

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-442-93-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Superseded by N1-442-09-001 Bucket 1, 3, and 4

Item 27A, 36, 41, 45, 48A4-2, 49, 50A, 52A, 53A, 61, 74A, 75A, 85A, 89A, 92A, 94, 100B1, 101B, 103, 105B, 110A2, 110B, 112, 115C, 117B, 117C, 120C1, 120D1, 127A are superseded by Bucket 1

Item 5, 28A, 38, 63, 64, 73A, 83, 85B, 90, 95, 97, 98A, 99, 101A, 102, 104, 105A, 110A1, 110E, 111, 115A, 115B, 116, 118, 119, 120B1, 120C2, 120E, 122-125, 126A, 129 are superseded by Bucket 3

All remaining items are superseded by Bucket 4

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only) NUMBER N1-442-93-1	
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 3-31-93	
1 FROM (Agency or establishment) DEPARTMENT OF HEALTH AND HUMAN SERVICES		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request including amendments is approved except for items that may be marked disposition not approved or withdrawn in column 10 ACTING	
2 MAJOR SUBDIVISION U.S. PUBLIC HEALTH SERVICE			
3 MINOR SUBDIVISION AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY		DATE 3/7/94 ARCHIVIST OF THE UNITED STATES Raymond A. Mundy	
4 NAME OF PERSON WITH WHOM TO CONFER JOHANNA O. BONNELLYCKE, PHS RECORDS MANAGEMENT OFFICER			
5 TELEPHONE (301) 443-2055			
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>108</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested			
DATE 03/26/93	SIGNATURE OF AGENCY REPRESENTATIVE A Prentice Barnes, Sr.	TITLE RECORDS MANAGEMENT OFFICER DEPARTMENT OF HEALTH AND HUMAN SERVICES	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	THE FOLLOWING IS A COMPREHENSIVE RECORDS CONTROL SCHEDULE FOR THE AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY. WILLIAM D. ADAMS DEPUTY ASSISTANT ADMINISTRATOR ATSDR DEBORAH WEIMER ATTORNEY ADVISOR OFFICE OF GENERAL COUNCIL CDC/ATSDR JIMMY A. HARRISON RECORDS MANAGEMENT OFFICER CDC/ATSDR		

Copies sent to Agency, NSR, NSX, NCF, NIA @ 3/10/94

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AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY

BACKGROUND

The Agency for Toxic Substances and Disease Registry (ATSDR) is a Federal public health agency located in Atlanta, Georgia. It is part of the Public Health Service within the U.S. Department of Health and Human Services. Created by Superfund legislation in 1980, ATSDR's mission is to prevent or mitigate adverse human health effects and diminished quality of life resulting from exposure to hazardous substances in the environment. ATSDR's responsibilities are specified in the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) as amended in the Superfund Amendments and Reauthorization Act (SARA) of 1986 and in amendments (Hazardous and Solid Waste Amendments of 1984) to the Resource Conservation and Recovery Act (RCRA).

To carry out its responsibilities, ATSDR (1) evaluates data and information on the release of hazardous substances into the environment to assess any current or future impact on public health, develops health advisories or other health recommendations, and identifies studies or actions needed to evaluate and mitigate or prevent adverse human health effects; (2) summarizes and interprets available data on the health effects of hazardous substances in consultation with the Environmental Protection Agency (EPA) and other programs and agencies of PHS, and in cooperation with the National Toxicology Program (NTP), initiates toxicologic research to determine the health effects of designated hazardous substances, where needed; (3) provides health related support in public health emergencies, including public health advisories involving exposure to hazardous substances; (4) establishes and maintains a registry of persons exposed to hazardous substances and a registry of serious diseases and illnesses in persons exposed to toxic substances as a result of environmental exposure; (5) expands knowledge of the relationship between exposure to hazardous substances and adverse human health effects, through epidemiologic, toxicologic, laboratory, and other studies on hazardous substances; (6) develops and disseminates to physicians and other health care providers informational materials on the health effects of toxic substances; (7) establishes and maintains a publicly accessible inventory on hazardous substances; (8) assists service and research programs in occupational safety and health to protect workers at Superfund sites and workers who respond to emergency release of hazardous substances; (9) maintains a nationwide list of sites that are closed or restricted to the public because of contamination by hazardous substances.

Site specific records in this schedule will be managed in accordance with the ATSDR regulations set out at 42 C.F.R. §90.13.

Records which have been transferred to the National Archives and which are found to be duplicative, disposable under the GRS or described in Part 1 (RCMO), may be destroyed during archival processing without further agency concurrence.

PART 1. RECORDS COMMON TO MOST OFFICES (RCMO)

Items 1 - 15 are miscellaneous files consisting of ATSDR reading files, office administrative files, records management files, unofficial copies of Extramural Records, copies of Extramural Records which are needed for cost recovery or site specific activities, supervisors' personnel files and duplicate official personnel folder documentation, unofficial travel records, time and attendance records, word processing files, tracking and control files, indexing and finding aids files, indexes and check lists files, Federal facilities work files (duplicates), scientific background records, and agency newsletters. Items 16 - 20 are Freedom of

Information Act files; while, items 21 - 26 are Privacy Act files.

1. **ATSDR Reading Files**

This file consists of duplicate copies of outgoing correspondence maintained by most ATSDR offices. The official file copies are usually maintained in the originating division or office along with incoming material.

Authorized Disposition: Do not transfer to an FRC. Destroy when 6 months old.

2. **Office Administrative Files**

GRS 23/1

These files include records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts, and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. This item may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old, or when no longer needed, whichever is sooner.

3. **Records Management Files**

Consists of material such as record control schedules (SF-115 and printed manuals), electronic and textual records inventory forms and related working files, and miscellaneous reference materials. These records include those which document the transfer of records to a Federal Records Center (SF-135) or off-site storage facility, the transfer of permanent records to the National Archives (SF-258) and the donation of records to a private or public organization. Some records document the destruction of records maintained at a Federal Records Center (National Archives Form No. 13001).

A. **Record Copies of Inventory Lists, Records Control Schedules and Printed Manuals**

Authorized Disposition: Do not transfer to an FRC. Destroy when records schedules and inventories are obsolete, and/or superseded by new or revised material.

B. **Record Copies of Records Documenting Records Destruction (Form NA form no. 13001), Transfer of Records to The National Archives, (SF-258) or Donation of Records to a Private or Public Organization**

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 30 years old, whichever comes first.

C. Records Documenting Transfer of Records to a Federal Records Center (SF-135 and related box lists) or Off-Site Storage Facility

Authorized Disposition: Do not transfer to an FRC. Destroy 30 years after related records have been destroyed.

D. All Other Records

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

4. Reference Copies of Extramural Records (Contracts, Cooperative Agreements, Grants, MOUs, and IAGs Files)

Consists of duplicate records maintained by various ATSDR employees and offices for reference purposes only and which are not needed for long-term potential cost recovery or site specific activity. These files may consist of such records as copies of IAGs, MOUs, contracts, cooperative agreements, or grants, miscellaneous routine correspondence, and related documentation. Also covered under this item are routine correspondence and memoranda not included in the official files. Official ATSDR copies of these records are covered in Item 5 below. In addition, original contracts, grants, and cooperative agreements are maintained by the Procurement and Grants Office and the Financial Management Office, CDC, and are covered in the GRS and CDC Records Control Schedule. OPOM also maintains copies of ATSDR IAGs. NON-RECORD

Authorized Disposition: Do not transfer to an FRC. Destroy when 5 years old or when no longer needed for administrative purposes, whichever comes first.

5. Copies of Extramural Records (Contracts, Cooperative Agreements, Grants, MOUs, and IAGs) Which Are Needed For Cost Recovery or Site Specific Activities.

These records consist of such material as copies of contracts, cooperative agreements, grants, MOUs, and IAGs, background information and working papers, correspondence, miscellaneous support data, research records, scientific investigative records, peer review comments, and miscellaneous reference material. Some of this material may be duplicated in files maintained by OPOM or CDC. However, some of the background records, especially the more voluminous scientific analysis records and site specific records may not be included in those files and should be retained for long term review and analysis related to various scientific investigations and cost recovery activity. Some of the contracts and grants which pre-date 1990 are the only extant records which are used in ATSDR cost recovery efforts. These records are maintained by OPOM, DHE, DHS, and DT.

A. Files Which Have Potential Use In Cost Recovery Efforts

Authorized Disposition: Cut off closed case files at the end of the fiscal year. Maintain in an inactive file. Transfer to an FRC is authorized 1 year after cutoff. Destroy when 40 years old, or when all cost recovery activity has ended, whichever comes first (for those records stored in an FRC, ATSDR will notify the FRC if certain cost recovery activity on records has ended before the 40 year retention period).

B. Other Extramural Records

Authorized Disposition: Cut off closed case files at the end of the fiscal year. Maintain in an inactive file. Transfer to an FRC 1 year after cutoff. Destroy 30 years after cutoff, unless still needed for site specific activity.

6. Supervisors' Personnel Files and Duplicate Official Personnel Folder (OPF) Documentation

A. Supervisors' Personnel Files GRS 1/18

Correspondence, forms and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder (OPF).

Authorized Disposition: Do not transfer to an FRC. Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

B. Duplicate OPF Documentation GRS 1/18

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Authorized Disposition: Do not transfer to an FRC. Destroy when 6 months old.

7. Unofficial Travel Records Files

These are copies of records associated with the movement of passengers and freight associated with official business. This item includes such records as copies of vouchers and supporting documents and passenger reimbursement files. Official travel files for ATSDR are maintained in the Office of Program Operations and Management, (OPOM), ATSDR, and are covered under part 7, item 58. Original travel records should be forwarded to OPOM upon completion of travel.

Authorized Disposition: Do not transfer to an FRC. Cut off at the end of the fiscal year. Maintain in an inactive file. Destroy when 2 years old.

8. Time And Attendance Records Files GRS 2/3

Consists of such records as payroll preparation and processing records and flexitime attendance records such as sign-in/sign-out forms and other time accounting forms used for time accounting under the flexitime system.

A. Optional Form 1130 or Equivalent

(1) Payroll preparation and processing copies

Authorized Disposition: Do not transfer to an FRC. Destroy after GAO audit or when 6 years old, whichever is sooner.

(2) All other copies

Authorized Disposition: Do not transfer to an FRC. Destroy 6 months after the end of the pay period.

B. Flexitime Attendance Records

Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.

Authorized Disposition: Do not transfer to an FRC. Destroy after GAO audit or when 3 years old, whichever is sooner.

9. Word Processing Files

GRS 23/2

Documents such as letters, messages, memoranda, reports, handbooks, directives, and manual records on electronic media such as hard disks or floppy diskettes.

A. When Used to Produce Hard Copy Which Is Maintained In Organized Files

Authorized Disposition: Do not transfer to an FRC. Delete electronic files when no longer needed to create a hard copy.

B. Word Processing Files Duplicating Records Which Were Authorized For Disposal In Hard Copy Form

Authorized Disposition: Do not transfer to an FRC. Delete after the expiration of the retention periods authorized for the hard copy covered elsewhere in this schedule.

10. Tracking and Control Files

GRS 23/8

Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction under other items in this records control schedule.

Authorized Disposition: Do not transfer to an FRC. Destroy or delete when no longer needed for administrative or reference purposes.

11. Indexing and Finding Aids Files

GRS 23/9

Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction under other items contained in this records control schedule. These files do not contain abstracts or other information that can be used as an information source apart from the related records.

Authorized Disposition: Do not transfer to an FRC. Destroy or delete with the related records or sooner if no longer needed for administrative or reference purposes.

12. Indexes and Check Lists Files

GRS 14/6

Bibliographies, check lists, and indexes of agency publications and releases, excluding those relating to record sets scheduled as permanent.

Authorized Disposition: Do not transfer to an FRC. Destroy when superseded or obsolete.

13. Federal Facilities Work Sheets Files (Duplicates)

Date from 1990 to the present. The documents in these files are duplicate copies of originals which are filed in the Administrative Services Activity, Office of Program Operations and Management. The documents show the number of hours and the percent of time an individual worked on a particular site for a particular Federal facility or office (Department of Defense or Department of Energy). These duplicate files are found in the Office of Federal Programs, Division of Health Education, Division of Health Studies, and Division of Toxicology.

Authorized Disposition: Do not transfer to an FRC. Cut off at the end of the fiscal year. Maintain in an inactive file. Destroy when 5 years old.

14. Scientific Background Records

These records are produced by analysts at ATSDR during the development of health assessments, consultations, etc. These records are not included in the official case files which are maintained by Division of Health Assessment and Consultation (DHAC), Records and Information Management Branch (RIMB), and are not covered under other items in this schedule. They consist of rough notes, data collection forms, editorial and scientific review documents, internal memoranda, photographs, audio tapes, video tapes, and miscellaneous working papers. The photographs and audiovisual records are usually not required to develop the various analyses and are used for reference purposes only. The other records covered under this item are used for the development of the various studies.

Authorized Disposition: Do not transfer to an FRC. Destroy 5 years after completion of final health assessment, consultation, etc.

15. Agency Newsletters

Consists of newsletters developed by ATSDR and its offices, divisions, and branches which contain routine information on agency employees, activities, projects, equipment acquisitions and uses, and technical tips. These are not considered official agency publications.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when six months old, whichever comes first. (Note: Reference material may be retained for future use. These materials should not be included in official ATSDR files).

16. Freedom of Information Act (FOIA)

GRS 14/11

Request Files

These files are created in response to requests for information under the Freedom of Information Act consisting of copies of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof. **NOTE: Official copies of incoming FOIA requests and response letters are also maintained by CDC's FOIA office.**

A. Correspondence And Supporting Documents (excluding the official file copy of the records requested if filed herein)

(1) Granting access to all the requested records

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees

(a) Request not appealed

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after date of reply.

(b) Request appealed

Authorized Disposition: Do not transfer to an FRC. Destroy as authorized under Item 17 below, FOIA Appeals Files.

