

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

AVE BLANK (NARA use only)

JOB NUMBER  
**NI-468-04-2**

DATE RECEIVED  
**8/16/2000**

NOTIFICATION TO AGENCY: **Y**

1. FROM (Agency or establishment) <i>Department of Health and Human Services</i>	
2. MAJOR SUBDIVISION <b>Office of the Secretary</b>	
3. MINOR SUBDIVISION <b>Program Support Center</b>	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Darlene Christian</b> <b>Alvetta Jones</b>	5. TELEPHONE <b>(301) 443-5252</b> <b>(301) 443-5252</b>

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 **1/24/06** ARCHIV T OF THE UNITED STATES  
**6 HDEAWN**

### 6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_ page(s) are no longer 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
<b>AUG - 6 2004</b>	<i>A. Prentice Barnes, Sr.</i>	<b>HS Records Officer</b>

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
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**PROGRAM SUPPORT CENTER attached**

*17A NCA  
24 2006*

Darlene Christian  
Director, Division of Freedom of Information Operations

Rosario Cirrincione *R. Cirrincione 6/22/0*  
Director, Freedom of Information/Privacy

*Katherine Drews*  
Katherine Drews  
Associate General Counsel

## APPENDIX A

### PROGRAM SUPPORT CENTER (PSC) RECORDS DISPOSITION SCHEDULES

<u>Section</u>		<u>Page(s)</u>
1100	RECORDS COMMON TO MOST OFFICES	1 - 6
1101	OFFICE OF THE DIRECTOR, PSC	7 - 11
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6/10/2004

## HHS/OS/PSC Records

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
N .

JOB CITATION

### Chapter 1100: Records Common to Most Offices

#### Records Common to Most Offices

**USE FOR ALL PSC OFFICES UNLESS RECORDS ARE SCHEDULED UNDER ANOTHER GRS OR OS SCHEDULE**

**1100-01. Committee and Conference Files**

Records relating to establishment, organization, membership, and policy of internal committees. Records documenting the actual working of specific national or regional OS conferences and committees. Included are agenda, minutes, and reports highlighting the significant conclusions, recommendations, opinions, and action items which result from the conferences and committees.

HHS/OS Handbook  
Item 201.15b  
NARA Job No.  
NCI 235-80-1  
(existing OS schedule)  
(Old Schedule)

**Disposition:** See Job Citation for Disposition Authority

GRS-16  
Item 8 a thru c  
(New Schedule)

**1100-02. Correspondence and Forms Files**

**PSC- 82 Form Clearance of Employee for Separation or Transfer**

This form is used by employees to obtain clearance for the following: debt owed by employee to the Government, equipment to perform work off sight, credit card used, ID badges, Federal Records removed from all systems etc. Every employee who departs from the Federal Government or who transfers to another area within PSC or to another Government agency must complete this form and obtain clearance and signatures before their separation. Also see GAM 1-90-30A.3a for employees separating from the Department for nonpayment of indebtedness and employees transferring within HHS or to another Federal Agency. See GAM 1-90-30A.3b and 3c for required procedures. NOTE: Formerly Form HHS-419 (Clearance of Personnel for Separation or Transfer)

GRS-1  
Item 17

**Disposition:** See Job Citation for Disposition Authority

ITEM NO DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

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100-03. Interagency Agreements/Memorandum of Understanding

NEW ITEM

Interagency Agreements and Memorandum of Understanding Records include documenting administrative and financial records for work to be done, time frames, costs or other remuneration. Records documenting details of the personnel and equipment. Subsequent amendments, comments, approvals and other related correspondence i. e. Final Agreements/ Memorandum of Understanding. NOTE: For Federal Occupational Health Service offices these records also include medical, clinical, technical, and behavior documentation.

**Disposition:** Destroy 6 years and 3 months after termination of the final Interagency Agreement/Memorandum of Understanding. NOTE: Destroy records via shredding.

1100-04. Office Administrative Files

GRS-23  
Item 1

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, including facsimile machine logs; 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.

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

**NOTE: This schedule is not applicable to the record copies or organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA).]**

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
100-05.	<b><u>Propshop One-Stop Shop Files</u></b>	NEW ITEM
	<p>Propshop is a web-base software used by customers to electronically request Personal Property Management Branch (PPMB) related services. The system maintains a perpetual record of orders for the following systems:</p>	GRS-3 Item 8
	<ul style="list-style-type: none"> <li>- <b><u>WIMS</u></b> is an automated inventory management system that maintains an item-specific lifetime record of materials stored in, or somehow passing through the warehouse. Most WIMS entries are done electronically using radio-frequency equipped scanning devices which generate no paper record. A perpetual log of actions in WIMS is maintained in an on-site PPMB managed computer server.</li> </ul>	GRS-3 Items 8 & 9
	<ul style="list-style-type: none"> <li>- <b><u>PRICES</u></b> is an automated system that maintains all customer invoice records.</li> </ul>	GRS-8 Item 2
	<ul style="list-style-type: none"> <li>- <b><u>PRISM</u></b> is an automated procurement database that maintains an electronic record of procurement instruments affecting PPMB functional areas of responsibility.</li> </ul>	GRS-3
	<ul style="list-style-type: none"> <li>- <b><u>VWare</u></b> is an automated system that maintains an electronic record of operations, and issues receipts within the Product Distribution line. It also interfaces with WIMS for record keeping purposes.</li> </ul>	GRS-3 Items 8 & 9
	<p><b>Disposition:</b> See Job Citation for Disposition Authority.</p>	
1100-06.	<b><u>Supervisors' Personnel Files and Duplicate OPF Documentation</u></b>	GRS-1
	<ul style="list-style-type: none"> <li>a. <b><u>Supervisors' Personnel Files</u></b> 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 OPF.</li> </ul>	Item 18 a

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
	<p><b>Disposition:</b> Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.</p> <p>b. <u>Duplicate Documentation</u>  Other copies of documents duplicated in OPFs not provided for elsewhere in the General Records Schedule (GRS).</p> <p><b>Disposition:</b> Destroy when 6 months old.</p>	Item 18 b
1100.07	<p><b><u>Management Control Records</u></b></p> <p>Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-22, the Federal Managers, Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement. Files include: copies of Policy, procedure, and guidance files of internal directives maintained by agency; internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and other related correspondence; Management control plans; Risk analyses; Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.] Also includes Tracking and Review files: [See note after item 14 f (2).]</p> <p><b>Disposition:</b> See Job Citation for Disposition Authority.</p>	GRS-16 Item 14 a thru f
1100-08.	<p><b><u>Correspondence and Form Files</u></b></p> <p>Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.</p> <p>a. Correspondence and forms relating to pending personnel actions.</p> <p><b>Disposition:</b> Destroy when actions are completed.</p> <p>b. Retention registers and related records.</p>	GRS-1 Item 17 a thru c  Item 17 a  Item 17 b

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
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(1) Registers and related records used to effect reduction-in-force actions.

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

(2) Registers from which no reduction-in-force actions have been taken and related records.

