

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)  
WASHINGTON, DC 20408

1 FROM (Agency or establishment)

Department of Health and Human Services

2 MAJOR SUBDIVISION

Public Health Service

3 MINOR SUBDIVISION

Centers for Disease Control and Prevention

4 NAME OF PERSON WITH WHOM TO CONFER

Jimmy A. Harrison

5 TELEPHONE

404-639-0438

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-442-97-1

DATE RECEIVED

10-16-96

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE

12-11-97

ARCHIVIST OF THE UNITED STATES

*John W. Paul*

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

is not required;

is attached; or

has been requested.

DATE

OCT 8 1996

SIGNATURE OF AGENCY REPRESENTATIVE

*A. Prentice Barnes, Sr.*

TITLE

DHHS Records Management Officer

7  
ITEM  
NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR  
SUPERSEDED  
JOB CITATION

10 ACTION  
TAKEN (NARA  
USE ONLY)

Attached is a Records Control Schedule covering the unscheduled records of the National Immunization Program (NIP).

JAN 22 1998 MHR

Copy to: Agency, NR  
NWRE

## NATIONAL IMMUNIZATION PROGRAM

Provides national leadership for the planning, coordination, and conduct of Federal, State, and local immunization activities. In carrying out this mission, the National Immunization Program (1) provides consultation, training, statistical, promotional, educational, epidemiological, and other technical services to assist and stimulate State and local health departments in the planning, development, implementation, and overall improvement of programs for the prevention, control, and eventual eradication of designated serious diseases for which effective immunizing agents are available, (2) supports the establishment of vaccine supply contracts for vaccine distribution to state and local immunization programs, (3) assists state and local health departments in developing and help parents and providers assure that all children are immunized at the appropriate age, assess immunization levels at state and local levels, and monitor the safety and efficacy of vaccines by linking vaccine administration information with adverse event reporting and disease outbreak patterns, (4) administers preventable diseases, (5) supports a nationwide framework for effective surveillance of designated diseases for which effective immunizing agents are available, (6) supervises state and local assignees working on immunization activities (Approved 10/23/93)

Item No	Description	Authorization
1	<u>Administrative and Technical Subject Files, Directors of Centers, Institutes, and major program activities of the Centers for Disease Control and Prevention (CDC) Includes records of the Director of the NIP</u>	Disposition Pending with NARA

This disposition request revises item 1 of the CDC Records Control Schedule, B-321, Administrative and Technical Files, to designate records of the Office of the Director, NIP, and other Centers, Institutes and Offices (CIOs) in CDC as permanent historic records. These records document policies, decisions, activities, and procedures of these offices. Item 1-c will be added to the printed CDC schedule to effect this disposition revision.

This revision reflects increased public visibility and importance of various CDC programs, and increases in the scope and effect of CDC policies, research, and education on public health in the U S and the world. The files of the Director, NIP are an example of these records. These files possess inherent evidential and informational value vital for the primary use in developing agency history. These records furnish the researcher with the insight, planning, organizational structure, functions, and overall agency direction. Contains high level memoranda, correspondence, substantive electronic mail messages, planning documents, strategic planning sessions, substantive meeting and committee records, GAO audit material, substantive statistical data, speeches, budget, legislation documents, immunization initiative records, and vaccine campaign reports.

#### Authorization Disposition

PERMANENT Cut off at the end of the end of the calendar year. Transfer to the FRC four years after cut off or when no longer needed in current operations. Transfer to the National Archives when 20 years old.

2 Vaccine Preventable Disease Reports and Data

Disposition  
Pending with  
NARA

Data kept in hard copy and electronic form which contains information sent from state health departments and manufacturers on (1) death rates from vaccine preventable diseases, (2) annual immunization reports on the number of measles, mumps, rubella, and polio immunizations given to day care and kindergarten students, (3) number of total doses and types delivered, and (4) biological surveillance reports from manufacturers which contain information on number of vaccines sold, returned, and distributed Data from these reports are consolidated and published in various articles, the Morbidity and Mortality Weekly Reports, and other sources which are permanent historic records Data is maintained for convenience purposes in electronic form in word processing files, Lotus spreadsheets, and SAS spreadsheets

Authorized Disposition

a Hard copy forms

Cut off at the end of the calendar year Maintain in office for five years Transfer to the FRC Destroy when 15 years old

b Electronic copies

Do not transfer to the FRC Destroy when no longer needed for administrative or research purposes