(3) Denying access to all or part of the records requested

(a) Request not appealed

Authorized Disposition: Do not transfer to an FRC. Destroy 6 years after date of reply.

(b) Request appealed

Authorized Disposition: Do not transfer to an FRC. Destroy as authorized under Item 17 below, FOIA Appeals Files.

B. Official File Copy of Requested Records

Authorized Disposition: Dispose of in accordance with approved ATSDR disposition instructions contained in this schedule for the related records, or with the related FOIA request, whichever is later.

by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

A. Correspondence And Supporting Documents
(excluding the file copy of the records under appeal if filed herein)

Authorized Disposition: Do not transfer to an FRC. Destroy 6 years after final determination by agency or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.

B. Official File Copy Of Records Under Appeal

Authorized Disposition: Dispose of in accordance with approved ATSDR disposition instructions contained in this records schedule for the related record, or with the related FOIA request, whichever is later.

18. FOIA Control Files GRS 14/13

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

A. Register Or Listing

Authorized Disposition: Do not transfer to an FRC. Destroy 6 years after date of last entry.

B. Other Files

Authorized Disposition: Do not transfer to an FRC. Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

19. FOIA Reports Files GRS 14/14

Recurring reports and one time information requirements relating to the agency implementation of the Freedom of Information Act.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old or sooner if no longer needed for administrative or reference purposes.

20. FOIA Administrative Files GRS 14/15

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old or sooner if no longer needed for administrative or reference purposes.

21. Privacy Act Requests Files GRS 14/21

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof. **NOTE: Copies of original Privacy Act requests and replies are maintained by CDC's Privacy Act Office.**

A. Correspondence And Supporting Documents (excluding the official file copy of the records requested, if filed herein)

(1) Granting access to all the requested records

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees

(a) Requests not appealed

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after date of reply.

(b) Requests appealed

Authorized Disposition: Destroy as authorized under Item 22 below, Privacy Act Amendment Case Files.

(3) Denying access to all or part of the records requested

(a) Requests not appealed

Authorized Disposition: Cut off files annually. Maintain in an inactive file. Transfer to an FRC 1 year after date of reply. Destroy 5 years after date of reply.

(b) Requests appealed

Authorized Disposition: Destroy as authorized under Item 22 below, Privacy Act Amendment Case Files.

B. Official File Copy Of Requested Records

Authorized Disposition: Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

A. Requests To Amend Agreed To By Agency.

Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Authorized Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

B. Requests To Amend Refused By Agency.

Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Authorized Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

C. Appealed Requests To Amend.

Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Authorized Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

23. Privacy Act Accounting of Disclosure Files GRS 14/23

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Authorized Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

24. Privacy Act Control Files GRS 14/24

Files maintained for control purposes in responding to requests, including

registers and similar records listing date, nature of request, and name and address of requester.

A. Registers Or Listings

Authorized Disposition: Cut off files annually. Maintain in an inactive file. Transfer to an FRC 1 year after date of last entry. Destroy 5 years after date of last entry.

B. Other Files

Authorized Disposition: Cut off files after final action by the agency or final adjudication by courts, whichever is later. Maintain in an inactive file. Transfer to an FRC 1 year after final action by the agency or final adjudication by courts, whichever is later. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

25. Privacy Act Reports Files GRS 14/25

Recurring reports and one time information requirements relating to agency implementation, including biennial reports to the Office of Management and Budget.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old.

26. Privacy Act General Administrative Files GRS 14/26

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old or sooner if no longer needed for administrative or reference purposes.

PART 2. OFFICE OF THE ASSISTANT ADMINISTRATOR (OAA)

OFFICE OF THE ADMINISTRATOR

Directs and evaluates the program and activities of the agency and provides leadership for implementing statutory responsibilities.

The Administrator of ATSDR is also the Director of CDC. Documentation regarding decisions made at this level are preserved in files maintained in Office of the Administrator. These records are scheduled as permanent under the CDC Records Control Schedule B-321 Item 1b (NARA authorized Job # NCI-90-82-4) and CDC is responsible for their disposition.

OFFICE OF THE ASSISTANT ADMINISTRATOR

Develops, manages, coordinates, and evaluates all the health-related program activities of ATSDR that are mandated by the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and other statutes, and provides overall leadership in health related activities for hazardous waste sites and chemical releases.

27. General Administrative and Program Files

A. Substantive Correspondence and Program Files.

Date from 1980 to the present. These files consist of substantive correspondence and information on upcoming conferences and symposiums, speeches and testimony, committee records such as listing of members, minutes, and final reports, minority health information, budget requests and progress reports for cooperative agreements. Examples include records relating to the creation and development of ATSDR. Arranged alphabetically by subject.

Authorized Disposition: PERMANENT. Cut off files at end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 2 years old. Transfer to the National Archives when 20 years old.

Volume on Hand: 18 cubic feet
Estimated annual accumulation: 2 cubic feet.

B. Routine Correspondence and Projects. Date from 1989 to the present. Files which contain general correspondence of the Assistant Administrator and other staff members. The files contain general correspondence to a wide variety of individuals and organizations. It contains thank you notes, letters of recommendation, a wide variety of routine letters, routine internal committees and facilitative records relating to committee management. Arranged alphabetically. Substantive correspondence is included in the subject files mentioned in item 29 above.

Authorized Disposition: Do not transfer to an FRC. Cut off annually. Destroy when 2 years old.

28. Controlled Correspondence Files

Date from 1987 to the present. Consists of official copies of inquiries from congressional sources to ATSDR. Also includes copies of replies and appropriate backup material. The original inquiry is logged in at the Office of the Assistant Administrator (OAA). The Assistant Administrator assigns the inquiry to whomever is best qualified to answer. A draft reply is prepared for the ATSDR Administrator's signature. The draft, in both hard copy and E-mail form, is sent to the Assistant Administrator for approval. Upon approval, the original inquiry and the draft are forwarded to the ATSDR Administrator.

A. Correspondence

Authorized Disposition: Cut off files at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 2 years old or when volume permits. Destroy when 10 years old.

B. Controlled Correspondence Logs

Indexes to the above described correspondence maintained in paper and automated form. Contains data on when the letters are received, various actions, and other routine data.

Authorized Disposition: Do not transfer to an FRC. Destroy or erase log books and related data when 10 years old.

29. Health Activities Recommendation Panel (HARP) Files

Date from 1990 to the present. This is an intra-agency committee which makes determinations as to whether there should be follow-up health actions. Three questions are asked by HARP: 1) does the community need assistance in understanding about exposure?; 2) is exposure occurring which causes adverse health effects?; and 3) is there an indication or allegation that an adverse effect is happening? The chairperson is from DHAC. The records consist of the document (health assessment, health advisory, or consultation) being evaluated, audio tapes, minutes and summary of meetings, referrals from other divisions, summary reports, and HARP recommendations. The files are arranged geographically by regions of the United States.

WITHDRAWN
agency
request.
See file
memo
WIFE
TO
HARRISON
2/16/94

A. Audio Tapes

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer need to finalize HARP statement and Public Health Action Plans.

B. Official Copy (Hardcopy Records)

Authorized Disposition: PERMANENT. Cut off completed HARP files annually. Transfer to the FRC when 10 years old. Transfer to the National Archives when 30 years old.

C. Reference Copy

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

ATSDR WASHINGTON OFFICE

The ATSDR Washington Office was established in 1988, and the director reports to the Assistant Administrator, ATSDR. This office serves as the liaison between ATSDR and Congress to provide information on ATSDR issues; works with PHS level committees, Office of the Surgeon General, EPA, environmental organizations, public health organizations, chemical manufacturers, and with citizen groups. The office also handles telephone inquiries for information about the ATSDR from such interests as the Association of State and Territorial Public Health Officers and the American Public Health Association.

30. Washington Office Administrative Files

Date from 1988 to the present. These subject files contain correspondence, reference copies of various ATSDR policies, procedures and reports, mailing lists, personnel records, budget records, inquiries sent to the ATSDR Washington Office, time and attendance records, notes, copies of health assessments, messenger lists, routine administrative records, press releases, quarterly review documents, travel records, timekeeper information, and training information.

Authorized Disposition: Cut off files at the end of the calendar year. Place in an inactive file.

Transfer to the Washington National Records Center when 2 years old. Destroy when 5 years old.

31. **Washington Office Agency Representative Files**

Date from 1990 to the present. These files contain minutes from meetings, notes, memoranda, action items, instructions, confidential personnel information (promotions, awards, etc.). These files document the Washington Office Associate Administrator's representation for ATSDR on a variety of committees and meetings.

Authorized Disposition: Do not transfer to an FRC. Cut off at the end of the calendar year. Maintain in an inactive file. Destroy when 2 years old.

32. **Washington Office Legislative Files**

Date from 1989 to the present. The files primarily consist of reference files and contain copies of congressional bills, from the Congressional Record, copies of various agency comments, congressional staff comments, witness lists for hearings, copies of congressional testimony, copies of public laws, notes for the record, and copies of various memoranda.

Authorized Disposition: Do not transfer to an FRC. Review annually. Dispose of obsolete or superseded material.

PART 3. OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR SCIENCE (OAAS)

Background

This office is primarily responsible for the review of scientific policy and procedures conducted by ATSDR. The two major activities include the administration of the review of scientific health studies (peer review) and the Board of Scientific Counselors.

33. **General Administrative Files, Associate Administrator for Science**

Date from 1989 to the present. These general alphabetical subject files consist of a wide variety of administrative materials including travel, miscellaneous correspondence, memoranda, and communication with state public health providers.

Authorized Disposition: Cut off files annually. Maintain in an inactive file. Transfer to an FRC when 2 years old. Destroy when 5 years old.

34. **Board of Scientific Counselors Administrative Files**

Date from 1987 to the present. The Board consists of 11 members who meet at ATSDR twice a year to offer advice on program direction. Consists of summarized minutes of meetings, travel records, payroll records, general correspondence, agenda of meetings, personnel data, background material, copies of charter, and official copy of the nomination package. Most of the substantive material contained in these records is duplicated in the CDC Public Advisory Committee Files. These files are scheduled under the CDC Records Control Schedule, B-321, item 25, as permanent.

Authorized Disposition: Transfer to an FRC when 5 years old. Destroy when 10 years old.

35. **Miscellaneous Reference Files**

Date from 1989 to the present. These files consist of reprints, reference materials, duplicate copies of contracts, cooperative agreements, memorandums of understandings, and general correspondence.

Authorized Disposition: Do not transfer to an FRC. Review annually and dispose of material when no longer needed for administrative or reference purposes.

36. **Peer Review Comment Files**

Date from 1986 to the present. As health studies on humans are proposed by the divisions within ATSDR, they are forwarded to the Office of the Associate Administrator For Science (OAAS) and assigned an access number. The study protocol, data, and findings are analyzed by external peer reviewers, from which comes the information found in these files. The files consist of comments from peer reviewers, conflict of interest forms, bound finished comments, copies of protocol, final reports of studies, and miscellaneous correspondence. The files are arranged by access number. The results of these reviews will become part of the Division of Health Studies (DHS) portion of the HazDat data base.

Authorized Disposition: PERMANENT. Cut off closed files at end of calendar year. Maintain in an inactive file. Transfer to an FRC 5 years after cutoff. Transfer to the National Archives 10 years after cutoff.

Volume on Hand: 6 cubic feet

Estimated annual accumulation: 1.5 cubic feet.

37. **Curriculum Vitae Files**

Date from 1986 to the present. These files contain curriculum vitae of scientific persons interested in being peer reviewers for ATSDR research projects. Also included is a copy of a thank you letter to each person.

Authorized Disposition: Do not transfer to an FRC. Review annually and dispose of material when no longer needed for administrative or reference purposes.

38. **Pan American Health Organization (PAHO) Files**

Date from 1990 to the present. PAHO and the ATSDR have discussed and agreed on ways and means of collaboration in environmental public health program areas pertaining to hazardous substances of mutual interest and concern. It has been agreed that ATSDR will provide select technical assistance. PAHO will consult with individual PAHO and World Health Organization (WHO) member countries regarding the identification of applied research data relevant to ATSDR's statutory responsibilities. This has resulted in a 3 year project through a memorandum of understanding (MOU). These files contain a copy of the project plans, the memo of understanding, consultative information, and miscellaneous correspondence.

Authorized Disposition: Cut off files upon termination of project. Maintain in an inactive file. Transfer to an FRC 5 years after cutoff. Destroy 10 years after cutoff.

39. **Agency Research Information System (ARIS) Files**

Date from 1986 to the present. OAAS enters information from quarterly reports, human health studies, and other sources into a computerized data base. Data entered include such items as title of study, CERCLA site, city, congressional district, study type, contaminants, study start date, planned completion date, project abstract, and fiscal year accomplishments. There are 173 entries. This is an on-line system. It is used for tracking of health studies and results of research.

A. **Input**

Data is collected by various ATSDR divisions on human health studies proposed and undertaken by the divisions within ATSDR. Data on these projects include start date, end date, city, contaminant, and fiscal year accomplishments. Data on this tracking system is extrapolated from DHS quarterly reports on health studies and other available sources, such as National Toxicological Program (NTP) quarterly reports.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

B. **Data Contained In ARIS**

Data from 173 studies has been entered into ARIS. This data, described above, has been extrapolated from quarterly reports prepared by DHS and NTP on progress of active studies.

Authorized Disposition: Do not transfer to an FRC. Delete data when 10 years old or when no longer needed for administrative or reference purposes, whichever is sooner.

PART 4. OFFICE OF FEDERAL PROGRAMS (OFP)

BACKGROUND

The Office of Federal Programs (OFP) has been organized for about two years. At present the staff consists of an Associate Administrator and four other members. There are no branches.

