or analysis. Destroy when no longer needed for agency use.

c. Copies of the final master in regional offices used for in-house reference or analysis. Destroy when no longer needed for agency use.

WITHDRAWN

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION T/
702-03	<p><del>Limited Elementary and Secondary School Civil Rights Surveys, biennial in 1969, 1971, and 1973. 1-2 tapes per survey.</del></p> <p>These machine-readable data files were compiled from OCR Forms 101 and 102 as in item 2 above, but they cover only a small portion of the systems included in even years surveys. The limited surveys were discontinued after 1973.</p> <p>Related textual records are scheduled on NCI-235-80- / , item 701-08.</p> <p><u>Disposition:</u></p> <p>a. <u>Final edited master tape, copies used for in-house reference or analysis at headquarters and in regional offices. Destroy when no longer needed for agency use.</u></p>		WITHDRAWN
702-04	<p><u>Big Cities or Urban School Review Files (Equal Education Services Review), 1973-data.</u> Approximately 700 tapes.</p> <p>These machine-readable data files were compiled as part of the special comprehensive review of urban school systems in New York City, Philadelphia, Chicago, and Los Angeles conducted to determine if these systems are in compliance with Title VI, Title IX, and Section 504. Data begins in 1973 for New York and in 1975 for the other three cities. The master data base is continuously updated from tapes sent per OCR request primarily from the cities, but also from state and federal agencies. The data collection began as a shotgun approach, gathering a wide range of information in New York; when the other cities were added to the review, however, the scope was gradually narrowed and more specific concerns for each city were identified.</p> <p>Related textual records are scheduled on <del>NCI 235 80 / , item 701-09.</del></p>		WITHDRAWN

**Request for Records Disposition Authority - Continuation**

JOB NO

PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION T
702-05	<p><u>Disposition:</u></p> <p>a. <u>Original input tapes</u> (approximately 200 tapes) received from cities, states, and federal agencies which are needed for legal backup of master data base as proof of what data was submitted. PERMANENT. Offer to National Archives as soon as no longer needed for project or upon termination of the project, whichever is sooner.</p> <p>b. <u>Copies of original input tapes</u> (approximately 200 tapes) made by OCR which are cleaned, edited, and used for updating and merging new data with master file. Destroy when no longer needed for project.</p> <p>c. <u>Processing tapes</u> (approximately 250 tapes). Destroy after most recent update of the master file has proven satisfactory.</p> <p>d. <u>Master data base</u> (equivalent to approximately 50 tapes). PERMANENT. Transfer to the National Archives at termination of project according to FPMR 101-11.411-9.</p> <p><u>ADAMS Files</u> (Files on Progress in Implementing Statewide Higher Education Desegregation Plans) annual since 1975. Approximately 3 tapes per survey.</p> <p>These machine-readable data files are compiled annually to monitor desegregation plans in the public higher education systems of several states cited as part of an order in <u>Adams v. Califano</u> litigation: Arkansas, Florida, Georgia, North Carolina, Oklahoma, Pennsylvania, and Virginia. The files are compiled from yearly surveys known by progressive numbers (e.g., the OCR 1000 Survey was taken in 1975, the OCR 2000 Survey was taken in 1976, and so on).</p>		WITHDRAWN

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TA
---------------	---	---------------------------	-----------------

~~The surveys contain detailed information collected in October of each year on employees of colleges, universities, and state agencies and governing boards related to higher education; applications, acceptances, and actual enrollments for each college's student body; financial assistance granted; degrees and other formal awards conferred; and progression of students in higher education programs.~~

Related textual records are scheduled on NCl-235-80- / , item 701-06.

Disposition:

- a. Program and print tapes (1-2 tapes per survey). Destroy when no longer needed for agency use.
- b. Final clean master file (1 tape per survey). PERMANENT. Transfer to National Archives annually as soon as preparation of final master is completed..
- c. Copies of final master at headquarters used for in-house reference and analysis. Destroy when no longer needed for agency use.
- d. Copies of final master in regional offices used for in-house reference and analysis. Destroy when no longer needed for agency use.

702-06

Higher Education Civil Rights Survey Files, biennial in 1968, 1970, 1972, and 1974. 1 tape per survey.