Item 17 b

**Disposition:** Destroy when superseded or obsolete.

c. All other correspondence and forms

Item 17 c

**Disposition:** Destroy when 6 months old.

**Electronic Mail (E-Mail) Records and Word Processing System Copies  
USE FOR ALL PSC OFFICES EXCLUDING RECORDS  
SCHEDULED UNDER ANOTHER GRS OR OS AGENCY  
SCHEDULE**

1100.09.

**E-Mail Records and Word Processing System Copies**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

GRS-20  
and  
GRS-23  
Item 10

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

**Disposition:** Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**Disposition:** Destroy/delete when dissemination, revision, or updating is complete.

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1100-10.

**Office Services and Supplies:**

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

a. Request and receipts for supplies and equipment, requests for disposal of equipment, and similar papers pertaining to routine office supply and equipment matters.

**Disposition:** Destroy when 2 years old or earlier if no longer needed for day-to-day operations.

b. Request for installation of telephones and telephone extensions, requests for changes to telephone directories and systems, and similar matters.

**Disposition:** Destroy when 2 years old or earlier if no longer needed for day-to-day operations.

c. Documents related to building facilities such as floor plans, office relocations plans, space surveys, requests and replies for changes in assignment of office space, and related correspondence.

**Disposition:** Destroy when no longer needed for reference purposes, or when the activity is completed.

d. Drawings, charts, assignment schedules, requests, and logs pertaining to requests for and assignment of parking spaces in government operated parking areas.

**Disposition:** Destroy when no longer needed for reference.

PHS/OASH Handbook  
Appendix B-300  
Item 14 a thru c  
NARA Job No.  
N1 514-92-1  
(existing OASH schedule-  
use same disposition  
for OS/PSC)

Item 14 a

Item 14 b

Item 14 c

Item 14 d

**Chapter 1101: Office of the Director, PSC**

**1101-01. Correspondence: PSC Director and Service Directors.**

These files consist of correspondence between Members of Congress, the White House, and PSC. Included are incoming correspondence *assigned* and distributed to the OPDIV's and Staff DIV's memorandums of information and suggestions for possible use in preparing a reply with supporting documentation, final reply with staff clearance obtained, along with any other supporting materials. The office of record is the responding office. These records are filed separately by each office as those of permanent value and those of temporary value. Records should be deemed to have permanent value if they pertain to OS or PSC policies, programs, or procedures; relate to substantive issues about OS or PSC organization, methods, or funding; or in any other way document significant interaction between PSC and the Congress or White House. Records may be deemed to be temporary only if they pertain to routine requests for information, publications, or constituent services.

- (1) **Disposition:** Office of Record – Those records of permanent value: Cut off annually. Transfer to FRC when 4 years old or when no longer needed for day-to-day operations, whichever is sooner. Transfer to National Archives when 15 years old.
- (2) **Disposition:** Office of Record – Those records of temporary value: Cut off annually. Transfer to FRC when 2 years old and destroy when 7 years old, unless needed for a longer period due to incumbent's continuance in office.
- (3) **Disposition:** All other offices – Destroy when 2 years old, or earlier if no longer needed for day-to-day operations.

PHS/OASH Handbook  
Appendix B-300  
Item 7 a NARA  
Job No.N1.514-92-1  
(existing OASH schedule-  
use same disposition for  
OS/PSC)

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1101-02.	<p data-bbox="324 283 844 325"><b><u>Administrative Correspondence Files</u></b></p> <p data-bbox="324 357 974 504">Files relate to administrative support activities, internal management functions, and other subjects for which the primary program responsibility is elsewhere.</p> <p data-bbox="324 577 1023 651"><b><u>Disposition:</u></b> Cut off at the close of the FY. Hold 3 years and transfer to WNRC. Destroy after 8 years.</p>	<p data-bbox="1185 283 1489 546">HHS/OS Handbook Item 100-02 B NARA No NCI-235-80-1 (existing OS schedule-use same disposition for OS/PSC )</p>
1101-03.	<p data-bbox="324 682 755 724"><b><u>Tracking and Control Records</u></b></p> <p data-bbox="324 756 1088 945">Paper and electronic: logs, registers, electronic tracking systems, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF-115.</p> <p data-bbox="324 976 1039 1092"><b><u>Disposition:</u></b> Paper/Electronic: Destroy/delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.</p>	<p data-bbox="1185 682 1307 766">GRS-23 Item 8</p>
1101-04.	<p data-bbox="324 1123 722 1165"><b><u>Schedules of Daily Activities</u></b></p> <p data-bbox="324 1228 1023 1459">Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.</p> <p data-bbox="324 1491 747 1533">(a) <u>Office of the Director, PSC</u></p> <p data-bbox="324 1554 1047 1711"><b><u>Disposition:</u></b> 1. Paper: Cut-off annually and place in an inactive file, transfer to FRC when official leaves the PSC or when 3 years old whichever is sooner. Destroy when 7 years old.</p> <p data-bbox="324 1732 1047 1881"><b><u>Disposition:</u></b> 2. Electronic: Copies of records that are created on electronic mail and word processing systems are to be deleted after the recordkeeping copy is printed or when official leaves PSC whichever is later.</p>	<p data-bbox="1185 1123 1307 1207">GRS-23 Item 5</p>

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
NO.

JOB CITATION

(b) All other offices:

**Disposition:** Destroy/delete when 3 years old or when no longer needed for convenience or reference.

(c) Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

**Disposition:** Destroy or delete when no longer needed for convenience or reference.

1101-05. **Information Technology Operations and Management Records**

GRS-24

**IT Asset and Configuration Management Files**

Item 3

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying requesting, and analyzing possible changes, authorizing changes, and documentation of software distribution and release or version management.

Item 3 b (1)

**Disposition:** Destroy/delete 1 year after termination of system

(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work order, service histories, and related records.

Item 3 b (2)

**Disposition:** Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

[NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
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JOB CITATION

**NOTE:** Infrastructure related records are transferred to ITSC. Applications development will be maintained at PSC/BTO.

(3) Files Related to Maintaining the Security of Systems and Data. Item 5a

a. System Security Plans and Disaster Recovery Plans. Files consist of computer technical manuals; Continuity of Operations Plans; Disaster exercise evaluations; Disaster recovery plans; Risk survey; Security plans for IT COOP and application related plans; Risk management analyses; Security directives; Security policy analysis; Virus handbook; Vulnerability analyses.

**Disposition:** Destroy/delete 1 year after system is superseded. Item 5b

b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risk, implementation of risk action plan, service test plans, test files and data.

**Disposition:** Destroy/delete 1 year after system is superseded.

(4) User Identification, Profiles, Authorization, and Password Files. EXCULUDING records relating to electronic signatures. Item 6a

a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. Passwords relating to applications with the exception of classified material will be maintained at PSC. BTO do not have classified documentation. All others will be transferred to ITSC.

**Disposition:** Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

b. Routine systems, i.e., those not covered by item 6a.

**Disposition:** See GRS 20, item 1c.

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
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(5) Electronic Mail and Word Processing System Copies  
PSC will maintain Privacy Impact Assessment (PIA.'s).  
All other will be transferred to ITSC.