The OFP plans, recommends, manages, and coordinates the policy and procedures under which ATSDR works with Federal agencies in the development of toxicological profiles for unregulated hazardous substances found at Federal facilities and the conduct of health assessments and other related health activities such as surveillance, registries, health surveys, pilot studies, health education, health studies, and related research; reviews the effectiveness and efficiency of all ATSDR Federal program operations; maintains liaison, negotiates and coordinates with the Federal departments where ATSDR is involved in Federal programs; provides management of budgetary and human resources of all ATSDR Federal program operations; monitors and prepares reports on all ATSDR Federal programs.

40. **General Administrative Files**

Date from 1989 to the present. These general alphabetic subject files document a wide variety of administrative and technical activities conducted by the OFP. They contain such records as copies of health assessments (the record copies of which are maintained by the Records and Information Management Branch, Division of Health Assessment and Consultation), background material for the cooperative agreements, staffing lists, copies of articles, and miscellaneous reference material.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 5 years old.

41. Master Agreement Files

Date from 1990 to the present. These files document agreements between ATSDR and other Federal agencies regarding health assessments and consultations conducted by ATSDR at waste sites of Federal agencies. The files contain general correspondence, agency agreements, and memorandums of understanding. The records document activities conducted by ATSDR regarding toxicological profiles and health assessments of hazardous substances found at Federal facilities. The agreements generally span from two to five years and contain a variety of information regarding costs of the assessments and profiles and their scope and effect. The records are arranged alphabetically by name of Federal department or agency and thereunder chronologically.

Authorized Disposition: PERMANENT. Cut off closed case files at the end of the calendar year in which agreement has ended. Maintain in an inactive file. Transfer to an FRC 5 years after cutoff. Transfer to the National Archives 20 years after cutoff.

Volume on Hand: 1.5 cubic feet
Estimated annual accumulation: 1 cubic foot.

42. General Reference Files

Date from 1989 to the present. Included are Federal site files which are basically copies of activities conducted by various ATSDR divisions and offices, copies of articles, graphs and other audiovisual material used in presentations to Department Of Defense (DOD) groups and others, miscellaneous working papers, background material for memorandums of understanding, and reference copies of profiles.

Authorized Disposition: Do not transfer to an FRC. Review annually and dispose of material when no longer needed for administrative or reference purposes.

PART 5. OFFICE OF INFORMATION RESOURCES MANAGEMENT (OIRM)

BACKGROUND

The Office of Information Resources Management has responsibility for agency-wide technical information planning and policy setting which assures development and implementation of technical standards, policies and plans and for modifying the Agency's policy or for continually re-orienting and making adjustments to meet exceptional, new or changing national policies or a shift in legal mandates or Congressional dictates to overcome unforeseen difficulties or unsatisfactory results. There are no official branches; however, there are three "working groups". These are called (1) Information Systems Development; (2) Operations Control; and

(3) Technical Information Center.

Areas of specialty in OIRM include: (1) Managing ADP contracts and services; (2) Scientific database analysis and application development; (3) Administrative database analysis and application development; (4) Computer Center Operations for minicomputer, and ten Regional Offices, a Washington, D.C. Office, EPA, and state and local agencies; (5) Managing Image system technology with agency-wide structured data format design criteria for multiple forms of information, data, text, image, and voice; (6) Managing Local Area Networks tied together with fiber optics, bridges, gateways, and telecommunications protocols; (7) Microcomputer operations, including technical evaluation, expert consultation, system interfaces with minicomputers and mainframes, and sign-off authority on all procurement; (8) Prepares ADP and IRM budgets, and develops projections and forecasts for short-term and long-term contractual mechanisms to be used for IRM and agency-wide operations; (9) Technical Information Center planning, evaluation, and operation; (10) ADP Custodial Officer for Agency; (11) Develop and implement research and development plans to keep abreast of new technology in IRM policy, approaches and services; (12) Develops and coordinates IRM strategic plans; (13) Evaluates agency-wide information technology; and (14) Video-conferencing.

43. General Administrative Files

Date from 1988 to the present. These general alphabetical subject files document a wide variety of administrative activities. They contain such records as correspondence, general information concerning ATSDR operations, file guides, ethics updates, ATSDR staff meeting minutes, and media, citizen and user call logs.

Authorized Disposition: Cut off at end of calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 5 years old.

44. Automated Data Processing (ADP) Equipment Property Inventory Files

Date from 1989 to the present. These files pertain to all bar coded ADP items used throughout ATSDR. Personal computer monitors are not inventoried in these files. ATSDR personnel using ADP equipment at their desks must sign property receipt forms found in these files. Data included are ADP property receipts, listing and description of all ATSDR ADP equipment, individuals to whom equipment is assigned, physical location of individuals, and ASYNC request forms. These file data are also kept on a PC in a commercial package, Q&A Software.

Authorized Disposition: Do not transfer to an FRC. Destroy 1 year after ADP property has been reassigned or declared surplus.

45. Management Information Systems (MIS) Meeting Files

Date from 1989 to the present. These files document the development, planning, and implementation of ATSDR's Management Information Systems, including HazDat. These files also document management policies, and science policies of the ATSDR as related to the development of the MIS. These are the official record copies and are arranged chronologically. Included in these files are memoranda, notes, meeting minutes, agendas, ADP record layouts, attendees at meetings, committee and subcommittee reports, special presentation material for meetings, status reports of scientific data bases, handouts, subcommittee reports, data dictionaries, and correspondence.

Authorized Disposition: PERMANENT. Transfer to an FRC when 5 years old or when volume warrants, whichever comes first. Transfer to the National Archives when 30 years old.

Volume on Hand: 1 cubic foot

Estimated annual accumulation: 6 inches or less.

46. **OIRM Computer and Information Specialists Records Files**

4 Date from 1989 to the present. These files are background and working files maintained by the OIRM computer analysts and programmers. The files consist of miscellaneous project files, work papers and notes, copies of computer coding, computer printouts, and routine correspondence. Also included are copies of speeches and memos. Some of the data are maintained as hard copies and some in electronic form in such word processing formats as WordPerfect.

Authorized Disposition: Do not transfer to an FRC. Cut off files at the end of the calendar year. Maintain in an inactive file. Destroy when 5 years old.

47. **OIRM General Documentation Files**

5 Date from 1989 to the present. These records consist of copies of system documentation and user manuals not covered elsewhere in the ATSDR Comprehensive Records Control Schedule (CRCS). Included in the files are policy on WordPerfect standards, copies of IAGs, and published references. Also included are system work group committee minutes, user statistics tracking records, reports, etc. Some of the routine correspondence is maintained in electronic form in word processing formats.

Authorized Disposition: Do not transfer to an FRC. Destroy 5 years after the system is no longer in use or when no longer needed for administrative or reference purposes, whichever comes first.

48. **Management Information Systems**

A. **ATSDR Hazardous Substances Data Management System (HazDat)**

6 Date from 1989 to the present. HazDat is a scientific and administrative database system developed to facilitate the location of information on the release of hazardous substances from Superfund sites or from emergency events and on the health effects of hazardous substances on human populations. The system provides a management tool for the Health Assessment Program. It provides information on all sites having a health assessment, consultation, advisory, or site file or can provide site specific information or multi-site aggregate information. Data fields include site characteristics, activities and site events, contaminants found, contaminant media, maximum concentration, population affected, community health concerns, ATSDR public health threat categories, ATSDR recommendations, environmental fate of hazardous substances, exposure routes, and physical hazards at the location. Also included is data from the EPA Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) database, which includes CERCLIS number, site name, site address, National Priority List status, site description, latitude and longitude, operable units, and general site information.

(1) **Input**

Data are collected from public health assessments and consultations, toxicological profiles, and health studies from within the ATSDR. Some basic Superfund site information is derived from CERCLIS. Updated information from CERCLIS is sent to ATSDR on 9 track magnetic tape on a regular basis.

(a) Originals of input data created by various ATSDR components

Authorized Disposition: Maintain originals in accordance with specific disposition instructions found elsewhere in the ATSDR CRCS.

(b) Other input data

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 1 year old, whichever comes first.

(2) Data Contained in the HazDat Database

HazDat contains information abstracted from ATSDR public health assessments and consultations, toxicological profiles, and health studies. This is detailed above. A user manual has been prepared and is updated for each new version of the system. User manuals are available from ATSDR/OIRM. System documentation is currently being prepared and will be available in hard copy from ATSDR/OIRM on-line in the PREDICT mainframe data dictionary in the HazDat Natural environment.

Authorized Disposition: PERMANENT. Transfer a "snapshot" copy of the HazDat data base to the National Archives' Center for Electronic Records every 5 years. The first transfer will occur upon approval of this schedule. **NOTE: The data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188; transfer of machine readable records to NARA.**

(3) Output

HazDat output includes on-line query response with ad hoc report generation. The system is also used to generate information for the ATSDR biennial report and to be used in the ranking (in terms of potential health problems) of hazardous substances found at Superfund sites.

(a) Originals of Biennial reports

Authorized Disposition: Maintain originals in accordance with specific disposition instructions found elsewhere in the ATSDR CRCS (original biennial reports are maintained in the Office of Policy and External Affairs, Part 6, Item 50.

(b) Other output data

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer

needed for administrative or reference purposes.

(4) HazDat System Documentation

Includes pertinent information regarding tape specifications, variable names and column layouts for each file, and hard copy version of relevant code books.

Authorized Disposition: PERMANENT: Transfer to the National Archives' Center for Electronic Records a copy of the relevant documentation in conjunction with the transfer of electronic records under item 48.A.(2) above.

7 B. WANG Integrated Imaging System (WIIS)

Date from 1990 to the present. WIIS is an ongoing and dynamic system developed to provide electronic capture of and access to paper documents and files relating to and referenced by HazDat. Currently the WIIS system stores final copies of health assessments, consultations, health studies, advisories including reference material cited in the report, toxicological profiles and scientific references in support of profiles. The system also provides for electronic transfer of documents to requesters.

(1) Input

Input comes from primary and secondary research documents leading to the development of health assessments and consultations, health studies, and toxicological profiles (e.g. graphs, charts, maps, text, data).

(a) Originals of input data created by various ATSDR components

Authorized Disposition: Maintain originals in accordance with specific disposition instructions found elsewhere in the ATSDR CRCS.

(b) Other input data

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 1 year old, whichever comes first.

(2) Data Contained in the WIIS System

WIIS contains electronic images captured on optical disks and tape by scanning in from sources of data such as health assessments, consultations, health studies, advisories including reference material cited in the report, toxicological profiles and scientific references in support of profiles.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

(3) Output

There is integration with HazDat, as well as electronic images, paper copies, and facsimile capabilities. System documentation is available through OIRM, and there is a user's training manual. These outputs are used specifically for reference purposes only.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

8 C. Superfund Cost Recovery System (SCRS)

Data in the system dates from 1989 to the present. ATSDR cost recovery activity is authorized by the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, and the Superfund Amendments and Reauthorization Act (SARA) of 1986. This system tracks costs incurred by ATSDR for health assessments, health studies and other related activities at Superfund identified sites. The main subprograms in this system are ATSDR Time Sheet Entry, File Maintenance Menu, Report Generation Menu, Query File Menu, and Office Of Program Operations Management Menu. The system was developed by contract outside ATSDR.

(1) Input GRS 20/2b

Sources of data are the CDC Personnel System, U.S. Public Health Service Payroll System, CDC Financial Management System, and the ATSDR employee records of site specific activity and indirect costs (automated time sheets submitted by employees). Included in the data is date worked, hours worked and at which site the employee worked.

Authorized Disposition: Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

(2) Data Contained in the SCRS Data Base

SCRS contains site data, copies of payroll data and non payroll expense data. System documentation and user manuals are maintained by the Office of Information Resources Management. Copies of system documentation and user manuals are also kept by the Office of Program Operations and Management (OPOM).

Authorized Disposition: Do not transfer to an FRC. Delete cost recovery data for specific sites 20 years after notification by EPA that a specific site has closed. (Note: In accordance with ATSDR and EPA Interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).

(3) Output

SCRS output includes management summary reports used by ATSDR for program management and indirect cost calculations, and site specific reports used by EPA in court case cost recovery efforts (summarizations by site, by employee, daily and

cumulative reports, and money and time expended). Currently there is no direct information transfer to other systems.

(a) Site specific reports

Authorized Disposition: Place these records in the appropriate site specific case files maintained by OPOM and covered in Part 7, item 80, of this schedule.

(b) Management Summary Reports

Authorized Disposition: Originals of records are maintained by management official requesting report. Copies are maintained in administrative records in OPOM and covered in Part 7, item 57, of this schedule.

PART 6. OFFICE OF POLICY AND EXTERNAL AFFAIRS (OPEA)

BACKGROUND

The Office of Policy and External Affairs (OPEA) was organized in 1989. There are no branches, but there are four "working groups" called Policy and External Marketing, State Coordination and Capacity Building, Visual Information Center, and Public Affairs and Publications Clearance.

OPEA coordinates and recommends policy and develops and implements planning systems for the Agency, develops and manages an evaluation program to ensure adequacy and responsiveness of ATSDR activities, participates in reviewing and preparing legislation, briefing documents, and other legislative matters and in coordinating Congressional testimony, maintains liaison and coordinates with other Federal agencies for program planning and evaluation, maintains liaison with appropriate Offices of General Counsel, provides public relations and publication related activities, monitors and prepares reports on health related activities to comply with legislation, coordinates the development, review, and approval of Federal regulations, Federal Register announcements, requests for OMB clearance, and related activities for ATSDR, and coordinates the planning of capacity development efforts for state and local agencies.

49. General Administrative Files

Date from 1980 to the present. These alphabetical subject files contain submission data to annual reports on international health activities, background information for biennial and annual reports, OPEA goals and objectives, copies of legislation, copies of outgoing correspondence, EPA state and regional information, information on associations and committees, and information on Federal programs. The records are arranged alphabetically by subject and thereunder chronologically.

Authorized Disposition: PERMANENT. Cut off files at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 2 years old. Transfer to the National Archives when 20 years old.

Volume on Hand: 22.5 cubic feet

Estimated annual accumulation: 1.5 cubic feet.

