

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-090-77-03**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

Superseded by NC1-090-81-005

NC1-090-81-005 states in the SF-115 that is completely supersedes NC1-090-77-003

Date Reported: 7/27/2023

NC1-090-77-03

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)

Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION

Public Health Service

3. MINOR SUBDIVISION

Health Services Administration

4. NAME OF PERSON WITH WHOM TO CONFER

Ms. Barbara C. Miller

5. TEL EXT

443-3780

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED 8 AUG 1977 NC1 90 77 8	JOB NO
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with drawn" in column 10	
2-278 <i>James E. O'Neill</i> (Date) <i>Acting</i> Archivist of the United States	

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of ~~187~~ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

187  
176

7/25/77

Date

*Eugene J. Reed, Jr.*  
for **Russell O. Hess**

(Signature of Agency Representative)

Department  
Records Management Officer

(Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>The record materials described in this Records Control Schedule were created by the Health Services Administration which provides a national focus for programs and health services for all people of the United States with emphasis on achieving the integration of service delivery and public and private financing systems to assure their responsiveness to the needs of individuals and families in all levels of society. It is comprised of the Office of the Administrator (OA), Bureau of Community Health Services (BCHS), Indian Health Service (IHS), and the Bureau of Medical Services (BMS). There are separate sections for each classification of records, as follows:</p> <p><u>Part IA Items 1-29 - Permanent and Nonpermanent Program and Administrative Records</u> describes file materials accumulated at Headquarters and field offices to comply with HSA policies. This schedule provides the time-table for which these record files are to be transferred to the Federal Records Center (FRC) for a specified period of time and then offered to the National Archives for permanent retention. The files are grouped according to function. In all cases, the official permanent program and administrative records will be maintained in the OA staff offices responsible for that function.</p>		

11/9/78 - All changes ap - 573 items  
provided by Barbara Miller (HSA).

115-106

STANDARD FORM 115  
Revised January 1973  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4

Copies to WNRC, ANB, ANF, ANR, ANU, ANS

RECORDS CONTROL SCHEDULE  
FOR COMPONENTS WITHIN THE  
HEALTH SERVICES ADMINISTRATION

- \* Office of the Administrator
- \* Bureau of Community Health Services
- \* Indian Health Service
- \* Bureau of Medical Services

PREPARED BY:

Office of Management Policy,  
Office of the Administrator  
Parklawn Building, Room 14A31

October 77

RECORDS CONTROL SCHEDULE

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	<p>Nonpermanent records describes file materials accumulated at Headquarters and field offices to comply with HSA policies. Files are grouped according to function and in all cases the office of record will be the staff office responsible for that function.</p> <p>This schedule should be used in conjunction with the General Records Schedule (GRS) published by GSA. (Appendix A of the HEW Records Management Manual).</p> <p><u>Part IB Item 23 - Bureau of Community Health Services (BCHS)</u> Permanent and nonpermanent program records pertaining to contracts, loans, and grants which provides for the distribution of Federal money for various types of health care programs. Designed to meet the total health needs of the community it serves.</p> <p><u>Part IC Item 24 - Indian Health Services</u> Permanent and nonpermanent program records. Files for hospitals, health centers etc. are covered under PHS Hospitals and clinics.</p> <p><u>Part ID Items 25-29 - Bureau of Medical Services</u> Permanent and nonpermanent program records including Public Health Service Hospitals and Outpatient Clinics.</p> <p><u>Part II Item 33 - Non Record Materials</u> preserved solely for purposes of reference.</p>		

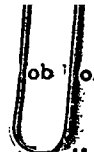
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1.	<p><u>Part IA: PERMANENT AND NONPERMANENT PROGRAM AND ADMINISTRATIVE RECORDS</u></p> <p><u>ORGANIZATIONAL PLANNING AND DEVELOPMENT</u></p> <p><u>A. Authority Organization and Functions</u></p> <p>Formal documents which affect the authority, organization, and functions of HSA. These records establish, or substantively change, the organization functions and/or relationships of HSA components. Included are copies of proposed and approved organization function and mission statements, staffing plans, organizational charts, and codes. Records copies are retained by the OA. Each major HSA component has duplicated copies in addition to original internal supporting documents written during the development phases of their organization and function proposals. Files are arranged alphabetically and annual estimated volume 1/2 cu. ft. <i>by subject</i></p> <p><u>Disposition: Permanent</u></p> <ol style="list-style-type: none"> <li><u>Office of record: OA/OMP</u> - Transfer a complete official set of agency's organization statements, charts, and codes to the FRC when superseded or obsolete and offer to the National Archives 10 years thereafter.</li> <li><u>HSA major components</u> - forward to OA all original supporting documents pertaining to Bureau organizations to be included in the official record package. Destroy reference copies 5 years after superseded or obsolete. Earlier disposal authorized when no longer needed for administrative purposes.</li> </ol> <p><u>B. HSA Issuance Management</u></p> <p>Files consist of manuals, directives and other formal policy and procedural issuances prepared and published by HSA and major components. Included are Bureau issuances, a publication which introduces establishment of a HSA General Circular Series, and HSA supplements to the PHS and Department Staff Manual Chapters, Circulars and Guides. Files are arranged alphabetically and annual estimated volume is 3 cu. ft. <i>by subject</i></p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Disposition:</u> Permanent.</p> <p>1. <u>Office of Record:</u> Office Responsible for Preparation of the Issuances - Transfer to the FRC when superseded or discontinued. Offer to National Archives 10 years thereafter.</p> <p>2. <u>Other Offices:</u> Destroy 1 year after the issuance is superseded, discontinued or no longer needed for reference, whichever is first.</p> <p>1. <u>Issuance Background</u></p> <p>Files accumulated in the preparation, clearance, publication, and/or interpretation of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are clearances, comments, recommendations, and similar records which provide a basis for publication or contribution to the contents of issuances.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Preparing offices destroy when 2 years old, or when no longer needed for administrative purposes whichever is appropriate.</p> <p><u>Other Offices:</u> Destroy when obsolete, but within 2 years.</p> <p>2. <u>Distribution Control Files</u></p> <p>Files contain mailing lists/keys and similar documents which govern the distribution of HSA, PHS, and DHEW staff manuals, supplements, circulars, and other printed materials, publications, and issuances to HSA components.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>All offices destroy when obsolete, but within 2 years.</p>		



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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
2.	<p><u>COMMUNICATIONS, PUBLIC AFFAIRS AND AUDIOVISUAL</u></p> <p>A. <u>Communications Program</u></p> <p>These files consist of public affairs policies and procedures which document the development of public affairs activities within the HSA staff offices and bureaus. Files are arranged alphabetically and annual volume estimated at 2 cu. ft. <i>by topic</i></p> <p><u>Disposition:</u> Permanent.</p> <p>1. <u>Office of Record:</u> OA - Cut off files annually and hold. Retain one complete set of formal information publications, such as press releases, <del>press conferences, transcripts, speeches, official speech and films.</del> Transfer to the FRC in 5 year blocks. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices:</u> Destroy when 1 year old or when administrative value ends.</p> <p><del>B. <u>Communications Reorganization</u></del></p> <p><del>Successor Agency files which involve both reorganization of HSMHA generally and the Public Affairs Offices specifically.</del></p> <p><del><u>Disposition:</u> Permanent.</del></p> <p><del>1. <u>Office of Record:</u> OA - Consolidate with transitory correspondence files 1973-1974 and other surviving reorganization files and transfer to the FRC in 5 year blocks or when no longer needed for administrative purposes. Offer to the National Archives 10 years thereafter.</del></p> <p><del>2. <u>Other Offices:</u> Destroy when obsolete or superseded.</del></p> <p>C. <u>Communications Conventions and Exhibits</u></p> <p>Includes exhibits, graphic designs, publications and other materials documenting the production and execution of HSA graphic presentations, audiovisual exhibits, displays at conventions, conferences, or</p>		<p>WITHDRAWN</p> <p>WITHDRAWN</p>

*D. J. [Signature]*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>other special showings. Also included are correspondence, drawings, planning documents, photographs of completed exhibits, and related material. Files are arranged alphabetically and annual estimated volume 2 cu. ft.</p> <p>* <u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Transfer significant artwork to an HSA Exhibits Production Official Record Set. Retain in current file areas for 5 years, then transfer to the FRC. Destroy when 15 years old.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>All other files and exhibit materials: Retain for 5 years after presentation, then destroy. Earlier disposal is authorized, if necessary.</p> <p><u>Other Offices:</u> Destroy 3 years after presentation. Earlier disposal is authorized.</p> <p><del>B. <u>Publications</u></del></p> <p>1. <u>Public Health Reports Manuscript Files</u></p> <p>Consists of original manuscripts for review by PHS staff and "referees" or outside reviewers, correspondence with the author and referees, all editing and revisions of manuscript, and final copy sent to the printer. If manuscript is rejected notation of rejection is shown on outside of control jacket cover.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Retain in active pending file until manuscript is accepted and sent to printer. If formally rejected, place in inactive file and destroy 2 years from that date.</p> <p>* Offer highly significant exhibits of historical value to NARS for appraisal.</p>		

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	<p><del>Disposition: Nonpermanent.</del></p> <p><del>Destroy upon printing and distribution of the publication, EXCEPT those documents which have continuing value for use in later revisions, related publications, or reuse in the event of reprinting. Destroy when obsolete.</del></p> <p><u>Publication Card Index for Public Inquiry</u></p> <p>a. Publications Card Index - Card files of HSA publications by number and title for reference and inquiry response purposes. Constantly updated.</p> <p>b. Publications Distribution Files - Copies of correspondence relating to general inquiries and requests for HSA publications. (Current available HSA publications, and other related brochures and publications are maintained as ready reference and for distribution.)</p> <p><u>Disposition: Nonpermanent.</u></p> <p>All requests for publications are returned with the order. Other files destroy when 2 years old.</p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
3.	<p><u>AUDIOVISUAL</u> (Records described under this item are used for public information purposes)</p> <p>A. <u>Motion Picture Film Productions</u></p> <p>1. <u>Motion Picture Film</u></p> <p>The original negative or color original plus optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each motion picture used to document, carry on, promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically/chronologically and annual volume estimated is 2-3 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p>Offer to the National Archives when obsolete or after five years whichever occurs first.</p> <p>2. <u>Film Project Case Files</u></p> <p>Documents relating to motion picture productions including requests for approvals, justifications, authorizations, film requirements, contracts, scripts, clearances and releases, and other records relating to the origin, acquisition, and ownership of the production.</p> <p><u>Disposition:</u> Permanent.</p> <p>Offer to the National Archives with related film in accordance with instructions in (A.1.).</p> <p>3. Additional duplicate prints of items identified in (A.1.).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when obsolete or after five years whichever occurs first.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>4. <u>Motion picture films</u> having limited administrative use or interest such as productions whose subject matter is transitory or is of a purely local interest nature as well as film of subjects and activities not directly related to agency operations or responsibilities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when obsolete or after five years whichever occurs first.</p> <p>B. <u>Sound Recordings and Video Recordings</u></p> <p>1. <u>Sound Recordings:</u> The master tape, matrix or stamper, and one disc pressing for each conventional mass-produced multiple copy disc recording and the original tape for each magnetic audio tape recording used to document, carry on, or promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically and annual volume estimate is 3-4 cu. ft for a-c.</p> <p><u>Disposition:</u> Permanent.</p> <p>Offer to the National Archives when obsolete or after five years whichever occurs first.</p> <p>2. <u>Video Recordings</u></p> <p>The original recording or the earliest generation of the recording (or a kine-scope of the recording) used to document, carry on, or promote substantive agency activities, procedures, and programmatic responsibilities and developments. Files are arranged alphabetically and annual volume estimate is 1 1/2 cu. ft.</p> <p>3. <u>Disposition: See B-1 above.</u> <u>Sound and Video Project Case Files</u></p> <p>Documentation accumulated in the preparation and production of items identified in (B.1.) and (B.2) including scripts, transcripts, releases, and other records relating to the origin, acquisition,</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

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	<p>and ownership of the sound or video recordings. Files are arranged alphabetically and annual estimate is 1-2 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p>Offer to the National Archives with the recordings in accordance instructions in (B.1.) and (B.2.).</p> <p>4. <u>Sound and Video Recordings</u></p> <p>Having limited administrative use or interest such as productions whose subject matter is transitory or is of purely local interest nature as well as recordings of subjects and activities not directly related to agency operations or responsibilities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when obsolete or after five years whichever occurs first.</p> <p>C. <u>Still Pictures</u></p> <p>1. Still photographs depicting substantive agency activities, procedures, programmatic responsibilities and developments, and significant personalities. Files arranged alphabetically by programs and annual volume estimate 1 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p>Break files every five years and offer to NARS the original negative and a captioned print or its equivalent for each black and white image and the original color transparency or color negative, a captioned print or its equivalent, and an internegative (if one exists) for each color image when obsolete or when 10 years old, whichever occurs first.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. Still photography having limited administrative use or interest such as photographs whose subject matter is transitory or is of a purely local interest nature as well as photographs of subjects and activities not directly related to agency operations and responsibilities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after five years or when obsolete whichever occurs first.</p> <p>3. Additional duplicate prints of items identified in (C.1.).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after five years or when obsolete whichever occurs first.</p> <p>D. <u>Finding Aids for Audiovisual Records</u></p> <p>Existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification retrieval and use of the audiovisual records identified in (A.1.), (B.1.), (B.2.), and (C.1.) and filed appropriately there in. Annual volume 1 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p>Offer to the National Archives with related audiovisual records in accordance with instructions in (A.1.), (B.1.), (B.2.), and (C.1.).</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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4.	<p><u>HSA ADMINISTRATOR'S REFERENCE CORRESPONDENCE</u></p> <p>A. <u>General Correspondence of the Administrator</u></p> <p>These files are maintained in the Executive Secretariat for general reference and retrieval purposes. Such files do not constitute a complete record of related activities, but merely document the Administrator's direct involvement in such correspondence as follows:</p> <ol style="list-style-type: none"><li>1. Correspondence originating with the Administrator or responded to by him/her.</li><li>2. Filed with item 1: General information items which are returned from the Office of the Administrator for reference filing.</li><li>3. Copies of all correspondence from within HSA logged in the ES/HSA whether for direct reply on behalf of the Administrator or for signature of the Administrator.</li><li>4. Correspondence control records for above. Files are arranged alphabetically and annual volume 4-6 cu. ft. <i>by subject</i></li></ol> <p>1. <u>Disposition:</u> Permanent.</p> <p>Those documents pertaining to policy and significant matters. Offer to NARS when no longer needed for administrative purpose or when 10 years old.</p> <p>2. <u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for administrative purposes, those documents that are not policy documents or of significance.</p>		

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	<p>B. <u>Controlled Correspondence of the Administrator</u></p> <p>Files which are maintained for general reference, retrieval and control purposes. Such files constitute a record of ongoing responses to PHS and OS, controlled correspondence for signature at the ASH, U, and S levels, or for direct reply on behalf of such addressees.</p> <ol style="list-style-type: none"> <li>1. Congressional correspondence controlled for direct reply at the program office (Bureau) level within HSA, regardless of addressee.</li> <li>2. Copies of all ASH, U, and S correspondence controlled through the Executive Secretariat for either direct reply or for signature of ASH, U, or S.</li> <li>3. Copies of all HSA-prepared correspondence responded to by the ES.</li> </ol> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - May often have to be determined on a case-by-case basis by the Director, Executive Secretariat. Otherwise destroy when administrative value ends or every 2 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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5.	<p><u>DELEGATIONS OF AUTHORITY</u></p> <p>A. <u>Administrative/Financial and Program Delegations of Authority</u></p> <p>These files contain formal documents that define policy and criteria governing the delegations of authority. The administrative delegations of authority include annual leave, procurement, printing, travel, etc. The program delegations of authority are unique to HSA programs and include procedures for delegating authority, (i.e., format and content of delegations), transmittal of delegations, procedural instructions, delegation code sheets, multi-delegatee delegations, revised and cancelled delegations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>1. <u>Office of Record:</u> OA - Administrative Delegations - Transfer those documents that pertain specifically to the delegation to the FRC 2 years after superseded or when program/administrative value ends. Destroy 5 years thereafter. Program Delegations are of archival value. However if they are published in the <u>Federal Register</u>, the <u>Federal Register</u> is offered to NARS and all other documents are disposed of 5 years after receipt into the FRC.</p> <p>2. <u>Program Delegations (below the agency level) that are not published in the the Federal Register:</u> Transfer those documents that pertain specifically to the delegation to the FRC 2 years after superseded or when program value ends. Offer to NARS in 10 year increments.</p> <p>3. <u>Other Offices with duplicate copies</u> - Destroy 1 year after authority is redelegated unless needed for administrative purposes.</p>		

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6.	<p><u>HSA REGULATIONS</u></p> <p>A. Files consist of records which establish policies and procedures pertaining to developing and processing HSA Regulations. All Agency regulations (those pending or published in final form) are included in addition to the format for developing and processing General Notices, Notices for Proposed Rule Making, and Final Regulations for publication in the <u>Federal Register</u>.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> HSA Component initiating the regulations - Transfer all official documents for each regulation, in addition to the final regulation, to the FRC when 5 years old or no longer needed for administrative purposes. Destroy 5 years thereafter.</p> <p><u>Other Offices:</u> Destroy 1 year after regulation(s) becomes obsolete or superseded.</p>		

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7.	<p><u>DOCUMENTATION ON CONGRESSIONAL LEGISLATION</u></p> <p>A. <u>HSA Legislative History</u></p> <p>Individual case histories describing the administration of all HSA legislative interpretations, requests for Agency representation at scheduled congressional hearings, final copies of prepared opening statements and testimonies given before congressional committee hearings, written comments on Agency-related bills, compilations of historical summaries of laws applicable to the Agency's mission and functions, legislation establishing or amending Agency programs, copies of all Agency-related bills and reports, including all final bills as approved by the President, backup files and related materials from the Department, OMB, and Congress.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Division of Legislation close-out files (COF) at the end of each calendar year (CY). Retain all documents in active file area for 2 years or until no longer needed for administrative purposes. Transfer files to the FRC 3 years after each Congressional session ends and destroy when 8 years old.</p> <p><u>Other Offices:</u> Destroy when no longer needed for reference and/or distribution.</p> <p>B. <u>HSA Legislative Proposals</u></p> <p>Individual case files which include backup documents from all HSA components, essential working documents, and final legislative proposals from HSA (with any modifications), PHS, the Department, or OMB.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Retain for reference and working purposes. When administrative value ends, combine as part of HSA Legislative History Files and transfer to FRC 3 years after each Congressional session ends and destroy when 8 years old.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Other Offices:</u> Destroy when no longer needed for reference and/or distribution.</p> <p>C. <u>Bills: Requests for Comments</u></p> <p>Individual case files consists of requests from the Congress to comment on Proposed legislation impacting on the program of HSA, and final comments (if Department/OMB clearance has been received).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Records:</u> COF at end of CY and retain active files area. Comments on bills enacted become a part of the HSA legislative History Files (dispose of as stated above).</p> <p><u>All Others:</u> COF end of Cong. Session. Destroy when no longer needed for reference.</p> <p>D. <u>Legislative Reports</u></p> <p>Files consist of periodic, statutorily-required reports to Congress and the Secretary, and intermittent reports with pertinent supporting documentation.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - COF yearly and retain in active files area until succeeding report is transmitted to the Congress or for 1 year, whichever is earlier, then place in inactive file (PIF). Transfer file to the FRC 3 years after each Congressional session ends and destroy when 8 years old.</p> <p><u>Other Offices:</u> Destroy when no longer needed for reference.</p> <p>E. <u>Program Legislative Planning/Implementation</u></p> <p>Files contain plans and other documents, including written opinions from Office of the General Counsel (OGC) relating to the implementation of specific</p>		

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	<p>Public Laws that concern HSA programs both at Headquarters and in the Regional Offices. The files contain separate folders for each major component (bureau) and records accumulated in drafting or commenting on proposed legislation for each bureau.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Transfer files to the FRC 3 years after each Congressional session ends and destroy when 8 years old.</p> <p><u>Other Offices:</u> Destroy when administrative value ends.</p>		