Item 12 a & b

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordskeeping copy of the records covered by the other items in GRS-24 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

**Disposition:** Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**Disposition:** Destroy/delete when dissemination, revision, or updating is completed.

**NOTE: ALL INFRASTRUCTURE RELATED RECORDS ARE TRANSFERRED TO OS INFORMATION TECHNOLOGY SERVICE CENTER**

**Chapter 1102: Financial Management Service**

Division of Cost Allocation

**1102-01. Audit Resolution Files (Institutional).**

Files documenting the review of grantee institutions, especially colleges and universities, for resolution of audits in which there are deficiencies in records-keeping systems. Included are a status report of individual findings, a copy of the audit report, memorandums, and similar materials. Arranged by name of institution.

HHS/OS Handbook  
 Item 201.18  
 NARA Job No.  
 NCI- 235-80-1  
 (existing OS schedule-  
 use disposition for  
 OS/PSC)

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
	<p><b><u>Disposition:</u></b> a. Place closed cases in an inactive file.  Destroy 4 years after close of the FY in which case is closed.</p> <p><b><u>Disposition:</u></b> b. Electronic: Destroy when 4 years old. Division of Payment Management Service (DPM), Financial Management Services (FMS) is responsible for electronic copies of the Office of Inspector General (OIG) Clearance Document.</p>	
1102-02.	<p><b><u>Indirect Cost Negotiations</u></b></p> <p>Background files on indirect cost negotiations and cost allocation plans.</p> <p><b><u>Disposition:</u></b> Destroy 5 years after superseded or obsolescence, or earlier if no longer needed for administrative purposes.</p>	<p>HHS/OS Handbook  Item 201.19  NARA Job No.  NCI-235-80-1  (existing OS schedule-use same disposition for OS/PSC)</p>
1102-03.	<p><b><u>Indirect Cost Rate Agreements</u></b></p> <p>The Federal Government reimburses grantees and contractors for costs (both direct and indirect) to administer Federal programs. Indirect costs are reimbursements of indirect costs (in accordance with Federal cost principles) as a recurring administrative function. The files contain the original documents which are used as the Federal Government's basis for reimbursing grantees and contractors for their indirect costs and could be later used in litigation or for a FOIA request.</p> <p><b><u>Disposition:</u></b> Transfer to the FRC when 5 years old or earlier if no longer needed for day-to-day operations. Destroy when 20 years old.</p>	<p>NEW ITEM</p>
1102-04.	<p><b><u>Accountable Officers' Files - Payment Management Records Grant Payment and Cash Management Records</u></b></p> <p>The Division of Payment Management provides financial and administrative support services of HHS and other federal agencies in the areas of grant payments and cash management. The system is fully automated receiving payment requests, transmitting the authorization to either the Federal Reserve Bank or the US Treasury for payment,</p>	<p>GRS-6  Item 1</p>

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recording the payment transactions and disbursement transactions to the appropriate accounts. Original copy of accountable officers' accounts include record copies of all concerned with the accounting for, availability, and status of public funds. Accountable officers in this office is the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule. Original accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules and disbursement vouchers. Forms included are: SF-215, SF-224, SF-1080 and SF-1166.

User Identification, Profiles, Authorizations, and Password Files

GRS-24  
Item 6 a & b

a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purpose and those that contain classified records.

**Disposition:** Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

b. Routine systems, i.e., those not covered by item 6a.

**Disposition:** See GRS-20, item 1c.

**1102-05. Accountable Officers' Files - Financial Operations Records**

GRS-6  
Item 1

Accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). These records do not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Accountable officers' accounts include record copies of all records concerned with the accounting for availability, and status of public funds. There are several types of "accountable officers," such as the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper

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account and the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule. Records held for onsite audit by GAO include vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Records relating to the availability, collection, and custody of funds include (1) the appropriation warrant, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Forms for accountable officers' records include: SF-215; SF-224; SF-1012; SF-1034; SF-1038; SF-1166 etc.

Administrative Claims Files

Item 10 a thru c

- a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

**Disposition:** Destroy when 6 years, 3 months old.

- b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716 (c)(1).

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

- (1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

**Disposition:** Destroy when 6 years, 3 months old.

- (2) Claims for which collection action has been terminated under 4 Part 104.

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(a) Claims for which Government's right to collect was not extended.

**Disposition:** Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.

(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

**Disposition:** Destroy 3 months after the end of the extended period.

(3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

**Disposition:** Destroy when 6 years, 3 months old.

c. Claims files that are affected by a court order or that are subject to litigation proceedings.

**Disposition:** Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.

### Chapter 1103: Strategic Acquisitions Service

#### Division of Strategic Sourcing

1103-01.

**Routine Procurement Files**  
**Strategic Sourcing Files**

GRS-3  
 Items a thru d

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12).

**Disposition:** See Disposition Authority under Job Citation

**ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
NO.**

**JOB CITATION**

Division of Acquisition Management

1103-02.

Routine Procurement Files  
Acquisition Management Files

GRS-3  
Items 2 thru 18

Procurement and supply records document acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply. Files also contain a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations. The key procurement file is the transaction case containing the formal contract or informal purchase order or lease instruments and all related papers. Examples: purchase document, specifications, bids, schedules of delivery, the initiating requisition invoices, etc.

**Disposition:** See Job Citation for Disposition Authority

Division of Supply Services

1103-03.

Accident Injury, Occupational Illness or Fire Reports File.

IHS Records Schedule 5  
Section 9, Item 9-11  
NARA Job No.  
N1-513-92-2  
(existing IHS schedule -  
use same disposition  
for OS/PSC)

Reports of accident, injury, occupational illness, or fire. Summary reports or logs of federal occupational injuries or illness. Employee requests for workplace inspection, occupational safety and health inspection reports and related material.

**Disposition:** Destroy when 5 years old. (Disposal suspended per GSA Federal Personnel Manual Regulations (FPMR) Bulletin B-136, March 21, 1984.)

1103-04.

DEA 222 – Controlled Substances Order Form Files.

IHS Records Schedule 3  
Section 7, Item 7-26  
NARA Job No.  
N1-513-92-4  
(existing IHS schedule-  
use same disposition  
for OS/PSC)

DEA required order form for all controlled substances.