50. Master Publications Files

Date from 1987 to the present. These files contain record copies of briefing books for ATSDR executive use, annual and biennial reports, and scheduled and special reports to Congress. The contents of these files are arranged chronologically.

A. Record Copies

Authorized Disposition: PERMANENT. Cut off at end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 5 years old. Transfer to the National Archives when 10 years old.

Volume on Hand: 1.5 cubic feet
Estimated annual accumulation: 1 cubic foot.

B. Additional Reference Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

51. Editorial Review Files

Date from 1988 to the present. These files contain edited copies and revised drafts and editorial comments of speeches, articles, presentations and manuscripts of ATSDR personnel. In some cases finalized drafts are stored in these files.

These files are arranged chronologically thereunder by log-in number.

Authorized Disposition: Cut off at end of the calendar year in which publication, presentation, or speech is finalized. Maintain in an inactive file. Transfer to an FRC when 2 years old. Destroy when 10 years old.

52. Policy Guideline Handbook Files

Date from 1988 to the present. This is a single, unitized handbook arranged by type of ATSDR policy, thereunder chronologically. Contents of these files include mission statement, policy on clearances, legal issues, and program specific data. As upgrades are issued, superseded issuances will be maintained in a separate section of the handbook.

A. Record Copy

Authorized Disposition: PERMANENT. Cut off superseded issuances and place in an inactive file. Transfer to an FRC in 5 year blocks when the most recent record in the block is 5 years old (i.e., 1991-1995 records would be transferred in 1/2001). Transfer to the National Archives in 5 year blocks when the most recent record is 10 years old.

Volume on Hand: Less than 1 cubic foot Estimated annual accumulation: Less than 1 cubic foot.

B. All Other Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when superseded and no longer needed for administrative or reference purposes.

53. State Fact Sheets Files

Date from 1991 to the present. These geographic location files document ATSDR's cooperative activities within a given state. Information contained in these State Fact Sheets include National Priorities List (NPL) sites, individual site descriptions, petitioned sites, areas closed to the public or restricted, consultations performed, health studies completed or underway, health professionals trained, cooperative agreements (and grants) awarded, other Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites, and toxicological profiles distributed. At this time two have been prepared for Georgia (filed chronologically), one each for Maryland, Pennsylvania, Minnesota, and Michigan.

A. Record Copies

Authorized Disposition: PERMANENT. Cut off annually. Do not transfer to an FRC. Transfer to the National Archives when 10 years old.

Volume on Hand: Less than 6 inches

Estimated annual accumulation: Less than 6 inches.

B. All Other Copies

Authorized Disposition: Do not transfer to an FRC. Duplicate copies can be destroyed when no longer needed for administrative or reference purposes.

54. Task Orders Files

Date from 1986 to the present. These files are Task Order forms used to request work to be done by the Visual Information Center of the OPEA. Information contained in these files consists of requester's name, requester's ATSDR location, date requested, and work specifications. There is one form for each work request.

A. Record Copy Maintained By The Visual Information Center

Authorized Disposition: Cut off at end of calendar year. Maintain in an inactive file. Transfer to an FRC when volume warrants. Destroy when 5 years old.

B. Additional Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

55. Slides (35 mm) Files & *Computerized Graphic Images*

Date from 1986 to the present. These files consist of generic slides, site slides, extra copies of popular slides and slides of conferences and internal and external committee presentations. There are 60,000 slides in these files. They are filed by requester, thereunder chronologically. Some of the more common generic slides such as agency logos, etc. which are used often are archived on magnetic tape as ASCII files.

A. Slides

Authorized Disposition: Do not transfer to an FRC. Review annually. Dispose of obsolete or superseded material when no longer needed for administrative or reference purposes.

B. Computerized Images

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

56. Video Tapes Files

Date from 1990 to the present. These files consist of agency produced videos of workshops, meetings, seminars, conferences, interviews, and training sessions. They are filed by name of requester.

A. File Copy Maintained By The Visual Information Center

Authorized Disposition: Do not transfer to an FRC. Destroy or erase when no longer needed for administrative or reference purposes.

B. Additional Reference Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

PART 7. OFFICE OF PROGRAM OPERATIONS AND MANAGEMENT (OPOM)

BACKGROUND

The Office of Program Operations and Management (OPOM) has been organized since 1989. It consists of the Office of the Director and five operational activities: Administrative Services Activity, Cost Recovery Activity, Extramural Awards Activity, Planning and Special Projects Activity, and Employee Services Activity.

The OPOM plans, manages, directs, and conducts the administrative and management operations of ATSDR; reviews the effectiveness and efficiency of administration and operation for all ATSDR programs; develops and directs systems for human resource management, financial services, procurement requisitioning, and travel authorization; provides and coordinates services for the extramural awards activities of the ATSDR; formulates and executes the budget; develops and directs a system for cost recovery for Superfund sites; and coordinates Freedom of Information Act requests.

OFFICE OF THE DIRECTOR

57. General Administrative Files

Date from 1987 to the present. These general alphabetical subject files are found in the Office of the Director of the OPOM. They contain a wide variety of material such as general incoming and outgoing correspondence, memoranda, operational guidelines, mailing lists, program planning material, delegation of authority plans, manuscript clearances, minutes of meetings, work plans and trip reports.

Authorized Disposition: Cut off at end of the fiscal year. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff. Destroy 5 years after cutoff.

ADMINISTRATIVE SERVICES ACTIVITY

58. Official ATSDR Travel Files

Date from 1989 to the present. Original material in these files consists of signed vouchers with receipts. All other materials are printed copies (i.e., approved travel orders, reimbursable travel forms, and obligation documents). Some cost recovery data in these files is duplicated in the files of the Cost Recovery Activity. The records could be used for direct documentation of cost recovery activities.

A. Originals

Authorized Disposition: Cut off at end of the fiscal year. Maintain in an inactive file. Transfer to an FRC 3 years after cut off or after travel document is imaged into the ATSDR WIIS, whichever comes first. Destroy when 40 years old. **(Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the travel records, which could be used in cost recovery efforts).**

B. Copies Maintained On The ATSDR WIIS

Authorized Disposition: Destroy copies of travel records when all cost recovery activities on a specific site have ended.

59. Budget Tracking Reports Files

Date from 1985 to the present. These files contain copies of Financial Management Office, CDC, reports, monthly financial reports by cost center, monthly disbursement and expenditure reports, obligation reports, transfer adjustment vouchers, monthly status reports, and budget tracking reports for CERCLA, FAA, DOE, and DOD. These records are used to formulate health related costs involved in the Environmental Protection Agency CERCLA cost recovery efforts associated with toxic waste sites. These records represent the primary documentation of verification of cost prior to FY 1989 that ATSDR has for use in cost recovery actions.

Authorized Disposition: Do not transfer to an FRC. Destroy site related records when all cost

recovery activity has ended or when 30 years old, whichever comes first. (Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).

60. **Property Management Files**

Date from 1987 to the present. These files pertain to the inventory of ATSDR property and equipment, other than automatic data processing equipment. The information found in these files includes inventory listings, manuals, and general correspondence.

Authorized Disposition: Do not transfer to an FRC. Destroy 1 year after property has been reassigned or declared surplus.

61. **Budget Preparation and Submission Files**

Date from 1980 to the present. These files contain general correspondence, charts, budget preparation information, and obligation reports, including copies as submitted to EPA.

Authorized Disposition: PERMANENT. Cut off at the end of the FY. Transfer to the FRC when 5 years old. Transfer to the National Archives when 20 years old.

VOLUME: 5 cu ft. Annual Accumulation: less than 1 cu. ft.

62. **Duplicate Purchase Order Files**

GRS 3/3.c

Date from 1985 to the present. These files contain duplicate purchase orders. The official copies are kept in the Financial Management Office, CDC.

Authorized Disposition: Do not transfer to an FRC. Cut off at end of the fiscal year. Maintain in an inactive file. Destroy when 2 years old.

63. **Extramural Files (Includes ^{official} copies of contracts, IAGs, grants, Cooperative Agreements)**

Date from 1981 to the present. These files are maintained for ATSDR by CDC's Financial Management Office and Procurements and Grants Offices. It is required that these records be retired to the FRC separate from CDC's similar records due to Superfund Cost Recovery and Site Specific requirements.

Authorized Disposition: Cut off closed case files at the end of the fiscal year. Maintain in an inactive file. Transfer to an FRC is authorized 1 year after cutoff. Destroy when 40 years old, or when all cost recovery activity has ended, whichever comes first (for those records stored in an FRC, ATSDR will notify the FRC if certain cost recovery activity on records has ended before the 40 year retention period).

64. **Federal Facilities Work Sheets Files (Originals)**

Date from 1990 to the present. These documents are original work sheets forwarded from offices and divisions within ATSDR, where duplicate files are maintained (see Part 1, Item 13). The work sheets are used as an accounting device to move funds from general accounts and CERCLA to offices and services within Department of Defense (DOD) and Department of Energy (DOE). Several spread

sheets are prepared using the data on these work sheets (i.e., an Object Class spread sheet, a CERCLA FTE Reporting Federal Facility Time spread, and a DOD FTE Reporting of Times by Percentage spread sheet).

Authorized Disposition: Cut off at the end of the fiscal year. Maintain in an inactive file. Transfer to an FRC when 3 years old. Destroy when 7 years old.

EMPLOYEE SERVICES ACTIVITY

65. Administrative Files

Date from 1988 to the present. These files contain general correspondence, copies of publications, reading files, information on the Combined Federal Campaign, Affirmative Action information, papers concerning the disability program, recruitment advertising, fiscal information, EEO statistics, and information on conferences attended (such as who attended, the agenda, and the effectiveness of the information obtained at the conference).

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 5 years old, whichever comes first.

66. Special Projects Files

Date from 1988 to the present. These files contain information on special projects conducted for ATSDR by such organizations as the Oak Ridge Fellowship Program (other than chemical fellows), the Association of State Public Health Officials, and the Co-step Program. These files contain trip reports, budget information, quarterly and annual reports, and information about personnel involved in the special projects.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or research purposes or when 5 years old, whichever comes first.

67. Training Administrative Files

Date from 1985 to the present. These files contain information about types of courses ATSDR conducts and the training offered by CDC and are maintained in electronic and hard copy formats. Also included is information about long term training, travel reimbursements, and HazDat training. Some of the files contain training histories of all ATSDR employees. OPOM records data in the tracking system which includes the courses, dates, costs, CANs, division/office, purchase order numbers, and travel costs per employee. This information is obtained from automated training requests and form HHS 350.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or research purposes or when 5 years old, whichever comes first.

68. Applicant Files

Date from 1991. There are positions at ATSDR which are considered to be "hard to fill." These files contain applications (SF-171, resumes, and CVs) for these "hard to fill" positions. At 45 day intervals

applicant information on those who have not been hired or are not in the process of being hired is placed in an inactive applicant file.

Data in this file is kept in hard copy and on a PC in DBIV tracking system, with such information as applicant name, date applied for employment, and type of applicant skill.

Authorized Disposition: Do not transfer to an FRC. Maintain in an inactive file 45 days after applicant applies and is not hired or is not in the process of being hired. Destroy when 1 year old.

69. **Applicant Data Base Files**

9 Date from 1990 to the present. OPOM enters applicant data onto a personal computer from SF-171s, resumes, and CVs. Data entered include such items as applicant name, address, occupation, where application sent for review, and miscellaneous interview tracking. This system tracks only ATSDR applicants. This is on-line only.

A. **Input**

Data is collected on applications for employment in the ATSDR. Data includes applicant name, address, occupation, where the application has been sent for review, and what stage the interview process has reached.

Authorized Disposition: Do not transfer to an FRC. Cut off files when 1 year old. Maintain in an inactive file (electronic archive). Erase data when 5 years old.

B. **Data Contained In Applicant Data Base File**

Data has been entered from SF-171s, resumes, and CVs submitted by applicants applying for positions within ATSDR. This data has been described above.

Authorized Disposition: Do not transfer to an FRC. Cut off files when 1 year old. Maintain in an inactive file (electronic archive). Erase data when 5 years old.

70. **ATSDR Duplicate Personnel Files**

Date from 1986 to the present. These are ATSDR official field files. Original letters of recommendations and commendations are kept in these files. All other materials in these files are copies of what is filed at Personnel Management Office (PMO), CDC (i.e., SF-171, SF-50).

Authorized Disposition: Do not transfer to an FRC. Destroy 6 months after an employee leaves ATSDR.

71. **Performance Appraisal Files**

Date from 1989 to the present. There are three appraisal systems, two for civilian employees and one for Commissioned Corps employees. The materials in these files are copies of performance appraisals on ATSDR employees. For civilian employees, official progress reviews and end-of-year appraisals are sent to the PMO, CDC. Commissioned Corps employees' progress reviews

are kept at ATSDR, and official end-of-year Commissioned Officers Effectiveness Reports are sent to the Commissioned Corps Office, PMO, CDC.

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after end of appropriate appraisal year.

72. Employee Grievance Files

Copies of documents accumulated in the filing and resolution of employee grievances including complaints, depositions, interviews, and related papers. Also included are letters and related papers concerning disciplinary actions and warnings of misconduct, if any. Original employee grievance files are maintained by the CDC personnel office.

Authorized Disposition: Do not transfer to an FRC. Destroy 4 years after final disposition of the grievance or complaint, disciplinary action, or warning of misconduct.

EXTRAMURAL AWARDS ACTIVITY

73. Memorandum Of Understanding (MOU) Files

Date from 1985 to the present. These files contain the official copies of MOUs that ATSDR has with other Federal agencies and foreign agencies (i.e., World Health Organization, etc.). Included are correspondence, MOUs signed by both parties establishing study profiles, and information about health assessments.

Authorized Disposition:

A. Official Copies

Do not transfer to an FRC. Cut off closed MOUs at the end of the calendar year. Maintain in an inactive file. Destroy 7 years after cutoff.

B. Reference Copies

Do not transfer to an FRC. Cut off closed MOUs at the end of the calendar year. Maintain in an inactive file. Destroy 2 years after cutoff.