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8.	<p><u>PROGRAM PLANNING, DEVELOPMENT AND IMPLEMENTATION</u></p> <p>A. <u>HSA Five-Year Forward Plan</u></p> <p>Files contain guidelines, procedures, and definitions of issues necessary to develop the HSA Forward Plan. The Plan provides for major strategies and specific programmatic activities to be undertaken by major HSA components. These strategies suggest the priorities and directions for the resources planning and development process of HSA. Draft papers and the final HSA Forward Plan are maintained by fiscal year. Files are arranged chronologically and annual estimated volume 3-4 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p><u>Office of Record:</u> OA/OPEL - Cut off at end of FY and retain in active files for 2 years thereafter. Transfer one record copy of each Forward Plan, with the applicable Regional Office Work Plan to the FRC when 5 years old or no longer needed for administrative functions. Offer to National Archives 10 years thereafter.</p> <p><u>Other Offices:</u> Destroy when obsolete or no longer needed for reference or working purposes.</p> <p>B. <u>Regional Office Work Plans and Guidance</u></p> <p>Work plans (based on HSA Forward Plan) on regionalized basis maintained as a subpart to the HSA Forward Plan activities. Include correspondence with Regional Offices, ORO/PHS, and other HSA and PHS components regarding developing the Regional Office Work Plan, as well as modifications and other input from Regional Offices. <i>Volume: 1/2 CF. Annually.</i></p> <p><u>Disposition:</u> Same as A. above.</p> <p>C. <u>Operational Planning System (OPS)</u></p> <p>Files document the inception, scope and accomplishments of individual study and survey projects involving HSA's organizational structure, operating procedures, and management practices. Included are records reflecting the request or authorization to undertake</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>the survey, survey plans, final reports, and followup reports on actions taken.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Cut off files annually and hold for 2 years. Transfer to the FRC when administrative value ends or every 3 years. Destroy 3 years thereafter.</p> <p><u>Other Offices:</u> Destroy when no longer needed for reference or every 2 years.</p> <p>D. <u>HSA Evaluation Plan</u></p> <p>Files include a complete HSA Evaluation Plan by fiscal year, beginning with 1974 (the first year for which a formal Evaluation Plan was developed for HSA), along with background materials and working documents from each Bureau; also included are consolidated Plans for HSA and PHS. Files are arranged chronologically and annual estimated volume 3 - 4 cu. ft.</p> <p><u>Disposition:</u> Permanent.</p> <p><u>Office of Record:</u> Division of Evaluation - Cut off files at end of FY and retain current plan in active files until completion of subsequent year plan at the HSA level; then retain in active files for one year. Transfer to the FRC when 5 years old or when no longer needed. Offer to the National Archives 10 years thereafter.</p> <p><u>Other Offices:</u> Destroy when no longer needed for reference or every 2 years.</p> <p>E. <u>Agency Accomplishment Reports</u></p> <p>These records include Agency Assessment Reports, Agency Development Plans, and Status Reports which are used to monitor Agency's progress. Files are arranged alphabetically and annual estimate volume is 1 cu. ft. <i>by subject</i></p>		

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	<p><u>Disposition:</u> Permanent.</p> <p><u>Office of Record:</u> Transfer to FRC when 5 years old or no longer needed for day-to-day activities. Offer to Archives 10 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
9.	<p><u>COMMITTEE MANAGEMENT</u></p> <p>A. <u>HSA Program Committees and Policy Councils</u> <u>(Division Level and Above)</u></p> <p>Individual files on Councils and Committees, arranged alphabetically by agency/program/committee. Includes agendas and minutes of meetings, authority for establishment, statements of mission, original charters, memberships, committee reports (including financial expenditures of each members), written policies, procedures, management guidelines, modifications, pending actions, and related correspondence: OA retains records copies. Files arranged alphabetically and annual volume estimate is 3 cu. ft. <i>by title</i></p> <p><u>Disposition: Permanent.</u></p> <p>1. <u>Office of Record: OA/Committee Management and Executive Secretariat - Cut off files annually and hold in the active files area until Council or Committee is abolished, terminated, or transferred. Retire to FRC every 3 years or sooner if volume requires. Offer to National Archives when 10 years old.</u></p> <p>2. <u>Other Offices: Destroy after 2 years or when no longer needed for reference.</u></p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
10.	<p><u>EQUAL EMPLOYMENT OPPORTUNITY PROGRAM (EEO)</u></p> <p>A. <u>EEO Policies and Procedures</u></p> <p>These files document EEO regulations and are organized by major program thrust. Specific and general information include files on the following:</p> <ol style="list-style-type: none"><li>1. EEO Planning and Coordination</li><li>2. Federal Women's Program</li><li>3. EEO Education and Training</li><li>4. Spanish-Speaking Program</li><li>5. Research, Evaluation, and Planning documents, and forward planning.</li></ol> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OEE0 - Destroy when 3 years old or when administrative value ends.</p> <p><u>Other Offices:</u> Destroy when 2 years old or when administrative value ends.</p> <p>B. <u>Affirmative Action Plan (AAP)</u></p> <p>Files contain guidelines and procedures issued by CSC for developing the Agency AAP. This Plan is responsive to the overall needs of HSA and requires action by subordinate organizational units to assure equal employment within HSA. Included are working papers and comments submitted by HSA components at all levels. AAP's are updated every fiscal year and assessment reports written which describe action items achieved or not achieved for the previous FY.</p> <p><u>Disposition:</u> Nonpermanent. <i>See GRS 1, #26-h.</i></p> <p><u>Office of Record:</u> <del>OEE0 - Retain AAP, assessment reports, and all supporting documents in active file for 2 years or until no longer needed for reference. Transfer to the FRC 1 year after placed inactive and destroy when 5 years old.</del></p> <p><u>Other Offices:</u> <del>Destroy when no longer needed for reference or after 2 years.</del></p>		

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	<p>C. <u>Education and Training</u></p> <p>Includes basic procedures, policies, and restrictions on conduct of EEO activities and those materials which were developed for EEO training agencywide.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Retain in active files area for 2 years or until no longer needed then destroy.</p> <p>D. <u>EEO Case Documentation</u></p> <p>Consist of case files with all applicable documentation of basic complaints and all subsequent depositions, affidavits, and other supporting documentation which may terminate at the (1) informal level, (2) the formal agency level, (3) the formal departmental level, (4) or resolution by court hearing for cases which go beyond agency level. Only records of resolution are returned for inclusion in agency files.</p> <p><u>Disposition:</u> Nonpermanent. <i>See GRS 1, #26-a.</i></p> <p><u>Office of Record:</u> <del>OEEO - Maintain official record in secure location until final resolution if effected. Transfer to the FRC 2 years after final resolution and destroy 4 years thereafter (for cases resolved at agency level).</del></p> <p><u>Other Offices:</u> <del>Destroy duplicate copies 2 years after final resolution. Do not transfer to the FRC.</del></p> <p>E. <u>Program Activity Reports</u></p> <p>Files consist of periodic recurring reports required by PHS, DHEW, and CSC for EEO activities. Some examples include monthly Pre-Complaint Counseling Reports, reports reflecting status of minority groups, changes in the minority data files, quarterly Time Cost Analysis, EEO Management Audit Reports, and other reports similar in content.</p>		



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	<p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OEE0 - Destroy 5 years after consolidating data from Bureaus for each report.</p> <p><u>Other Offices:</u> Destroy 3 years after reports are submitted to OEE0 or sooner if not needed for reference purposes.</p>		

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<p><u>11.</u> <u>12.</u></p>	<p><u>MANPOWER MANAGEMENT SURVEY PROGRAM (MMSP)</u></p> <p>A. <u>Quality Control Procedures and Forms for Survey</u></p> <p>Production logs, coding transcription sheets, and other documentation containing information on feedback, productivity, and other factors related to quality of survey methodology.</p> <p><u>Disposition:</u> Nonpermanent.</p> <ol style="list-style-type: none"><li>1. Destroy original paper records 1 year after transfer to magnetic tapes.</li><li>2. Erase magnetic tapes after 6 years. Do not transfer to an FRC.</li></ol> <p>B. <u>Work Measurement Studies and Manpower Surveys</u></p> <p>Files consist of periodic Manpower Management Reports which specify organization/workload analysis relating to current or projected (measurable and non-measurable) outputs, manpower available/required, productivity indexes, and trends. Also included are instructions and guidelines on developing the MMSP Annual Plan and conducting studies/surveys, quarterly status reports, and similar work measurement data prepared at operating levels and consolidated at the agency level. Reports are used to forecast budgetary requirements and justify position increases to PHS, DHEW, and OMB.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Destroy when reports are 10 years old.</p> <p><u>Other Offices:</u> Destroy 2 years after reports are submitted to OA for consolidation.</p> <p>C. <u>Study and Survey Working Papers</u></p> <p>Files contain working papers accumulated in the preparation, clearance, and issuance of final survey reports. Included are notes, drafts, feeder reports,</p>		

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	<p>clearance comments, and similar records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Destroy when reports are 10 years old.</p> <p><u>Other Offices:</u> Destroy 2 years after reports are submitted to OA for consolidation of final report.</p>		

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<u>12.</u> <u>13.</u>	<p><u>MANAGEMENT PROJECTS</u></p> <p><u>Management Projects File</u></p> <p>Project working papers including background materials, studies, analysis, notes, rough drafts, interim reports, copies of final reports which include, organizational and special studies, internal management reporting work standards, work simplification, management improvement and systematic review of programs and operations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after completion of project.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
13	<p><u>HSA PAPERWORK MANAGEMENT PROGRAM</u></p> <p>A. <u>Forms Management</u></p> <p>Files are arranged numerically and annual estimated volume is 1 cu. ft. Records contain data showing the inception, scope and purpose of HSA forms, the related procedures which instituted, revised, superseded, or cancelled a form. A case file is maintained on each HSA form (including background material). The OMP/OA is responsible for management of all agency forms. Also included at the OA level are file materials relating to guidance furnished the HSA bureaus in carrying out their forms management responsibilities. and supervision of the overall HSA forms Management program.</p> <p><i>Disposition:</i></p> <ol style="list-style-type: none"> <li><u>Disposition</u>: Permanent. <i>Record copy of each HSA-created form. Offer to NARS 10 years after obsolescence in 10-year increments.</i></li> <li><u>HSA Forms Management Officer</u>: Transfer to the FRC a record copy of each HSA created form with the related instructions and documentation showing inception, scope, and purpose of form 2 years after it becomes obsolete or when volume permits, <del>offer to NARS in 10 year increments.</del> <i>Destroy 10 years after obsolescence.</i></li> <li><del>All Other Material: Nonpermanent: Transfer to inactive file when superseded or obsolete and to FRC 2 years thereafter. Destroy when 10 years old.</del></li> </ol> <p>Destroy duplicate copies of forms when they become obsolete.</p> <ol style="list-style-type: none"> <li><u>Other Offices</u>: Destroy when form is obsolete or superseded.</li> </ol> <p>B. 1. <u>Form and Form Letters History</u></p> <p>Office forms and form letter materials relating to origin, scope, function and purpose of form, printed copies of the form and all revisions, requests for new or revised forms or form letters, and related correspondence.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 5 years after forms or form letters are discontinued, cancelled, or disapproved.</p> <p>2. <u>Forms and Form Letters Stock Control</u></p> <p>Advisory and procurement cards, back orders, stock control cards, title inserts, and local or equivalent forms used for the same purpose.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after the cards have been replaced by a new card or after the form to which the card pertains becomes obsolete or is superseded.</p> <p>3. <u>Forms and Publications Requisitions</u></p> <p>Requisitions for Administrative Publications, requisitions for forms, and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 months after requisition has been filled or cancelled.</p> <p>4. <u>Mailing or Distribution Lists</u></p> <p>Files relating to mailing or distribution lists.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after mailing or distribution list is replaced by a new list.</p> <p>B. <u>Records</u></p> <p>1. <u>Filing Equipment</u></p> <p>Requests and justifications for filing equipment (copies), equipment inventory records, and other related material.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Destroy requisition and inventory records after 1 year.</p> <p><u>Other Offices:</u> Destroy requests 3 months after equipment is received and equipment inventory completed.</p> <p>2. <u>Indispensable Records</u></p> <p>Notices of shipment of HSA indispensable records and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 1 year after disposition of related records at HSA Security Dispository.</p> <p>3. <u>Records Disposition File (Records Control Schedule)</u></p> <p>Certifications of records disposition containing records destruction, retirement and storage data.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Retain as long as it is useful then destroy.</p> <p>4. <u>Records Maintenance</u></p> <p>Records used to maintain a control and inventory over active records series and to initiate prompt disposition action upon expiration of retention periods.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after purpose has been served.</p> <p>5. <u>Records Retirement and Shipment</u></p> <p>Record transmittals and receipts SF 135, record shelf lists, requests for official personnel folders, shipping lists, GSA Form 7015 and other related materials.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of after retention period of related records has expired and after submission of the annual records status report for the year in which the records were disposed of.</p> <p><u>C. Reports Management</u></p> <p>1. These records consists of listings of inter-agency reports required and responded to by HSA. Also included are backup materials to these listings. Each HSA activity is required to maintain a case file on each report from which periodic listings are furnished. These listings include such information as name of report, cost and manhours to prepare report, requiring or responding office, etc. The case file includes forms, justification, and other materials constituting the request and approval of a report, as well as reports received and submitted.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy listings of reports when superseded. Destroy case files no later than 2 years after report requirement is terminated.</p> <p>2. <u>Internal and Interagency Recurring Reports</u></p> <p>Included are files which provide standards and guidelines for the creation and use of reports, copies of the report and its format or form, procedures describing reporting requirements, internal contracts for review and clearance of proposed reports, requests for report clearance, completed cost effectiveness evaluation data recorded on SF 360, optional form 10 and summary worksheets, and backup materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA - Bureau and staff offices that <u>require</u> internal and interagency recurring reports <u>destroy</u> 2 years after report is terminated.</p>		



J  
Job No. \_\_\_\_\_

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Other Offices:</u> Destroy immediately after report is terminated.</p> <p>3. Nonrecurring Reports (one time reports) submitted to higher echelons.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy copies 1 year after report is submitted to requesting office.</p> <p>D. <u>Freedom of Information Act (FOIA) Request Files</u></p> <p>Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files including the originals or copies of the records being requested.</p> <p><i>Disposition: See GRS 14, #16.</i></p> <p>1. Correspondence and supporting documents, (excluding the originals or copies of the records requested):</p> <p>a. Granting access to all requested records. Dispose of 2 years after date of reply.</p> <p>b. Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay the agency reproduction fees.</p> <p>Dispose of 2 years after date of reply if not appealed.</p> <p>Dispose of appealed requests as authorized under item <del>10.17</del>, GRS 14.</p> <p>c. Denying access to all or part of the records requested:</p> <p>Dispose of 5 years after date of reply, if not appealed.</p> <p>Dispose of appealed requests as authorized under item <del>F. below</del>, 17, GRS 14.</p>		

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	<p><del>d. Originals or copies of requested records:</del></p> <p><del>Dispose of in accordance with approved agency disposition instructions for related records, or with the related FOIA request, whichever is later.</del></p> <p><u>E. Freedom of Information Act Appeals Files</u></p> <p>Files created in responding to administrative appeals under the FOIA for release of information denied by the agency consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, including the originals or copies of denied records.</p> <p>1. Correspondence and support documents (<u>exclusive of the originals or copies of the records denied</u>).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 4 years after final action by agency or 3 years after final adjudication by courts, whichever is later.</p> <p>2. Originals or copies of denied records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of in accordance with approved agency disposition instructions for related records, or with the related FOIA request, whichever is later.</p> <p><u>F. FOIA Control Files</u></p> <p>Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request and name and address of requestor.</p> <p>1. Registers or listings:</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 5 years after date of last entry.</p>		

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	<p>2. Other files:</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 5 years after final action by the agency or after final adjudication by courts, whichever is later.</p> <p>G. <u>FOIA Report Files</u></p> <p>Recurring reports and one-time information requirements relating to agency implementation of the Freedom of Information Act, including annual reports to the Congress.</p> <p>1. Annual reports at Departmental or agency level:</p> <p><u>Disposition:</u> Nonpermanent</p> <p>2. Other reports:</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of when 2 years old or sooner if no longer needed for administrative use.</p> <p>H. <u>Freedom of Information Act Administrative Files</u></p> <p>Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old or sooner if no longer needed for administrative use.</p> <p>I. <u>Privacy Act-Accounting of Disclosure Files</u></p> <p>Files maintained under the provision of 5 U.S.C. 552a (c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.</p> <p>J. <u>Privacy Act Amendment Case Files</u></p> <p>Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); and to an individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3). Includes all actions from the initial request to amend a records through the final appeal.</p> <p><i>Disposition: See GRS 14, # 26.</i></p> <p>1. Statement of disagreement and agency justification for refusal to amend a record:</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual records, 4 years after final determination by agency; or 3 years after final adjudication by courts, whichever is later.</p> <p>2. Other records, <u>exclusive of</u> those filed under item J. above:</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 4 years after final determination by agency or 3 years after final adjudication by the courts, whichever is later.</p> <p>K. <u>Privacy Act Reports Files</u></p> <p>Recurring reports and one-time information requirements relating to agency implementation,</p>		

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	<p>including annual reports to the Office of Management and Budget and Congress and the Report on New Systems.</p> <p>1. Annual reports at Departmental or agency level: <u>Disposition:</u> Nonpermanent.</p> <p>2. Other reports: <u>Disposition:</u> Nonpermanent. Dispose of when 2 years old.</p> <p>L. <u>Privacy Act-General Administrative Files</u></p> <p>Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.</p> <p><u>Disposition:</u> Nonpermanent. Dispose of when 2 years old or sooner if no longer needed for administrative use.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
<p><u>14</u> <del>15</del>.</p>	<p><u>OFFICE SERVICES</u></p> <p>A. <u>Reproduction</u></p> <p>1. Requisitions, production control and distribution records of individual duplicating or reproduction jobs.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 year.</p> <p>2. <u>Printing and Publication Vouchers</u></p> <p>Posting media to the books of original entry consisting of requests for reproduction services, requests for Open Jacket Services, forms or publications, requisitions and shipping documents, adjustment vouchers or the equivalent, and related papers.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 years after close of fiscal year involved, and after audit (GRS Schedule A, Item 4a).</p> <p>3. Memoranda, copies of vouchers paid, and related papers, covering passenger transportation charges.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 fiscal years after period covered by related account.</p> <p>B. <u>Messenger Service</u></p> <p>Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, related and similar material.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 2 months.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>C. <u>Postal Service Control File</u></p> <p>Headquarters, PHS and IHS Hospital records including: records received and dispatch, registered, insured and special delivery mail, applications for postal registrations and certificates of declared value, returned receipts and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 year.</p> <p>D. <u>Mail Control File</u></p> <p>Records of postage used (airmail, special delivery, foreign, parcel post, etc.), requisitions for stamps (excluding copies used to support paid vouchers), receipts for mail and packages received through official mail and messenger service, records of volume of mail handled and related material.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 6 months.</p> <p>E. <u>Telecommunication File</u></p> <p>Incoming and outgoing messages, teletype circuit number sheets, log sheets, message registers, tapes, daily load reports, related and similar material.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy all records, except tapes, after 90 days. Destroy tapes after message is dispatched.</p> <p>F. <u>Telephone Control File</u></p> <p>Records of long-distance and message unit calls, copies of GSA records on leased circuit calls.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>1. Telephone equipment record cards, orders, for telephone service, floor plans, service and installation records including telephone company work orders.</p> <p>2. Telephone work records including numerical distribution of phone numbers, type and location, and related material. (Directory working records)</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>1. Destroy telephone long-distance call records 3 fiscal years after close of fiscal year involved.</p> <p>2. Destroy telephone service records after 1 year.</p> <p>3. Destroy telephone work records when changes or deletions render the material obsolete.</p> <p>G. <u>Transcription File</u></p> <p>1. Shorthand notes, including stenographic notebooks and stenotype tapes.</p> <p>2. Recordings of telephone conversations, requesting from the nearest relative permission to perform autopsy.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>1. Dispose of after notes and information have been transcribed and verified for accuracy.</p> <p>2. Dispose of by burning or mutilation after 15 years.</p> <p>H. <u>Lost and Found</u></p> <p>Records of lost and found articles and related documents.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Disposition:</u> Nonpermanent</p> <p>Destroy records of found articles after 5 years. Destroy records of lost articles not found after 90 days.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
15 <del>16.</del>	<p><u>AUTOMATIC DATA PROCESSING (ADP) SYSTEMS</u></p> <p>A. <u>Office of the Administrator</u></p> <p>1. <u>HSA Contracts System (HSA 030)</u></p> <p>Provides data on HSA and OASH contracts for management and reporting purposes.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punched Cards - Transaction cards used to create Transaction Tapes are disposed immediately after verification that data has been properly transferred.</p> <p>Transaction Records - Dispose 1 month after creation.</p> <p>Master Records - Dispose 12 months after creation.</p> <p>2. <u>HSA Management Control System (HSA 010)</u></p> <p>System has been discontinued.</p> <p>3. <u>Manpower Information Control System (HSA 010)</u></p> <p>Contains data retrieved from data bases maintained by DHEW or USPHS concerning personnel employed by HSA. The system is used for producing personnel reports and for projecting employment trends.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Master Monthly Extract Records - Dispose 24 months after extraction.</p> <p>Quarterly Extract Records - Dispose 10 years after extraction.</p> <p>Administrative Code Records - Dispose 2 months after creation.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>(NOTE: This System's data is <u>extracted</u> from DHEW systems and internal personnel management reports are generated for use at various operating levels within HSA. Punched cards are not used since data is not created or updated via this system.)</p> <p>4. <u>HSA Nonexpendable Control Program (HSA 040)</u></p> <p>Contains the property accountability, control, and dollar value of all capitalized nonexpendable items in use in select HSA accountable areas.</p> <p><u>Disposition:</u> Nonpermanent. <i>See GRS 20, Section 3, item 1.</i> <del>See items A. 1., 2., and 3. of the enclosed September 27, 1977 memorandum to the HSA Records Management Officer from the Director, Office of Property Management/HSA.</del></p> <p>5. <u>HSA Supply Control Program (HSA 045)</u></p> <p>Contains the accountability, control, and dollar value of supply items maintained in inventory. The system covers 1800 supply items maintained for issue to 1500 requisitioning points.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punched EAM Cards - Transaction cards used to update property records under the existing EAM system are disposed 12 months after update. All other supporting EAM cards destroyed 12 months after they become inactive.</p> <p>6. <u>HSA Environmental Health and Safety Administrative System (HSA 050)</u></p> <p>Will collect HSA accident, injury and occupational illness data on employees for use in planning programs to reduce occupational hazards.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Not applicable since automated systems work has not been initiated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>B. <u>Bureau of Community Health Services</u></p> <p>1. <u>Division of Monitoring and Analysis, Information Systems Branch</u></p> <p>a. <u>BCHS Common Reporting System (HSC 012)</u> is a new system superseding separate systems for each program. It is designed to improve management of BCHS programs including the Community Health Center Program, Family Planning Program, Health Underserved Rural Areas, Maternal and Child Health Program, Migrant Health Program, and National Health Service Corps. Input, coming from health care projects funded by BCHS and from BCHS central and regional offices, consists of summary counts of patients and users and grantee financial data. The purpose of the system is to satisfy the reporting requirements of BCHS management.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>b. <u>Migrant Health Project Report System (HSC 011)</u> collects summary data from clinics treating migrant workers under BCHS grants. This reporting system for migrant health projects will be replaced by the BCHS Common Reporting System (No. <u>7<sup>a</sup></u> above). Data collection ended in September 1976 but a few reports are still being completed.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>c. <u>Migrant Hospitalization Reporting System (HSC 010)</u> collects data on each admission of a migrant farm worker to a hospital serviced by a BCHS Migrant Hospitalization Project. The system, begun in 1974, includes the</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>following data: beneficiary number, sex, date of birth, marital status, general reason for admission, days in hospital, and cost data. There is no data on diagnosis or treatment. The system is used to analyze the effective use of grant funds in migrant hospital projects.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>d. <u>Family Planning Compliance Reporting System (HSC 034)</u> stores family planning service utilization totals for Title X and V grants to be used as input into the National Reporting System for Family Planning Services, Projects and Clinics.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>e. <u>Medically Underserved Areas Data Base (HSC 009)</u> has as its purpose the identification of medically underserved areas in the United States in order that they may receive funding priority. Determination of underserved status is made by the analysis of four variables: number of physicians in each area, infant mortality, percentage of population under the poverty level, and percentage of population aged 65 and over. This data is obtained from the American Medical Association, Bureau of Census (1970 Census, 2nd and 4th Count Population and Housing), American Osteopathical Association, and Information Sciences Research, and is reformatted and recoded by BCHS. Data is available by country, and the census data by census district and census tract. The principal output is an annual list of Medically Underserved Areas which is published in the <u>Federal Register</u>.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>f. <u>BCHS Data Management and Production Control System (HSC 004)</u> is a system which provides for the acquisition and recoding of various data bases obtained from private medical organizations, HSA regional projects, and other government agencies. Input includes a list of physicians from the American Medical Association, a list of doctors of osteopathy from the American Osteopathical Association, a list of nurses from the American Nurses Association, a list of hospitals from the American Hospital Association, a list of Dentists from the American Dental Association, a list of Medicare facilities from the Social Security Administration, and data on infant mortality from Bureau of the Census. The purpose of the system is to create standardized files containing numbers of physicians, facilities, etc. by county. The major conversion is to a common geographical code, the Federal Information Processing Standard (FIPS). These files are used in determining medically underserved areas (No. <u>e</u>) and for supplying information to management (No. g below).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>g. <u>General Health Information System (HSC 013)</u> consists of programs used to answer special requests by management using the data bases created in the BCHS Data Management and Production Control System (No. f above).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>h. <u>BCHS Administrative Data System (HSC 006)</u> maintains allocations and expenditures on grants in order to keep track of bureau resources.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after no longer needed for agency use.</p> <p>i. <u>BCHS Management Information System (HSC 005)</u> is an on-line Management Information Terminal System (MITS) maintained by the Parklawn Computer Center which keeps up-to-date lists of telephone numbers, personnel, contractors, etc. for administrative use.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20, <i>section 3, item 1.</i></p> <p>2. <u>Office for State Program Coordination</u></p> <p><u>National Public Health Program Reporting System (HSC 015)</u> collects summary data (expenditures by program, services by program, and source of funds) from state and territorial agencies dealing with health, mental health, and crippled children. The data is used in the publications, <u>Services, Expenditures and Programs of State and Territorial Health Agencies</u>, and <u>Inventory of Health Programs</u>.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when no longer needed for agency use.</p> <p>3. <u>National Health Service Corps</u></p> <p>a. <u>Quarterly Statement of Operations Reporting System (HSC 003)</u> contains personnel utilization, supply, and expenditure data on all National Health Service Corps projects.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Input consists of quarterly reports submitted by each project.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for agency use.</p> <p>b. <u>Application/Recruit/Assignee Management Reporting System (HSC 001)</u> stores information taken from employee applications and personnel action forms on individuals interested in employment at NHSC, Indian Health Service, or Bureau of Medical Services. The system produces reports to management on recruitment of medical manpower.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for agency use.</p> <p>c. <u>Equipment Inventory Management Reporting System (HSC 002)</u> contains an inventory of National Health Service Corps equipment titled to the U.S. Government. The purpose of the system is to maintain control of government property.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20, <i>section 3, item 1.</i></p> <p>4. <u>Office of Program Support, Program Services Branch</u></p> <p>a. <u>BCHS Bureau Publications Editing System (Listed in ADP Plan as Program Services Branch Quarterly Report, HSC 008)</u> contains documentation for the GPO linotron which is used in the publishing of research reports related to Maternal and Child Health Care Program.</p>		



## REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS - Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>b, <u>Publication Catalog</u> (listed in ADP Plan as <u>Publication Services System</u>) contains a list of publications available for distribution by BCHS.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>c, <u>Mailing Keys</u> includes files of names and addresses of publication requesters, names and addresses of project directors, and names and addresses of regional staff.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><i>It is separable under GRS 20</i></p> <p>C. <u>Bureau of Medical Services</u></p> <p>1. <u>Data Systems Branch</u></p> <p>a. <u>Inpatient Data System (HSM 05)</u> collects inpatient data from the 8 Public Health Service Hospitals (A ninth hospital serving leprosy patients is not included in the system). Data, available since 1969, includes name, patient number, beneficiary classification, admission and discharge date, age, sex, diagnosis, surgical procedures. Input is taken from daily admission and discharge abstracts. The system is used to prepare statistical reports and an index of diagnoses and operations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents (A&amp;D Sheets) destroy every 2 years; tape records, <del>retained since 1969</del> destroy 2 years after program value ends. Destroy A&amp;D punch cards every 3 months.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>b. <u>Dental Services Data System (HSM 06)</u>. A new system is now being devised to replace the current system, implemented in 1974, includes only 4 dental clinics and employs an OCR (Optical Character Recognition) form. Data included the type of beneficiary and number of dental visits. The new Dental Information System, which is now in a developmental stage, will cover 29 dental clinics. Data will be taken from an encounter form and will include diagnoses and procedures.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents - destroy every 2 months.  <del>Tape records retained since 1973 -</del> Destroy <i>tape records</i>                  2 years after program value ends.</p> <p>c. <u>Non-Federal Contract Services Data System (HSM 01)</u> provides statistical data to management on the contracting for medical care of PHS beneficiaries. Data includes summary workload data (number of admissions, number of days stay, inpatient or outpatient identification, and cost of care).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><del>Tape records retained since 1976 -</del> Destroy <i>tape records</i>                  2 years after program value ends.</p> <p>d. <u>Clinical Laboratory Workload Reporting System (HSM 02)</u> covers the laboratories in all PHS hospitals and clinics and includes data on the numbers of lab tests performed, and the number of hours worked in each laboratory section of each facility. The system is used for statistical analysis of laboratory activities and for determining staffing patterns and allocating resources. A new CLWRS Data System is near completion and will replace this one.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Sources documents - retain for 3 years.  <del>Tape records retained since 1971</del> <i>Destroy</i> <i>tape records</i>                  2 years after program value ends.</p> <p>e. <u>Nonexpendable Equipment Data System (HSM 04)</u>                  retains an inventory of receipts, issues and transfers of nonexpendable equipment located throughout all PHS hospitals and clinics. A new nonexpendable equipment system (PACE) is being developed which will replace the present one.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transaction punched cards - destroy at the end of each FY. Tape records - destroy every 3rd quarter after creation.</p> <p>f. <u>Outpatient Data System (HSM - 682)</u>                  collects outpatient data from the 9 Public Health Service Hospitals. Data, available since 1969, includes beneficiary classification, first and total visits this fiscal year, outpatient services and adjunct services with selected procedures. Input is summarized from daily abstracts on Form HSM-682. The system is used to prepare statistical reports.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents (HSM-682 Reports) destroy after 2 years; <del>tape records retained since 1969</del>, <i>Destroy</i> 2 years after program value ends. Destroy outpatient punch cards every 3 months.</p> <p>g. <u>Staffing and Fund Utilization (SAFU)</u>                  contains personnel data (budget status, grade, rank, salary, etc.) on all employees of the USPHS Hospital, Staten Island.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Tape file retained for one month; punched card file continually updated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS (Continuation Sheet)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Division of Hospitals and Clinics, USPHS Hospital, Baltimore</u></p> <p>a. <u>Outpatient Visit Scan/Monthly Report on Outpatient and Adjunct Services (HSM 066)</u> covers PHS outpatient clinics in Baltimore, Washington, Tampa and New York. Input is obtained from scannable forms completed at the time of patient encounter. Data includes personal identifiers, beneficiary status, type of clinic, number of X-rays, etc. There is no data on diagnosis and treatment. The data is recorded on tape at the USPHS Hospital in Baltimore and processed by the Data Systems Branch, BMS.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Source documents - destroy upon completion of computer run. Tape records <del>retained since 1969</del> destroy 2 years after program value ends.</p> <p>b. <u>Ambulatory Care Data System (HSM 07)</u> is a new system being developed and tested at the USPHS Hospital, Baltimore which will eventually be extended to other PHS clinics. Each record contains patient identifiers, beneficiary code, type of clinic, diagnosis, and services rendered.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Encounter Forms (Source Documents) - destroy every 2 FY. Tape records retained since FY 77 (Baltimore only) - destroy 2 FY after program value ends.</p> <p>c. <u>Health Evaluation Center (HSM 069).</u> The Health Evaluation Center, run by the out-patient clinic of the USPHS, Baltimore, administers multi-phasic screening, a series of 20 tests, to PHS beneficiaries who are recommended for the screening or elect to go through the screening in place of a physical examination. The data from the tests are placed on a scannable form which is entered into the computer along with data from the Cornell Medical Index questionnaire, administered to the patient. This questionnaire collects information on drinking and smoking, other habits, and medical symptoms. The computer prints a medical profile and determines which tests reveal abnormalities. The system is used to create patient summaries for use by the health team and for research.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents (scannable form-medical questionnaire) - destroy every 90 days. M. tape - patient profile kept indefinitely and will be destroyed after obsolesce for agency use.</p> <p>d. <u>Health Hazard Appraisal (HSM 061)</u> is a computer program which calculates health risks for selected patients at the USPHS Hospital, Baltimore. The patient fills out a questionnaire which includes questions on age, weight, smoking habits, drinking habits, etc. The purpose of the system is to motivate patients to reduce the risk of premature death. No data base is collected in this system.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Questionnaire forms are key punched. Forms and cards are returned to users. Output - printout of results are returned to user. No data base is collected in this system.</p> <p>e. <u>Antibiotic Sensitivity Summary (HSM 068)</u> covers selected patients at USPHS hospitals in Baltimore, Galveston, Norfolk and New Orleans. Data includes personal identifiers and sensitivity to specific antibiotics.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Abstract form (OCR) are scanned, then returned to user. Data retained on M. Disk for 1 year, then destroyed.</p> <p>f. <u>Evaluation of Computerized Electrocardiogram Analysis Program (HSM 070)</u>. In this system, 1000 samples of raw ECG data analyzed by eight cardiologists are compared with analysis by the computer. ECG data is taken from a random selection of patients at the USPHS Hospital, Baltimore.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Cards destroyed when entered onto disks. Disks records kept and overlaid for 2 years after program value ends.</p> <p>g. <u>Drug Formulary (HSM 071)</u>. The function of this system is to print the drug formulary used by DHC. Data includes drug name, synonyms, pharmacological classification, dosage form, and free text.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents - coded sheets and printouts destroyed immediately after publication of Drug Formularies, Tape files are continually updated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>h. <u>Dispensation of Inpatient Medicine on BCRC NCI Research Unit (HSM 072)</u> collects data on cancer patients. Data includes patient name, number, drug and dosage. The system is used for updating patient charts, reporting statistics on drug use, and research.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for agency use.</p> <p>i. <u>Microbiology Data Storage Retrieval and Research System (HSM 073)</u> collects bacteriological data, test results, infection, specimen culture, and therapy data on patients at the BCRC NCI Research Unit. Reports are produced on the location and spread of hospital infections, on changing antibiotic sensitivity patterns, and on the effectiveness of therapy.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for agency use.</p> <p>j. <u>Monthly Laboratory Accounting Report (HSM 062)</u> tabulates the number of chemistry tests performed on inpatients and outpatients by month. Input is from an on-line laboratory terminal and includes personal identifiers and the tests performed.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for agency use.</p> <p>k. <u>Laboratory Workload Reporting System (HSM 064)</u> contains data on the number of laboratory tests done and the number of hours worked within each laboratory section of each facility. The system is used for management purposes by the laboratory directors.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents - destroy every 3rd quarter.            Tape records <del>retained since 1969</del> - <del>destroy</del>            every 2 years after value ends.</p> <p>1. <u>Computerized Supply and Inventory System (HSM 065)</u> contains data on issues, purchases, vendors and stock on hand in PHS hospitals.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>m. <u>Review of Automated Supply and Inventory System (HSM 063)</u> contains data on purchases, issues, inventory and vendors.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>n. <u>Staffing and Fund Utilization (STAFU) (HSM 067)</u> contains personnel data (budget status, grade, rank, salary, etc.) on all employees of the USPHS Hospital, Baltimore.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>3. <u>Division of Hospitals and Clinics, USPHS Hospital, New Orleans</u></p> <p>a. <u>Outpatient Visits (HSM 142)</u> covers all outpatient encounters at the USPHS Hospital, New Orleans. Data includes age, sex, beneficiary code, diagnosis, service visited, etc. Monthly summaries are generated for use by management. System was implemented in 1968.</p> <p><u>Disposition:</u> Nonpermanent.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Punch Cards - destroy every 3 months.            M. Tape - destroy every 3 months and destroy reports every FY.</p> <p>b. <u>Dental Management (HSM 143)</u>. Input is from patient encounter forms. System produces reports on the number of restorations, extractions, X-rays, etc. performed and is used by management to analyze the workload, determine staffing patterns and allocate resources.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punch Cards - Destroy every 2 FY.            Reports - Destroy every 3 months.</p> <p>c. <u>Bed Management (HSM 141)</u> contains information for administrative use on all inpatients in the USPHS Hospital, New Orleans.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punch Cards - destroy every 3 months.            D.E.C. - scratch tape every 4 months.</p> <p>d. <u>Drug Formulary (HSM 144)</u> is used to compile the drug formulary for the USPHS hospital. Data includes drug name, trade name, dosage form, ASHP classification, method of distribution, etc.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punch Cards - destroy 2 months after preparing report. D.E.C. Tape - retain for 6 months until update of new formulary then destroy.</p> <p>e. <u>Equal Employment Opportunity Management Information System (HSM 145)</u> reports full-time employment by race, grade, and sex to fulfill the BMS headquarters EEO requirement.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>Disposable under GRS 20.</p> <p>4. <u>Division of Hospitals and Clinics, USPHS Hospital, San Francisco</u></p> <p>a. <u>Selected Analosteronism: An Acid-Base Analysis (HSM 242)</u> contains renal physiological data from dogs and biochemical data derived from dog plasma and urine. The purpose of the system is to investigate the effects of adrenal steroid hormones on the process of renal acidification.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Punch Cards - Destroy every 2 weeks.  M. Tape - Revised as scratch tape every 3 months.</p> <p>b. <u>Personnel Staffing Report (HSM 241)</u> monitors hospital staffing. Input is from SF 50, code sheets, and SF 171. Output consists of a monthly summary of hospital staffing.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>5. <u>Division of Hospital and Clinics, USPHS Hospital, Galveston</u></p> <p><u>Compu-gram by Cro-med Bionics Division of Chromalloy Amer Corp, NY, NY (HSM 121).</u> The purpose of this system is the analysis of electrocardiograms by computer. ECGs from all inpatients and outpatients treated at the PHS Hospital, Galveston are sent to the computer by standard telephone.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>No records maintained. Data collected by Tonal Telephone out to Computer Time Share</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>and reports sent by teletype to station for insertion into patients medical record.</p> <p>6. <u>Program Planning Branch</u></p> <p><u>Management Information System (MIDS) (HSM 03)</u> provides management with measures of productivity by cost. Data categories include hospital inpatient days, outpatient visits, ancillary service visits, expenditures, and personnel assigned.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>M. Tape input of cost center and payroll data. Destroy every 2 months after process cycle.</p> <p>7. <u>Division of Health Maintenance Organizations, Monitoring and Reporting Branch</u></p> <p>a. <u>HMO Information System (HSM 701).</u> There are two parts to this system:</p> <p>(1) Grants Tracking System produces names of grantees, amount of money granted, grant period, project name and address, congressional district, money received, and notes on progress.</p> <p>(2) Quarterly Reports System uses input from quarterly reports submitted by "qualified HMOs" the system generates aggregate figures. Data includes number of people, type of contract, members dropped, annual hospitalization per 1000 members, encounters per member, dental visits per member, income and expenses. The system will gradually be enlarged to cover more HMOs.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Source documents abstracts - destroy 1 month after processing cycle. Destroy reports</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>2 years after program value ends.</p> <p>8. <u>Division of Federal Employee Health</u></p> <p><u>Federal Employee Occupational Health Data System (FEOHDS) (HSM 501)</u> includes three master files: (1) an occupational health data file, (2) a statistical file, and (3) a medical referral file. Data is obtained from occupational health screening tests and from clinical encounters of Federal employees served by the health units of the Division of Federal Employee Health. The system is used for program management.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>M. Tape - destroy 3 months after updating medical record profiles. Employee profiles - destroy 2 years after program value ends.</p> <p>9. <u>Division of Emergency Medical Services</u></p> <p><u>EMS Bibliographical System (HSM 601)</u> is an on-line bibliographical information system for retrieving citations to articles, books, etc. concerning emergency medical services.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>D. <u>Indian Health Service</u></p> <p>1. <u>Health Information System (HIS) (HSN 001)</u> collects a wide variety of medical data which is stored by patient. The system is now in operation in the Sells Service Area and in Alaska, and in October 1978 will be extended to the entire IHS service population of about 555,000 Indians. The lengthy records include data from all medical encounters. The data base contains personal identifiers, problem lists, test results, obstetrical data, medications and allergies, immunizations,</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>clinical laboratory tests, medical surveillance information, hospitalization data including diagnosis and procedures, and ambulatory care data. The purpose of the system is to provide easily retrievable information on each patient for use by health care provider. A large number of reports and lists are generated from the master file for use by the health teams. This system is maintained by the Office of Research and Development in Tucson, Arizona.</p> <p><u>Disposition:</u> PERMANENT. Offer to NARS every two years an updated file. (Records are subject to General Restrictions of NARS and any additional restrictions imposed by HSA at time of transfer)</p> <p>2. <u>IHS Health Care and Statistics System (HSN 002)</u> was implemented in 1971 and will be replaced by Health Information System (NO. 23). Records are maintained in chronological order by facility rather than by patient. Master files include: (1) Inpatient File, (2) Ambulatory Patient Care File, (3) Contract Hospital Inpatient File, (4) Contract Hospital Outpatient File, and (5) Group Services File. The inpatient files contain personal identifiers, data on diagnosis, procedures, length of stay, disposition, and cause of death. The outpatient and ambulatory care files contain information on immunizations, family planning, injuries, diagnosis, diagnostic services, and disposition. The Group Services File maintains an account of tests, immunizations, examinations, etc. performed on a group. Includes machine-readable (mark sense) public health nurses form.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy data forms 5 years after used for data entry. Associated patient records retained indefinitely. <i>records retained until administrative value ends.</i></p> <p>3. <u>On-Request Reports (HSN 011)</u> uses data bases collected by other systems (in particular, the IHS Health Care and Statistics System) and generates special request reports for use by management. The data base used by this</p>		

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	<p>system includes outpatient visits, dental visits, inpatient visits, mental health and social service visits, and contract health care services.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy data forms 90 days after use for data entry.</p> <p>4. <u>Vital Events (HSN 003)</u> contains birth, death and fetal death records furnished annually to IHS by the Division of Vital Statistics, NCHS, HRA. 100% of Indian and Alaska native births and deaths are included in the files, which are processed separately from the general vital statistics files of NCHS. A special geographic code is added to the data normally collected by NCHS which allows for identification of smaller communities and aggregation by service unit. Data is available since 1971.</p> <p><u>Disposition:</u> <del>Permanent.</del></p> <p>Data received on magnetic tapes from NCHS, HRA. Magnetic tapes are retained <del>indefinitely</del> <i>until administrative value ends.</i></p> <p>5. <u>Dental Management Information System (HSN 009)</u> contains data reported by dental teams on dental patient encounters. Data includes services required, services rendered, and quality control information. The system is designed to provide a quantitative base for program monitoring, management and planning. Includes machine-readable (MARK Sense) forms.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Data forms destroyed 90 days after use.</p> <p>6. <u>Health Education (HSN 007)</u> collects data on the activities of health educators in IHS. Data includes community name, type of activity, method used (lecture, workshop, demonstration, individual conference, etc.), objective, hours used in preparation and performance of activity,</p>		