**Disposition:** Destroy when 3 years old—blank forms and executed forms.

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1103-05.	<p><b><u>DEA 224 - Application for Registration and DEA 224-A, Re-Registration Application.</u></b> Provider and institutional registration required by the Controlled Substances Act.</p> <p><b><u>Disposition:</u></b> Destroy when 3 years old – blank forms and executed forms.</p>	<p>IHS Records Schedule 3 Section 7, Item 7-27 NARA Job No. N1-513-92-4 (existing IHS schedule-use same disposition for OS/PSC)</p>
<p><b>Chapter 1104 <u>Human Resources Service</u></b> <u>Office of the Director</u></p>		
1104-01.	<p><b><u>Human Resources Service/Personnel Files</u></b></p> <p>The Director of Human Resource Services office contains a variety of records. This office provides: executive direction, leadership, guidance and support to all Human Resources Service (HRS) components. Files include: Agency civilian personnel records which relate to the supervision and management of federal civilian employees.</p> <p><b><u>Disposition:</u></b> See Job Citation for Disposition Authority.</p> <p style="text-align: center;"><u>Division of Payroll</u></p>	<p>NEW ITEM</p> <p>GRS-1</p>
1104-02.	<p><b><u>Payroll Records</u></b></p> <p>Division of payroll administers the Department's centralized payroll systems; manages and conducts payroll accounting, reconciliation and pay adjustments processing; products feeder reports for HHS accounting systems; and carries out the Department's employee debt collection program. Processes all actions relative to separated employees, including retirement and other separation action. Maintains retirement records and processes death benefit claims. Audits leave accounts and processes unemployment compensation actions.</p> <p><b><u>Disposition:</u></b> See Job Citation for Disposition Authority.</p>	<p>GRS-2</p>

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1104-03.	<p><b><u>Individual Employee Pay Record</u></b> <b><u>Civilian Payroll System</u></b></p> <p>Electronic system contains information on each active employee of DHHS that allows the automated payroll system to accurately perform calculation of pay bi-weekly and transmits the certified schedule to Treasury for payments as well as deductions for monies to be sent to other destinations.</p> <p><u>Data on each employee includes:</u> salary, locality pay, hourly rate of pay, Special pays (PCA, PSP, etc). allowances, bonuses, awards, leave, Time and Attendance. <u>Deductions for each employee includes:</u> Federal and State taxes FICA and Medicare, Retirement (CSRS and FERS) health and life insurance, CFC, union dues, debts, saving bonds, long-term care insurance, flexible spending accounts, and Thrift Savings Plan.</p> <p><b><u>Disposition:</u></b> Transfer to National Personnel Records Center. Destroy when 56 years old.</p>	GRS-2 Item 1 b
1104-04.	<p><b><u>Individual Employee Pay Record</u></b> <b><u>Retirement System</u></b></p> <p>Electronic system contains both HR and payroll data on all active employees of DHHS. There is both HR and payroll data as well as transaction history for the employee's Federal career at HHS including the employee's salary history.</p> <p><b><u>Disposition:</u></b> Transfer to National Personnel Records Center. Destroy when 56 years old</p> <p style="text-align: center;"><u>Division of Training: HHS University</u></p>	GRS-2 Item 1 b
1104-05.	<p><b><u>Special Employment Program Files</u></b> <b><u>HHS University Training Files</u></b></p> <p>Files on participants in special employment programs, Upward Mobility, Junior Fellows, Management Intern, and HHS Fellows, etc.</p>	HHS/OS/Handbook Item 202.08; NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS/PSC)

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**Disposition:** Destroy when there is no further administrative need for the record; or 2 years after participant leaves program; whichever is first.

**Training Records**  
**Employee Training Files**

GRS 1 – Item 29  
 Item 29 b

Files consist of correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs (HH-350 Training Nomination and Authorization) sponsored by other government agencies or non-Government institutions.

**Disposition:** Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

**Division of Equal Employment Opportunity (DEEO)**

1104-06.

**Equal Employment Opportunity EEO Records**

GRS-1  
 Item 25 a thru h

PSC DEEO office concept of equal treatment and nondiscrimination actions under the law applies to each specific program. The programs are: the affirmative employee program, special emphasis/diversity programs, and the discrimination complaints program. These programs apply to PSC, AHRQ, and SAMHSA employees, employment applicants, the population that is served by DEEO and people with whom the office do business. The PSC DEEO program provides services that include complaints prevention, resolution, processing and adjudication. Records include: official discrimination complaint case files, copies of complaint case files and related correspondence, reports and exhibits, and other records described in 29 CFR 163.22. Cases resolved within the agency, by Equal Employment Opportunity Commission, background files, copies of the Civil Rights Act of 1964, the EEO Act of 1972, compliance records, EEO general files, EEO Affirmative Action Plans (AAP), Diversity Council, Diversity Advocacy Group, EEO Personal Employee Information, Committee and Conference files, and employee special training programs etc.

**Disposition:** See Job Citation for Disposition Authority.

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
NO.

JOB CITATION

Division of Enterprise Applications

1104-07. Civilian Personnel Records  
Enterprise Human Resources and  
Payroll System (EHRP)

GRS-1

This system contains personnel benefits and compensation information on active/inactive employees of DHHS. EHRP maintains an effective dated history of employee promotions, within-grade increases and related benefit and compensation changes. Data from this system is automatically transmitted to the payroll system for payroll processing and to other ancillary systems used to report employee strength, etc.

Data collected on each employee includes:  
Name, Date of Birth, Social Security Number  
Beneficiary Information, Performance Rating,  
Duty Station, Salary, Locality Pay, Hourly Rate  
of Pay, Special Pay (PCA, PSP, etc.), Allowances,  
Bonuses, and Awards.

Deductions Includes:  
Federal and state taxes, FICA and Medicare,  
Retirement (CSRS) and ( FERS), Health Insurance,  
CFC, FEGLI, Union Dues, Debts, Savings Bonds,  
Long-Term Care Insurance, Flexible Spending Accounts,  
and Thrift Savings Plan.

GRS-2

**Disposition:** See Job Citation for Disposition Authority.

Division of Commissioned Corps Support Services

1104-08. Official Personnel Folders  
Commissioned Corps Files

Medical Affairs Branch Medical  
Records Folder

Clinical Records of the PHS Commissioned  
Corps Officers: These records consist of but  
are not limited to medical records of officers  
examined or treated at Military Entrance  
Processing Station, (MEPS) Department of  
Defense (DoD) Medical Facilities,

PHS/OASH Handbook  
Appendix B-300  
Item 17h  
NARA Job No.  
11-514-92-1  
(existing OASH schedule-  
use same disposition  
for OS/PSC)

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NO.

JOB CITATION

Indian Health Service (IHS) Facilities, and Bureau of Prisons (BoP) Facilities. These folders also contain papers documenting the Commissioned Officer's medical history to include separation, disability and retirement examinations.

Medical Records Folder:

Files consist of reports from physicians, nurses, and allied health professionals; graphs and charts; results of laboratory and special diagnostic procedures; and all other reports related to the treatment or care of an officer.

**Disposition:** Permanent. Transfer to National Personnel Records Center (NPRC), St. Louis, Missouri, 1 year after officer has been separated from the corps. Transfer to the National Archives when 75 years old.

a. Dependent Medical Records:

NEW ITEM

Files consist of medical reports from physicians, psychiatrists, and psychologists and all other reports related to treatment or care for an incapacitated Commissioned Corps Officer's Dependents who are incapable of caring for themselves.

**Disposition:** These records will be held in the Medical Affairs Branch until dependent expires or no longer needed for administrative purposes whichever occurs first.

b. General Subject Files:

Item 17 e

These records consist of correspondence, reports, memoranda, and related materials establishing policies and procedures for overall operation of the Commissioned Corps personnel program. Files include: planning, precedence, studies, evaluations, coordination, and recommendations pertaining to policy and procedural matters, as well as correspondence and information on program activities.