PLANNING AND SPECIAL PROJECTS ACTIVITY

74. ATSDR Goals, Objectives, and Milestones Files

Date from 1991 to the present. These files contain the official bound copies of the ATSDR goals, objectives, and milestones. These files are arranged chronologically by year of publication.

A. Record Copy

Authorized Disposition: PERMANENT. Cut off in 5 year blocks. Transfer to an FRC in 5 year blocks when the most recent record in the block is 5 years old (i.e., transfer 1991 to 1995

in 1/2001). Transfer to the National Archives when 10 years old.

Volume on Hand: 6 inches

Estimated annual accumulation: 6 inches.

B. Additional Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

75. Quarterly Reports Files

These files contain the printed presentation material for each ATSDR office and division. Also included are quarterly reports, quarterly reviews, milestone accomplishments, and information on budget, travel, personnel, and training.

A. 1990-91.

Authorized Disposition: PERMANENT. Transfer to National Archives upon approval of schedule.

B. 1992 - forward.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Destroy when 2 years old.

76. Environmental Protection Agency (EPA) Reports Files

Date from 1990 to the present. This is a required quarterly report to the EPA, outlining ATSDR's activities funded by EPA. This is a summary of what EPA funded CERCLA activities are in progress. Included are quarterly reports, working papers, and information from reports in item 75 above that reflect support for ATSDR's CERCLA activities.

Authorized Disposition: Do not transfer to an FRC. Cut off at end of the fiscal year. Maintain in an inactive file. Destroy when 10 years old.

77. Program Review Files

Date from 1990 to the present. This is budget information which is developed twice a year for the program reviews.

Information found in these files is duplicated in the Quarterly Reports Files (see item 75 above).

Authorized Disposition: Do not transfer to an FRC. Cut off at end of the fiscal year. Maintain in an inactive file. Destroy when 2 years old.

COST RECOVERY ACTIVITY

78. Data Flow Back Files

Date from 1984 to the present. Data in these files are from ATSDR payroll reports generated by the CDC Payroll System and CDC Financial Management System. The data covers each ATSDR employee for every pay period. Data includes benefits, person's name, hourly rate, grade level and social security number.

A. Records Which Date Prior To Fiscal Year 1990.

This data is the only extant copy and it is NOT in the electronic Superfund Cost Recovery System.

Authorized Disposition: Do not transfer to an FRC. Delete records when all cost recovery activity has ended or when 40 years old, whichever comes first. **(Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).**

B. Records Which Date From Fiscal Year 1990.

This data is in the electronic Superfund Cost Recovery System (SCRS). The electronic SCRS is described in Part 5, Item 48 C, Office of Information Resource Management.

Authorized Disposition: Cut off at end of the fiscal year. Maintain in an inactive file. Transfer to an FRC when 5 years old or when volume warrants. Destroy when 30 years old, unless still needed for cost recovery. **(Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).**

79. Employee Time Sheets (Cost Recovery) Files

Date from 1989 to the present. These files are the original ATSDR Cost Recovery time sheets for each fiscal year. Every ATSDR employee who is working on EPA identified sites must account for time spent by completing these sheets on a biweekly basis. The sheets also identify specific sites where work was accomplished. All data on these time sheets is contained in the Superfund Cost Recovery System (covered in item 48C of the ATSDR CRCS, OIRM chapter). However, these sheets must be maintained with original signatures for use in possible cost recovery litigation. Also included are copies of travel documentation whose originals are found in the Administrative Services Activity, OPOM. The records are arranged by employee name, thereunder by fiscal year.

A. Originals

Authorized Disposition: Cut off at the end of the fiscal year. Transfer to the FRC 3 years after cutoff or after document is imaged into the ATSDR WIIS, whichever comes first. Destroy when 40 years old, unless still needed for cost recovery. **(Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).**

B. Copies Maintained On The ATSDR WIIS

Authorized Disposition: Destroy copies of time sheets when all cost recovery activities on a

specific site have ended.

80. Cost Recovery Active Site Files

Date from 1984 to the present. Data in these files include supporting cost recovery documentation used in litigation. At present, there are approximately 5,000 sites which could involve litigation. EPA looks at environmental effects, while ATSDR looks at health effects at these sites. EPA decides when to litigate, requests supporting cost recovery documentation from ATSDR, which has 4 weeks to respond. This relationship is covered in an interagency agreement with EPA.

Included in the Cost Recovery Active Site Files are copies of time sheets, miscellaneous e-mail correspondence, procurement documents, travel vouchers, site related correspondence, site disbursement work sheets, travel orders, and hotel receipts. Also included are original cooperative agreement packages from participating states. These packages contains a cover letter, travel summary and payroll summary of work that state employees have done on a particular site.

Authorized Disposition: When volume warrants (at least 1 cubic foot of records per site), records may be transferred to an FRC. Upon notification by EPA that a site has closed, ATSDR will notify the appropriate FRC that a 20 year retention period for the records should begin from the date of notification. (Note: In accordance with ATSDR and EPA interagency agreements, ATSDR must obtain written permission from the appropriate regional EPA award official before the destruction of the records).

PART 8. OFFICE OF REGIONAL OPERATIONS (ORO)

BACKGROUND

The Office of Regional Operations (ORO) operates as regional liaison and assists ATSDR programs that are implemented throughout the United States. This activity is accomplished by ORO acting as a facilitator in dealing directly with the public (i.e., citizens, citizens groups, news media), dealing with various agencies (i.e., Federal, state, local, health associations), and by maintaining current and historical knowledge about waste disposal sites and chemical spills or releases. Site files kept in regional offices are not comprehensive and contain duplicates of documents maintained in the ATSDR headquarters Records and Information Management Branch (RIMB), Division of Health Assessment and Consultation (DHAC), site files. Regional offices forward originals of all site related records to RIMB, DHAC, for inclusion in the site specific files. When a waste disposal site problem is encountered, the ORO regional office is often the first contact and coordinates agency responses. There are 10 distinct regional offices that are housed in EPA office space.

The ORO has no branches.

ORO plans, manages, directs, and conducts the regional operations of the ATSDR; recommends and coordinates the policy and procedures under which ATSDR works in the regions; assists in implementing all facets of ATSDR programs; and provides liaison, technical advice, and consultation to the Environmental Protection Agency, other Federal, state, and local agencies, private organizations, community groups, and individuals on eliminating or mitigating public health problems resulting from the release of hazardous substances into the environment.

CENTRAL OFFICE FILES (ATLANTA)

81. **General Administrative Files**

Date from 1988 to the present. These general alphabetical subject files contain information on retreats, general reference material, quarterly reports, award commendations, training information, background material for quarterly reports, recruitment information, information on region personnel, evaluations, work plans, and comments, information on people who have left ORO, and data on people who are being considered for hire.

Authorized Disposition: Cut off files at end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 2 years old. Destroy when 5 years old.

82. **General Files**

Date from 1989 to the present. These are the general files for the ORO. Included are committee and meeting minutes, personnel records, equipment records, ORO goals, objectives, and guidelines, ORO programs and projects, Federal Register Notices, reading files, copies of current ORO travel documents, and copies of cost recovery data sent to OPOM.

Authorized Disposition: Cut off files at end of the fiscal year. Maintain in an inactive file. Transfer to an FRC when 2 years old. Destroy when 5 years old.

FILES MAINTAINED AT REGIONAL ATSDR OFFICES83. **ORO Regional Office Files**

Date from 1983 to the present. The vast majority of these project files are copies of records maintained in site specific files at ATSDR in the Records Information Management Branch (RIMB), DHAC. However, these materials are invaluable to the operation of the regional offices. The regional personnel act as liaison between EPA and ATSDR. They conduct site visits with EPA and act as ATSDR spokespersons. They work with emergency response coordinators, public health personnel, and attend public health meetings. Included in these files are correspondence (site specific and some non-site specific such as routine correspondence requesting general information), Health Consultation and Emergency Response Abstract Forms, and Health Recommendation Follow-up Forms. In a few cases these files may contain routine material not found in RIMB, such as newspaper clippings, pictures of sites, routine correspondence and other general non-specific site data.

Authorized Disposition: Cut off at end of calendar year all case files for which a health assessment, consultation, or advisory has been completed. Maintain in an inactive file at the regional office. Transfer to a regional FRC 5 years after cutoff. Destroy 20 years after cutoff.

84. **ORO Regional Office Log Books, notes of phone calls and other records** which track such activities as meetings, telephone calls, and development of health assessments.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 30 years old, whichever comes first.

Why?
3-7-85?

PART 9. DIVISION OF HEALTH ASSESSMENT AND CONSULTATION (DHAC)

BACKGROUND

The Division of Health Assessment and Consultation provides health related responses to releases or threatened releases of hazardous substances and to requests from the public. The major instruments developed by and issued from the division are health advisories, public health assessments, health consultations and technical assistance.

The ATSDR Public Health Advisory is a communication from the ATSDR Administrator to the Administrator of the Environmental Protection Agency (EPA) that states ATSDR's concern that a public health threat exists of such importance and magnitude that immediate intervention should be taken by EPA.

The ATSDR Public Health Assessment is an analysis and statement of the public health implications posed by the facility or release under consideration. The health assessment is an evaluation of relevant environmental data, health outcome data, and community concerns associated with a site where hazardous substances have been released.

An ATSDR Health Consultation is a response to a question or request for information pertaining to a hazardous substance or facility, which includes waste sites. In addition, a health consultation is often time-critical and requires a rapid response. A health consultation is, therefore, a more limited response than a health assessment.

Technical assistance is a written or verbal response to other ATSDR staff who are responding to a request for information about health risks posed by a specific site, chemical, or hazardous material.

There are five branches in DHAC; Community Health Branch, Emergency Response and Consultation Branch, Records and Information Management Branch, Remedial Programs Branch, and Federal Programs Branch.

To carry out its mission, DHAC conducts public health assessments, when appropriate, to determine the extent of danger to public health from release or threatened release of hazardous substances at Superfund or RCRA sites, or for sites that are the subject of petitions from the public; provides health consultation services for potential health threats at Superfund and RCRA sites; provides broad based technical assistance and consultation on request to Federal, state, and local agencies and other organizations for public health and scientific matters related to superfund and RCRA sites; coordinates all agency activities associated with emergency response to toxic and hazardous chemical releases, including capacity building for emergency responses; and initiates specific research programs appropriate to its mandated mission.

OFFICE OF THE DIRECTOR (OD)

The OD determines program priorities, planning and evaluation, maintains procurement integrity, handles clearance procedures and develops the DHAC budget, personnel and resource needs. Its staff includes such positions as Deputy Director, Chief Medical Officer, Assistant Director for Science, Assistant Director For Public Health Practice, Administrative Officer, Writer/Editors, Program Analysts, and Environmental Health Scientists.

The OD plans, directs coordinates, and manages the operations of the Division of Health Assessment and

Consultation; develops goals and objectives and provides leadership, policy formulation, and guidance in program planning and development; provides program management and administrative support services for the Division; coordinates Division activities with other components of ATSDR and other Federal, state, and local agencies; and initiates specific research programs appropriate to the Division's mission.

85. **General Administrative Files (DHAC)**

Date from 1986 to the present. These general alphabetical subject files include notes, correspondence, forms, reports, move and space records, policies and procedure records, congressional correspondence, and site files. The records prior to 1991 document the structure and activities of the division at an early, critical period in the agency's development. The site files materials are duplicates of those maintained in the Records and Information Management Branch.

A. 1986-90.

Authorized Disposition: PERMANENT. Transfer to the FRC when 3 years old. Transfer to the National Archives when 20 years old.

B. 1991 - forward.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 3 years old. Destroy when 10 years old.

86. **Analysts' Files (DHAC)**

Date from 1989 to the present. These files are maintained by the staff of the Office of the Director, DHAC. They are working files used to monitor and complete assigned projects. The records include working papers, reference material, routine correspondence, copies of articles, notes, trip reports, Health Activities Recommendation Panel (HARP) working papers.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 5 years old.

87. **Editorial Review Files (DHAC)**

Date from 1990 to the present. The records consist of editorial review notes, routine correspondence, and editorial tracking records.

Authorized Disposition: Do not transfer to an FRC. Destroy 6 months after publication, presentation, or finalization of product.

88. **Training Materials Files (DHAC)**

Date from 1991 to the present. This material explains what is involved in doing a health assessment, but not how to do it. Included in the files are summaries of results of community workshops, revised quarterly student workbooks, health assessment community workbooks, and health communication workbooks. These files are arranged chronologically.

A. Record Copy of Workbooks

Authorized Disposition: Transfer to Records and Information Management Branch upon completion of workbook. See item 94, DHAC, for final disposition.

B. All Other Copies and All Other Records Described Above

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old or when no longer needed for administrative or reference purposes, whichever comes first.

Records and Information Management Branch (RIMB)

The Records and Information Management Branch keeps site related data and final reports for DHAC and ATSDR, provides report tracking, and maintains the DHAC portion of Hazardous Substances Data Base (HazDat), ATSDR's agency wide database. Its functions are (1) manages and maintains records and files on all sites (NPL, non NPL, RCRA, and petitioned, or releases of hazardous substances having had ATSDR involvement), (2) maintains a computerized tracking system that will provide up to date information on the status of ATSDR site involvement, (3) assists with responses to Freedom of Information Act requests, and (4) serves as a receiving and distribution center for health assessments and other site related documents.

Note: Health Assessments, Consultations, and Advisories Files

These records, while initiated in the branches, are transferred to the Records and Information Management Branch for administrative control upon completion of branch work. The Records and Information Management Branch is responsible for the disposition of these records, which is detailed in this section of the DHAC schedule (Item 89).

89. Final Published Reports for Health Assessments, Consultations, and Advisories Files

Date from 1982 to the present. Health assessments cover all parameters of a waste site; consultations concentrate on one type of waste site issue; and advisories involve sites of imminent health risk. These files are arranged by region then alphabetically by state.

A. Record Copy

Authorized Disposition: PERMANENT. Cut off annually and transfer to the National Archives.