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	<p>and type and number of participants. This reporting system is used for management information. Includes MARK Sense forms.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy data forms 90 days after use.</p> <p>7. <u>Environmental Health Services Activity Reporting Plan (HSN 008)</u> maintains a record of services delivered for use by management as the data includes location, type of service (food service inspection, water analysis, etc.), personnel involved, hours, etc.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy forms 90 days after use.</p> <p>8. <u>Office of Environmental Health Resource Allocation Model (HSN 012)</u> consists of mathematical models for the making of resource allocations decisions. There is one model for environmental health services (food service inspection, etc.) and one for construction (of sewage systems, etc.). This on-line system is in a developmental stage.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy data forms 90 days after use.</p> <p>9. <u>Management Information and Text System (MITS)</u> is an on-line system used by the Office of Environmental Health and maintained at the Parklawn Computer Center which contains two data bases: a list of about 2500 construction projects; and a list of government and local facilities where the Division does surveys. The system is used to keep track of activities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy forms 90 days after use.</p>		

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	<p>10. <u>Laboratory Reporting System (HSN 004)</u> contains data from forms filled out by IHS clinical laboratory personnel to evaluate laboratory productivity and quality of services, and project future needs and trends.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed.</p> <p>11. <u>Nutrition and Food Cost Accounting System (HSN 005)</u> contains inventory and ration counts supplied from kitchen staffs in IHS hospitals. System is used to evaluate the adequacy and cost of diets in IHS hospitals.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy forms 90 days after use.</p> <p>12. <u>Position and Vacancy Systems (HSN 006)</u> contains input data from DHEW personnel data system and skills bank and from employees. The principal output is summary reporting of personnel parameters as required for program management.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p> <p>13. <u>Stocks and Stores Equipment Control (HSN 010)</u> takes input from forms submitted by the general services staff on supplies and nonexpendable equipment. The system is used for ordering supplies, control, and accountability.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Disposable under GRS 20.</p>		



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16. 18.	<p><u>FINANCIAL MANAGEMENT</u></p> <p>A. <u>Budget Formulation and Execution</u></p> <p>Records documenting the development and execution of the HSA budget including input from all staff offices and bureaus. Records reflect the consolidation, at each level, up to and including the official HEW submission to OMB and subsequently to the Congress. Since this process is a continuous 3-year effort, documents must go through three years minimum as to formulation, executive, and obligating documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA/OFM - Destroy 4 years after the beginning of the year for which current budget efforts are expended.</p> <p><u>Other Offices:</u> Destroy 2 years after the beginning of the year for which current budget efforts are expended.</p> <p>B. <u>Budget: Estimates and Justifications</u></p> <p>Explanation and justification of appropriation budget estimates, justification statements, appropriation language sheets, narrative statements, related schedules and data, as well as correspondence reflecting policy decisions, for budget records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA/OFM - Transfer to FRC when 5 years old. Destroy 5 years thereafter.</p> <p><u>Other Offices:</u> Records for FY 1974 and later years to be destroyed 5 years after FY involved.</p>		

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<p>17. 19.</p>	<p><u>ACCOUNTING</u></p> <p>A. <u>Allotments and Obligations</u></p> <p>Periodic allotments of certain operating funds. Control documents to assure availability of funds for current and future commitments and other contemplated expenses. Estimated miscellaneous obligations or change in obligation. Request for and authorization of overtime work--compensatory time. Travel orders--request and authorization.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 2 years.</p> <p>B. <u>Accounting Records</u></p> <p>Excluding records used in accounting process which are site audit records, e.g., vouchers, contracts, voucher schedules and patients' accounts.</p> <p>1. <u>Accountability Files</u></p> <p>Records of certifying officers authorized to certify fiscal transactions.</p> <p>2. <u>Statement of Accountability</u></p> <p>Records of the status of agent cashier's account at prescribed periods, upon audit of each balance and upon transfer of the accountability of funds.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA/OFM</p> <p>1. Destroy 3 fiscal years after cancellation, rescission or revocation and after audit survey.</p> <p>2. Transfer to FRC after 1 fiscal year and after clearance by audit team. Destroy 3 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>3. <u>Allotment Ledgers</u> on annual, revolving, and no appropriations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA/OFM - Destroy 3 years after close of fiscal year involved and after audit clearance.</p> <p><u>Other Offices:</u> Destroy after 1 FY.</p> <p>4. <u>Allotment Ledgers</u> on construction appropriations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 3 years after the close of the fiscal year involved. Destroy 7 years thereafter.</p> <p>5. <u>General Ledger or Equivalent</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 3 years after close of fiscal year involved. Destroy 7 years thereafter.</p> <p>6. <u>Operating Ledgers</u></p> <p>Files such as Distribution Ledgers, Benefits Payment Expense Ledger, or similar media (manual and mechanized), or microfilm equivalent created through Computer Output Microfilm (COM).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OFM - Destroy after 3 fiscal years.</p> <p><u>Other Offices:</u> Destroy after 1 FY.</p> <p>7. <u>Internal Journal Voucher</u> used only on yearly appropriations.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 3 fiscal years.</p> <p>8. <u>Transfer of Disbursing Authority Advice of Allotment File</u></p> <p>Transfers of disbursing authority, advice of advance and withdrawal disbursing authority, advice of allotment actions for appropriations and funds, similar and related documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 3 years after appropriations and continuing fund accounts. Destroy 7 fiscal years thereafter. Destroy all others after 3 fiscal years.</p> <p>9. <u>Depreciation Records File</u></p> <p>Depreciation accounting records, i.e., motor vehicles, tools equipment, etc., and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 1 fiscal year after item is disposed of or removed from use and after all audit surveys completed.</p> <p>C. <u>Obligations</u></p> <p>1. <u>Accrued Expenditure File</u> including copies of requisitions, purchase orders, estimated obligations, travel orders, authorization for expenditures regardless of form, paid and cancelled transportation, meal and lodging requests, report of advances to principal because of inadequate T&amp;I balances, and related papers, EXCLUDING original contracts.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>2. <u>Undelivered Order File</u>. Maintained as separate (unpaid or incomplete) segments or collectively. Estimated obligations, purchase orders, travel orders, authorizations for expenditures regardless of form, outstanding transportation, meal and lodging requests, and related papers, EXCLUDING original contracts.</p> <p>3. Request for authorization of overtime work-obligation copy.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>1. Destroy after the close of the fiscal year in which liquidation occurred and after audit clearance. (See Section on contracts for disposition.)</p> <p>2. Transfer originals or copies to accrued expenditure file after receipt of a receiving report or other evidence that services previously ordered have been received, or after receipt of notices of cancellation.</p> <p>3. Destroy 1 year after close of fiscal year and after audit(s) are completed.</p> <p>4. <u>Certificates or Deposit File (media)</u></p> <p>Copies of certificates of deposit, mortgage loan payment notices, debit vouchers, transmittal schedules of collections, counter receipts-acknowledgement of remittances, field service receipts, and related materials, EXCLUDING certificates of deposit which support the Treasury Statements of Transaction retained for site audits.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 years after the close of the fiscal year involved and after receipt of audit clearance.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>5. Tally sheets used to record daily transactions affecting overpayments on compensation, pension, and insurance which are posted according to programs affected with a breakdown of collections for accounts maintained manually.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 90 days after monthly reconciliation of Beneficiaries Accounts functions and amounts posted to the general ledger accounts.</p> <p>6. <u>Transmittal Lists</u></p> <p>Files for posting Media and Report of Distributions which supports entries of distribution of insurance collections made in the general ledgers. Include also transmitted schedules of insurance collections and agents cashier's copies which are held pending return of re- ceipted copies from insurance.</p> <p><u>Disposition:</u> . Nonpermanent.</p> <p>Destroy after 3 fiscal years.</p> <p>7. <u>Voucher Work Sheets or Equivalent</u></p> <p>Used under the manual system to compute amounts payable on accrued awards covering reimbursement for expense of last illness.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after posting payment data to award account card.</p> <p>8. <u>Final Settlement of Deceased Patient's Funds</u></p> <p>Assets including copies of reports of general donations to the general post fund received. It is maintained as a control of disposition of personal funds and assets of Federal employees who die interstate without heirs, or next of kin, or who have heirs residing in foreign countries.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC when 2 years old. (1) Destroy 4 years and 3 months after the close of the fiscal year following the date of the employee's death. (2) <u>Report of General Donations</u> to the General Post Fund received at Field Stations - Destroy after 3 fiscal years (GRS, Schedule 7, Item 4).</p> <p>D. <u>Active and Inactive Award Account Cards on All Benefit Payments</u></p> <ol style="list-style-type: none"> <li>1. Active - retain</li> <li>2. Inactive open - retain</li> <li>3. Inactive closed. Destroy after microfilming and after ascertaining that the microfilm copies have been prepared in accordance with GSA regulations and are adequate substitutes for the payee records.</li> <li>4. Microfilm Records - Transfer to the FRC when 20 years old. Destroy 20 years after receipt into the FRC. (To be microfilmed per FPMR 101-11.507(c)(1).</li> </ol> <p>E. <u>Canceled Withdrawals (Restricted Accounts)</u></p> <ol style="list-style-type: none"> <li>1. Requests for withdrawal of funds and related materials.</li> </ol> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 fiscal year and after survey.</p> <ol style="list-style-type: none"> <li>2. Deduction from Benefit Payment Accounts for Insurance Purposes - Annual Reconciliation Lists; or equivalent.</li> </ol> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after reconciliation with award account cards and after discrepancies, if any have been resolved.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>3. Patients and Members Account cards, or equivalent, prepared for each patient or member when funds are received and deposited for their personal use.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy paper and microfilm records 5 years after final withdrawal or appropriate disposition of all monies.</p> <p>4. Notice regarding patients funds or the equivalent.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy original and copies after account becomes inactive.</p> <p>5. General post funds account cards; or equivalent.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 5 years of inactivity or 5 years after date of last action on the account card.</p> <p>6. Reconciliation file contains lists, memoranda or other reconciliation statement forms, adding machine tapes, and PLACE reconciliation records used for verifying and reconciling total amounts posted in subsidiary account records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 year and after audit clearance of related accounts.</p> <p>F. <u>Tabulated Listings and Machine Operations</u></p> <p>1. Tabulated listings which pertain to dollar value of supply inventories.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy immediately after reconciliation of accounts.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>2. <u>Processing Medium Bile (Supply Depot).</u></p> <p>Data processing records, code sheets, card work decks, batch transmittals, control registers and similar media used in supply depot fiscal operational activities, i.e., service and reclamations, completed projects, work in process, end of month, etc., and related materials.</p> <p>3. <u>Processing Medium File</u></p> <p>Data processing records; code sheets, card work decks, batch transmittals, control registers and similar media used in the intermediate mechanized processing of fiscal data and EXCLUDING PAID documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>2. and 3. Place records in "holding" file after all actions are completed and dispose of 90 days thereafter.</p> <p>NOTE: By product records such as runs or listings will not be disposed of under this item.</p> <p>4. Files which contain listings of undelivered orders, accounts receivable, advance payments and fund control transactions.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 years after the close of the fiscal year involved.</p> <p>5. Duplicate copies of the listing in (1) in addition to reports, or similar media used for reference or inquiry purposes.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when no longer needed for reference or inquiry purposes.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>6. Weekly and annual listing or payment history.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Weekly: Destroy upon receipt of the next updated weekly listing.</p> <p>Annual: Destroy 5 years after the close of the fiscal year involved.</p> <p>7. Updated listings (error transactions and table entries).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 30 days after the month in which created.</p> <p>8. Status of funds (Printed Report and Teletype).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 90 days after the month in which created.</p> <p>G. <u>Cashiers (Agent and Imprest Fund)</u></p> <p>1. <u>Counter Receipts</u> - Government Life Insurance or equivalent (Finance copies only).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 3 fiscal years.</p> <p>2. <u>Receipts</u> - (employee) requests for change in delivery and receipts for salary checks, bonds, and temporary collection of receipts.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 fiscal year.</p> <p>3. <u>Employee Travel</u></p> <p>a. Claims for reimbursement for expenditures on official business notifications of lost or stolen transportation requests or tickets.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>b. Transportation request spoiled at time of issue and not involving obligation of funds.</p> <p>c. Transportation request (used, unused, and canceled).</p> <p>d. Local transportation records including accountability records of tokens and/or tickets received and issued for local commercial transportation of Government employees.</p> <p>e. Reports of change in passenger transportation service.</p> <p>f. Travel resource records including: One-way and round trip rates from and to various points serviced by the travel activity, carrier schedules and rates, reservations, accommodations and lodging rates and other related and similar files.</p> <p>g. Application and account for advance of funds (SF-1038) or equivalent and related papers.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. Destroy after 1 year</p> <p>b. Destroy after posting proper notation on accountability records.</p> <p>c. Destroy 1 year after book of TR's have been exhausted by use or cancellation and after all entries are validated.</p> <p>d. Destroy 1 month after audit.</p> <p>e. &amp; f. Destroy when material becomes obsolete.</p> <p>g. Destroy 1 year after the close of the fiscal year in which advances are liquidated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
<u>18</u>	<p><u>PROCUREMENT MANAGEMENT</u> - See GRS 3 and if you disposal instructions.</p> <p>A. Reports of Excess <u>Personal</u> Property.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 3 years.</p> <p>B. Case Files on Sales of Surplus Personal Property. These consist of invitations, bids, acceptances, lists of materials, evidence of sales and related correspondence. Transactions in excess of \$10,000 dated after July 25, 1974.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 6 years after final payment.</p> <p>Transactions less than \$2,500 dated prior to July 26, 1974.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 years after final payment.</p> <p><del>C. Case files containing copies of all documents and related correspondence in regard to acquisition, management, and disposal of real property owned or leased by the Government.</del></p> <p><del><u>Disposition:</u> Nonpermanent.</del></p> <p><del>Transfer to the FRC when 2 years old or when no longer needed in daily operation. Destroy 4 years thereafter.</del></p> <p>D. Requisition purchase orders, contracts, leases, bonds and surety records, including correspondence and other related papers. (organization copy).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>1. Transactions over \$10,000 dated after <u>July 25, 1974</u> and all construction contracts exceeding \$2,000, transactions over \$2,500 dated before July 26, 1974. Destroy</p>		

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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>6 years after final payment.</p> <p>2. Transactions of \$10,000 or less dated after July 25, 1974 and all construction contracts under \$2,000, transactions under \$2,500 dated before July 26, 1974. Destroy 3 years after final payment.</p> <p>E. Requisitions on the Public Printer and related papers.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 4 years after completion or cancellation of requisition.</p> <p>F. Requisitions for nonpersonal Services, such as duplicating, binding, laundry, and other services.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 year.</p> <p>G. Contractor's payrolls, schedules, and amended pages of the contracts and schedules.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 6 years after close of the FY in which terminated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
19 <del>21.</del>	<p><u>PROPERTY AND SUPPLY</u></p> <p>A. <u>Automatic Data Processing (ADP)</u></p> <p>1. <u>Catalog Listings</u></p> <p>Files relating to catalog listings (expendable and nonexpendable).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy catalog listings 1 month after new catalog is issued.</p> <p>2. <u>Punched EAM Cards</u></p> <p>(EAM—Electric Accounting Machine) Property and supply transactions punched and used for update of accountable records and supporting EAM cards.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose 2 months after successfully transferred to magnetic tape. Transaction cards used to update property records under an EAM system dispose 12 months after update. All other supporting EAM cards destroy 12 months after they become inactive.</p> <p>3. <u>EAM Monthly Summary File</u></p> <p>Monthly EAM Summaries including departmental issues, vouchers, inventory, miscellaneous transactions, receipts, disposals and other related summaries.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 15 months.</p> <p>4. <u>Magnetic Tape Files</u></p> <p>a. Transaction tape file. Magnetic tape file created monthly from punched cards for editing and sorting before update.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy tape data 3 months after update of file.</p> <p>b. Sorted report extract or equivalent transaction tape files, created monthly as the result of update of the Master Record and used to prepare monthly output reports.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy tape data 2 months after update of Master Record.</p> <p>c. Monthly Direct Issues and good sorted transactions used to update Master Records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy tape data after 13 months.</p> <p>d. FY ending Master. The updated Master created at end of each Fiscal Year.</p> <p>e. Master other than FY ending: New Master Record tape file resulting from update.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Retain latest four masters other than FY ending.</p> <p>f. Error transaction Tape File</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy tape data after update.</p> <p>5. <u>ADP Reports File</u></p> <p>a. Property Accountable records, including expendable and nonexpendable transaction registers and property voucher summaries.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 5 years after close of fiscal year involved. Transfer to Federal Records Center 3 years after close of fiscal year involved.</p> <p>b. Supporting reports, including Long Supply Requirements, Projection of Fund Requirements, Annual Inventory Analysis, Physical Inventory, Cost Center, Due-in, Consolidated Requirements, Supply Activity, Semi-Annual Procurement, Area Voucher Summary, Stock Availability, Property Management Edit lists (NX), Reconciliation and Locator List (NX), Equipment Replacement List (NX) and other related listings and reports.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose 2 years after close of fiscal year involved.</p> <p>c. Consolidated Memorandum Receipt (CMR) including supporting documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose 1 year after new CMR is issued.</p> <p>B. <u>Paper Records - Property and Supply</u></p> <p>1. <u>Property Voucher File and Register</u></p> <p>Contains the property voucher register and property and supply management documents assigned a voucher number, maintained in property voucher sequence, that support entries printed on the accountable transaction register and Property Voucher Summary for the accounting period.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to Federal Records Center 2 years after close of fiscal year involved and destroy 4 years thereafter.</p> <p>2. <u>Excess Property File</u></p> <p>Circularization route sheets, combination requisition and shipping tickets, excess property lists, notification of excess personal property, reports of utilization and disposal of personal property and other related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 1 fiscal year after disposition action has been completed.</p> <p>3. <u>Reports of Excess Personal Property (SF-120)</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose after 3 years.</p> <p>4. <u>Gas Cylinder Register File</u></p> <p>Files relating to gas cylinder register.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 30 days register that has been completely used and after all cylinders listed therein have been returned to the contractor.</p> <p>5. <u>Issue Request File</u></p> <p>Included are issue requests (expendable supplies) and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose after 1 year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

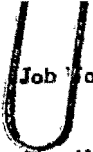
7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>6. <u>Equipment Maintenance and Repair Records</u></p> <p>Reports of periodic inspections and repair of equipment and related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 3 months after release of equipment or machines by HSA.</p> <p>7. <u>Stock Record Card File</u></p> <p>File includes stock record cards.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 5 years after final entry.</p> <p>8. <u>Requisition Register</u></p> <p>Files relate to register requisitions and similar documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after date of final entry.</p> <p>9. <u>Requisition for Supplies from Inventory</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. Stockroom copy</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 2 years after completion or cancellation of requisition.</p> <p>b. All other copies</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of after 6 months.</p> <p>10. <u>Inventory of Supplies and Equipment</u></p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>a. <u>Inventory Listings</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 2 years from date of list.</p> <p>b. Report of Survey files and other papers used as evidence for adjustment of inventory records not otherwise covered in Records Retention Schedules.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 2 years after date of survey action or date of posting medium.</p> <p>11. <u>Central Service Requisition File</u></p> <p>a. Central Service requisitions or requests from wards for Central Service supplies and other related materials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 30 days.</p> <p>b. <u>Master Item List File</u></p> <p>Records indicating types of stock items maintained in Central Service and identification numbers for each type of item.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when replaced.</p> <p>12. <u>Tax Exemption Certificates and Related Papers</u></p> <p>United States Government Tax Exemption Certificate (Tabulation Sheet) and United States Government Tax Exemption Identification Card (Accountable).</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose 3 years after period covered by related account.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>13. <u>Transportation</u></p> <p>a. Freight records, consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including files relating to the shipment of household effects.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>(1) Issuing office memorandum copies. Destroy after 3 years (Transfer to appropriate Federal Records Center if volume warrants).</p> <p>(2) All other copies. Destroy after 1 year.</p> <p>(3) Bills of Lading registers. Destroy 3 years after final entry on register.</p> <p>b. Freight records, relating to the administration of Government Losses in Shipment Act, consisting of schedules of valuables shipped and related papers and reports.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 3 years.</p> <p>14. <u>Real Property</u></p> <p>a. <u>Title Papers</u></p> <p>Title Paper Documenting the acquisition of Real Property after 1921, other than by abstract or certificate of title.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 10 years after unconditional sale or release by the Government of all conditions, restrictions, mortgages, or other liens.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>b. <u>By Abstract or Certificate of Title</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to purchaser after unconditional sale or other release by the Government.</p> <p>c. GSA Form 30 "Report of Excess Real Property"</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><del>Dispose of after 5 years.</del> See GRS 4, # 5.</p> <p>d. <u>Lease Files</u></p> <p>Including copies of leases, renewals, termination notices and related papers of each Government owned building, facility, or land holding under the custody and control of HSA.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Dispose of 3 years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded whichever is later.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
<u>20</u> <u>22.</u>	<p><u>VOUCHERS AND CONTRACTS</u></p> <p><i>See GRS 6, #1 for description and disposition.</i></p> <p>A. Accounting (onsite audit) records comprised of:</p> <ol style="list-style-type: none"><li><u>Contracts</u>: Originals of agreements entered into between the HSA and an individual, firm, corporation, institution, State or local government, or another Federal agency, under which moneys are disbursed or collected by the HSA and without regard to whether the contract is executed on Construction Contract Solicitation, Offer, and Award, or in the form of a written agreement on a commercial contract form or any other form or letter, including but not limited to all related schedules, abstracts of bids, supplements amendments change orders, extensions renewals, etc., and EXCLUDING original contracts for freight or passenger rate services.</li><li><u>Vouchers</u>: Originals, and copies used in lieu of originals, of documents used to schedule the disbursement or collection of money to the Treasury, and all related basic supporting document such as approved public vouchers forms, vendors' invoices and bills, payrolls, agency cashiers' replenishment vouchers, etc., including but not limited to voucher and schedule of payments, voucher and schedule of withdrawals and credits, certificate of deposit, voucher checks which names the vendor or payee, schedule of canceled checks, voucher and schedule to effect correction of errors, certificate of settlement, interoffice transfer vouchers, procurement instruments, receiving reports, any other documents used to establish the legality and propriety of payment vouchers, and memorandum copies of carriers' transportation vouchers, INCLUDING the completed voucher file (PAID) for insurance dividends and loans, copies of reimbursement vouchers maintained by cashier as a record of accountability for funds advanced, and other related papers.</li><li><u>Statement of Transaction</u> according to appropriations, funds and receipt accounts, Statement of Transaction (SF 224), or equivalent.</li></ol>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>4. <u>Contract and Schedule File.</u> Copies of contracts and schedules negotiated by other Government agencies, copies of decentralized or drop shipment HSA central office contracts, copies of blind-made and prison-made production schedules, amendments, changes and related documents.</p> <p><u>Disposition:</u> Nonpermanent. <i>See GRS 6, #1.</i></p> <p><del>Office of Record: OA/OPM - 1. Transfer to the FRC 1 year after contract has closed or when administrative value ends and destroy 4 years thereafter. 2. and 3. Retain for 3 fiscal years then destroy 4. Destroy when no longer needed for administrative purposes.</del></p> <p>B. <u>Prospective Minority Contractors</u></p> <p>Statutorily required file organized by contractor's name which includes comments and brochures on contractor's specialities and capabilities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Retain in reference files area until individual contracts are considered as nonpotential bidders. Destroy 1 year thereafter.</p> <p>C. <u>Fiscal Commitment Register</u></p> <p>Documents obligations for each fiscal year, for the Office of the Administrator, funds obligated according to specific object classes. For example: local travel, travel orders, travel and transportation, training, printing requisitions, contracts (non-financial assistance), personnel compensation, formal personnel benefits, rental charges, etc. Now maintained in HSA accounting system, on computer and transferred to printouts. Month-end accounting report is transposed onto microfilm with a 3-6 week time lag.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> OA/OFM - Destroy when 2 years old.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
21	<p><u>GRANTS AND CONTRACTS</u></p> <p>One way for HSA to achieve its mandated mission... "delivery of health services..." is-through the distribution of Federal money as <u>grants and contracts</u>. Some programs are administered from "Headquarters" (Washington D.C.) and some from the regional and field offices. The official grant and contract administration records will be maintained by the program responsible for awarding that grant or contract. It is the responsibility of the personnel, where the official records are kept, to bring together all documents, when funds are terminated, final payment received, and audit surveys completed, to reflect one single package. These records will be transferred to the Federal Records Center as designated in the schedule.</p> <p>The disbursement of these funds are done according to established legislations and functions of each program. Dispositions are based on the legislation where applicable.</p> <p>The attached Appendix IA describes those programs that HSA is currently administering. These records are grouped by the nature of assistance they provide and are listed separately by subject title. Where applicable, these records will have the same disposition as listed below e.g. #B "Discretionary Grants Programs," all grants that fall in the category will be disposed of accordingly.</p> <p>A. <u>Contracts for Health Programs</u>: These records pertain to contracts for research and development programs in health related areas and technical assistance for health activities within HSA. They consist of official contract files, files for small purchase transactions, documentation to justify decisions and actions of procurement personnel, replies to official inquiries, and data for processing claims, disputes, and litigations. Specific record requirements are set forth in DHEW Procurement Regulation, Subpart 3-1.313, copies of which are located in each contract office. These files normally include procurement planning data as well as procurement requests or contracts; determinations and findings; small business or labor surplus set-aside determinations; solicitation documentation; invitations for bids and request for proposals; conference memoranda;</p>		