- 3      Outbreak Records (Vaccine Preventable Diseases)      Disposition  
Pending with  
NARA
- Records which relate to specific investigations conducted by NIP officials regarding the outbreak of vaccine preventable diseases Contains copies of Epidemiologic Reporting forms, Epi 1s and Epi 2s, which are duplicated in the official files of the Epidemiologic Program Office, (EPO) CDC Also contains correspondence, background data, line listing of cases, maps, charts, and interim data which is not duplicated in EPO files
- Authorized Disposition
- Cut off closed cases at the end of the calendar year Maintain in office five years after cut off Transfer to the FRC Destroy 20 years after cut off
- 4      Vaccine Purchase Request      Disposition  
Pending with  
NARA
- Contains letters of request from state and local health departments for specific cities to buy smallpox vaccine Contains project authorization documents, Td and DT request letters
- Authorization Disposition
- Do not send to FRC Destroy when three years old
- 5      Vaccine Purchase Orders      Disposition  
Pending with  
NARA
- Copies of records for vaccine purchases from state health departments Contains purchase order, invoices, allowance status, and printouts These records contains information on lot number of vaccines This data has been extensively used for legal reasons involving adverse reactions and specific lot designations These are considered rights and interest vital records
- Authorized Disposition
- Cut off by calendar year Transfer to FRC when five years old Destroy when 50 years old

6 LLDB (Large Link Data Base)Disposition  
Pending with  
NARA

Vaccine safety data link project is designed to identify vaccine adverse events that may occur with the administration of selected immunization for children up to six years of age who use HMOs for primary health care

a Input

Data file received electronically from the West Coast, state birth files from Oregon, California, and Washington, and the data from the 1990 Census files

Authorized Disposition

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later

b Master Files

Contains enrollment dates of children up to 6 years of age at four HMOs on the West Coast, vaccines administered to children, outcomes (ICD-9 codes) from hospitals, emergency rooms, and some clinic settings, selected ancillary data, and selected demographic and socio-economic estimates

Authorized Disposition

PERMANENT Transfer one copy of each final data set to NARA upon completion of study (Note Data will be formatted in accordance with regulations noted in 36 CFR 1228 188, Transfer of Machine-Readable Records to NARA )

c Outputs

Reports based on edits and analysis

Authorized Disposition

Do not transfer to the FRC Destroy when no longer needed for administrative or research purposes (employee should obtain Director's permission before destruction of this item)

7 Monitoring System for Adverse Events Following Immunizations (MSAEFI)

Disposition  
Pending with  
NARA

The MSAEFI was developed in follow-up to the system established by CDC in 1976 during the National Influenza Immunization Program to monitor illnesses following influenza immunization The purpose of the system was to serve as a system to monitor adverse events following administration of vaccines purchased with public funds Instituted on a pilot basis in 1978, MSAEFI was operational in all 50 states, New York City and Washington, DC by mid-1979 It continued in operation until 1990, when it was replaced by Vaccine Adverse Event Reporting System (VAERS)

a Input (Adverse Reaction Forms)

Reports received from local, county, and state health departments which contain information on adverse events These forms are maintained on microfilm and have been used as evidence in litigation They are arranged by case number and date from 1979 to 1990

Authorized Disposition

1 Record Copy of forms (Diazo original)

Send to the FRC vault storage immediately Destroy when  
30 years old

2 Additional Copies

Do not transfer to the FRC Destroy when no longer  
needed for research, litigation, and administrative  
purposes or when 30 years old whichever comes first

b Master Files

Name of vaccine recipient, name of person administering  
vaccine, name of person completing the report, state, county,  
date of birth, age, sex, date form completed, description of  
adverse events, and treatment (if any), list of all vaccines  
administered, manufacturer, lot number, route/site,  
identification of illness at time of vaccination, description of  
follow-up treatment (if any), seven day, thirty day, and one  
year follow-up, and identification of other adverse events after  
previous vaccination period Data is maintained in the CDC  
mainframe

Authorized Disposition

~~PERMANENT. Transfer a full copy of the master file to the  
National Archives upon approval of this schedule. (Note: A  
copy of the data will be transferred to NARA in  
accordance with regulations noted in 36 CFR 1228.188,  
Transfer of Machine-Readable records to NARA.) A copy of  
relevant documentation to interpret these records will also be  
transferred.~~

**TEMPORARY. Destroy/delete data when no longer  
needed for administrative, scientific and legal purposes  
or when 30 years old, whichever is later.**

c System Outputs

Includes Surveillance Reports (1) 1979-1982, (2) 1982-1984, (3) 1985-1986, (4) 1979-1990 Maintained on microfilm and on electronic spreadsheets

Authorized Disposition

PERMANENT Transfer a copy of microfilm and hard copy of spreadsheets to NARA upon approval of the schedule