**Disposition:** Destroy when 3 years old unless needed for a longer period of time for administrative purposes.

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NO.

JOB CITATION

Commissioned Corps Compensation Branch

1104-09. Payrolling and Pay Administration Records  
Commissioned Corps Compensation Files

GRS-2

The Commissioned Corps Compensation Branch submit information to an automated payroll system on each Commission Officer to calculate pay and special pay, perform payroll functions for monies to be sent to other destinations, deductions for allotments, taxes, TSP, retirement and etc. Records include: time and attendance records; request for tax withholding; saving bond records; electronic funds transfer; CFC allotment authorizations, direct deposit sign-up form (SF-1199A); beneficiary information; performance rating; duty station; allowances; bonuses, awards and all related records.

**Disposition:** See Job Citation for Disposition Authority.

Incentive Pay Records

These records pertain to legislation and development of implementation regulations for the program covering incentive pay for commissioned medical officers serving in critical specialty categories. Included are copies of legislation and original regulations with backup material and working papers compiled in the development of regulations and procedures.

**Disposition:** Destroy 6 months after program becomes inactive or after changes in specific regulations.

**Chapter 1105: Administrative Operations Service**

Office of the Director

1105-01. Board for Correction Files.

These records consist of case files of the Board for Corrections for the Public Health Service Commissioned Corps records. Such case files include applications for correction, applicable laws and regulations, portions of official personnel files, case briefs, findings, conclusions

PHS/OASH Handbook  
Appendix B-300  
Item 17 m  
NARA Job No.  
NI-514-92-1  
(existing OASH schedule-  
use same disposition  
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Appendix B-300  
Item 17 c.  
NARA Job No.  
NI-514-92-1  
(existing OASH schedule-  
use same disposition

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
NO.

JOB CITATION

and recommendations of the Board, and pertinent correspondence relative to the status of the applications and issues to be resolved.

for OS/PSC)

**Disposition:** Transfer to the FRC 1 year after a change in personnel record has been effected by DCP or 3 years after a recommendation by the Board denying applicant's request for a change in record, whichever is applicable to the final disposition of a case. Destroy when 20 years old.

Division of Business Operation

1105-02.

**Budget Preparation, Presentation, and Appointment.**

PHS/OASH Handbook  
Appendix B-300

Budget and apportionment records include the various files accumulated in PSC in the course of formulating its budget for submission to the Department, and in defending its request for funds to the Department, Office of Management and Budget (OMB), and to the Congress; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. Also included are summary status statements, program narratives, and schedule of obligations

Item 4 a and 4 b  
NARA Job No.  
N1-514-92-1

(existing OASH schedule-  
use same disposition  
for OS/PSC schedule

- a. Correspondence files of formally organized PSC budget offices showing procedures to be followed in governing budget administration, and reflecting established policy decisions affecting expenditures for programs.

Item 4 a

**Disposition:** Cut off annually. Destroy when 2 years old.

- b. File copies of budget estimates prepared or consolidated in formally organized PSC budget offices comprising appropriation language sheets, narrative statements and related schedules and data.

Item 4 b

**Disposition:** Cut off annually. Transfer to FRC when 3 years old. Destroy when 5 years old.

ITEM DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
NO.

JOB CITATION

1105-03. Delegation of Authority.

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

- a. Instruments of Delegation. The Secretary of Health and Human Services or his/her designee delegates program and administrative, financial, and personnel management authorities to the Director, Program Support Center (PSC). The authorities are redelegated as appropriate. These records consist of original copies of instruments to PSC and by PSC or his/her designee to key PSC officials. They also consist of incoming facsimile copies of instruments addressed to PSC.
- b. Delegation Background Files. These are materials accumulated by the PSC delegation control officers within PSC or those PSC offices which develop, draft, or coordinate proposed delegations of authority. Also included are original copies of those delegations not covered under item a. above and/or facsimile copies of delegations.

**Disposition:** a. **Record copy.** Place in an inactive file upon revocation or superseded. Cut off inactive file after 5 years and transfer to WNRC. Destroy 20 years after cut off. b. **Other offices.** Destroy when no longer needed for administrative purposes.

PHS/OASH Handbook  
Appendix B-300  
Item 8a and 8b.  
NARA Job No.  
N1-514-92-1  
(old schedule)

HS/OS Handbook  
Item 201.03 a and b  
NARA Job No.  
NCI-235-80-1  
(existing OS schedule-  
use same disposition  
for OS/PSC)

1105-04. Directives Case History Files (Issuances).

These records are accumulated by all PSC offices. They consist of manual issuances that require review, approval or preparation. They also include drafts, evaluations, comments, recommendations, concurrences, approvals, and other documentation contributing to clearances and publication.

PHS/OASH Handbook  
Appendix B-300  
Item 13 A & B  
NARA Job No.  
N1-514-92-1  
(old schedule)

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1105-05.	<p><b><u>Disposition:</u></b> Place in an inactive file when the directive is rescinded, superseded, or obsolete. Cut off inactive file at the close of the FY. Hold 3 years or until volume warrants and retire to the WNRC. Destroy 20 years after cut off.</p> <p><b><u>Policies and Procedures Directives Record Set.</u></b></p> <p>These records reflect the policies and procedures established for program and administrative operations throughout PSC, and usually require approval by the immediate office of OS/OSAM. Included are staff studies, action papers, summaries, digests, presentations, interpretations, clarifications, evaluations, conclusions, recommendations, evidence of staff coordination, and decisions. The office of record is the OS/OSAM office initiating; or primarily responsible for implementing the policy or procedure.</p> <p><b><u>Disposition:</u></b> Permanent. Place in an inactive file when the directive is rescinded, superseded, or obsolete. Cut off inactive file at the close of the FY. Hold 3 years or until volume warrants and retire to WNRC. Offer to NARA 20 years after cut off.</p>	<p>HHS/OS Handbook Item 201.12A NARA Job No. NCI-235-80-1 (new schedule)</p> <p>PHS/OASH Handbook Appendix B-300 Item 18 NARA Job No. N1-514-92-1 (old schedule)</p> <p>HHS/OS Handbook Item 201.7 A NARA Job No. NCI-235-80-1 (new schedule)</p>
1105-06.	<p><b><u>Organization Analysis Files.</u></b></p> <p>Records which effect substantive changes in the organization, functions, or relationships of components of PSC. Included are approved/disapproved organizational and staffing plans and charts, reorganization plans, functional or mission statements, and directly related papers. Office with PSC-wide organization planning responsibility.</p> <p><b><u>Disposition:</u></b> Place in an inactive file when superseded. Cut off inactive file when 5 years old and transfer to WNRC. Destroy 20 years after cut off.</p>	<p>PHS/OASH Hand book Appendix B-300 Item 15 NARA Job No. NI- 514-92-1 (old schedule) PSC used description for new schedule</p> <p>HHS/OS Handbook Item 201.02 NARA Job No. NCI-235-80-1 (new schedule)</p>