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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>abstracts; unsuccessful bids or proposals notifications to unsuccessful bidders or offerers; "no bid" or "no proposal" correspondence; notifications to late bidders; source selection data; award and supporting documentation; mistakes in bid and protest against award; review and approval of awards; contract administration documentation; termination and closeout documentation. Unsuccessful contract proposals become a part of the official contract files. The office of record is the office awarding the contract.</p> <p><u>Disposition:</u> Nonpermanent. <i>See GRS 3, #4.</i></p> <p><u>Office of Record:</u> Transactions after July 25, 1974 of more than \$10,000 and all construction contracts exceeding \$2,000; Transfer to the Federal Records Center (FRC) 2 years after final payment and destroy 4 years there after.</p> <p>Transactions after July 25, 1974 of \$10,000 or less construction contracts under \$2,000 - Destroy 3 years after final payment. (Closeout file at the end of each fiscal year, retain 3 years and destroy, except those files on which actions are pending. They will be brought forward to the next fiscal year file for destruction therewith). Destroy unsuccessful contract bids 3 years after contract begins.</p> <p>For additional disposition instructions - See Item 4.b and c of schedule 3, GSA General Records Schedules, Appendix A, HEW Records Management Manual.</p> <p><u>All Other Offices:</u> Destroy no more than 2 years after final payment.</p> <p>B. <u>Discretionary Grant Programs:</u> These grants are made in support of an individual project in accordance with legislation which permits the grantor agency to exercise independent judgement in selecting the project, the grantee, and the amount of award. HSA components administering discretionary grant programs are required to generate two distinct types of records as follows:</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>1. <u>General Program Information File</u> - The office of record for this file will normally be the program office.</p> <p>These records must include - Program announcements, program management procedures (regulations), and terms and conditions of the grants program.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when superseded or rescinded.</p> <p>2. List of applications, evaluators and instructions to evaluators, incoming request for clearance of proposed grant application forms and instructions from all HSA components. Include justification of modification to existing or proposed forms and instructions, if any, with copies of final approved forms and instructions.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> PIF 1 year after applications and related instructions have been cleared and approved at agency level. Transfer to FRC 1 year after files become inactive. Destroy in 3 years thereafter.</p> <p>3. These records may also include -</p> <p>a. <u>Discretionary Grant Panelist Selection</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 5 years old or earlier if not needed for administrative purposes.</p> <p>b. <u>Authorizing Legislation</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when superseded or expires. <i>legislation</i></p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>c. <u>Federal Register Documents</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when rescinded or obsolete.</p> <p>d. <u>General Counsel and Court Opinions</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when obsolete.</p> <p>e. <u>Proposals not Resulting in Discretionary Grant Awards</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy one year after receipt.</p> <p>4. <u>Official Grant File</u></p> <p>This file is maintained for each grant award. Correspondence which documents HSA loan programs for construction and equipment purchases. These records must include official file copy of applications and evaluation documentation (including documents concerning review of applications and progress reports), annual financial reports, award notices, and grant correspondence. These records may also include assurances and certifications (for civil rights, protection of human subjects, animal welfare, and invention statements, records or required clearances, site visit reports, and audit reports.</p> <p><u>Office of Record:</u> Transfer to the FRC 2 years after final closeout or upon resolution of any adverse audit findings, whichever is earlier. Transfer to the FRC after closeout is authorized if there are no adverse audit findings outstanding. Destroy 4 years after transfer to the FRC. Ineligible and rejected applications - Destroy 6 months after determination of ineligibility.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>Approved applications and all related loan administration correspondence for repaid or cancelled loans - Destroy 3 years after date of repayment or cancellation.</p> <p>Uncollected loans - Transfer to the General Accounting Office as soon as loan is determined uncollectible.</p> <p>C. <u>Formula Grant Programs</u></p> <p>A formula grant is one in which funds are provided to specified grantees on the basis of a specific formula prescribed in legislation or regulation; rather than on the basis of an individual project review. The formula is usually based on such factors as population, live births, per capita income, enrollment, mortality, and morbidity. These grants are generally mandatory. HSA components administering formula grant programs are required to generate two distinct types of records as follows:</p> <p>1. <u>General Program Information File</u></p> <p>The office of record for this file will be the awarding component grants management activity. These records must include program management procedures (regulations), terms and conditions, State plan checklists, progress reports, and other correspondence related to the grant.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when superseded or expires.</p> <p>2. These records may also include -</p> <p>a. Authorizing legislation</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when supeseded or expires.</p> <p>b. <u>Federal Register Documents</u></p> <p><u>Disposition:</u> Nonpermanent.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>All Offices:</u> Destroy when rescinded or obsolete.</p> <p>c. General counsel and court opinions</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when obsolete.</p> <p>3. <u>Official Grant File</u></p> <p>This file is maintained for each annual formula grant award. These records must include the official file copy of applications or State plans on certification documents (as applicable), budget information, State plan checklists, award notices, progress reports, annual expenditure reports, and correspondences. These records may also include site visit reports.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>Office of Record:</u> Transfer to the FRC 2 years after final closeout or upon resolution of any adverse audit findings, whichever is later. Earlier transfer to the FRC after closeout is authorized if there are no adverse audit findings outstanding. Destroy 4 years after transfer to FRC.</p> <p><u>All Other Offices:</u> Destroy 3 years after final closeout.</p> <p>D. <u>Construction Grant Programs</u></p> <p>Construction grants are awarded for new construction, expansion and modernizing of existing health facilities. Construction grants are either discretionary project grants or formula grants, depending upon the legislative authority of the individual grant program. Two distinct types of records are generated, a general program information file and an official grant file. The contents will vary somewhat, depending on whether the program is a discretionary or formula grant program.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>1. <u>General Program Information File</u>: The office of record for this file will normally be the HSA Program Office.</p> <p>These records must include approved construction drawings required by program regulations, program announcements, program management procedures, terms and conditions of the grant program.</p> <p><u>Disposition</u>: Nonpermanent.</p> <p><u>All Offices</u>: Destroy when superseded or rescinded.</p> <p>2. Lists of application evaluators and instruction to evaluators.</p> <p><u>Disposition</u>: Nonpermanent.</p> <p><u>All Offices</u>: Destroy when superseded.</p> <p>3. These records may also include -</p> <p>a. <u>Authorizing Legislation</u></p> <p><u>Disposition</u>: Nonpermanent.</p> <p><u>All Offices</u>: Destroy when superseded or expires.</p> <p>b. <u>Federal Register</u> documents.</p> <p><u>Disposition</u>: Nonpermanent.</p> <p><u>All Offices</u>: Destroy when rescinded or obsolete.</p> <p>c. General counsel and court opinions.</p> <p><u>Disposition</u>: Nonpermanent.</p> <p><u>All Offices</u>: Destroy when obsolete.</p>		

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	<p>4. <u>Official Grant File</u></p> <p>This file is maintained for each grant awarded by HSA.</p> <p>a. These records must include the official file copy of the application, evaluation documentation (including documents concerning review of applications and progress Reports), financial reports, award notices, grant closeout documents (including progress reports), and correspondence, environmental impact statements, inspection reports, equipment lists, bid lists and documents, and performance and other bond documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>(1) <u>Office of Record:</u> After last payment is made transfer to the FRC. Destroy when 20 years old.</p> <p>(2) <u>All Other Offices:</u> Destroy 3 years after final closeout.</p> <p>b. These records may also include -</p> <p>(1) <u>Authorizing legislation.</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when rescinded or obsolete.</p> <p>(2) <u>Federal Register documents.</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when rescinded or obsolete.</p> <p>(3) <u>General counsel and court opinions.</u></p> <p><u>Disposition:</u> Nonpermanent.</p> <p><u>All Offices:</u> Destroy when obsolete.</p>		

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	<p data-bbox="225 254 476 284">E. <u>State Plans</u></p> <p data-bbox="291 316 1135 532">These plans are submitted annually by various states which propose what to do with Federal money for the upcoming year. The plans often recapitulate the previous year's projections as compared to achievements, problems encountered, etc. Office of Grants and Contracts Management is the office of record.</p> <p data-bbox="291 570 727 600"><u>Disposition:</u> Nonpermanent.</p> <p data-bbox="291 633 1056 788"><u>Office of Record:</u> Transfer to the FRC when 2 years old. Destroy when 5 years old, or after final payment to grantee, or after resolution of any adverse audit findings, whichever occurs first.</p> <p data-bbox="291 822 1072 913"><u>All Other Offices:</u> Destroy when 2 years old or earlier if no longer needed for day-to-day operations.</p> <p data-bbox="225 949 1103 1010">F. <u>Records Set of Final Products of - Grants and Contracts</u></p> <p data-bbox="291 1044 1135 1326">Final reports are not required or furnished on all grants and contracts. They are usually required on contracts and grants having historical or research value. They include, but not limited to, authority, background, problems, findings, conclusions, final published technical reports, text-books, audiovisual items such as films, slides or tapes. Files are arranged alphabetically and annual estimated volume is 2 cu. ft.</p> <p data-bbox="291 1362 680 1393"><u>Disposition:</u> Permanent.</p> <p data-bbox="210 1393 1197 1649">1. PERMANENT. - A random sample of final products of grants and contracts to be selected by the Division of Grants and Procurement Management, CA (Office of Record). The sample will not exceed 1% of all grants and contracts in a given five-year period. Transfer to FRC two years after final payment or after audit, whichever is sooner. Offer to NARS in five-year increments when 15 years old.</p>		



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	<p>2. Except for records covered in (1) above, destroy 6 years after final payment to grantee or after audit, whichever is sooner.</p> <p><u>All Other Offices:</u> Destroy when 2 years old or sooner if no longer needed for day-to-day operations.</p> <p>G. <u>Audit Reports</u></p> <p>These records pertain to the audit of grants and contracts, as well as the internal operating and management procedures relating to the grants and contracts programs. Audits are conducted by the General Accounting Office (GAO) and the HEW Audit Agency. The audit reports cover not only discrepancies but commendable items as well. Also included in these files is evidence of audit resolutions with supporting documentation, comments from grantees and program area officials.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 2 years after the audit clearance is documented or other evidence of final resolution is accepted. Destroy 4 years thereafter.</p> <p>1. <u>Audit Report Control Records Index</u></p> <p>PHS-5177 (formerly HSM-3) maintained in the agency level grant management office for referencing and logging purposes.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when administrative value ends.</p> <p>2. <u>Report of Expenditures Adjustment and Audit</u></p> <p>When back claims on indirect costs adjustment requests are verified, payment authorization is processed thru finance and then consolidated through NIH for one lump payment of direct costs of grantee.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Agency-level files: COF at resolution of indirect costs claim. PIF for 3 years then transfer to the FRC and destroy 3 years thereafter.</p> <p>3. <u>Negotiated Indirect Cost Rates</u></p> <p>Consist of working and reference file of negotiated indirect cost rates for nonprofit and commercial contractors. Arranged in 3-inch binders.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Superseded rates pages are pulled and filed in separate binders. Destroy when no longer needed for administrative/program purposes.</p> <p>4. <u>DGPM Cost Advisory Contracts</u></p> <p>Alpa - numeric arrangement by contractor name and sequential contract numbers. Includes working copies of contract files and documentation of site audits and other cost advisory activities related to individual contracts.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Retain in inactive files area for 2 years after contract ends and audits are completed then transfer to the FRC and destroy 3 years thereafter.</p> <p>5. <u>DGPM Cost Advisory Contracts</u></p> <p>Includes data on accounting acceptability and financial capability of contractor, as well as other data generally pertinent to all contract activities with contractor.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 2 years after activity with contractor(s) ends.</p>		

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	<p>6. <u>Cancelled RFPs and Proposal</u></p> <p>Consists of files of RFPs for which Proposals have been received and the RFP is cancelled prior to award.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 1 year old.</p> <p>7. <u>Audit of Final Survey Reports</u></p> <p>Files contain guidelines and procedures on GAO's reporting practices required within DHEW. Included are comments on GAO draft reports from the appropriate HSA program officials responsible for the activities being audited. Comments are consolidated to reflect the official HSA response to a given draft GAO report. Reports vary in subject matter, but do relate to programs and functions within HSA. The final reports, when received, become a part of this file.</p> <p>Separately maintained are HSA comments to GAO reports on other agencies, but subject matter is of programmatic interest to HSA.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to FRC 2 years after final report is issued. Destroy 10 years thereafter.</p> <p>8. <u>GAO Copies of Contracts</u></p> <p>A GAO copy of each HSA contract closed out on or <u>before</u> March 7, 1975, must be maintained separate from other contract records for GAO audit and certification. HSA is no longer required to maintain GAO copies of contracts closed out <u>after</u> March 7, 1975, in that the copy of the contract maintained in the office of the contracting officer may be used by GAO, if desired, to fulfill its statutory obligations.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>a. Transfer GAO copies of contracts closed out on or <u>before</u> March 7, 1975, to FRC's and destroy 10 years and 3 months after closeout.</p> <p>b. Exception: GAO copies pertaining to Indians are not authorized for destruction.</p> <p>9. <u>Accountable Officers Accounts</u></p> <p>These are GAO site audit records. These records are accumulated by PHS fiscal organizations for on-site audit by Accountability, Collection Schedules, Collection Vouchers, Disbursement Schedules, Disbursement Vouchers, Disbursement Schedules, Disbursement Vouchers, and all other schedules and vouchers or documents that are the equivalent of any of the above. If the integrated accounting system approved by GAO requires certain other documents, support vouchers, and/or schedules, they shall also be included. In addition ADP or other machine readable versions of accountable officers' accounts produced with GAO approval, in lieu of standard voucher or schedule forms, as well as any agency forms used in lieu of standard voucher or schedule forms, are included.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. Records created <u>prior</u> to July 2, 1975 - Destroy 10 years and 3 months after the period of the account.</p> <p>b. Records created <u>on or after</u> July 2, 1975 - Destroy 6 years and 3 months after the period of the account.</p> <p>c. Transfer audited and unaudited accounts more than one full fiscal year old to the FRC's and destroy as outlined above.</p>		

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	<p>d. Exception: Any documentation pertaining to Indians is not authorized for destruction. This has been the practice since 1943 because of their potential importance in Federal adjudication of complex and detained claims against the Government by Indian tribes.</p> <p>H. <u>Grants and Contracts Audit Reports</u></p> <p>Reports on conduct of audits by HEW Audit Agency and/or grantees. Includes copies of audit findings, comments from grantees and program area officials, copies of resolution(s) accepted by HEW. Once findings, if any, have been resolved, files are individually cut off and maintained in inactive files area.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 2 years after final resolution (or when no longer needed for reference). Destroy 4 years thereafter.</p> <p>I. <u>Foreign Quarantine Program</u></p> <p>The purpose of this program is to protect the Nation against introduction of diseases from foreign countries to include an overseas program for medical examination of immigrants to the United States; exchange of quarantine information with other Federal Government agencies, State and local health departments, and industries; exchange of liaison with international organizations in order to develop international quarantine agreements; and studies of health hazards, prevention, and disease introduction into the United States. These files pertain to regulations, directives, and guidelines for day-to-day operations; meetings; periodic reports on border surveillance; statistical reports on persons quarantined; reports on incidence, distribution and control of disease introduced into the United States; and general correspondence. The office of record for these files is Office of Grants Management. The region and field offices maintain working copies of these files.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 4 years old, superseded, or no longer needed for day-to-day operations.</p> <p>J. <u>United States - Border Nations Public Health Associations</u></p> <p>These associations are established to promote implementation of health agreements between the countries concerned with International Health Regulations. They exchange information on health matters, take measures to resolve mutual problems, and plan future actions in promoting better health regulations. The office of record for these files is the Office of Grants Management.</p> <p>These are working files consisting of or relating to agendas meetings, workshops, recommendations, summaries, progress reports, agreements, and general correspondence.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 3 years old or earlier if no longer needed for day-to-day operations.</p> <p>K. <u>Nutrition</u></p> <p>This program is concerned with regulatory approaches to improve nutrition; advice to public and private entities on nutritional matters; research and analysis; determination of nutritional value in various foods; and liaison with international, national, public, and private nutritional scientific communities. Files are arranged alphabetically and annual estimated volume is 2 cu. ft. <i>ori: office of Grants Management.</i></p> <p>1. These records consist of basic nutrition data, research studies, surveys and evaluations on nutrients pertaining to adults, children, maternity, aged, hunger, malnutrition, foods, and dental. Also included are standards and policy papers.</p>		

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	<p>2. These records consist of and relate to conferences, workshops, meetings, speeches, agendas, cultural food patterns, food assistance programs, training school lunch programs surveys; and general correspondence. The office of record is located at the Bureau (HSA) responsible for this program.</p> <p>1. <u>Disposition:</u> <del>Permanent.</del></p> <p><del>Cut off files annually and hold. Transfer to the FRC in 5 year blocks and offer to NARS when 15 years old.</del></p> <p>1. <u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC when no more than 2 years old. Destroy when 5 years old.</p>		

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22	<p>APPENDIX IA. (SUMMARY of HSA GRANT PROGRAMS)</p> <p>A. <u>Formula Grant Program</u> distributes money according to a formula established by the basic legislation of each program, The formula may be based on population, ethnic distribution, presence of federal activities etc.</p> <p>NOTE: For any long-term grant, files maybe broken every 5 years and transfered to the FRC. When the grant is terminated, follow appropriate disposition listed below.</p> <p>1. <u>Comprehensive PHS-Formula Grants (Formula)</u></p> <p>The purpose of this program is to assist States in establishing &amp; maintaining adequate community, mental &amp; environmental public health services including training of personnel for State &amp; local public health work.</p> <p>These records consists of or relate to such matters as affirmative action program narratives, checklists, reports (except final reports), surveys, evaluations, reviews, site visits, accounting, equipment, supplies, personnel, conferences, recommendations, training, meetings, payment requests, applications, renewals, obligated balances, and budget justifications.</p> <p><u>Disposition: Nonpermanent.</u></p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment and destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p>		