8 Vaccine Adverse Event Reporting System (VAERS)

Disposition  
Pending with  
NARA

Established by the National Childhood Vaccine Injury Act of 1986 mandated the reporting of certain adverse events following vaccination to help ensure the safety of vaccines distributed in the United States This Act led to the establishment of the VAERS in November, 1990 by the Department of Health and Human Services VAERS provides a database management system for the collection and analysis of data from but not limited to those mandated by the Injury Act VAERS is operated jointly by the CDC and the FDA

a Input

Data sent via hard copy report from state health departments, private and public health care providers, parents, and manufacturers and entered into electronic system by contractor Had copy reports are then scanned and stored electronically and then maintained as master file

Authorized Disposition

Delete hard copy report form when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later

b Master Files

Contains name of vaccine recipient, name of person administering vaccine, name of person completing the report, state, county, date of birth, age, sex, date form completed, description of adverse events, and treatment (if any), outcome (ranging from death or life threatening illness to none), list of all vaccines administered, manufacturer, lot number, route/site, patient recovery status, date of vaccination, number of previous doses, date of onset of adverse event, identification of illness at time of vaccination, vaccine location, purchases of vaccine, lists of other vaccines given within four weeks, identification of pre-existing allergies, birth defects, or medical conditions, for children under 5, birth weight and number of brothers and sisters, for reports submitted by manufacturer, report number, date received by manufacturer and report type, and identification of other adverse events after previous vaccination

Authorized Disposition

Destroy/delete data when no longer needed for administrative, scientific and legal purposes or when 30 years old whichever comes first

c Outputs

Includes transitional reports, tables, charts, etc , for weekly and monthly meetings Periodic Surveillance reports are planned Data from this Database are made available to the public via the National Technical Information Services

Authorized Disposition

1 Transitional Reports

Do not transfer to the FRC Destroy when one year old or when no longer needed for research purposes

2 Periodic Surveillance Reports

PERMANENT Transfer a copy of the reports to NARA when five years old

3 Public Use Data

~~PERMANENT. Transfer to NARA upon development one copy of the public use tape and relevant documentation. All former data sets will be transferred upon approval of this schedule. (Note: Data will be formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of Machine-Readable Records to NARA). The public use tape is developed and distributed by NTIS and does not contain personal identifiers.~~

**TEMPORARY. Destroy/delete data when no longer needed for administrative, scientific and legal purposes or when 30 years old, whichever is later.**

9 Video Tape Productions

These videos are used for the promotion of vaccines, training, and general publicity. A record copy of each program related video production from federal funds should be preserved

Disposition  
Pending with  
NARA

a Record CopyAuthorized Disposition

PERMANENT Cut off at the end of the calendar year. Transfer to the FRC when two years old. Transfer to the National Archives when five years old

b Internal Personnel and Administrative Training programs that do not reflect the mission of NIP

GRS 21,  
Item 17

Authorized Disposition

Do not transfer to FRC. Destroy one year after completion of training program

~~c Routine Scientific and Medical Records~~

GRS 21,  
Item 9

~~Authorized Disposition~~

~~Do not transfer to FRC Destroy when two years old or when no longer needed~~

10 Grant, Contract and Cooperative Agreement Files (Mainly Duplicates)

Disposition  
Pending with  
NARA

Contains copy of the actual grant or contract which includes proposal documents, protocols, notice of grants awards, accounting backup data, correspondence, supplemental funding sheets, applications for funding, memoranda, reports, periodic and final reports Grants file maintained at this level usually contain technical correspondence, notes, and trip reports not duplicated in the official CDC Grant and Contract files (Final reports developed as the results of the expenditure of Federal funds as the result of a grant, cooperative agreement, or contract must be maintained as a permanent record as required in the CDC RCS, B-321, item 2-33 Manuscripts and Final Reports of Research Projects) Official CDC Grant and Contract Files are maintained by FMO and PGO

Authorized Disposition

Cut off closed grant, contract, and cooperative agreement files at the end of the calendar year in the which the project ends or a final report is written Maintain in office two years after cut off Transfer to the FRC Destroy when six years after cut off

Approvals

\_\_\_\_\_  
Associate Director for Mgmt & Oper  
National Immunization Program

\_\_\_\_\_  
Date

\_\_\_\_\_  
CDC Records Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
CDC Legal Advisor

\_\_\_\_\_  
Date

Approvals:

William P. Nichols  
Associate Director for Mgmt & Oper.  
National Immunization Program

6/26/96  
Date

Jim Schurr  
CDC Records Officer

8/13/96  
Date

Kevin Malone  
CDC Legal Advisor

9/5/96  
Date

*see edit to 8.6. on page 9 edit made  
9/25/96  
- Approved by NIP*