Volume on Hand: 60 cubic feet
Estimated annual accumulation: 10 cubic feet.

B. Reports Maintained In The RIMB, including copies maintained in Electronic Word Processing Files

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for agency purposes.

C. All Other Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

90. Site Files

Date from 1982 to the present. These include NPL and non NPL sites. Site files contain two types of information, (1) the record of ATSDR actions on a site and (2) official support documentation upon which ATSDR assessments are based. The record of actions contain final copies of health assessments, transmittal letters, emergency response information, ATSDR Record of Activity forms, Superfund Record of Communication forms, and trip reports. The official support documentation contains technical background materials used in the development of health assessments, such as the initial release document, the public comment release document, public comments received, correspondence, topographic maps, EPA site reports, and work plans. Also contains information forwarded by the regional offices.

A. Support Documentation

Authorized Disposition: Cut off files in the year in which publication of final health assessment, consultation, or advisory report takes place. Maintain in Records and Information Branch. Transfer to an FRC 5 years after publication of final health assessment, consultation, or advisory report. Destroy when 30 years old.

B. Record Of ATSDR Actions

Authorized Disposition: Cut off files in the year in which the site is closed. Transfer to an FRC 5 years after cut off. Destroy 30 years after cut off.

91. Medical Records Files

These contain personal medical records submitted voluntarily to ATSDR. They are used in the development of health assessments. These records are exempt from FOIA.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

92. Publications Files

Date from 1987 to the present. These files contain publications unique to DHAC which deal with various program functions (e.g., "Health Assessment Activities At Department of Defense National Priorities List Sites For FY91" and DHAC training material forwarded from the Office of the Director). When publications are produced as a result of work on the Geographic Information System, Lead Initiative, and Dose Reconstruction/Evaluation, they will also be included in these files. The publication files are not arranged in any specific order.

A. Record Copy

Authorized Disposition: PERMANENT. Cut off annually and transfer to the National Archives.

Volume on Hand: 10 cubic feet

Estimated annual accumulation: 1 cubic foot.

B. Files Maintained In The RIMB, Including Those Maintained In Electronic Word Processing Files

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for agency purposes.

C. All Other Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

93. DHAC Health Assessment Tracking Systems GRS 23/8

16 Date from 1991 to the present. This item covers two routine data bases. One tracks the progress of milestones for Public Health Assessments, Health Consultations, and Public Health Advisories. The other serves as a file checkout system for the records room. The tracking system serves as a tool to monitor the progress of the development of the above cases from their inception until close out. The system is also used to produce data for the development of budgets, FTEs, and new projects. Input for the system is provided by various individuals completing health assessments or other activities. Informational content of the records includes milestone completion dates, dates and names of individuals completing and reviewing cases, types of documents developed, and names of sites. Specific output includes ad hoc reports developed for each site.

The check out system identifies which files are currently checked out of the records room and includes such information as name of person using file, telephone and room number.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed.

94. Training Material/Workshops Community Workbooks

Published workbooks are produced as part of ATSDR's efforts to conduct community workshops and are transferred to RIMB from Office of the Director, DHAC. These files are arranged chronologically.

Authorized Disposition: PERMANENT. Cut off annually and transfer to the National Archives.

Volume on Hand: 1 cubic foot

Estimated annual accumulation: 1 cubic foot.

COMMUNITY HEALTH BRANCH (CHB)

The Community Health Branch deals with petitioned health assessments, analysis of health outcome

data, pilot health investigations and with minority health initiatives. The branch conducts health assessments in response to petitioned requests and performs all activities associated with petitioned health assessments, including attending and conducting public meetings with petitioners; identifies, reviews, and evaluates health relevant data bases, including pertinent demographic indicators in order to assess past and current health outcome parameters associated with populations living near hazardous waste sites or releases of hazardous substances; provides consultations to other branches within the DHAC so health outcome data are integrated into health assessments, health consultations, and emergency response programs; and evaluates health assessment and health consultations and recommends and conducts possible follow up activities (e.g., pilot health investigations).

95. **Petition Requests and Responses Files**

Date from 1987 to the present. These files contain the original petition; an acknowledgement letter, if one; correspondence, record of activity, if any; decision letter; memos; technical data; and scoping report.

A. **Those Petition Requests Which Do Not Result In A Health Assessment.**

Authorized Disposition: Cut off closed files annually. Transfer to the RIMB. Transfer to an FRC 5 years after cut off. Destroy 10 years after cut off.

B. **Those Petition Requests Which Result in A Health Assessment.**

Authorized Disposition: Transfer entire file to the RIMB for merger with site specific files.

96. **Minority Health Records**

Date from 1991 to the present. These files include maps, articles, correspondence, reference papers, copies of Electronic Mail, abstracts of articles, and reference material relating to lifestyle factors, cultural factors, and disease states. These files are not arranged in any specific order.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

Federal Programs Branch (FPB)

The Federal Programs Branch is responsible for day-to-day activities in regard to public health assessments and consultations concerning Federal facilities, including both DOD services and DOE offices. There are three sections within the FPB: the Defense Facilities Assessment Section; the Energy Facilities Assessment Section; and the Support, Logistics, and Evaluation Section. Substantive program records are created by the FPB and are filed in the site records or are incorporated into publication files, both of which are filed in the RIMB. An exception is the file noted below. The FPB also maintains working papers and routine administrative records whose disposition are covered in Section I of the ATSDR CRCS, Records Common To Most Offices in ATSDR.

97. **Federal Facilities Work Sheet Files (DHAC Originals)**

Date from 1990 to the present. Included in these files are original Federal Facility Program Work

Sheets for DOD, DOE, and CERCLA. Also included are copies of ATSDR Cost Recovery Time Sheets. The documents show the number of hours and the percent of time an individual worked on a particular site for a particular Federal Facility. DHAC transmits to OPOM the percentage of person hours expended by Federally funded FTEs on DOD and DOE services and offices for a particular time period. Data from these documents are used as an accounting device to move funds from general accounts and CERCLA to offices and services within Department of Defense (DOD) and Department of Energy (DOE). This is a pilot program which allows DHAC to keep original Federal facility work sheets.

Authorized Disposition: Cut off at the end of the fiscal year. Maintain in an inactive file. Transfer to an FRC when 5 years old. Destroy when 7 years old.

Emergency Response and Consultation Branch, and Remedial Programs Branch

Substantive program records created by these two branches are filed in the site records or are incorporated into the publication files, both of which are filed in the RIMB, DHAC. The Emergency Response and Consultation Branch provides consultations to requests for information on the public health impact of toxic and hazardous chemicals and provides responses to emergency releases of toxic and hazardous chemicals. The Remedial Programs Branch deals with National Priority List (NPL) sites, RCRA sites, and with the State Cooperative Agreement Program. These two branches also maintain working papers and routine administrative records whose disposition are covered in Part 1 of the ATSDR CRCS, Records Common To Most Offices in ATSDR.

PART 10. DIVISION OF HEALTH EDUCATION (DHE)

BACKGROUND

The Division of Health Education interacts with physicians and other health care workers primarily by providing materials on health effects of toxic substances and by maintaining training programs for health professionals. The DHE has two branches; Health Professionals Education Branch, and Information Resources and Community Health Education Branch.

To carry out its mission DHE coordinates health communication and education, developmental and educational activities for emergency response, and hazardous waste workers safety and health with Federal, state, and local agencies and private organizations; develops and disseminates to physicians and other health care providers material on the health effects of toxic substances; establishes and maintains a list of areas closed or restricted to the public because of contamination with toxic substances; and supports research related to its mandate that will help prevent adverse health effects from hazardous substances.

98. General Administrative Files

Date from 1987 to the present. These general alphabetical subject files are found in most offices in DHE. They contain a wide variety of material such as general correspondence, memoranda, abstracts, program papers, speeches, mailing lists, personnel records, minutes of meetings, miscellaneous material relating to conference set up and logistics, program review material, copies of contracts, grants, and cooperative agreements, newsletters, copies of awards, work plans and trip reports.

A. Files Maintained By The Office Of The Director

Authorized Disposition: Cut off files annually. Maintain in an inactive file. Transfer to an FRC when 5 years old. Destroy when 10 years old.

B. Files Maintained By Other DHE Offices

Authorized Disposition: Cut off files annually. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 3 years old.

99. Clinical Fellowship Program Files

Date from 1989 to the present. These files are primarily copies of files kept at the Science/Engineering Education Division, Oak Ridge Associated Universities, Oak Ridge, Tennessee. The DHE provides financial and technical information support for these fellows. These files document the process by which fellows are provided stipend support that allows them to engage in applied environmentally related clinical research which helps prevent or mitigate the adverse human health effects and diminished quality of life that may result from exposure to hazardous substances (chemicals) in the non-work place environment. Included in the records are the application, the review of the application, letter of outcome, correspondence, copy of peer review, recommendations of what should be funded, and the research proposal. The files are arranged alphabetically by name of fellow.

Authorized Disposition: Cut off closed case files at the end of the calendar year in which the fellowship has ended. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff or when volume warrants. Destroy 10 years after cutoff.

100. Case Studies in Environmental Medicine

Date from 1990 to the present. These records are self-instructional publications designed to increase the primary care provider's knowledge of hazardous substances in the environment and to aid in the evaluation of potentially exposed patients. ATSDR and CDC designate this continuing medical education activity for one credit hour in Category 1 of the Physician's Recognition Award of the American Medical Association and 0.1 continuing education units for other health professionals. To date, 16 case studies have been developed and published. Contractors are responsible for the development of the monographs.

A. Background Files

These files contain drafts of each monograph, physician drafts and reviews, memoranda, correspondence, and a copy of the contract.

Authorized Disposition: Transfer to an FRC 2 years after development of the final monograph. Destroy when 10 years old.

B. Published Case Studies in Environmental Medicine

(1) Record Copy

Authorized Disposition: PERMANENT. Mail copy upon publication to:

Southeast Regional Archives
 Attention: Accession Staff
 1557 St. Joseph Ave
 East Point, GA 30344

Volume on hand: 6 inches
 Estimated annual accumulation: Less than 6 inches.

(2) Additional Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

101. **"Hazardous Substances and Public Health" Newsletter Files**

Date from 1990 to the present. This bimonthly publication for physicians and public health providers shares what is being done in the area of human exposure to hazardous substances.

A. Background Files

Contains edited articles, drafts, news clippings, camera ready copies, and miscellaneous reference and correspondence.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes or when 1 year old, whichever comes first.

B. Record Copy of Newsletter

Authorized Disposition: PERMANENT. Mail copy upon publication to:

Southeast Regional Archives
 Attention: Accession Staff
 1557 St. Joseph Ave
 East Point, GA 30344

Volume on Hand: 6 inches
 Estimated annual accumulation: Less than 6 inches.

C. Additional Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

102. **Program Evaluation Files**

Date from 1990 to the present. Evaluations of the effectiveness of courses, speakers, and instructors who present courses developed and/or supported by DHE. Included in the files are evaluations of the speaker, student evaluations, and raw data listings. Consolidated tabulations and statistics from the

evaluations are maintained in computerized form.

Authorized Disposition: Transfer to an FRC 2 years after completion of the course or when volume warrants. Destroy when 10 years old.

103. **Physician Outreach Panel (POP) Files**

Date from 1988 to the present. The files document how ATSDR responds to toxic site related conditions. The files summarize what steps ATSDR will take and/or has taken regarding physician and health provider education in affected areas. The POP committee also performs health activities at the site. The files contain cover sheet and summary of action, summary of sites completed, health assessment correspondence agency guidelines, miscellaneous correspondence and miscellaneous administrative records. Arranged alphabetically by name of site.

Authorized Disposition: PERMANENT. Cut off closed files at the end of the calendar year in which all action on an affected site has been completed. Transfer to an FRC 5 years after cutoff. Transfer to the National Archives 20 years after cutoff.

Volume on hand: 5 cubic feet

Estimated annual accumulation: 1.5 cubic feet.

104. **Continuing Medical Education Accreditation Files**

Date from 1984 to the present. The files relate to ATSDR's efforts to receive accreditation for courses that it sponsors. ATSDR requests from various associations that they provide Medical Education Units and Continuing Education Units for health providers who attend ATSDR sponsored courses. Included are routine correspondence and applications.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 4 years old. Destroy when 8 years old.

105. **Medical Management Guidelines (MMG) Files**

Date from 1992 to the present. Data in this file provides health care professionals with medical information for managing cases of acute exposure to hazardous substances. MMGs consist of information on hazardous chemical exposures found at waste sites or commonly involving death or injury resulting from an emergency response incident. MMGs are produced under contract. As of June, 1992, documents are being reviewed internally for policy (green border review) and are not yet available for dissemination to the public.

A. **Background Files**

These files contain drafts of reviews, memoranda, correspondence, and a copy of the contract.

Authorized Disposition: Cut off closed case files at the end of the calendar year in which MMGs are completed. Transfer to an FRC 10 years after cut off. Destroy 20 years after cutoff.

B. MMG Record Copies

Authorized Disposition: PERMANENT. Mail copy upon publication to:

Southeast Regional Archives
Attention: Accession Staff
1557 St. Joseph Ave
East Point, GA 30344

Volume on Hand: 2 cubic feet
Estimated annual accumulation: 1 cubic foot.

106. State Cooperative Agreements And Evaluation Of DHE Activities (Electronic) Files
GRS 23/8

Date from 1989 to the present. These are routine evaluation and tracking systems which provide statistical information concerning DHE's activities. One example is the state cooperative agreement tracking system written in PARADOX that can provide statistics regarding all of DHE state cooperative agreements and their activity for reporting purposes. A second example is an evaluation and tracking system written in SAS that can provide information to help in the evaluation of DHE sponsored workshops and training courses.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

107. Exhibitor/Meeting Participation Files

Date from 1987 to the present. These files contain information on exhibiting or presenting health education material by ATSDR personnel at Government or professional associations, conventions, or symposiums. Contained in the files are order forms, correspondence, information on poster sessions, budget information, and statistics about conferences and meetings.