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	<p>2. <u>Dental Health of Children (Formula)</u></p> <p>The purpose of this program is to promote the dental health of children and youth of school and preschool age, particularly in areas with concentrations of low-income families.</p> <p>These records consist of or relate to reports (except final reports), job descriptions, organization charts, biographical sketches, applications, periodic payments, surveys, site visits, evaluations, audits, reviews, recommendations, meetings, budget estimates, reports of expenditure, award documents, next year forecasts, letters of support and news releases.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>3. <u>Family Planning Project (Formula)</u></p> <p>The purpose of this program is to provide services necessary to enable individuals to freely regulate number and spacing of children, to reduce mother and child mortality.</p> <p>These records consists of or relate to reports (except final reports), applications, budget estimates, program narratives, objectives and goals, next year forecasts, reviews, recommendations, evaluations, job descriptions, biographical sketches, conferences, site visits, award documents, audits, and payment requests.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>4. <u>Health Care of Children and Youth (Formula)</u></p> <p>The purpose of this program is to provide comprehensive health care and services for children in low-income areas.</p> <p>These records consist of or relate to reports (except final reports), applications, award documents, job descriptions, biographical sketches, organization charts, objectives and goals, next year forecasts, reviews, alterations, staff studies, letters of support, equipment lists, obligated balances, audits, payment requests, meetings, and reports of expenditure.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p>		

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	<p>5. <u>Intensive Infant Care Projects (Formula)</u></p> <p>The purpose of this program is to provide necessary first-year health care to infants of low-income families who have health conditions or are in circumstances which increase the hazards to their health.</p> <p>These records consist of or relate to reports (except final reports), evaluations, applications, award notices, program narratives; budget estimates, expenditure reports, progress reports, job descriptions, biographical sketches, organization plans, site visits, audits, recommendations, letters of support, next year forecasts, payment requests, payment breakdowns, objectives and goals, and obligated balances.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>6. <u>Maternity and Infant Care Projects (formula)</u></p> <p>Authority is Social Security Act, as amended, Title V, Section 508(a)(1); P.L. 90-248. The purpose of this program is to help reduce the incidence of mental retardation and other handicapping conditions associated with child-bearing and to help reduce infant and maternal mortality.</p>		

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	<p>These records consist of or relate to reports (except final reports), applications, evaluations, reviews, recommendations, award notices, site visits, expenditure reports, periodic reports, payment requests, payment notices, meetings, statistical reports, program narratives, objectives and goals, equipment lists, audits, and obligated balances.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>B. <u>Project or Discretionary Grant Programs determines the grantee and the dollar amount of specific grants.</u></p> <p>1. <u>Health Services Development (Project)</u></p> <p>The purpose of this program is to support the full range of public health services to meet special needs at the community level, develop and support new programs to include training, and development of comprehensive health centers.</p> <p>These records consist of or relate to such matters as quarterly cost reports, action plan monitoring reports, financial and statistical requirements, site visits, budgets, progress reports, financial plans organization charts, biographical sketches, news clippings, reviews, recommendations, technical assistance, and evaluations.</p> <p><u>Disposition:</u> Nonpermanent.</p>		

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	<p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>2. <u>Maternal and Child Health Research (Project)</u></p> <p>The purpose of this program is to provide research projects relating to maternal and child health services or crippled children's services which show promise of substantial contribution on the advancement of such services.</p> <p>These records relate to evaluations, reviews, recommendations, award notices, site visits, expenditure reports, periodic reports, payment requests, payment notices, meetings, statistical reports, program narratives, objectives and goals, equipment lists, audits, and obligated balances.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>3. <u>Maternal and Child Health Training (Project)</u></p> <p>The purpose of this program is to train personnel for health care of and related services for mothers</p>		

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	<p>and children, particularly mentally retarded children and children with multiple handicaps.</p> <p>These records consist of or relate to reports (except final reports), equipment lists, training, workshops, meetings, organization, job descriptions, biographical sketches, seminars, site visits, technical assistance, fiscal reports, statistical reports, applications, reviews, audits, evaluations, and recommendations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>4. <u>Community Health Centers (Project)</u></p> <p>The purpose of this program is to provide health services to populations in areas with scarce health services on a capitation basis, and to identify solutions for providing health services to those populations.</p> <p>These records consist of or relate to reports (except final reports), renovations, audits, equipment, training, workshops, reimbursements, ambulatory care, applications, evaluations, reviews, site visits, recommendations, objectives &amp; goals, obligated balances, meetings, statistical reports, of expenditure, and payment requests.</p> <p><u>Disposition:</u> Nonpermanent.</p>		

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	<p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>5. <u>Migrant Health Grant (Project)</u></p> <p>The purpose of this program is to raise the health status of migratory seasonal farm workers and their families through comprehensive health services, and improvement of their environment. National Advisory Council on Migrant Health program indicators funding criteria regional office funding plans.</p> <p>These records consist of or relate to such matter as annual reports, quarterly expenditure reports, site visits, trip reports, progress reports, budget submission, project officer directories, meetings, by-laws, surveys, summaries, recommendations, and evaluation.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>(3) <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>6. <u>Emergency Medical Services (Project)</u></p> <p>The purpose of this program is to provide assistance and encouragement for emergency medical services systems</p>		

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	<p>throughout the country and thereby improve the quality of patient care and reduce morbidity and mortality.</p> <p>These records consist of or relate to such matters as feasibility and planning, establishment of the systems, expansion and improvements, research, training, reviews, needs &amp; cost estimates, applications for expansions and improvements, and inventories of facilities.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>7. <u>Maternal &amp; Child Health Services (FEP)</u></p> <p>The purpose of this program is to provide financial support (1) to States to extend &amp; improve services for reducing infant mortality &amp; improvement of the health of mothers &amp; children, and (2) for special projects to contribution to advancement of maternal &amp; child health services.</p> <p>These records consist of or relate to such matters as trip reports, special reports, applications, statistical reports, reviews, training, workshops, meetings, research, recommendations, and evaluations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 3 years old.</p> <p>a. <u>Office of Record</u></p>		



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	<p>(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>8. <u>Crippled Children Services (FEP)</u></p> <p>The purpose of this program is to provide financial support to States (1) to extend and improve medical &amp; related services to crippled children &amp; children suffering from conditions that lead to crippling, and (2) for special projects which may contribute to the advancement of services for crippled children.</p> <p>These records consist of or relate to such matters as trip reports, statistical reports, applications, workshops, training, reviews, research, meetings, recommendations, evaluations, program narratives, surveys, and critiques.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>C. <u>Training Grant Programs</u></p> <p>1. <u>Family Planning Services - Training Grant (Training)</u></p> <p>The purpose of this program is to provide</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>training for personnel to improve the delivery of family planning services.</p> <p>These records consist of or relate to such matters as reports, applications, award documents, job descriptions, biographical sketches, next years forecasts, reviews and recommendations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>D. <u>National Health Service Corps</u></p> <p>The purpose of this program is to assign health personnel to areas of critical shortages in health professionals.</p> <p>1. These records consist of or relate to such matters as reviews, site visits, applicant community profiles, biographical sketches, job descriptions, accessibility and utilization of personnel, certification statements, and equipment lists.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>a. <u>Office of Record</u></p> <p>(1) Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>(2) Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>b. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>E. <u>Health Maintenance Organization Service</u></p> <p>The purpose of this program is to stimulate the development of a variety of prepaid, comprehensive health maintenance organizations.</p> <p>These records consist of or relate to such matters as reports (except final reports), reviews, meetings, surveys, site visits, letters of support, recommendations, statistical reports, evaluations, and program narratives.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>1. <u>Office of Record</u></p> <p>a. Destroy 6 years after final payment, or upon resolution of any adverse audit findings.</p> <p>b. Transfer to FRC 2 years after final payment. Destroy 4 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when 3 years old.</p> <p>F. <u>Contracts for Health Services</u></p> <p>These contracts pertain to research and development programs in health related areas and technical assistance for health activities within the PHS Region, i.e. comprehensive health planning, physician assistance training programs, development health area, and health education centers.</p> <p>These records consist of or relate to reports (except final reports), initial procurement actions (preselection), solicitation, receipt, inspection, evaluation, selection, negotiation, pre-award reviews, award documents, requisitions,</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>purchase orders, leases, bond and surety records, administration of contracts to include review and payment. <i>See GRS 3 #4 for description and disposition.</i></p> <ol style="list-style-type: none"> <li>1. Procurement of purchase organization copy, and related papers.           <ol style="list-style-type: none"> <li>a. Transactions of more than \$2,500.</li> <li>b. Transactions of \$2,500 or less.</li> </ol> </li> <li>2. Obligation copy.</li> <li>3. Copies of contracts, requisitions, purchase orders, leases, and other papers which are duplicates of papers defined in immediately preceding item 1., used by component elements of a procurement office or by other offices of the PHS Region for administrative or informational purposes.</li> </ol> <p><i>See GRS 3 #4.</i></p> <p><u>Disposition: Nonpermanent.</u></p> <ol style="list-style-type: none"> <li>a. Destroy 6 years after final payment, or upon resolution of any adverse audit findings. Transfer to FRC 2 years after payment. Destroy 4 years thereafter.</li> <li>b. Destroy 3 years after final payment, or upon resolution of any adverse audit findings.</li> <li>c. Destroy when funds are obligated.</li> <li>d. <u>Component elements of a procurement office</u> Destroy upon termination or completion.</li> <li>e. <u>Other Offices</u> Destroy when 3 years old.</li> </ol> <p>G. <u>Surveys - Provider Services</u></p> <ol style="list-style-type: none"> <li>1. The purpose of these surveys is to determine if standards are being met for participation in Federal grants programs, and to check on and train State survey personnel.</li> </ol>		

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7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>These records consist of or relate to reports, survey personnel, trip reports, surveys, meetings, training, workshops, reviews, evaluations, recommendations, and validations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>2. <u>Utilization Reviews - Provider Services</u></p> <p>The purpose of these reviews is to determine if patient admissions are appropriate, if in-hospital period is reasonable, and if treatment is adequate.</p> <p>These records consists of or relate to reports, reviews, meetings, publications, instructions, and problem solving.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>3. <u>Certification - Provider Services</u></p> <p>These records consist of or relate to program guidance to PHS regional staff, trip reports, guidance to States, evaluations, reviews, meetings, with AOA representatives and S.W. Federal Council, and advice of allowances.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>4. <u>Ambulatory Centers - Provider Services</u></p> <p>These records consist of or relate to visits to States, assistance to ambulatory centers to meet qualification standards, reports, surveys, reviews, recommendations, evaluations, summary statements, and meetings.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p>		
5.	<p><u>Anesthesia - Provider Services</u></p> <p>These records consist or relate to letters of inquiry, commonly used agents, interpretations of regulations and directives of BQA, guidance to States, and summaries.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p>		
6.	<p><u>Home Health Agencies - Provider Services</u></p> <p>These records consist of or relate to establishment and operation of health agencies, responses to questions and problems, health agency services, physical therapy, speech therapy, nursing care, site visits, reports, recommendations, and reviews.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p>		
7.	<p><u>Hospital Participants - Provider Services</u></p> <p>These records consist of or relate to reports, State guidance, site visits, certifications, emergency inpatient services in nonparticipating hospitals, JCAH hospitals, evaluations, summaries, and reviews.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p>		
8.	<p><u>Long-Term Care - Provider Services</u></p> <p>These records consist of or relate to nursing homes, home health, hospital care, meetings, criteria, program changes, trip reports, status reports and State guidance.</p>		

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	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>9. <u>Medicaid - Provider Services</u></p> <p>These records consist of or relate to negotiations, utilization reviews, reports, inconsistencies, guidance, instructions, and surveys.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>10. <u>Medicare - Provider Services</u></p> <p>These records consist of or relate to State guidance, quality assurance, reviews, instructions, special procedures, studies, budget reviews, program reviews, and notices of approval.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>11. <u>Nursing - Provider Services</u></p> <p>These records consist of or relate to techniques, licensing, practical nursing, publications, proficiency examinations, sterilization of equipment, state guidance, summaries, press releases, trip reports, and surveys.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>12. <u>Nursing Homes - Provider Services</u></p> <p>These records consist of or relate to publications, reviews, periodic reports, trip reports, technical guidance, instructions, evaluations, appraisals, and summaries.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy when 2 years old.</p> <p>13. <u>Certification of Accreditation, and Related Correspondence</u></p> <p>These certifications establish, or verify, eligibility of educational institutions of Federal grant or loan programs.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Official File of Certifications of Accreditation - Destroy when obsolete or superseded.</p> <p>14. <u>Uncollected Loans</u></p> <p>Original file folder transferred HRA when lending institution is unable to collect. When loan is determined uncollectible, GAO must be consulted for disposition instructions.</p>		



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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
23 <del>25</del>	<p><u>PART IB: BUREAU OF COMMUNITY HEALTH SERVICES (BCHS)</u></p> <p>This section related to the permanent program and administrative files of the <u>Bureau of Community Health Services (BCHS)</u>.</p> <p>BCHS provides community health care by administering the following programs: Maternal and Child Health, Family Planning, Community Health Centers, National Health Service Corps, Migrant Health, Hemophilia, Home Health, Sudden Infant Death Syndrome and similiar programs as well as rural and urban health initiatives and grants to staff for comprehensive public health services.</p> <p>This section includes permanent and non-permanent programs records of the BCHS.</p> <p>A. <u>Program Office Files</u></p> <ol style="list-style-type: none"><li>1. Those portions of the general correspondence, program support and administrative files which document the formulation of national health policy, the establishment, direction, and review of all the primary programs of BCHS. These files include policy, procedures, regulations, program planning and evaluation, budget statements, digests, or briefing papers, correspondence thru out the Bureau/Agency and other agencies, congress, and/or congressional committees, delegations of authority, special programs, site information, technical assistance and Regional Office coordination. Files are arranged alphabetically and annual estimated volume is 3-4 cu. ft. <i>by program</i></li></ol> <p><u>Disposition:</u> Permanent.</p> <p>The BCHS Records Liaison Officer will transfer those records pertaining to policy and procedures to the Federal Records Center no later than 5 years after each director leaves office. Offer to Archives 10 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. Correspondence relating to routine administrative programs and activities, and general administrative matters not covered in Part I and II of this schedule, <i>as well as files not directly related to policy and planning</i> <u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 2 years. Do not send to the FRC.</p> <p><u>B. Program Planning and Evaluation Files</u></p> <p>1. Those portions of the general correspondence and administrative file which document the development, supervision, planning and evaluation of special programs and major program areas, including narrative and statistical reports which are consolidated at Bureau level and background material on program development. Files are arranged alphabetically and annual estimate volume is 2-3 cu. ft. <i>by program</i> <u>Disposition:</u> Permanent.</p> <p>The BCBS Liaison Officer will transfer to the FRC 3 years after files are cut off. (Files are to be cut off every 2 years). Offer to Archives no later than 10 years after files are cut off.</p> <p>2. Correspondence relating to routine administrative programs and activities, and administrative matters not covered by items Part I and II of this schedule.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 2 years. Do not send to FRC.</p> <p><u>C. Organization and Function</u></p> <p>NOTE: All staff offices should review "Part IA and IB Permanent Program and Administrative Records" before disposing of records.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>A master set of all organizational charts, manual issuances, and publications. (See Part IA and IB Permanent Program and Administrative Records). Files are arranged alphabetically and annual estimated volume is 1-2 cu. ft. <i>by subject</i></p> <p><u>Disposition:</u> Permanent.</p> <p>The BCHS Records Liaison Officer will transfer to the FRC 5 years after they become obsolete or sooner if volume permits. Offer to the Archives 10 years thereafter. (A review of Part I Permanent Program and Administrative Records must be done first.)</p> <p>D. <u>Project Site Files</u></p> <p>These files relate to specific projects that have been funded thru grants (of all types) contracts, or other similar type programs. "Appendix <del>A</del> A Part I." has a listing of these programs and the type of assistance provided. It should be used in determining disposition for these project files which consists of centers and community health networks, copies of grant awards notices, congressional and other correspondence.</p> <p><i>Disposition: Apply disposition instructions of appropriate program items of Appendix I-A.</i></p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
24 <del>26.</del>	<p><u>Part IC INDIAN HEALTH SERVICE (IHS)</u></p> <p>The Indian Health Service (IHS) assures a comprehensive health service delivery system for American Indians and Alaska Natives with sufficient options to provide for maximum tribal involvement in meeting their health needs. The goal for the IHS is to raise the health level of the Indian and Alaska Native people to the highest possible level.</p> <p>This section provides for the scheduling of permanent and non permanent program records created by the IHS at headquarters, regional and field offices. All records created with federal funds (either in part or full) used to carry out the mission of IHS will be governed by this schedule. It should be used in conjunction with the General Records Schedule.</p> <p>Formal policy and procedural, organizational and reportorial documents are covered in Part 1 a General Administrative Section.</p> <p>A. <u>Indian Health Construction and Facilities Planning Projects</u></p> <p>Case files containing copies of bids, project proposals, and summaries, specification and drawings, contracts, reports and general correspondence in connection with Public Law 86-121.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 2 years after project completed and final payment made. Destroy 4 years thereafter.</p> <p>B. <u>Drawings and Specifications File</u></p> <p>Drawings and specifications pertaining to the construction of Indian Hospitals and other facilities for the beneficiary populations. Keep drawings specifications and final report for life of the project for ongoing maintenance and repair.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent.</p> <p>Contracts are maintained by Procurement and Finance and come under those disposal schedules.</p> <p>C. <u>Statistical Health Reports</u></p> <p>Reports on inpatient and outpatient workloads at each PHS Indian Hospital and health center.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 3 years after administrative value ends (no longer needed for reference). Destroy 5 years thereafter.</p> <p>D. <u>Environmental Health Programs Records Construction Project</u></p> <p>Legal documents pertaining to the administration of the program, periodic and special reports, final reports (narrative booklets) describing projects, problems, summary of cost, tribal participation from task force studies and surveys relating to health effects of economic and industrialization on Indian reservations; Official Correspondence in connection with Public Law 86-121; housing, health centers, hospitals, water and sewage. <i>Annual volume: 2-3 v. f.</i>  <i>Arrangement: Numerically by project number.</i></p> <p><u>Disposition:</u> Permanent.</p> <p>Close out files every 3 years. Transfer to the FRC 5 years thereafter or when administrative value ends. Offer to Archives 10 years after receipt in the FRC.</p> <p>E. <u>Medical Contract Files</u></p> <p>Case files including copies of public health contracts and related evaluation reports concerned with medical, dental, X-Ray, Clinical laboratory, contracts with physicians, institutions, clinics, and other groups, and related documents.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 2 years after final payment and destroy 4 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>F. <u>Special Recurring Reports</u></p> <p>Recurring reports of various health disciplines e.g. medical, dental, nutrition, dietetics, pharmacy, etc. Files include statistical, work planning, annual, periodic and narrative reports, background material, working papers and data. Data (medical statistics) pertains to the morbidity and mortality statistics of the treatment used on inpatients and outpatients to measure the health status of American Indians and Alaskan Natives and make comparisons with other population groups. Data is also used to write and establish policies and procedures, prepare budget presentations, dental statistics used to measure health status as above. Pharmacy data, however, is not used to measure health status but data are collected and used as a basis of comparing results of medicines, how long it takes to prepare medicines and teach patients how and when to take them etc. Statistics for the other disciplines are related to that particular area.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Close out files every 2 years and hold for 1 year. Transfer 1 copy of each final report to the FRC for 5 years then destroy. Files not included in final report are to be destroyed before transfer.</p> <p>G. <u>Pupils Health Case Files</u></p> <p>School health records including such material as school infirmary and day school records, school clinic records, records of physical examinations and immunizations and related records.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to supervising Service Unit 30 days after separation from school by graduation or drop-out (Retain at Service Unit in accordance with schedule for outpatient records in another section of this schedule).</p> <p>H. <u>Sanitation Research and Special Study Files</u></p> <p>Reports, studies, surveys, and recommendations re-</p>		WITHDRAWN

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	<p>lating to housing, water supply, sewage treatment and disposal, insulation materials, home plumbing, periodic and special reports on sanitary conditions at field stations, and on conditions, facilities, and operation of medical installations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the FRC 3 years after project is closed. Destroy 6 years thereafter.</p> <p>I. <u>Dental Examination Card File</u></p> <p>Dental examinations of students, preschool children and adults to include all information regarding patient.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 10 years after last visit.</p> <p>J. <u>Field Nurse and Community Health Aide Case Files</u></p> <p>These are individual and family folders which include such materials as individual health records, pre- and post-natal nursing records, and tuberculosis and immunization records.</p> <p><u>Disposition:</u> Destroy 10 years after last entry. (if these are patient records then see section on clinical records for disposition.)</p> <p>K. <u>Historical File</u></p> <p>Records reflecting the history of the hospital such as, title documents relating to the acquisition of land on which station is constructed, copies of deeds, rights of way easements, zoning maps, and plans.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer to the record center when 20 years old or when no longer needed for reference. Destroy when 25 years old or when administrative value ends.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
25	<p><u>PART 1D: BUREAU OF MEDICAL SERVICES (BMS)</u></p> <p>Carries out programs to provide comprehensive medical care for designated Federal beneficiaries, occupational health care and safety services for Federal employees, and assists in the development; improvement, expansion, and integration of emergency medical services systems. The Bureau also fosters the development of organized systems of prepaid health care to voluntarily enrolled populations through its Health Maintenance Organization programs.</p> <p>This section provides for the scheduling of permanent and nonpermanent program records created by the BMS at headquarters and field.</p> <p>Any activity within the organizational structure of HSA/BMS which receives federal funds (either in part or full) will be governed by this section.</p> <p>A. <u>Federal Employee Health</u></p> <p>1. Files were created in the process of developing and implementing standards and improved Occupational Health for all employees throughout the Government, reports evaluating Federal agency occupational health services in relation to standards, formal interagency agreements with other Federal agencies for operation of PHS/DFEH health units and correspondence pertaining to the operation and administration of these health units.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Cut off files every 2 years and put in files storage area.</p> <p><u>Office of Record</u></p> <p>Transfer a record set of all files that document standards (as they relate to this program) and final reports of evaluations and interagency agreements to the FRC 1 year after cut off date. Destroy 5 years thereafter.</p>		