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
<u>Division of Property Management</u>		
1105-07.	<p data-bbox="277 359 608 384"><u>Asset Management Files.</u></p> <p data-bbox="277 432 973 716">A web-based, electronic data system used to electronically store records affecting the management of personal property. Paper copies of procurement documents utilized to identify costs associated with capitalized or otherwise accountable personal property (since the beginning of this FY, these have been largely replaced by electronic images maintained in PRISM and not reproduced for our purposes.</p> <p data-bbox="266 758 1091 827"><b><u>Disposition:</u></b> Destroy 6 years and 3 months after termination of the final Interagency Agreement/Memorandum of Understanding.</p>	<p data-bbox="1142 359 1302 384">NEW ITEM</p> <p data-bbox="1142 432 1455 604">Use OS/PSC schedule Item 1100-03 Interagency Agreement/Memorandum of Understanding</p>
1105-08 .	<p data-bbox="256 869 927 968"><b><u>Building Construction Files</u></b> <b><u>Cartographic, Aerial Photographic, Architectural and Engineering Records.</u></b></p> <p data-bbox="248 1016 1075 1299">Files that document the acquisition, initial construction, and occupation of HHS buildings at central office and in the regions. Included are site maps and surveys, plot plans, environmental impact studies, architect's sketches, working diagrams, budget and cost estimates, preliminary drawing, copies of blueprints, master tracings, utility outlet plans, specifications, construction progress reports, copies of deeds and certificates of title, and related documents.</p> <p data-bbox="248 1346 1038 1409">a. Records of buildings for which OS had direct management responsibility.</p> <p data-bbox="248 1457 987 1593"><b><u>Disposition:</u></b> Destroy when buildings are demolished and removed from the Federal ownership, or when documents become obsolete. If requested, these documents may be transferred to new owner.</p> <p data-bbox="248 1640 1062 1703">b. Records of buildings for which other HHS components or other federal agencies have direct management responsibility.</p> <p data-bbox="248 1751 1034 1810"><b><u>Disposition:</u></b> Destroy when 5 years old. (These records may be transferred to the WNRC if accumulated in large amounts).</p>	<p data-bbox="1142 869 1398 932">HHS/OS Handbook Item 201.24</p> <p data-bbox="1142 942 1342 1005">NARA Job No. NCI-235-80-1</p> <p data-bbox="1142 1016 1437 1115">(existing OS schedule-use same disposition for OS/PSC)</p>

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1105-09.	<p data-bbox="239 283 470 315"><b><u>General Storage.</u></b></p> <p data-bbox="239 357 917 609">Business line offering secure storage sites for customer-owned products. Paper receiving documents generally describing quantity and type of material provided. Paper delivery documents demonstrating return of material to customer electronic perpetual running inventory of material in the storage process.</p> <p data-bbox="239 651 981 756"><b><u>Disposition:</u></b> Destroy 6 years and 3 months after termination of final Interagency Agreement/Memorandum of Understanding.</p>	<p data-bbox="1141 283 1300 315">NEW ITEM</p> <p data-bbox="1141 357 1460 535">See OS/PSC schedule Item 1100-03 Interagency Agreement/Memorandum of Understanding</p>
1105-10.	<p data-bbox="295 829 582 861"><b><u>Labor Services Files.</u></b></p> <p data-bbox="295 903 893 1008">This is a business line service offering interim labor services to customers activities. Services are provided under an Interagency Agreement.</p> <p data-bbox="295 1123 1037 1228"><b><u>Disposition:</u></b> Destroy 6 years and 3 months after termination of final Interagency Agreement/Memorandum of Understanding.</p> <p data-bbox="295 1270 790 1333"><b><u>Time and Attendance Input Records Records for Labor Force.</u></b></p> <p data-bbox="295 1375 989 1480">Records in either paper or machine readable form used to input time and attendance data into a payroll system maintained either by agency or payroll processor.</p> <p data-bbox="295 1522 1037 1589"><b><u>Disposition:</u></b> Destroy after GAO audit or when 6 years old, whichever is sooner.</p>	<p data-bbox="1141 829 1300 861">NEW ITEM</p> <p data-bbox="1141 903 1476 1081">See the OS/PSC schedule Item 1100-03 Interagency Agreement/Memorandum of Understanding</p> <p data-bbox="1141 1270 1236 1333">GRS-2 Item 8</p>

ITEM NO. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION JOB CITATION

1105.11. Routine Procurement Files  
Procurement Records for Contacting Company. GRS-3  
Item 3 a thru d

Contract, requisition, purchase order, lease, bond, and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1 and 12.) [See note after item 3a(2)(b).] Records also include: company invoicing records and copy of contract.

Disposition: See Job Citation for Disposition Authority

1105-12. Motor Vehicle Maintenance and  
Operation Records. GRS-10  
Items 1 thru 8

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies. Includes: motor vehicle correspondence files, motor vehicle operating and maintenance files, motor vehicle cost files, motor vehicle reports files, motor vehicle accident files, motor vehicle release files, motor vehicle operator files, electronic mail and word processing system copies, and agency permits to operate motor vehicles. Also include daily and long term lease rentals to customers activities including copies of receipts vehicle by customer activity used to validate invoices for vehicles provided under a commercial contract.

Disposition: See Job Citation for Disposition Authority

Credentials Files for Motor Vehicle Operation  
Identification credentials and related papers. GRS-11  
Items 4 a & b

- a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Disposition: Destroy credentials 3 months after return to issuing office.

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
b.	<p>Receipts, indexes, listings, an accountable records.</p> <p><b><u>Disposition:</u></b> Destroy after all listed credentials are accounted for.</p>	
1105-13.	<p><b><u>Procurement, Supply, and Grant Records</u></b> <b><u>Product Distribution Files.</u></b></p> <p><u>Product Distribution.</u> A web-based inventory management system providing receipts, inventory management and distribution ordering services to customers. Files consist of: receiving documents illustrating receipt of customer-owned and Personal Property Management Branch (PPMB)-owned material into the electronic Warehouse Inventory Management System; electronic ordering system maintaining a perpetual record of receipt, issue and routing documents.</p> <p><b><u>Disposition:</u></b> See Job Citation for Disposition Authority</p> <p><u>Communication Records</u> <u>Shipping Records</u></p> <p>The Warehouse Inventory Management System also maintains perpetual records of receipts of incoming and outgoing mail and items records; paper copies of shipping documents used to validate shipping invoices (FedEx, USPS, UPS), and costs for customer owned material</p> <p><b><u>Disposition:</u></b> See Job Citation Disposition Authority</p>	<p>GRS-3 Items 8 &amp; 9 NEW ITEM</p> <p>GRS-12 Item 6 a</p>
1105-14.	<p><b><u>Property Disposal Case Files.</u></b></p> <p>Case files documenting the sale, transfer, or exchange of surplus property. Included in these files are invitations, proposals, acceptances, lists of surplus property, vouchers, correspondence, and related material.</p> <p><b><u>Disposition:</u></b> Place in an inactive file upon completion of disposal action, hold for 2 years, and transfer to the FRC. Destroy 4 years after completion of disposal action.</p>	<p>HHS/OS Handbook Item 201.25 NARA Job No. NCI-235-80-1 (existing OS schedule-use same disposition for OS/PSC)</p>