Authorized Disposition: Do not transfer to an FRC. Cut off closed files annually. Maintain in an inactive file. Destroy when 2 years old.

PART 11. DIVISION OF HEALTH STUDIES (DHS)

BACKGROUND

The Division of Health Studies (DHS) consists of the Office of the Director and three branches; Epidemiology and Surveillance Branch (ESB), Exposure and Disease Registry Branch (EDRB), and Health Investigations Branch (HIB).

The DHS coordinates all activities associated with epidemiologic and other health studies, surveillance activities, and registries; provides medical and epidemiologic assistance and consultation; performs epidemiologic investigations and designs and conducts human exposure assessments; establishes and maintains a national registry of persons exposed to toxic substances and a national registry of persons with diseases and

program planning and development; provides program management and administrative support services for the DHS; and coordinates DHS activities with other components of ATSDR and other Federal agencies.

108. **General Administrative Files**

Date from 1989 to the present. These general alphabetical subject files contain a wide variety of administrative and program related records and reference material. Included are such items as reports, budget background material and reports, correspondence, travel, personnel records, workshop materials, project review, conference material, forms, staff committee lists, performance evaluations, health advisory material, and training material.

A. **Records Maintained For The Director, DHS**

Authorized Disposition: Cut off files at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 2 years old. Destroy when 5 years old.

B. **Other Office Of The Director Files**

Authorized Disposition: Cut off files at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 3 years old.

109. **DHS Director's Project Reference Files**

Date from 1985 to the present. These records are maintained by the Division Director and are used for project overview of the various studies being conducted by DHS. Copies of the materials in these files are found in various offices of the DHS. Included in these files are such items as ATSDR program reviews, reference material, program priorities, and quarterly reviews.

Authorized Disposition: Do not transfer to an FRC. Cut off closed project files at the end of the calendar year in which the project ended. Maintain in an inactive file. Destroy 2 years after cutoff.

110. **Health Studies, Technical Assistance, and Priority Health Considerations Case Files and Final Reports**

Date from 1981 to the present. These files consist of final reports and background material of health studies financed by Superfund money and technical assistance provided to state health departments. The file contains several copies of final reports for use primarily within DHS but also may be used by other segments of ATSDR. The health studies case files contain work papers, lab results (with no identifiers), correspondence, protocol, questionnaires, published articles, copies of cooperative agreements (if applicable), Internal Review Board clearance (if appropriate), handwritten notes, and final reports on the health studies. The technical assistance files may include such records as final reports, correspondence, purchase orders, budget information, trip reports, printing requests, clearance forms, shipping forms and miscellaneous memoranda. These are multi-year efforts, which are arranged chronologically, thereunder by month, thereunder alphabetically by study title.

A. **Formal Case Files**

Contains work papers, final reports on health studies, laboratory results, correspondence,

protocol, questionnaires, articles, copies of cooperative agreement, internal review board clearances (if human subjects used), and interagency agreement, if applicable.

1. Case Files for Which a Final Report Exists.

*Corrected
per conversation
w/ Marc Wolfe
3/4/94
gmr*
Authorized Disposition: Cut off closed case files at the end of the calendar year in which the case is closed. Maintain in an inactive file. Transfer to an FRC when 5 years old. Destroy when ~~30~~⁷⁵ years old.

2. Case Files for Which a Final Report Does Not Exist (Closed Series)

Authorized Disposition: PERMANENT. Transfer to the FRC upon approval of this schedule. Transfer to the National Archives in 1998.

B. Final Reports

Authorized Disposition: PERMANENT. Cut off annually. Transfer to the National Archives.

Note: Upon approval of this schedule 1 copy of each completed study should be transferred to the National Archives.

Volume on Hand: 12 cubic feet

Estimated annual accumulation: 1 cubic foot.

C. Edited Copies of Final Reports

Note: Upon completion of final report, edited copies of all documents should be returned to editor.

Authorized Disposition: Do not transfer to an FRC. Maintain in an inactive file. Destroy when 2 years old.

D. Reference Copies of Final Reports

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

E. Background materials

Date from 1981 to the present. While active, these records are maintained by the project managers (health scientists, veterinarians, epidemiologists, etc.) in the DHS. Included in these files are requests for assistance (letter from a state or a letter from a member of Congress), general correspondence, letters from citizens, information from EPA on past actions, information from state health departments on health complaints, maps, data set information in hard copy and data in software such as SAS and EPI INFO, potentially responsible party information, news releases, questionnaires, census forms, lab results, and in some cases census data on magnetic tape. When the files are closed out, they are forwarded to and stored in the Office of the Director, DHS. Some of the background material which is voluminous may be

stored in DHS separately from the case files.

Authorized Disposition: Cut off closed case files in the year in which the study or technical assistance is completed. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff. Destroy 75 years after cutoff.

111. **Site Specific Community Involvement Files**

Date from 1991 to the present. These case files contain site specific community oriented material of any site from which participation in a project has been requested. The request originates from a state health agency or as the result of a Health Activities Recommendation Panel decision. Participation could result in a grant, a technical assessment, or a cooperative agreement with ATSDR. Included in these files are community involvement plans, names and addresses of key contacts (university, EPA, state health agencies, citizen of the state), health assessment, site specific correspondence, news clippings concerning the site, and meeting minutes.

Authorized Disposition: Cut off closed cases files at the end of the calendar year in which case is closed. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff. Destroy 20 years after cutoff.

112. **Health Assessment Follow-up Files**

Date from 1986 to 1990 (closed series). The records consists of initial requests, minutes and summary of meetings, referrals from other divisions, summary reports, and committee Recommendations. This activity was a precursor to the Health Activities Recommendation Panel (HARP). Only health assessments and health consultations were reviewed for possible health activities follow-up.

Authorized Disposition: PERMANENT. Cut off annually. Transfer to the FRC when 10 years old. Transfer to the National Archives 30 years old.

HEALTH INVESTIGATIONS BRANCH (HIB)

The HIB designs, conducts, and monitors health outcome studies and multi-state studies using biomarkers, including exposure studies, cluster investigation studies, and disease and symptom prevalence studies; provides expert consultation in the conduct of pilot health studies; provides expert medical consultation; and assessment, biological markers, and medical testing.

113. **General Administrative Files (HIB)**

Date from 1990 to the present. The files include budget records, reports, policy and procedure documents, health study manuals, conference material, reference material, time and attendance records, training forms, and miscellaneous non-record material such as blank forms.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 5 years old.

114. **Correspondence Files (HIB)**

Date from 1991 to the present. The files include original file copies of correspondence which are arranged chronologically (original incoming correspondence is attached to these copies). This correspondence relates to activities conducted by the branch including health studies and technical assistance provided to the states. Copies of some of these records are maintained in the Office of the Director, (DHS), General Administrative Files, item 109.

Authorized Disposition: Cut off files at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 1 year old. Destroy when 5 years old.

Health Studies and Technical Assistance Case files (See Item 110)

Date from 1981 to the present. **Note: The technical assistance case files are not approved for disposition under this item or within HIB.** While active, these records are maintained by the project managers and stored in the HIB branch. When the files are closed, they are forwarded to and stored in the Office of the Director, DHS. Some of the background material which is voluminous may be stored in HIB separately from the case files. A general description of the files and the disposition authority for these items is contained in item 110 above. **Use the appropriate disposition authority under item 110 of this schedule.**

EPIDEMIOLOGY AND SURVEILLANCE BRANCH (ESB)

The ESB designs, conducts, and monitors surveillance programs to evaluate the health effects on persons who have had contact with hazardous waste sites or sudden releases of hazardous substances; designs and conducts epidemiology studies to evaluate the association between exposure to hazardous substances and adverse health effects; and implements extramural research programs that involve human health investigations.

115. **Project Files (ESB)**

Date from 1990 to the present. The projects consist of epidemiological studies which are conducted by ATSDR or supported through technical assistance, grants, or cooperative agreements. The projects are usually directed and managed closely by ATSDR. The project officer keeps background and working materials while the projects are active. Included in these files are correspondence, protocol lists, trip reports, final reports, questionnaires, and peer review documents. The files are arranged alphabetically by title of project.

A. **Background and Working Materials**

Date from 1987 to the present. While active, these records are maintained by the project managers in the ESB. Included in these files are correspondence, peer review comments, notes and drafts of documents, quarterly and final reports, individual ATSDR staff comments, articles from journals, funding information, notification of award documents, continuation applications, copy of original application, technical reviews, pre-application, pre-application review, reference materials, and other material duplicated in the formal case file. When the files are closed out, they are forwarded to and stored in the Office of the Director, DHS. Some of the background material which is voluminous may be stored in ESB separately from the closed case files.

Authorized Disposition: Cut off files at the end of the calendar year in which the study or assistance is completed. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff. Destroy 10 years after cutoff.

B. Formal Case Files

Contains working papers, final reports on epidemiological studies, correspondence, protocol, questionnaires, articles, copies of cooperative agreements, grants or technical assistance, review board clearance if human subjects used, and peer review comments.

Authorized Disposition: Cut off closed case files at the end of the calendar year in which the case is closed. Maintain in an inactive file. Transfer to an FRC 5 years after cutoff. Destroy 75 years after cutoff.

C. Final Reports

Authorized Disposition: PERMANENT. Cut off annually and transfer to the National Archives.

Volume on Hand: 4 cubic feet

Estimated annual accumulation: Less than 6 inches.

116. Hazardous Substances Emergency Events Surveillance Files

Date from 1989 to the present. Hazardous Substances Emergency Events Surveillance (HSEES) comes about when a state monitors a toxic spill and reports it to a state agency of authority. ATSDR is notified of the event and decides whether the spill situation meets HSEES requirements, and authorizes a surveillance. The files include the type of chemical spill, any deaths or injuries incurred, and health aspects of the immediate area. Included in these files are correspondence, technical reviews, summary statements, notification of award, and final report.

A. Final Reports. Cut off on finalization of final report. Transfer to the FRC when 2 years old. Transfer to the National Archives when 30 years old.

B. Case File.

Authorized Disposition: Cut off closed cases at end of calendar year in which case is closed. Maintain in an inactive file. Transfer to an FRC 2 years after cutoff. Destroy 30 years after cutoff.

EXPOSURE AND DISEASE REGISTRY BRANCH (EDRB)

The EDRB establishes and maintains a national registry of persons exposed to toxic substances; establishes and maintains a national registry of persons with diseases and illnesses; and establishes and maintains the formation specification for a computerized system of files used for listing, tracking, and linking health and demographic records for registry and surveillance activities.

117. National Exposure Registry Data Base Files

Date from 1986 to the present. This registry is mandated under Superfund legislation (CERCLA). It is a registry of persons exposed to toxic substances. The registry was compiled as a data base which tracks certain data about people exposed to various substances and used to follow-up on an annual or biennial basis. This data will be available for public use.

A. Input/Source Data

Registry data is collected by a contractor via telephone or on-site interviews. The contractor is responsible for data collection, data entry, coding, data processing, and final file delivery. The final file consists of two SAS data sets; one containing personal identification and the other which does not. The final file is sent to ATSDR on tape. Hard copies of summary data and some registrant data is provided by the contractor every week during data collection.

(1) Input In Computerized Form

Authorized Disposition: Destroy when data have been entered into the master file or data base and verified to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

(2) Non-electronic Documents or Questionnaires

Authorized Disposition: Do not transfer to an FRC. Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

B. Master Files

Data consists of tobacco use, health conditions, reproductive information, employment information, demographics, eligibility, residential history (location of previous residences), decedent information, current address information, proxy information, contact person data, environmental (exposure) information, biological/biomarker laboratory test results, and cause of death information on decedent cases.

Authorized Disposition: PERMANENT. Transfer a copy of master files for each subregistry produced from the data base on a biennial basis. **Note: The data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188; transfer of machine readable records to the National Archives and Records Administration (NARA).**

C. System Documentation

National Exposure Registry Data Base documentation includes pertinent information regarding tape specifications, variable names and column layouts for each file, and hard copy version of relevant code books.

Authorized Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records in "B" above.

D. Outputs

Produced when required are tables, ad hoc reports, statistical analysis reports, Freedom of Information Act reports, routine internal data queries, and graphs.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative, scientific, or reference purposes.

PART 12. DIVISION OF TOXICOLOGY (DT)

BACKGROUND

The Division of Toxicology (DT) consists of the Office of the Director and three branches, Quality Assurance Branch, Research Implementation Branch, and the Toxicology Information Branch.

The DT coordinates all activities associated with toxicologic profiles and toxicologic research; identifies and publishes a priority list of hazardous substances related to Superfund releases and sites; provides chemical specific consultations as needed; initiates research to expand knowledge of the relationship between exposure to hazardous substances and adverse human health effects through toxicologic studies of hazardous substances; and coordinates ATSDR toxicology activities with the EPA, National Toxicology Program (NTP), and other appropriate Federal, state, local, or public programs.

OFFICE OF THE DIRECTOR AND FILES COMMON TO ALL BRANCHES

The Office of the Director plans, directs, coordinates, and manages the operations of the Division of Toxicology; develops goals and objectives and provides leadership, policy formulation, and guidance in program planning and development; provides program management and administrative support services for the Division; coordinates Division activities with other components of ATSDR and other Federal agencies; and provides chemical specific consultations as needed.

118. General Administrative Files

Date from 1986 to the present. These general alphabetical subject files document a wide variety of administrative and technical activities conducted by the Division of Toxicology. They contain such records as personnel files, copies of various requisitions, floor plans of previous Division moves and its expected move, travel and purchase requests, Federal Register notices, quarterly reports, language translation requests, FOIA requests, interagency agreement and budget submission documents, copies of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) and Federal facility funds information for technical assistance requests, correspondence and responses, minutes of meetings and committees and work groups, abstracts, Division goals and objectives, journal article submissions, and briefings done by the Division.

Authorized Disposition: Cut off at the end of the calendar year. Maintain in an inactive file. Transfer to an FRC when 3 years old. Destroy when 10 years old.