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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>DFEH Employee Health Units</u></p> <p>Files consist of health records of Federal employees enrolled as participants in the PHS/DFEH health units; also <sup>includes</sup> <del>that received</del> records of visitors that received emergency treatment.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Retain all inactive health records for a period of 6 years then destroy.</p> <p>B. <u>Emergency Medical Services</u></p> <p>1. Files documenting national standards and guidelines for emergency medical services (EMS) systems, special nonrecurring reports required for executive director purposes, statistical data that was collected, analyzed, and disseminated in summary form thru publication etc. Files are arranged alphabetical and annual estimated volume is 1-2 cu. ft.</p> <p><u>Disposition:</u> <del>Permanent.</del> <i>Nonpermanent.</i></p> <p>Cut off files every 2 years and hold. Transfer to the FRC in 4 year blocks. <del>Offer 1 final copy of each report and one record of each publication to Archives 10 years after retirement.</del> <i>Destroy when 15 years old.</i></p> <p>2. Files relating to budget authority and technical assistance coordinating EMS with interagency programs, documentation of the development, supervision and evaluation of EMS with consumer groups and professional organizations.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Cut off files every 2 years, hold for 1 year then transfer to FRC. Destroy 4 years thereafter.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
26	<p><u>HOSPITALS AND CLINICS</u></p> <p>A. <u>CLINICAL RECORDS (INPATIENT AND OUTPATIENT)</u></p> <p><u>Medical Records Folder</u></p> <p>All medical records of patients admitted to any PHS and IHS hospital (including the lepro-sarium) and clinic either as an outpatient or inpatient on any service eg. OB/GYN, medical, surgical, pediatrics, psychiatry, etc. Files consist of but not limited to physician's, nurses' and allied health professionals' reports; graphs, and charts; results of laboratory, radiological, cardiology and special diagnostic procedures; operative, anesthesia and pathological reports; and all other reports related to the treatment or care of any patient.</p> <p>These records are to be retained in their original form at the hospital or clinic for a period of 5 years after episode of last visit, patient has not returned for examination or treatment in 5 years, the clinical record will be considered inactive.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Transfer the complete medical records folder to the FRC 5 years after patient's last episode of discharge and treatment. Destroy 50 years after receipt in the FRC all medical records of active duty uniform service personnel (Army, Navy, Air Force, Marine Corps, Coast Guard, PHS, and National Oceanic and Atmospheric Administration), and after 25 years for other patients.</p> <p><i>2. Destroy non-uniformed patient records after 25 years.</i></p> <p>Do not separate a patient's medical record i.e., inpatient from outpatient. Transfer the complete folder (at the same time) and make certain all reports, documents, etc. have been placed in the folder before retiring it. Do not send laboratory pathological materials, blood cultures, surgical slides, etc., only the reports pertaining thereto. Facilities wishing to retain</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>original medical records on site for a longer period of time should request written permission from the Director, Division of Hospitals and clinics.</p> <p><b>B. <u>Patient's Statistic Records</u></b></p> <p>1. <u>Disposition Date File</u></p> <p>Mechanically prepared listings of discharged patient's records which have been incorporated in the data processing master patient file.</p> <p><u>Disposition:</u> Non-permanent.</p> <p>Destroy after 1 year.</p> <p>2. <u>Gains and Losses</u></p> <p>Daily Gains and Losses Sheets.</p> <p>NOTE: A master set will be maintained to contain a copy of each gains and losses sheet created during any 12-month period.</p> <p><u>Disposition:</u> Non-permanent.</p> <p>Destroy master set copies after 1 year, EXCEPT if the master set is being utilized as the "register file."</p> <p>Destroy all other copies after purpose has been served.</p> <p>3. <u>Patient Service Locator</u></p> <p>Patient locator information maintained in mail rooms, telephone and information sections; or equivalent.</p> <p><u>Disposition:</u> Non-permanent</p> <p>Destroy 90 days after discharge of patient.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>4. <u>Perpetual Patient Register File</u></p> <p>A perpetual Patient Register (record of unit and register numbers) assigned to each patient and chronological admission log books.</p> <p><u>Disposition:</u> <del>permanent</del></p> <p>Maintain <del>permanently</del> at each facility; <i>Retain until administrative and reference value.</i></p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>5. <u>Error Data File</u></p> <p>Mechanically prepared listings of discharged patients' records which have been rejected as unacceptable to the inpatient data system.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after errors have been corrected; resubmitted data validated; and after the listings used for quality control purpose have been exhausted.</p> <p>6. <u>Diagnostic and Operative Index</u></p> <p>Mechanically prepared listings of coded diagnostic and operative data of discharged patients, previous manually prepared diagnostic and operative indices and locally approved special inpatient diagnostic and operative indexes.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a. Destroy monthly listings after receipt of consolidated biannual listing.</p> <p>b. Retain biannual listings for hospital research and accreditation. Destroy 2 years thereafter.</p> <p>c. Destroy special and locally approved diagnostic and operative indices after purpose has been served.</p> <p>7. <u>Ward Morning Report</u></p> <p>Morning Report; or equivalent</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after purpose has been served.</p> <p>8. <u>Patient's Clothing and Valuables</u></p> <p>Beneficiaries effects slip, temporary withdrawals, inventory of funds and effects,</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>patient's clothing account, patient's effect slips, patient's valuable and miscellaneous effects account, request for clothing account, request for Government-issued clothing, receipts for packages, request and instructions re-disposition of unserviceable and excess clothing and articles, and patient's valuables inventory envelope.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 6 months after discharge of patient and after proper accountability of all items.</p> <p>9. <u>Beneficiaries Effects and Valuables Audit File</u></p> <p>Records of audits of effects, valuables, Government issued clothing, incidentals and related records.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 1 year after completion of subsequent audit and after discrepancies have been resolved.</p> <p>10. <u>Employee Locator</u></p> <p>Employee locator information (including consultants, attendees, etc.) maintained in mail rooms telephone and information sections; or equivalent.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 90 days after separation or transfer of employee.</p> <p>11. <u>Guest Lodging File</u></p> <p>Room allocation and occupancy records.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>12. <u>Processing Medium File</u></p> <p>Code sheets, card work decks, batch transmittals, control registers and similar media used to collect and control data for medical and administrative statistical programs, studies and projects.</p> <p><u>Disposition:</u> Non-permanent</p> <p>Destroy 60 days after cards are punched and verified and when no longer required for sampling and postaudit purposes.</p> <p>C. <u>Food Planning and Preparation</u></p> <p>1. <u>Diet Manual</u></p> <p>Records of various diets, i.e., regular, bland, high protein, special, daily routine, etc.</p> <p><u>Disposition:</u> Non-permanent</p> <p>Destroy when obsolete or when no longer of value for reference.</p> <p>2. <u>Diet Prescription File</u></p> <p>Diet orders from the doctor for individual patients or equivalent.</p> <p><u>Disposition:</u> Non-permanent</p> <p>Destroy when changed or after patient is discharged.</p> <p>3. <u>Menu File</u></p> <p>a. Menu records; daily, weekly, routine, selective, holiday, etc.</p> <p>b. NOTE: A 1-year complete set of corrected originals will be maintained.</p> <p><u>Disposition:</u> Non-permanent</p> <p>a. Destroy extra copies after purpose has been served.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>b. Destroy yearly sets after close of next succeeding year.</p> <p>4. <u>Recipe File</u></p> <p>Recipes of all types and kinds, standard, tested, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after becoming obsolete or when no longer practical for use.</p> <p>5. <u>Patient Education File</u></p> <p>Dietetic training material for patients, diet, instructions, diet lists, special instructions for individuals and groups of patients.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when obsolete or no longer of training value.</p> <p>6. <u>Cost Analyses File</u></p> <p>Food costs analyses, i.e., analysis of price trends, food usage studies, selected food items and any other analytical food cost studies.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 3 fiscal years or when no longer of current value.</p> <p>7. <u>Meal Ticket File - Employees and Patients</u></p> <p>a. Employee subsistence passes (full and partial); individual meal authorizations; and related material properly filed therein.</p> <p>b. Patient meal ticket; or equivalent.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a. Dispose of 30 days after close of issue</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>period and after required reports have been prepared.</p> <p>b. Dispose of upon change of diet or after discharge of patient.</p> <p>8. <u>Ration Control File</u></p> <p>Ration control records of meals served (patient, employee, guest, etc.), and costs.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>D. <u>DENTAL</u></p> <p>1. <u>Dental Appointment Record</u></p> <p>Ledger or book indicating daily appointments for patients for dental treatment and showing patient's name, time of appointment and type of work to be performed.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 1 year after date of last entry in book.</p> <p>2. <u>Dental Laboratory Requisition and Work Record</u></p> <p>Copies of instruction sheets to obtain fabrication of dental appliances from central dental laboratory and related material properly filed therein.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after patient's case in completed.</p> <p>3. <u>Dental Patient Index Cards</u></p> <p>Dental Service index cards indicating patient's name, diagnosis, treatment, condition, etc., on current or recent patients receiving dental treatment.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after discharge of patient and after preparation of necessary reports.</p> <p>4. <u>Dental X-Ray Film</u></p> <p>Consists of intra-oral dental x-ray films, panoramic, cephalometric, other extra - oral x-rays.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 3 years after date of latest exposure.</p> <p>(Note - Dental x-rays needed for research and teaching purposes may be retained until no longer needed.)</p> <p>5. <u>Laboratory Caseload Ledger</u></p> <p>Ledger used to record all cases handled by the dental laboratory and to indicate date of receipt, name of patient, referring station, laboratory case number, and description of case.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy 1 year after date of last entry.</p> <p>6. <u>Old Gold Turn - In</u></p> <p>Copies of memorandum reporting old gold to Supply Officer for pickup and indicating amount of gold turned in.</p> <p><u>Disposition:</u> Nonpermanent.</p> <p>Destroy after 1 fiscal year.</p> <p>7. <u>Precious Metals Issue Slip File</u></p> <p>Cards indicating amount and type of precious metals issued for use in making dental prostheses for patients.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p> <p>8. <u>Precious Metals Ledger File</u></p> <p>Ledgers containing a record of: [Date precious metals received from supply, combined gross troy weight of all gold received (excluding fabricated bars), number of fabricated gold bars received, weight of platinum received, date, name of patient and description of each appliance,</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>fabricated, date, name of patient and description of unserviceable gold appliances received as scrap gold, unserviceable gold appliances retained by the patient along with his signature.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 2 years after date of final entry.</p> <p>9. <u>Precious Metals Record Card File</u></p> <p>Cards indicating a running record of each type of precious metals on hand and showing the amount received, amount issued and the balance on hand at all times.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 1 year after card has been filed and the balance brought forward to a new card.</p> <p>10. <u>Outpatient Fee Basis File</u></p> <p>Tabulating cards, listings and code sheets used to acquire and control fee-basis medical services and to accumulate internal management data.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Dispose of tabulating cards (EXCLUDING fee authorization renewal cards and fee-basis register cards) 1 fiscal year after close of fiscal year in which prepared.</p> <p>a. Fiscal fee authorization renewal cards will be maintained and disposed of in accordance with the appropriate item (fiscal).</p> <p>b. Treatment file fee authorization cards will be filed in the outpatient treatment folder.</p> <p>c. Fee-basis register cards will be retained <i>until no longer needed for administrative purposes.</i></p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition: Nonpermanent</u></p> <p>Dispose of code sheets 1 month after end of month in which tabulating cards are punched and totals checked against the control register.</p> <p>d. Dispose of tabulating listings (EXCLUDING fiscal accounting listings, obligation cancellation listings and listings attached to schedules of disbursement) 2 fiscal years after close of fiscal year in which prepared.</p> <p>e. The fiscal tabulating listings excluded in paragraph d above will be maintained and disposed of in accordance with the appropriate item of fiscal.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Dispose of inactive fee-basis register card after 60 days.</p> <p>11. <u>Outpatient Service Routing List</u></p> <p>Outpatient service routing lists and other related materials.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 60 days after preparation of required tabulating cards.</p> <p>E. <u>LABORATORY</u></p> <p>1. <u>Autopsy Protocols</u></p> <p>Copies of autopsy protocols.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 1 year after death of Patient. Do not transfer to the FRC.</p> <p>2. <u>Blood Bank Monitoring File</u></p> <p>Cards indicating daily records of blood inspec-</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>tions, daily records of refrigerator temperatures, records of bacteriologic studies, and records of disposition of unused blood.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p>		
3.	<p><u>Blood Donor File</u></p> <p>Blood donor registration cards and related cross-index cards as to blood group and type.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 5 years after last donation and after 10 years if donor has rare blood type.</p>		
4.	<p><u>Blood Issue File</u></p> <p>Log book containing names of authorized persons to which blood was issued and a record of reissued blood.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 5 years after date of last entry.</p>		
5.	<p><u>Blood Source File</u></p> <p>Log book indicating source from which blood was received, i.e., donor, Red Cross, contract blood bank, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 10 years after date of entry.</p>		
6.	<p><u>Blood Transfusion Request and Record</u></p> <p>Copies of the Clinical Record—Blood Transfusions indicating blood grouping, typing and compatibility tests.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>7. <u>Laboratory Examinations</u></p> <p>Copies of laboratory reports on examinations of milk, cream, ice cream, frozen products, water and sewage effluent; and reports on bacterial counts on dishes, flatware, and equipment or on utensils used in preparation of food and supplying of bedside drinking water.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 6 months.</p> <p>8. <u>Laboratory Methods</u></p> <p>Cards indicating approved methods and procedures for conducting various laboratory tests.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after becoming obsolete or when replaced by a new card.</p> <p>9. <u>Laboratory Reports</u></p> <p>a. patient section - copies of clinical records and laboratory reports.</p> <p>b. other than patient section - original and copies of clinical record -- laboratory other than patients, i.e., blood donors.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a. Include with patients' medical records.</p> <p>NOTE: These copies may be retained for a longer period if considered necessary for other purposes, and destroyed when no longer needed.</p> <p>b. Destroy after 6 months.</p> <p>10. <u>Morgue Records</u></p> <p>Daily record of morgue refrigerator temperature, temperature charts, or graphs, weekly morgue</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>inspection reports, and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p>		
	<p>11. <u>Tissue Examination Records</u></p> <p>Reports of tissue examinations, pathological reports, paraffin blocks, and all clinical lab tests performed on inpatients as well as outpatients.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Include with patients' medical records folder and dispose of accordingly.</p>		
	<p>12. Laboratory work slips, worksheets, history slips or similar documents for recording dates used to complete record of examination giving name of patient, name of doctor, date and results of examination (except for examination of tissue and negative report of serologic test for diagnosis of syphilis).</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Transfer to the FRC when 2 years old. Destroy 4 years thereafter.</p>		
	<p>13. Accession sheet or register listing laboratory examinations made (except accession sheet or register listing serologic tests for diagnosis of syphilis).</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Transfer to the FRC when 2 years old. Destroy 4 years thereafter.</p>		
	<p>14. <u>Clinical Laboratory Services</u></p> <p>Files consist of interagency agreements for clinical services, for support services to field activities (health units) and agreements with other Federal agencies for special physical examinations.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent</p> <p>Transfer to the FRC 1 year after termination of agreement.</p> <p>Destroy 7 years thereafter.</p>		
15.	<p>Accession sheet or register listing serological tests for diagnosis of syphilis.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when 1 year old if no other medical record of patient, otherwise reports are to become a part of patient's record and disposed of accordingly.</p>		
16.	<p>Blood films - problem blood and routine blood films.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when 1 year old.</p>		
17.	<p>Routine bacteriology slides.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Do not send to the FRC. Destroy when report is written.</p>		
18.	<p>Cytology slides - showing and abnormality.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Do not send to the FRC. Destroy when 5 years old.</p>		
19.	<p>Cytology slides - showing no abnormality.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 18 months old. Do not send to the FRC.</p>		
20.	<p>Tissue Block</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when 20 years old. Do not sent to the FRC.</p> <p>21. Histopathology slide. 20 years</p> <p>22. Bone marrow biopsy. 20 years</p> <p>23. Record of worksheet of transfusion service. 6 years.</p> <p>24. Record of special investigations. 6 years (Nos. 17-24 DO NOT TRANSFER TO THE FRC.)</p> <p><u>F. Nursing</u></p> <p>1. <u>24 Hour Report File</u></p> <p>24-hour report of patient's condition and ward nursing unit activities.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 45 days.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Community Nursing Program File</u></p> <p>Copies of nursing care referral forms, copies of requests for community home nursing care and related files.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 30 days.</p> <p>3. <u>Medication Card File</u></p> <p>Cards indicating types of medicines ordered by physicians and used by nurses for reference in preparation, administration and recording of the medication.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after medicine is discontinued.</p> <p>4. <u>Nursing Plan File</u></p> <p>Nursing plan</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy old cards after information has been transcribed to a new card. Destroy current cards following re-admissions and pertinent information has been transcribed to the new cards.</p> <p>5. <u>Patient Count File</u></p> <p>Patient count forms used to identify closed ward patients at change of tours of duty. Forms indicate when patients depart and return to ward.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 30 days after form is filled or completed.</p> <p>6. <u>Procedure Card File</u></p> <p>Cards outlining care and treatment for certain diseases and conditions.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Disposition: Nonpermanent</u></p> <p>Destroy after being superceded by new procedure.</p> <p>7. <u>Fee - Basis Nurses File</u></p> <p>Copies of authorization and invoice for medical service, individual record of visiting staff, visit records, application for nurses, and estimated obligations.</p> <p>(NOTE: This is an informational copy of the official records maintained by Fiscal Division and/or Personnel Service.)</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 3 months after termination of service.</p> <p>8. <u>Information Data File</u></p> <p>Information data--nursing personnel--cards indicating tours of duty, assignments and related materials.</p> <p><u>Disposition: Non-permanent</u></p> <p>Upon separation or transfer of employee, forward to Personnel Division for filing in <del>official</del> personnel folder.</p> <p>9. <u>Nurses Qualification Card File</u></p> <p>Nurses qualification cards--cards indicating professional experience, education and personnel actions.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Upon separation or transfer of employee, forward to Personnel Division for filing in <del>official</del> personnel folder.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>G. <u>Pharmacy</u></p> <p>1. <u>Federal Supply Schedule</u></p> <p>Contains copies of drug contracts with each individual firm, changes thereto and price list.</p> <p>(NOTE: This is an informational copy of the official file.)</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 3 months after expiration or cancellation of contract.</p> <p>2. <u>Purchase Order File</u></p> <p>Consist of purchase orders received from supply on drugs ordered direct from contractors.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 3 years after date of order.</p> <p>3. <u>Pharmacy Requisition File</u></p> <p>Consists of orders filled and processed by pharmacy.</p> <p><u>Disposition</u> Nonpermanent</p> <p>Destroy when material is delivered and/or statistical or financial data have been abstracted.</p> <p>4. <u>Prescription Files (Outpatient)</u></p> <p>Consist of prescriptions filled and processed by pharmacy.</p> <p><u>Dispositon:</u> Nonpermanent</p> <p>Destroy after 5 years.</p>	66	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>5. <u>Outpatient Pharmacy Profile Files</u></p> <p>List medications ordered and dispensed for outpatients, laboratory and other clinical data.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 2 years inactivity (unless incorporated in patient's medical record).</p> <p>6. <u>Copies of Physician Orders (Inpatient)</u></p> <p>Consist of Carbon, NCR or other facsimilies of physician's orders for inpatients received by pharmacy for processing.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after information is posted to patient profile records and validated.</p> <p>7. <u>Inpatient Pharmacy Profile Files</u></p> <p>List medications ordered and dispensed for inpatients, intravenous solution therapy, laboratory test results, and other clinical data.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy one month after patient discharge.</p> <p>8. <u>Pharmacy Operations - Daily Record, Quarterly and Annual Summary</u></p> <p>Report pharmacy workload and drug cost data for statistical reporting purposes.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 2 years.</p>	66	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>9. <u>Prepackaged Pharmaceutical Item Control Records and Log</u></p> <p>Record control information on drugs prepackaged by pharmacy.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p> <p>10. <u>Pharmaceutical Bulk Compounding Worksheets and Log</u></p> <p>Records bulk compounding activity, including lot control data.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p> <p>11. <u>Control Record of Expiration Dated Drugs</u></p> <p>Lists dated drugs by month of expiration date.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy at end of month involved.</p> <p>12. <u>Non-Formulary Medication Request File</u></p> <p>Documents requests for medications to be considered for formulary admission or special purchase.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 6 months after item is added to Formulary or procured on one-time purchase basis.</p>	66	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>H. <u>Drugs</u></p> <p>1. <u>Alcohol and Schedule II Controlled Substances Order File and Register</u></p> <p>Includes USP alcohol, whiskey, wine and Schedule II Controlled Substances order copies and register (PH-NA numbered documents).</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p> <p>2. <u>Formula File</u></p> <p>Consists of manufacturing formula and record card.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when replaced by new formula or after becoming obsolete.</p> <p>3. <u>Controlled Substance and Alcohol Order and Receipt File</u></p> <p>Pharmacy orders for controlled substances and alcohol for nursing units and other hospital/clinic departments.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p> <p>a. <u>Controlled Substance and Alcohol Certificate of Disposition</u></p> <p>Perpetual inventory records indicating receipt and administration of controlled substances and alcohol at nursing units and other hospital/clinic departments.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>b. <u>Pharmacy Perpetual Inventory of Controlled Substances and Alcohol</u></p> <p>Records of receipts and disposition of controlled substances and alcohol to and from pharmacy inventories.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years.</p> <p>c. <u>Controlled Substances Biennial Inventory List</u></p> <p>DEA-required biennial inventory of all controlled substances in the facility as of the inventory date.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 5 years</p> <p>4. <u>Inventory File</u></p> <p>Records indicating items on hand by name, number of units of each item, price per unit, and total inventory value.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 3 years.</p> <p>5. <u>Investigational Drug File</u></p> <p>Records indicating name of drug, manufacturer or other source, amount and data received, expiration date, if any, lot or control number, data of authority to use, serial number and date of prescription dispensed, patient's name, amount dispensed, name of prescribing physician or dentist, and related material.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 3 years.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>6. <u>Standardization Recommendations File</u></p> <p>Lists recommendations for standardization of new drug requests, turn-in and/or receipt for property and services.</p>		