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
1105-15.	<p data-bbox="295 315 619 348"><b><u>Real Property Disposal.</u></b></p> <p data-bbox="295 390 949 499">Case files on surplus real property conveyed by HHS public bodies and nonprofit entities for health purposes at a public benefit allowance.</p> <p data-bbox="295 609 949 751"><b><u>Disposition:</u></b> Permanent. Transfer to FRC 10 years after the file is closed or when no longer needed, whichever is sooner. Transfer to National Archives 15 years after close.</p>	<p data-bbox="1145 315 1484 604">PHS/OASH/Handbook Appendix B-300 Item 24 NARA Job No. N1-514-92-1 (existing OASH schedule- use same disposition for OS/PSC)</p>
1105-16.	<p data-bbox="295 793 901 827"><b><u>Safety and Occupational Health Complaints.</u></b></p> <p data-bbox="295 869 981 1012">Complaint files relating to safety and health factors in PSC facilities. Files include the complaint, papers involving the processing of the complaint; the official response to the complaint; and related materials.</p> <p data-bbox="295 1054 981 1083"><b><u>Disposition:</u></b> Destroy 5 years after close of the case.</p>	<p data-bbox="1145 793 1436 1045">HHS/OS Handbook Item 201.21 NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS /PSC)</p>
1105-17.	<p data-bbox="295 1117 858 1150"><b><u>Security and Protective Services Records.</u></b></p> <p data-bbox="295 1192 989 1841">Security and Protective Services Records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agency wide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.</p>	GRS-18

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
	<p><u>Emergency /Disaster Planning Reports</u></p> <p>Agency reports of operating and tests, consisting of consolidated or comprehensive reports reflecting agency wide results of tests conducted under emergency/disaster plans.</p> <p>a. Office of primary responsibility.</p> <p><b>Disposition:</b> Cut off when superseded or obsolete. Retire to WNRC if volume warrants. Destroy 5 years after cut off.</p> <p>b. Copies of reports not maintained by the office of primary responsibility.</p> <p><b>Disposition:</b> Destroy when superseded or obsolete.</p>	<p>HHS/OS Handbook Item 201-16 a &amp; b. NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS/PSC)</p>
1105-18.	<p><u>Space and Maintenance Operation Files and Directory Service Files.</u></p> <p>Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.</p> <p><b>Disposition:</b> See Job Citation for Disposition Authority.</p> <p><u>Office Services and Supplies</u> <u>Parking Assignments.</u></p> <p>Drawings, charts, assignment schedules, requests, and logs pertaining to requests for and assignment of parking spaces in government operated parking areas.</p>	<p>GRS-11</p> <p>PHS/OASH Handbook Appendix B-300 Item 14 d. NARA Job No. N1-514-92-1 (existing OASH schedule use same disposition for OS/PSC)</p>

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	JOB CITATION
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**Disposition:** Destroy when no longer needed for reference.

1105-19. **Travel and Transportation Records Transhare.**

GRS-9  
Items 3, 4

Records documenting the movement of goods and persons under Government orders. Records include: copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel officers, employees, dependents, or others authorized by law to travel. Also routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions.

**Disposition:** See Job Citation for Disposition Authority.

**Federal Employee Transportation Subsidy/Transhare**

Item 7

Records consist of documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

**Disposition:** Destroy when 3 years old.

**Division of Technical Support**

1105-20. **Audiovisual Records-Visual and Audio Graphic Arts, Photography, Still Photography, and Video.**

GRS-21

Audiovisual and related records created by or for PSC as well as those acquired in the course of business. Audiovisual records include: photography, still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership and rights to the records (2) finding aids to identify or access the records.

**Disposition:** See Job Citation for Disposition Authority

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1105-21.	<p data-bbox="296 283 759 388"><b><u>Communications Records (Mail Operations and Messenger Service and Telecommunications).</u></b></p> <p data-bbox="288 430 1129 898">The principle records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service). Records also include: messenger service files, communication general files, telecommunications operational files, telephone use (Call Detail) records, Post Office and Private Mail Company records, mail and delivery service control files, meter mail files, postal irregularities files, and e-mail and word processing system copies.</p> <p data-bbox="296 940 1023 976"><b><u>Disposition:</u></b> See Job Citation for Disposition Authority</p>	GRS-12
1105-22.	<p data-bbox="296 1014 560 1081"><b><u>Agency Space Files Conference Center.</u></b></p> <p data-bbox="296 1123 986 1228">Paper/Electronic: Conference center records relating to the allocation, utilization and release of space under agency control and related reports to GSA.</p> <p data-bbox="296 1270 900 1304"><b><u>Disposition:</u></b> Destroy/delete when 2 years old.</p>	GRS-11 Item 2b
1105-23.	<p data-bbox="296 1346 794 1373"><b><u>HHS, OS, PHS, and PSC Forms File.</u></b></p> <p data-bbox="296 1417 1066 1627">Case files containing copies of each HHS, OS, PHS, and PSC form, requests for approval and justification, copies of prescribing issuance, clearance reprint authorization, and related correspondence. Office of record is the Postal and Document Management Section. This is a Department level function.</p> <p data-bbox="296 1675 986 1709">a. Record copy of each HHS, OS, PHS, and PSC form.</p> <p data-bbox="296 1745 932 1812"><b><u>Disposition:</u></b> PERMANENT. Offer to NARA in 5-year blocks when 20 years old.</p>	HHS/OS Handbook Item 201.08 A and B NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS/PSC)

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	<p>b. Case history files.</p> <p><b>Disposition:</b> Place in an inactive file when form is rescinded, superseded, or obsolete. Cut off inactive file at the close of the FY. Hold 6 years or until volume warrants and retire to FARC. Destroy 20 years after cut off.</p>	
1105-24.	<p><b>Forms Register</b></p> <p>A register or card system used to record and control the assignment of form numbers.</p> <p><b>Disposition:</b> Destroy particular register sheets when all entries are cancelled, superseded, or transferred to a new sheet or when no longer needed, whichever is earlier.</p>	<p>HHS/OS Handbook Item 201.09 NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS/PSC)</p>
1105-25.	<p><b>Forms Functional File.</b></p> <p>A collection of forms or reports, including Standard Form 83, used in forms management to determine if new forms should be developed and approved, and if current forms should be consolidated or replaced by other forms.</p> <p><b>Disposition:</b> Destroy when form is superseded or discontinued.</p>	<p>HHS/OS Handbook Item 201.10 NARA Job No. NCI-235-80-1 (existing OS schedule- use same disposition for OS/PSC)</p>
1105-26.	<p><b>Printing, Binding, Duplication, and Distribution Records Reprographics.</b></p> <p>The principle records documenting these functions are: (a) records pertaining to requests for service, control, production and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or of similar media utilized to control the receipt of requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling,</p>	GRS-13

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printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1920 must be offered to the National Archives and Records Administration (NARA) before applying for disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions. Records include: Administrative Correspondence Files, Project Files, Control Files, Mailing Lists, Joint Committee on Printing (JCP) Reports Files, Internal Management Files, and Electronic Mail and Word Processing System Copies.