119. Miscellaneous Work Group Files

Date usually from 1989 to the present. These files are maintained by various Chemical Managers in

the Division and are arranged alphabetically by chemical name. The documents relate to work performed on various work group tasks including the Minimal Risk Level Work group. The main purpose of the work groups is to perform analysis and reviews of profiles and to determine the validity of data. Efforts are made to determine what is known and what is not known about the toxicity of various chemical substances. The files include such records as group minutes, correspondence with contractors and other personnel, and miscellaneous background material such as articles, charts, and graphs. A synopsis of the work done on a particular substance is included in the docket file.

Authorized Disposition: Cut off closed work group files at the end of the calendar year in which a final synopsis or report is developed. Transfer to an FRC when 3 years old. Destroy when 10 years old.

120. Toxicological Profiles

These records date from 1987 to the present. ATSDR has been mandated by Congress to produce "toxicological profiles" for hazardous substances found at National Priorities List (NPL) sites. These hazardous substances were ranked based upon frequency of occurrence at NPL sites, toxicity, and potential for human exposure. The profiles are essentially a summary of health effects and environmental fate of specific toxic substances--what is known and what is not known about particular health effects.

Two hundred and fifty substances have been identified in the Federal Register (April 17, 1987 (100), October 20, 1988 (100), October 26, 1989, and October 17, 1990 (25)). A revised priority list of 275 hazardous substances was published in the Federal Register on October 17, 1991. The development of the Toxicological Profiles occurs in two stages:

- (1) Initially, the Toxicological Profiles are produced in draft form, and an announcement of the release of these draft profiles for a 90-day public comment period appears in the Federal Register. Each draft profile is available from ATSDR.
- (2) After the 90 day comment period expires, all comments are considered for incorporation into the documents, and the profiles are finalized and distributed based on a selected mailing. Documents are available from the National Technical Information Service (NTIS). In the future, final profiles will also be distributed by the Government Printing Office (GPO).

The profiles have been completed in five sets from 1987 to the present. Each set consists of 20 to 30 chemicals for a total of 130 substances. ATSDR's congressional mandate requires that the toxicological profiles are updated every three years.

A. Internal Memoranda--Profile Development

Date from 1987 to the present. Consists of a wide variety of documents in textual and electronic form (some comments are stored as "WordPerfect" and "ForComment" documents) relating to the internal review of the Toxicological Profiles. Includes such records as comments and corrections on draft profiles; correspondence between chemical managers, peer reviewers, companies, and profile contractors; and comments on profiles from the Centers for Disease Control's National Center for Environmental Health, and other Federal agencies. These records are not included as part of the official Toxicological Profile Docket files.

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after final profile is printed.

B. Draft Toxicological Profiles

- (1) Bound copies of profiles kept as record copies These bound copies are arranged by year and alphabetically by substance for each year.

Authorized Disposition: Transfer a record set of the draft profiles to an FRC upon completion of the finalized version. Destroy when 20 years old.

- (2) Reference copies

Used for distribution and reference purposes. Copies of these are stored in the CDC Publications Distribution Facility, and are arranged by "set" (year) and alphabetically by substance.

Authorized Disposition: Do not transfer to an FRC. Destroy 2 years after final version of the profile has been completed.

C. Toxicological Profile Docket Files

Date from 1987 to the present. These files consist of 130 profiles. They include such records as draft profiles (pre- and post-public comment), response to public comment, identification of research needs, first and second external peer reviews, disposition of peer review comments by profile contractor, correspondence prior to public comment, public comments, minutes of meetings, ATSDR clearance, and final profile.

These Docket files are arranged chronologically and thereunder alphabetically by substance.

1. Folders 4 (First External Peer Review), 8 (Minutes of Pre-Public Comment Meeting), 9 (Public Comments), 11 (Response to Public Comment), 13 (Second External Peer Review), 19 (Minutes of Post-Public Comment Meetings)

Authorized Disposition: PERMANENT. Transfer to an FRC 5 years after final profile has been written. Transfer to the National Archives when 30 years old.

2. Remainder of Docket.

Authorized Disposition: Transfer to an FRC when 5 years old. Destroy when 30 years old.

D. Final Toxicological Profiles

Date from 1987 to 1990. Consists of 130 printed final toxicological profiles. Arranged by set of chemicals thereunder alphabetically by substance.

- (1) Record Copy Set of Final Toxicological Profiles

Authorized Disposition: PERMANENT. Transfer to the National Archives a final copy of each set of profiles upon completion.

Note: Upon approval of this schedule 1 copy of each completed set of profiles should be transferred to the National Archives.

Volume on Hand: 7.5 cubic feet

Estimated annual accumulation: 1.5 cubic feet.

- (2) **Reference copies.** Used for reference and distribution purposes. Current copies are stored in the CDC Publications Distribution Facility, although some may be out of print.

Authorized Disposition: Do not transfer to an FRC. Dispose of when no longer needed for administrative or reference purposes.

E. **Published And Unpublished References Files**

Date from 1990 to the present. These files are original copies of reference articles cited in the above published toxicological profiles. There are two categories of the files: published and unpublished references. Published references consist of articles copied from a wide variety of material found in libraries and research institutions across the world. Unpublished references consist of studies conducted by research institutions and corporations that have not been published.

Authorized Disposition: Transfer to an FRC 5 years after docket set completed. Destroy when 30 years old.

121. **Toxicological Profiles Requests Files**

These files date from 1987 to the present. Included are requests for draft and final toxicological profiles, and requests for information sheets so that specific information about toxicological profiles can be requested at a later date. Also included are copies of letters from the Division of Toxicology referring requesters to the National Technical Information Service (NTIS). These files are arranged alphabetically by requester.

Authorized Disposition: Do not transfer to an FRC. Destroy when 2 years old.

QUALITY ASSURANCE BRANCH (QAB)

Coordinates all activities associated with identifying, evaluating, and prioritizing hazardous substances leading to publication of the Priority List of Hazardous Substances (PLHS).

122. **Documentation Sheets for Toxicity and Environmental Scores Files**

Date from 1991 to the present. These files, arranged sequentially by chemical abstract service number, are used to create the Hazardous Substances Priority List. Included in these files are substance specific summary sheets of toxicity scoring based on a scoring scheme established by EPA that assesses reactivity explosivity; aquatic toxicity; acute mammalian toxicity; chronic mammalian toxicity; and

carcinogenicity, and meeting notes from the priority list of hazardous substance work groups. Also included are printout sheets from the National Library of Medicine Hazardous Substance Data Base which contains the most current toxicity information on line for a particular substance.

Authorized Disposition: Transfer to an FRC when 5 years old. Destroy when 15 years old.

123. **Profile Data Collection Forms**

Date from 1988 to the present. These files contain data used to help build the HazDat data base. Data describe health effects and environmental data abstracted from the ATSDR toxicological profiles. Also included are quality assurance and quality control reports. These files are arranged chronologically by profile set and then alphabetically by substance.

Authorized Disposition: Transfer to an FRC when 3 years old. Destroy when 15 years old.

124. **Site File Audit Data Collection Forms**

Date from 1990 to the present. These files, arranged sequentially by CERCLA number, contain records of contaminants that have been found in media above the limits of detection at NPL sites. These files contain original signatures which must be maintained for legal requirements. These data also are entered into the HazDat data base.

Authorized Disposition: Transfer to an FRC when 5 years old. Destroy when 20 years old.

RESEARCH IMPLEMENTATION BRANCH (RIB)

Develops, implements, and coordinates a program of research designed to determine the health effects of hazardous substances.

125. **Program Files (RIB)**

Date from 1987 to the present. Programmatic files containing information on the initiation of a proposed voluntary research program to identify data needs for certain hazardous substances. In addition, the files contain documentation regarding the initiation of the Research Implementation Branch and the Great Lakes Research Program. These files are not arranged in any particular sequence.

Authorized Disposition: Transfer to an FRC when 5 years old. Destroy when 30 years old.

126. **Docket 18 Files**

Date from 1988 to the present. These files, arranged alphabetically by name of chemical, document needs for additional information on certain aspects of substances for which toxicological profiles have been developed. Docket 18 files are named after ATSDR-18 notice in the Federal Register. These files consist of a folder for each chemical which contains the Federal Register notices, public comments on 38 priority needs, and data needs documents.

A. **Record Copy**

Authorized Disposition: Transfer to an FRC 5 years after needs assessment documents have been prepared. Destroy when 30 years old.

B. Reference Copies

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

TOXICOLOGY INFORMATION BRANCH (TIB)

Coordinates all activities associated with Toxicological Profile development, production, and distribution.

127. Contractor Guidance Files

Date from 1989 to the present. These chronologically arranged files document how the Toxicological Profiles were developed. Included in these files are formal communication between chemical managers and principal authors. These communications contain details on what each profile should address. The files contain guidance documents for the 3rd, 4th, 5th sets of profiles, and DOD guidance for the 6th set of profiles. Each chemical manager keeps his or her copy of pertinent guidance. There are copies of all guidance material on disks, except for the 3rd set.

Note: Each time contractor guidance forms change, the superseded copy should be kept as part of the record copy to help keep track of evolution of contractor guidance procedures.

A. Record Copy

Authorized Disposition: PERMANENT. Transfer to an FRC 3 years after a particular profile set is completed. Transfer to the National Archives when 30 years old.

Volume on Hand: 1.5 cubic feet
Estimated annual accumulation: 6 inches or less.

B. Reference Copies

Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

128. Docket Background Files

Date from 1990 to the present. These mostly non-record files contain copies of what went into developing the docket, including early drafts, notes, and miscellaneous reference material. These files are arranged chronologically by Docket draft.

Authorized Disposition: Do not transfer to an FRC. Destroy when no longer needed for administrative or reference purposes.

129. Pesticide Program Files

Date from 1991 to the present. These files contain unpublished studies done at the EPA or by pesticide manufacturers. Unpublished studies conducted by pesticide companies may represent unique reports which are not available from other sources. These materials are used in the development of Toxicological Profiles. These records are in hard copy and microform also.

Authorized Disposition: Transfer to an FRC 5 years after development of profile. Destroy when 30 years old.

Privacy Act Systems
Applicable to Items of
ATSDR Comprehensive Records Control Schedule

- Item 2, "Office Administrative Files," covered by 09-90-0018.
- Item 6, "Supervisors' Personnel Files and Duplicate Official Personnel Folder (OPF) Documentation," covered by OPM/GOVT-1, 09-90-0018.
- Item 7, "Unofficial Travel Records Files," covered by GSA/GOVT 4.
- Item 8, "Time and Attendance Records Files," covered by 09-90-0017.
- Item 13, "Federal Facilities Work Files (Duplicates)," covered by 09-90-0017, 09-19-0001.
- Item 21, "Privacy Act Requests Files," covered by 09-19-0001.
- Item 22, "Privacy Act Amendment Case Files," covered by 09-19-0001.
- Item 23, "Privacy Act Accounting of Disclosure Files," covered by 09-19-0001.
- Item 31, "Administrative Files, Deputy Assistant Administrator," covered by 09-90-0017, 09-90-0018.
- Item 33, "Washington Office Administrative Files," covered by 09-90-0017, 09-90-0018.
- Item 34, "Washington Office Agency Representative Files," covered by 09-90-0018.
- Item 36, "General Administrative Files, Associate Administrator for Science," covered by 09-90-0018.
- Item 37, "Board of Scientific Counselors Administrative Files," covered by 09-90-0059.
- Item 40, Curriculum Vitae Files," covered by 09-90-0059.
- Item 51, "Management Information Systems," Part C "Superfund Cost Recovery System," covered by 09-90-0017, 09-19-0001.
- Item 61, "Official ATSDR Travel Files," covered by GSA/GOVT-4.
- Item 67, "Federal Facilities Work Sheets Files (Originals)," covered by 09-90-0017, 09-19-0001.
- Item 70, "Training Administrative Files," covered by OPM/GOVT-1, 09-90-0018.

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- Item 71, "Applicant Files," covered by OPM/GOVT-5.
- Item 72, "Applicant Data Base Files," covered by OPM/GOVT-5.
- Item 73, "ATSDR Duplicate Personnel Files," covered by 09-90-0018, OPM/GOVT-1.
- Item 74, "Performance Appraisal Files," covered by OPM/GOVT-2, 09-90-0018.
- Item 75, "Employee Grievance Files," covered by 09-90-0014, 09-90-0015.
- Item 81, "Data Flow Back Files," covered by 09-90-0017, 09-19-0001, OPM/GOVT-1.
- Item 82, "Employee Time Sheet (Cost Recovery) Files," covered by 09-90-0017, 09-19-0001.
- Item 83, "Cost Recovery Active Site Files," covered by 09-19-0001, 09-90-0017.
- Item 84, "General Administrative Files," covered by 09-90-0018, OPM/GOVT-1, OPM/GOVT-5.
- Item 85, "General Files," covered by 09-90-0018, OPM/GOVT-1, GSA-GOVT-4.
- Item 95, "Medical Records Files," covered by 09-19-0001.
- Item 101, "Federal Facilities Work Sheet Files (DHAC Originals)," covered by 09-90-0017, 09-19-0001.
- Item 102, "General Administrative Files," covered by 09-90-0018.
- Item 103, "Clinical Fellowship Program Files," covered by 09-20-0112.
- Item 108, "Continuing Medical Education Accreditation Files," covered by 09-20-0161.
- Item 112, "General Administrative Files," covered by 09-90-0018, OPM/GOVT-1, OPM/GOVT-2.
- Item 114, "Health Studies and Technical Assistance Case Files," covered by 09-19-0001.
- Item 117, "General Administrative Files (HIB)," covered by 09-90-0017, 09-90-0018.
- Item 119, "Project Files (ESB)," covered by 09-19-0001.

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Item 121, "National Exposure Registry Data Base Files," covered by 09-19-0001.

Item 122, "General Administrative Files," covered by 09-90-0018, OPM/GOVT-1.