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	<p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 6 months or after drug is standardized.</p> <p>7. <u>Stock Location Index File</u></p> <p>Records indicating location of drug in pharmacy.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when drug is discontinued in stock.</p> <p>8. <u>Stock Record File</u></p> <p>Records on unposted drugs ordered and received indicating amount, price, purchase order number and contractor.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when drug is discontinued.</p> <p>I. <u>Physical Medicine and Rehabilitation Service (PM&amp;RS)</u></p> <p>1. <u>Activity Worksheet</u></p> <p>Records indicating recreation activity assignments, number of patients attending activities, determining monthly activities, number of volunteer workers for the month, and related material.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 30 days.</p> <p>2. <u>Clearance Record File</u></p> <p>Record of clearance for recreation and sports activities from staff physician for patient participation.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 6 months.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>3. <u>Equipment Charge - Out File</u></p> <p>Record of equipment charged out to patients during period of hospitalization.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after equipment is returned.</p> <p>4. <u>Motion Picture File</u></p> <p>35 mm. and 16 mm. film delivery order and schedules, shipping instructions, used to show coming play dates, records of films shown; inspections and certifications, and related material.</p> <p><u>Disposition:</u> Nonpermanent:</p> <p>Destroy after 1 year.</p> <p>5. <u>Phonograph Record Index</u></p> <p>Complete index of phonograph records in broadcasting station which are used for entertaining patients.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after records are placed or discontinued.</p> <p>6. <u>Radio Program File</u></p> <p>Daily radio log or equivalent and related papers.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p> <p>7. <u>Special Activity Program</u></p> <p>Records pertaining to golf program, birthday program, correspondence club, stamp club, writing contests, etc., and related material.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>8. <u>Patient's Index Card and Attendance Record</u></p> <p>Patient's index card and attendance records indicating patient's name, diagnosis, treatment and record of attendance.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 2 years after discharge of patient.</p> <p>9. <u>Patient Record Card File</u></p> <p>Cards indicating current patient treatment load in PMRS.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after discharge of patient.</p> <p>10. <u>Physical Medicine Rehabilitation Patient Folder</u></p> <p>Clinical record--anatomical figure, chest and shoulder examination, physical therapy, joint motion measurements, lower extremity amputee evaluation PM&amp;R Service, manual muscle evaluation, muscle and/or nerve evaluation--manual and electrical; trunk, lower and upper extremities and the face. Clinical record of: Physical medicine and rehabilitation reports, self care activities--functional evaluation, temperature--pulse--respiration and peripheral vascular test. Also included are physical medicine rehabilitation progress reports, therapy order sheets on Physical Medicine and Rehabilitation Service and other related papers and materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>This becomes part of the patient's medical record and will be disposed of accordingly.</p> <p>NOTE 1: All material will be combined into one folder upon completion of all PM&amp;R treatment and made a part of the patient's medical record.</p>		

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	<p>NOTE 2: Cases of unusual or exceptional nature may be retained by the Chief, Physical Medicine and Rehabilitation Service, for further study. However, the folders should be retained no longer than is absolutely necessary.</p> <p>J. <u>Prosthetic and Sensory Aids</u></p> <p>1. <u>Commercial Source File</u></p> <p>Copies of invoices</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 2 years.</p> <p>2. <u>Hearing Aid and Stump Stock Record and Request File</u></p> <p>a. Stump sock records, hearing aid repair and battery records or equivalent.</p> <p>b. Requests for stump socks, hearing aids and hearing aid batteries.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a and b - prosthetic and sensory aid requests and records of services are to be filed with patients medical record.</p> <p>3. <u>Record of Prosthetic Services</u></p> <p>Include all records of prosthetic services.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>File with patients medical record.</p> <p>4. <u>Treatment</u></p> <p><u>Orthopedic and Prosthetic Appliance Clinic</u></p> <p>Record, Prescription and Rating Sheet (Artificial</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Limbs), Narrative Report and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 90 days after eligibility is terminated - if not filed in the outpatient treatment folder as part of the patient's medical record.</p> <p>k. <u>Psychiatry, Neurology and Psychology</u></p> <p>1. <u>Clinical Psychology Folder</u></p> <p>Notes, psychological evaluations, recording sheets, psychological test material and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <ul style="list-style-type: none"><li>a. If patient's data is involved; files must go into patient's record and disposed of accordingly - otherwise destroy clinical psychology folders used in research projects after discharge of the patient, after 6 years of inactivity, and after completion of the research project.</li><li>b. Destroy clinical psychology folders not used in research projects after discharge of the patient and after 6 years of inactivity.</li></ul> <p>2. <u>Electroencephalograph Tracings</u></p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy 5 years after the diagnosis and determinations made therefrom have been completed and recorded on the electroencephalograph report and filed in the patient's medical records folder.</p> <p>3. <u>Mental Hygiene</u></p> <p>The contents of this records series include but are not limited to: detailed working notes of the clinic therapists; records of therapy sessions; psychological data based on psychological test books, protocols and other psychological data;</p>		

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	<p>trial visit notes; psychological evaluations; treatment and progress notes; neurological examinations; release of information; correspondence of all types; and copies of initial, periodic, and closing reports which are filed in the out-patient treatment folders.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>a. Destroy mental hygiene folders used in research projects after 6 years of inactivity and after completion of the research project except those files relating to treatment and progress notes and release patient's medical record.</p> <p>b. Dispose of by burning mental hygiene folders not used in research projects after 6 years of inactivity.</p> <p>4. <u>Psychology Test Data and Worksheet File</u></p> <p>Psychological test material, notes, worksheets and related documents.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy originals and copies after clinical psychologist examines the records and indicates they are not required for re-examinations, training and research purposes. All patient data must be filed with the patient's medical record.</p> <p>L. <u>Radiology Service</u></p> <p>1. <u>Inventory</u></p> <p>Stock control records showing, by size, the number of X-ray films received, used and current balance on hand.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year and after films have been accounted for.</p>		



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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Radiation Monitoring File</u></p> <p>Reports of findings, Test reports and analyses, Film badge reports, Protection surveys, Radiation exposure reports and reports of meter monitorings.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy employee records 1 year after separation or transfer. Destroy general subjective records after 5 years.</p> <p>3. <u>Radiation Protection Instruction File</u></p> <p>Includes protection rules, procedures and instructions.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when obsolete, rescinded or when replaced by current information.</p> <p>4. <u>Radium and Radon Shipments</u></p> <p>Shipment control records and related documents.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 2 years.</p> <p>5. <u>Patient Records</u></p> <p>Patient's records pertaining to X-Ray and nuclear medicine; copies of treatment course records, therapy summaries, progress notes, technical factors applied, record of nuclear Regulatory Commission (AFC) requirements for control of isotopes, and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>These files become a part of the patient's medical record and must be disposed of accordingly.</p>		

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	<p>6. <u>Patient Treatment Control File</u></p> <p>Tumor master records used as a pathological index to and summary of patients treated; or equivalent for the following type patients:</p> <p>"Active" -- for patients under active treatment or in the followup program.</p> <p>"Inactive" -- for those individuals no longer under treatment or in the followup program.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Files become a part of the patient's record.</p> <p>7. <u>X-Ray Alphabetical Index</u></p> <p>Cards used as cross-reference and locator to X-ray films.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when corresponding x-ray films are disposed of.</p> <p>8. <u>X-Ray Films</u></p> <p>Exposed x-ray films and copies of the interpretations when filed with the x-ray films.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy X-ray films 5 years after exposure except those showing active disease. (Destroy X-ray showing active disease after 5 continuous disease free years.)</p> <p>NOTE: Exposed X-ray films may be disposed of immediately which are unserviceable for the following reasons:</p> <ul style="list-style-type: none"><li>(a) faulty exposure or processing.</li><li>(b) cannot be clearly read from a diagnostic standpoint due to cloudiness, discoloration, breaking or general deterioration.</li></ul>		

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	<p>(c) cannot be clearly identified as to name and/or number of the individual X-rayed.</p> <p>9. <u>X-Ray Teaching Films</u></p> <p>Exposed X-ray films of special interest and those having exceptional teaching value.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 10 years, or when no longer of value for teaching and educational purposes, whichever is earlier.</p> <p>10. <u>X-Ray Pathological Index Cards</u></p> <p>Cards indexing special and interesting roentgenological entities.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when no longer needed for medical reference value or when card is replaced.</p> <p>11. <u>X-Ray Register</u></p> <p>Record of X-ray numbers assigned films used and type of examination.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 10 years after date of last entry.</p> <p>12. <u>Day Book File</u></p> <p>Register indicating for each illustration made, the illustration number and the name of patient, unit number, diagnosis, and name of requesting physician; or the subject of the illustration if other than a patient.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 30 days after last entry provided a new book has been started.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>13. <u>Lantern Slide</u></p> <p>Lantern slides of illustrations, specimens, autopsy materials, tissues, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when no longer of medical reference value.</p> <p>14. <u>Lantern Slide Charge-outs File</u></p> <p>Include files on charge-outs for lantern slides on loan.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when slide is returned to file.</p> <p>15. <u>Master Negative Lantern Slide Index</u></p> <p>Index cards used as an alphabetical finding medium to negative or lantern slides which are maintained in numerical order.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when related negative or lantern slide is disposed of.</p> <p>M. <u>Social Work Service</u></p> <p>NOTE: All files involving patient's treatment, progress notes, etc., must go into the patient's medical record folder and disposed of accordingly.</p> <p>1. <u>Patient Index</u></p> <p>File consists of data sheets showing name of patient, new or reopened status and date of closing. Also included are social service cards which are either in the active, inactive or no activity section.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>(a) Destroy data sheets 6 years after date of closing. (b) Transfer active cards to inactive</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>section when case is closed then destroy inactive cards 6 years after social work inactivity and after discharge of patient (NOTE: If case is reopened before the end of 6 years the information on the cards will be brought forward to the new card and the old card(s) disposed of immediately.) (c) Destroy no activity cards immediately upon discharge of patient.</p> <p>2. <u>Social Service Working Files</u></p> <p>Include copies of social work reports, working papers, treatment and progress notes, and other related papers.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when 2 years old or when purpose has been served whichever is sooner.</p> <p>3. <u>Social Work Files</u></p> <p>Include working papers regarding the case pertinent to Social Service including Social Service face sheet, Social Service exchange slips, chronological or process records in interviews, copies of social studies, summaries of Social Service activity and program notes correspondence relating to Social Service activity and outgoing correspondence originating in Social Work - Service, reports from other agencies, copies of Social Service Cards, and Social Work Assistant Data cards.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>(a) Transfer active folders to inactive sections when case is closed. (b) Destroy inactive folders 6 years after social work inactivity or after discharge of patient. (c) Destroy Social Service cards after case is closed and after preparation of necessary reports and summaries. (d) Social Work Assistant Data File destroy after 1 year.</p> <p>4. <u>Foster Home File</u></p> <p>Includes applications for participation in</p>		

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	<p>foster home care program. Correspondence to and from hospitals and foster homes.</p> <p><u>Disposition: Nonpermanent</u></p> <p>(a) Destroy applications 1 year after home withdraws from program. (b) Dispose of disapproved applications after 5 years.</p> <p>5. <u>Foster Home Control File</u></p> <p>Cards prepared for each patient placed in the program showing data and place of placement, special medication and other desired data.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 1 year after patient is no longer in the program.</p> <p>6. <u>Home Resource File</u></p> <p>Cards indicating the name and address of the home; type; status as to certification or licensing; method and frequency of evaluation, source of data, dates and by whom obtained; names of the patients entering the home, dates and monthly charges.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy 1 year after home withdraws from the program.</p> <p>N. <u>Quality Control and Central Supply Service</u></p> <p>1. <u>Central Service Requisition (PHS and IHS Hospitals) File</u></p> <p>a. Central Service requisitions or requests from PHS and IHS Hospital wards for Central Service supplies and other related materials.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 30 days.</p>		

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	<p>b. <u>Master Item List File</u></p> <p>Records indicating types of stock items maintained in Central Service and identification numbers for each type of item.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when replaced by new item list.</p> <p>c. <u>Sterilization Records</u></p> <p>Charts recording sterilization of items in Central Service.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 30 days.</p> <p>d. <u>Tray Lay Card File</u></p> <p>Cards indicating names and numbers of each Service Tray or set of items, the name and number of each item in the tray or set and photographs of each complete tray or set.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when replaced by new card and photograph or when the tray or set is discontinued in stock.</p> <p>e. <u>Equipment and Testing</u></p> <p>Testing reports of equipment and products and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 3 years, original and/or copies.</p> <p>f. <u>Specification File</u></p> <p>Include Federal Specifications as well as those from the private sector.</p>		

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	<p><u>Disposition: Nonpermanent</u></p> <p>Destroy 1 year after specifications becomes outdated.</p> <p>g. <u>Batch Production and Control Records</u></p> <p>Consists of all documents related to the Production and Quality Control of each batch of product produced at SSC.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Remove to Records Storage Area after 1 fiscal year and destroy after 5 years in the records storage area.</p> <p>h. <u>Reserve Sample File</u></p> <p>Consists of retention samples of all components and finished products.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 6 years in the reserve sample storage area.</p> <p>i. <u>Complaint File</u></p> <p>Consists of records of all complaints together with a record of the investigation of each complaint.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 6 years.</p> <p>j. <u>Laboratory Data Files</u></p> <p>Consists of data log books and assay reports.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy log books 6 years after date of last entry and assay reports after 6 years.</p>		



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	<p>k. <u>PHS Purchase Description Files</u></p> <p>Consists of current revisions of PHS purchase description covering items stocked by SSC. Files include historical data, previous revisions, and related information.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when item deleted from SSC stock.</p>		

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27 <del>30</del>	<p><u>BUILDING MAINTENANCE</u></p> <p>A. <u>Interior Decoration</u></p> <p>1. <u>Drapery Cleaning File</u></p> <p>Record of draperies cleaned by area, date, etc., and related material.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 6 months.</p> <p>2. <u>Drapery Specification File</u></p> <p>Record of drapery lengths, widths, lined or unlined, number of windows in rooms, locations, etc., and related materials.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after being replaced by new specifications.</p> <p>3. <u>Linen Inventory File</u></p> <p>Records indicating number of linens on hand by type and number of each item, and related material.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after being replaced by new quota information.</p> <p>4. <u>Linen Repair File</u></p> <p>Records pertaining to repair of linens by volume, area, etc., and related material.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p> <p>5. <u>Linen Replacement File</u></p> <p>Records indicating unserviceable linens for dis-</p>		

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	<p>card. Copies of requisitions for replacement of items after fair wear and tear, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 1 year.</p> <p>6. <u>Uniform and Equipment File</u></p> <p>Record of employees to whom lockers are assigned showing location by building, room and locker numbers also uniform and other related equipment.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after employee relinquishes property.</p> <p>7. <u>Interior Maintenance</u></p> <p>Copies of requests for painting, records of areas painted, walls washed, floors stripped, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy after 2 years.</p> <p>8. <u>Methods, Procedures and Techniques File</u></p> <p>Sanitation procedures of trash collection, methods and techniques for wall washing, floor waxing, etc., methods and procedures for cleaning and maintaining areas such as operating rooms, isolation wards, etc.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy immediately after being replaced by new methods, procedures or techniques.</p> <p>9. <u>Housekeeping Standards File</u></p> <p>Quality standards for cleaning areas, workrate standards by type of method and procedure, time studies of various methods of accomplishment, i.e., machine versus hand methods, etc.</p>		

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7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p><u>Disposition: Nonpermanent</u></p> <p>Destroy after being replace by new standards.</p> <p><b>B. <u>Utilities and Equipment</u></b></p> <p><b>1. <u>Inspection Reports, Tests and Laundry Machine Maintenance Records</u></b></p> <p>Inspection reports pertaining to: emergency lighting equipment, batteries, and charging equipment, refrigeration and air - conditioning plants, lubricating, inspecting cleaning and adjusting elevators, also included are inspection sheets on machine and/or equipment, laundry washer service tests for station laundries, laundry machines maintenance records tests for flame failure controls, thermostatic value inspection records, and other inspection reports and tests.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 1 year. Laundry Machines: Forward maintenance cards to receiving stations when equipment is transferred. When equipment is turned in as part payment on new equipment, sold or disposed of in <u>any</u> manner forward card to headquarters program Administrative Officer or the equivalent.</p> <p><b>2. <u>Operating Log File</u></b></p> <p>Include boiler treatments, boiler plants, air-conditioning plants, refrigeration plants, swimming pools, and other equipment and utility plant records:</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 1 year</p> <p><b>3. <u>Physical Record Card Files</u></b></p> <p>Boiler plant equipment, record electrical distribution and equipment, emergency standby light and power units, mechanical equipment for main generating plants, miscellaneous boiler plant equip-</p>		

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	<p>ment record cards, and continuation sheets, motor generator, transformer and maintenance records, information of hot water storage tanks, shop equipment, and other equipment and utility plant records.</p> <p><u>Disposition: Nonpermanent</u></p> <p>(a) Destroy cards that have been replaced by new cards (b) Destroy cards on equipment and utility plants that have been removed, sold or replaced.</p> <p>4. <u>Physical Record Information Files</u></p> <p>Related to record information of: air-conditioning plants and room coolers, refrigeration plants, sewage disposal, swimming pools, water supply and treatment, and other equipment.</p> <p><u>Disposition: Nonpermanent</u></p> <p>(a) Destroy records that have been replaced. (b) Destroy records on equipment and utility plants that have been removed, sold or replaced.</p> <p>5. <u>Recording Charts File</u></p> <p>Contains charts used to record and measure temperature, humidity, steam flow, efficiency of combustion, etc.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy after 1 year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
23	<p style="text-align: center;">PART II - NON-RECORD MATERIALS</p> <p>A. Materials preserved solely for purposes of reference, as follows: public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines bulletins, policy and procedure documents published within DHEW, by other Federal Agencies, by State local government and public activities.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when superseded and/or no longer needed for operations.</p> <p>B. Extra copies of documents preserved only for convenience of reference, such as:</p> <ol style="list-style-type: none"><li>1. Reading file copies of correspondence.</li><li>2. "Tickler," "follow-up," or "suspense" copies of correspondence.</li><li>3. Identical duplicate copies of all documents maintained in the same file.</li><li>4. Extra copies of printed or processed materials of which official copies have been retained for purposes of record.</li></ol> <p><u>Disposition:</u> Nonpermanent</p> <p>(1) Destroy when 1 year old. (2) Destroy when action in each case is completed. (3) Destroy each year when files are screened and purged. (4) Destroy each year when files are screened and purged. (5) Stocks of publications and processed documents preserved for supply purposes.</p> <p><u>Disposition:</u> Nonpermanent</p> <p>Destroy when superseded and/or no longer needed for operations.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>C. Privately purchased books and other publications and correspondence, and other materials pertaining to personal matters that have been kept in an office for convenience.</p> <p><u>Disposition: Nonpermanent</u></p> <p>The owner should take this material with him when he departs the office on a permanent basis, otherwise destroy when owner permanently departs.</p> <p>D. Materials that are not being preserved or are not appropriate for preservation because they have neither evidential or informational value, such as:</p> <ol style="list-style-type: none"> <li>1. Preliminary or intermediate drafts of letters, memoranda, reports, or other papers, and preliminary worksheets and informational papers that do not represent significant basic steps in the preparation of record copies of documents.</li> </ol> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when 1 year old.</p> <ol style="list-style-type: none"> <li>2. Letters of transmittal that do not add any information to that contained in the transmitted materials.</li> </ol> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when no longer needed, or in any event when 1 year old.</p> <ol style="list-style-type: none"> <li>3. Memoranda or other papers that do not serve as the basis for official actions, for example, notices of holidays, Red Cross or Combined Federal Campaign drives, and activities of Government associations or unions.</li> </ol> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when no longer needed, or in any event when 1 year old.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>4. Shorthand notes, including stenographic note-books and stenotype notebooks and stenotype tapes, that have been transcribed.</p> <p><u>Disposition: Nonpermanent</u></p> <p>Destroy when no longer needed, or in any event when 1 year old.</p> <p style="text-align: center;">CERTIFICATIONS OF APPROVAL:</p> <p>William H. Aspden, Jr. <i>William H. Aspden, Jr.</i>                      (Associate Administrator for Management) (Signature)</p> <p>Barbara C. Miller <i>Barbara C. Miller</i>                      (HSA Records Officer) (Signature)</p> <p>Carl Mann _____                      (PHS Records Officer) (Signature)</p>		