These machine-readable data files were compiled biennially from Forms OS-10 and OS-34 to assist in monitoring desegregation in ~~institutions of higher education nationwide.~~

WITHDRAWN

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION T/
702-07	<p><del>Information for full and part time students is broken down by race, ethnicity, and sex. the survey was discontinued after 1974.</del></p> <p>Related textual records are scheduled on NCI-235-80- / , item 701-08.</p> <p><u>Disposition:</u></p> <p>a. <u>Final edited master.</u> PERMANENT. Transferred to the National Archives per NC3-235-80-X .</p> <p>b. <u>Copies of the final master at headquarters</u> used for in-house reference or analysis. Destroy when no longer needed for agency use.</p> <p>c. <u>Copies of the final master in regional offices</u> used for in-house reference or analysis. Destroy when no longer needed for agency use.</p> <p><u>Machine-Readable Files for One-Time or Short-Term Studies or Projects</u></p> <p>OCR personnel frequently engage in one-time short-term studies or projects on a wide range of topics. They usually entail extracting and manipulating data from the large data files created or held by OCR which are listed separately in this schedule. The projects might focus on a particular school system or state, or they might compare data on a particular topic from several selected geographic areas.</p>		

WITHDRAWN

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION
---------------	---	---------------------------	--------------

Disposition:

a. Tapes containing extracts of data or reformatted data from OCR files previously scheduled. Destroy tapes at termination of project or when no longer needed for reference or analysis.

b. Tapes containing data in addition to that contained in OCR files previously scheduled. Submit SF-115, Request for Disposition Authority, to NARS.

## Request for Records Disposition Authority - Continuation

JOB NO

138

PAGE OF

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
801-01.	<p><u>HEW Audit Agency Reporting Files</u> Final audit reports and supporting documentation relating to closeout actions and audit resolution. These records are maintained by headquarters HEW AA.</p> <p><u>Disposition:</u></p> <p>a. HEW-produced audits. Destroy six years after close of the FY year in which report is issued.</p> <p>b. Other audits. Destroy <del>two</del> <sup>four</sup> years after close of the FY in which report is issued.</p>	B 100, #6	
801-02.	<p><u>Regional Office Audit Reports and Related Workpapers</u> Regional office audit case files consisting of final reports and related workpapers. Included are analyses, or audit survey documentation, tentative findings, and recommendations, and other official correspondence and similar documents.</p> <p><u>Disposition:</u></p> <p>a. Audits for which an audit clearance document (ACD) or other document evidencing final resolution is required. Destroy four years after close of FY in which ACD is received.</p> <p>b. Audits for which an ACD is not required. Destroy four years after close of FY in which report is issued.</p>	B 200, #52	
801-03.	<p><u>Audit and Survey Workpaper Files - Division of Social Security Audits and Washington Area Audit Office</u> Audit and survey workpaper files maintained by DSSA and WAAO. Documentation includes information and evidence relating to the audit or survey assignment and may contain analyses; schedules, reviews, and critiques of the audit or survey assignment; summaries of objectives, findings, and conclusions; and other related materials.</p> <p><u>Disposition:</u></p> <p>a. Audit workpaper files. Destroy six years after close of the FY in which final report is issued.</p> <p>b. Survey workpaper files. Destroy six years after close of the FY in which survey or final report is issued, whichever is earlier.</p>	B 100, #7 and NCI-235- 78-3/1	167

139

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
801-04	<p><u>HEW Audit Agency Handbooks</u> The <u>HEW Audit Agency Policy Handbook</u> defines major agency policies concerning audit standards, and outlines the mission and organization of the audit agency. The <u>HEW Audit Agency Procedures Handbook</u> provides instructions for the implementation of audit policy standards. These handbooks are published for the guidance and use of all members of the audit agency.</p> <p><u>Disposition:</u></p> <p>a. Policy handbook. PERMANENT. Transfer record copy to WNRC when revised or superseded. Offer to NARS ten years after revision or supersession.</p> <p>b. Procedures handbook. Destroy five years after complete supersession, or <del>then</del> <sup>when</sup> no longer needed for administrative purposes, whichever is earlier.</p>		
801-05	<p><u>Employee Training File</u> Correspondence, memorandums, reports, and other records relating to the availability of training and employee participation in training programs sponsored by the National Professional Development Center (DHEW). Files may include notices of class availability, class rosters, and copies HEW Form 350, Training Nomination and Authorization.</p> <p><u>Disposition:</u> Cutoff at close of the FY. Destroy when five years old or when superseded or obsolete, whichever is earlier.</p>		
801-06	<p><u>Training Materials File</u> Files developed for and used in NPDC training courses. Included are handouts, charts, graphs, transparencies, course outlines, and similar materials.</p> <p><u>Disposition:</u></p> <p>a. Cutoff at close of the FY. Destroy five years after material is superseded or the course continued.</p> <p>b. Destroy background materials when training material is superseded or the course is discontinued.</p>		