**Disposition:** See Job Citation for Disposition Authority.

Public Printer Files

GRS-3  
Item 6

Records relating to requisitions on the Printer, and all supporting papers.

- a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.

Item 6 a

**Disposition:** Destroy 3 years after completion or cancellation of requisition.

- b. Accounting copy of requisition.

Item 6 b

**Disposition:** Destroy 3 years after period covered by related account.

Division of Freedom of Information Act Services

1105-27.

**Information Services Records.**

GRS-14

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their

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relations with the public, including records created in administering Freedom of Information Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule. Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these or other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

**Disposition:** See Job Citation for Disposition Authority.

**1105-28. Records Management Files.**

GRS-16  
Item 7

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

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**Disposition:** Destroy when 6 years old.

Records Disposition Files

Item 2

Descriptive inventories, disposal authorizations, schedules, and reports

**Disposition:** See Job Citation for Disposition Authority.

Records Holdings Files

Item 4

Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

**Disposition:** See Job Citation for Disposition Authority.

Files Maintenance and Disposition Plans

HHS/OS Handbook  
Item 000.05  
NARA Job No.  
NCI-235-80-1  
(existing OS schedule -  
use same disposition  
for OS/PSC)

Documents which provide information concerning file categories, disposal instructions, and other matters regarding the files maintained in particular offices.

Disposition: Destroy when a revised plan is received.

**Chapter 1106: Federal Occupational Health Service, (FOHS)**

**1106-01. Director, Federal Occupational Health Service Files.**

HHS/OS Handbook  
Item 100-03  
NARA Job No.  
NCI-235-80-1  
(existing OS schedule -  
use same disposition  
for OS/PSC)

Records relating to improving the health and safety of the government workforce by designing and providing innovative, customized, cost-effective occupational health, environmental and work/life solutions that exceed customer expectations. FOHS is the largest provider of Clinical, Wellness/Fitness, Employee Assistance Program (EAP), Work/Life, and Environmental Health and Safety services to the Federal Government. Files located in the Director's office also consist of: CORE (Accounting System); records, MEDCOM Contracts, and Interagency Agreements/Memorandum of Understanding which are covered elsewhere in this schedule.

NOTE: This office is not responsible for the record copy. Each individual division is responsible for the official record copy.

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Disposition: Destroy when 2 years old or when no longer needed for reference, whichever is earlier.

Division of Employee Assistance Program Services (EAP)

1106-02.

Personnel Counseling Records.

GRS-1  
Item 26

These records include Employee Assistance Program client files resulting from employees that require counseling in: crisis situations, mental health issues, substance abuse, employee referrals for long-term treatment, follow-ups, new employee orientations, and individual management consultant services.

Disposition: See Job Citation for Disposition Authority

1. Employee Assistance Program and Work/Life Program Records include technical and business proposals in response to solicitations and resultant contract files. The original documents are kept in the central office in Bethesda, Maryland along with records of the bidders and awarders of the contract. The Work/Life Program records would also include confidential employee information about adoptions, child care, college and technical schools, relocation, career development, elder care, convenience services, legal assistance, and financial planning.

NOTE: The following EAP records are also covered under this schedule: Copies of Blanket Purchase Agreements between EAP and the contractor staff, program copies of Alternative Dispute Resolution records involving a third party as a mediator, and program copies of Organizational Development and Training records of services provided to employees to improve job performance and attend job related conferences are also covered under this schedule.

Disposition: Use Item No. 1100-03 Interagency Agreements/Memorandum of Understanding.

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Division of Environmental Health Services

1106-03. Special Studies and Reports Files  
Environmental Health Services Records.

HHS/OS Handbook  
Item 301.02  
NARA Job No.  
NCI-235-80-1  
(existing OS/ASPE schedule  
use same disposition  
for OS/PSC)

Special studies and reports relating to PSC/Federal Occupational and Health Service (FOHS) Environmental Health Services program responsibilities. Included are preliminary and final reports, background materials, correspondence, and related materials. FOH provides environmental health and safety consultations and services to help federal managers establish and maintain safe, healthy, and productive work environments, and to comply with OSHA and EPA regulatory compliance mandates. Services include but are not limited to: Indoor Air and Water Quality Assessments, Hazard Assessments, Asbestos and Lead Detection, Monitoring and Abatement, Safety Assessments and Training, Environmental Surveys, Personal Protective Equipment Program Development and Implementation, Hearing Conservation Consultations and Assessments, Hazard Communication Program Development and Implementation, Emergency Response Plan Development and Training, Food Sanitation and Service Inspections, Ergonomic Assessments and Program Development, and Analytical Services. FOH also manages three fully equipped and accredited reference laboratories. These state-of-the-art laboratories offer both sampling and analytical support services and specialize in industrial hygiene, environmental, microbiological, as well as asbestos and other fine particle analyses.

**Disposition:** See Job Citation for Disposition Authority.

Division of Health & Clinical Service

1106-04. Health and Clinical Service.

FOHS designs and manages Occupational Health Centers for federal employees throughout the country. These centers are managed and staffed by highly qualified medical personnel, and are open to all covered employees during the government's regular business hours or on a scheduled dictated by the customer agency or agencies. Services provided in these centers include a variety of health and wellness services such as emergency response, walk-in/first aid care, doctor-prescribed

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services, health and wellness education programs, immunizations, preventative health screenings, and risk appraisals.

<b>Civilian Personnel Records</b>	GRS – 1
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a. <u>Individual Non-Occupational Health Record Files</u>	Item 19
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Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to government health facilities, for nonwork-related purposes. EXCLUDING records covered by item 21 of this schedule.

**Disposition:** Destroy 6 years after date of last entry.

b. <u>Health Unit Control Files</u>	Item 20
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Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

**Disposition:** See Job Citation for Disposition Authority

c. <u>Employee Medical Folders</u>	Item 21
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FOHS acts as the custodian for FOHS's customer agencies' employee medical records. These are medical records for federal employees of our customer agencies. They include: occupational medical records, x-rays, specific forms such as FOH 4 (Periodic Health Evaluation), FOH 5 (Medical Surveillance Program), or FOH 6 (Authorization for Disclosure), and various other forms.

**Disposition:** See Job Citation for Disposition Authority

d. <u>Personal Injury Files</u>	Item 31
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Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

**Disposition:** Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

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Division of Business Technology Support

1106-05.

Information Technology Operations and Management Records.

GRS-24

Technology Services

FOHS is a Service Unit within the PSC which provides occupational health services, including health, wellness, employee assistance, work/life, safety, environmental, and industrial hygiene-related services to Federal departments and agencies nationwide