168

140

Request for Records Disposition Authority - Continuation

JGB NO .

PAGE OF

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
801-07.	<p><u>Publications of the National Professional Development Center.</u></p> <p><u>Footnote</u>, the instructional and professional publication of NPDC, and related publications.</p> <p><u>Disposition:</u></p> <p>a. Record copy. Destroy five years after complete supersession, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>b. Background materials. Destroy three years after publication, or when no longer needed for administrative purposes, whichever is earlier.</p>		
801-08.	<p><u>Project Match Case Files</u></p> <p>Documentation pertaining to Project Match in which DHEW matched Federal and welfare payrolls to identify Federal employees who receive illegally payments under the Aid-to Families-with Dependent-Children program. Included in these files are worksheets, certificates of overpayments, pay data, and related papers. Arranged by State and thereunder by Social Security number.</p> <p><u>Disposition:</u> Cutoff at close of the FY in which case is closed and transfer to WNRC. Destroy five (5) years after the close of the FY in which closed.</p>		
802-01.	<p><u>Investigative Files.</u></p> <p>Case files developed in investigations of alleged fraud and abuse in programs and operations administered or financed by HEW, including allegations of fraud and abuse by Department contractors, grantees, or other groups or individuals funded or supported by the Department. Included in these files are investigative documents, related correspondence, and intelligence data received from other law enforcement agencies. Among the files are '0' cases that contain information required for preliminary inquiries.</p>		

169

## Request for Records Disposition Authority—Continuation

JOB NO

PAGE OF

141

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
802-01.	<p>Continued</p> <p>a. Cases of headquarters and field offices.</p> <p>Disposition: Transfer to closed file on final resolution of the case. Review closed file annually, and destroy individual cases five years after final resolution.</p> <p>b. Indexes.</p> <p>Disposition: Hold until no longer needed for administrative purposes and then destroy.</p>		
802-02.	<p><u>Investigative Support Files ('00' Cases).</u></p> <p>Case files that provide general information concerning Federal operations and procedures relating to investigations, legal options, court decisions, and other matters that may prove useful in Department investigation operations. These files do not relate to specific investigations.</p> <p>Disposition: Destroy when five years old.</p>		
802-03.	<p><u>Field Office Administrative Files.</u></p> <p>Documents pertaining to relations with field investigations offices on topics concerning administration, procedures, and internal management rather than policy functions of the office. These may include copies of correspondence and reports prepared in field offices and forwarded to central office for review and comment.</p> <p>Disposition: Destroy when three years old.</p>		
802-04.	<p><u>Congressional Reference File.</u></p> <p>Copies of correspondence between Congressional committees and IG relating to investigations. Included are incoming correspondence, IG response, and supporting papers. These files are maintained for administrative control purposes and essentially duplicate program correspondence or correspondence of the Secretary.</p> <p>Disposition: Destroy when five years old, or earlier if no longer needed for reference.</p>		

170

142

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
802-05.	<p><u>Office of Investigations and Security Establishment File.</u> Correspondence, reports, mission statements, organization charts, and similar documents pertaining to the establishment of the Department's investigative functions and activities in 1973. These files document the inception of the program in the Office of Investigations and Security and the transition to IG. Arrangement: Chronological. Volume: Less than one cubic foot.</p> <p>Disposition: PERMANENT. Offer to NARS when 20 years old.</p>		

## Request for Records Disposition Authority--Continuation

JOB NO .

PAGE OF

143

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
900-01.	<p>The records series listed below do not necessarily describe the files of the U.S. Office of Consumer Affairs as these files are currently organized. In most offices, files are included in correspondence files which are arranged alphabetically by subject, state, Federal agency, or some other identifying category.</p> <p>OCA may continue to file most correspondence in general subject files if such an arrangement is useful for retrieval purposes and the volume of files is manageable. The series included in this schedule, however, represent an alternative method of arranging certain basic series of files that are found in most Federal agencies.</p> <p>Official correspondence files should include general correspondence on selected subjects. Case files, e.g. consumer complaints, special project files, press releases, etc., may include correspondence which relates specifically to the particular case folder. The subject classification system for consumer affairs (CA) and the other subject classification systems of this manual are used, therefore, in the arrangement of general correspondence files only.</p> <p>OCA may use the records series described in other sections of this manual if these series are appropriate for OCA records. Since this manual is the Files Manual of the Office of the Secretary, DHEW, we have not repeated on the OCA section those records of OS which OCA may also maintain.</p> <p><u>Official Correspondence Files.</u></p> <p>Correspondence, reports, forms, and other records pertaining to the administration and operation of the Office of Consumer Affairs, but excluding files described in "Records Common to Most Offices."</p> <p><u>Disposition:</u></p> <p>A. Files arranged according to the Subject Classification System, especially the CA section, that document policies, primary program responsibilities, and the overall organizational objectives of OCA. PERMANENT. Cutoff at the close of the FY.</p>		

172

144

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
<p>900-02.</p> <p>900-03.</p>	<p>Transfer to WNRC if volume warrants. Offer to NARS when 20 years old.</p> <p>B. Files that relate to administrative, non-primary program subjects, and all subject categories not covered by "A" above. Cutoff at the close of the FY. Destroy five years after cutoff.</p> <p>NOTE: Record copies of official correspondence files may be maintained at various locations throughout OCA. The official record copies, however, should be centralized within each program component of OCA. Files which are considered White House files should be maintained separately and identified as White House files.</p> <p><u>Federal Liaison Files.</u></p> <p>Files which document liaison between OCA and other Federal agencies in relation to consumer matters. Arranged by name of agency. (This file should serve as an information file. Any documents that are appropriate for filing under item 900-01-A should be removed from this file and placed under the appropriate subject of the Official Correspondence File).</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy five years after cutoff, or when no longer needed for administrative purposes, whichever is earlier.</p> <p><u>State/Local Consumer Information File.</u></p> <p>Consists of correspondence with state and local organizations on consumer affairs. Arranged by name of state or local organization. (Official correspondence should be removed from this file and placed in item 900-01).</p> <p><u>Disposition:</u></p> <p>Cutoff at the close of the FY. Destroy five years after cutoff, or when no longer needed for administrative purposes, whichever is earlier.</p>		

173

145

Request for Records Disposition Authority - Continuation	JOB NO.	PAGE OF	
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
900-04.	<p><u>Consumer Complaints File.</u></p> <p>General correspondence relating to specific complaints of individual consumers or organizations. Included are the incoming letter, OCA response, and related materials.</p> <p><u>Disposition:</u></p> <p>Cutoff file at the close of the FY year. Destroy five years after cutoff, or when no longer needed for administrative purposes, whichever is earlier.</p>		
900-05.	<p><u>Special Studies and Projects File.</u></p> <p>Consists of reports or publications reflecting special studies relating directly to the mission of OCA, annual reports, and related background materials. (See the Management &amp; Budget schedule for internal management studies).</p> <p><u>Disposition:</u></p> <p>A. Record copy of report or publication. PERMANENT. Offer to NARS when 20 years old.</p> <p>B. Background materials. Destroy six months after final action on project report or three years after completion of report if no final action is taken.</p>		
900-06.	<p><u>Press Releases and Speeches.</u></p> <p>Official speeches of the Director, OCA and record copies of all OCA press releases. Arranged by date of speech or press release.</p> <p><u>Disposition:</u></p> <p>PERMANENT. Cutoff at the close of the FY. Offer to NARS when 20 years old.</p>		
900-07.	<p><u>Newsclippings File.</u></p> <p>Reference file of newclippings relating to items of interest to OCA programs and functions.</p>		194

146

Request for Records Disposition Authority - Continuation

JOB NO .

PAGE OF

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u></p> <p>Destroy when no longer needed for reference.</p>		

125