

SERIES 900

ASSISTANT SECRETARY OF DEFENSE (HEALTH AFFAIRS)

900. HEALTH AFFAIRS (HA)

EXCEPT WHERE OTHERWISE NOTED, THESE FILES WERE APPROVED UNDER NATIONAL ARCHIVES JOB NO. NC1-330-77-5.

Health Affairs Files. This chapter consists of files necessary to administer the health affairs policy function of the OSD. Included is advice and coordination on all health matters in the Department of Defense.

Unless otherwise indicated, all Health Affairs files of a permanent nature shall be transferred to the National Archives when 30 years old. Files may be further divided depending upon volume by the use of a decimal suffix.

901. RESERVED (103., Common Mission Files.)

901-01. Defense Medical Data Dictionary (DMDD) (NC1-330-92-11). This automated database is maintained by the Department of Defense (Health Affairs). The DMDD is designed to collect, catalog, analyze and standardize terminology, content, and format of data elements used in operational and proposed medical information systems of the Department of Defense. The DMDD includes the physical and logical data element characteristics; source data element and file information; data element definition and other documentation; status of data element in the standardization process; official data element names; and data element value tables.

Disposition: Permanent. Transfer copies of the electronic files and documentation to the National Archives in September 1992. Thereafter, transfer on an annual basis. All transfers should be made in accordance with the standards set forth in 36 CFR 1228.

902. DRUG AND ALCOHOL ABUSE

902-01. Prevention and Identification.

902-01.1. Documents on policy guidance on the prevention and identification of drug and alcohol abuse.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-01.2. Administrative documents that prescribe procedures to determine frequency of testing and identification of drug and alcohol abuse personnel subject to testing.

Disposition: Destroy when superseded by new technology or improved procedures.

902-02. Alcohol Abuse. Policy matters on the alcohol abuse treatment programs prescribing procedures to be used and guidelines in the administration and discipline of personnel with alcohol problems.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-03. Treatment and Rehabilitation

902-03.1. Policy on alcohol or drug treatment that prescribes the type of action to be undertaken for treatment, the rehabilitation procedures, and what disposition is to be made of those who complete the program or drop out. These are policy matters and do not include case files.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

902-03.2. Statistics on the number of military personnel undergoing treatment, or re-treatment and those separated or returned to duty. Excludes raw statistical data included in compiled studies.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

902-03.3. Periodic evaluations on a "when required" basis consisting of documents that measure the success and effectiveness of the program.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

902-04. Education and Training. Documents that develop and implement policy for use in education and training programs used by the Armed Forces. It does not include individual training records but does include evaluations of the effectiveness of the current policy.

Disposition: a. Retire policy matters to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Evaluations are permanent. Retire to the WNRC when obsolete or superseded.

903. RESOURCE ANALYSIS

903-01. Facilities and Material. Development, coordination, and monitoring of DoD medical facilities and material policies, plans, and programs. Policies and guidelines on planning and space standards for military healthcare facilities. Review and coordination of plans and programs of FEMA regarding medical recommendations on proposed legislation about facilities or material.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

903-02. Health Manpower. Directives that establish the military requirements for health personnel. These are of a nature that identify the critical medical and dental health categories; designate those entitled to continuation pay; and authorize strengths in grade for the Medical and Dental Officers Corps. Preliminary to the issue of such directives would be documentation consisting of studies and analyses that indicate the necessity for change. Policy directives on the utilization and medical education and training of health specialists. An example would be internship program policy and a determination of obligated service time for those who receive special training. Another would include documents proposing legislation affecting health programs such as bonus money to stimulate recruitment and retention.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

903-03. Cost and Budget. Documents on budget requirements for health activities to be incorporated in appropriate budgets and plans. Cost-benefit studies of possible cross-savings, consolidations, or disestablishment of health facilities.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded.

904. PROGRAM STATISTICS

904-01. Program Statistics. Analyses of medical care case load reports provided by the Military Departments, the correlation with manpower reports on the military and dependent population in various defense communities in order to determine the type medical facility needed to deliver the required healthcare. The analyses of reports from the Military Departments on the incidence of various diseases; the number of recruits rejected for health reasons and similar data of medical interest.

Disposition: Permanent. Retire to the WNRC when 5 years old.

904-02. Data Systems

904-02.1. Documents describing medical data system requirements to the programming and operating facility.

904-02.2. User manuals of operable data systems.

904-02.3. Agreements for data systems support.

Disposition: Destroy 2 years after system discontinued.

904-02.4. Analyses and studies of data system requirements for health affairs.

Disposition: Destroy 1 year after superseded.

904-03. Defense Enrollment Eligibility Reporting System (DEERS) Enrollment Data Base. Duplicate copies of DD Form 1172, "Application for Uniformed Services Identification Card - DEERS Enrollment," submitted by the Military Services to the DEERS Support Office, Monterey, California, and used to create a database to provide a complete tracking and eligibility history for every eligible and past-eligible beneficiary of the DEERS. These documents exist in hardcopy format initially and are then written onto 12-inch optical disks after scanning, registration in the system, downloading, and quality control testing. (NC1-330-90-5)

Disposition: a. Hardcopy version of DD Form 1172: Destroy once written to optical disk. b. Optical disks: Destroy primary and backup copies after 5 years.

904-04. Defense Biometric Identification Data System (DBIDS) Master File Information system containing personal data about Armed Forces personnel and their family members both active duty and retired, DoD and non-DoD employees and dependents, U.S. residents abroad, foreign nationals, and corporate employees and dependents who have access to U.S. installations in the continental U.S. and overseas. Included are:

- Finger prints, photographs, iris scans, hand geometry template, card issue date and expiration.
- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver's license data.
- Data on government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

904-05. Installation Management Reports. User generated and printable reports from DBIDS such as:

- Name, grade, Social Security Number, status, date and place of birth, weight, height, eye color, hair color, gender, passport number, country of citizenship, geographic

and electronic home and work addresses and telephone numbers, marital status, index fingerprints and photographs, and identification card issue and expiration dates.

- Vehicle information such as manufacturer, model year, color and vehicle type, license plate type and number, decal number, current registration, automobile insurance data, and driver's license data.
- Government-issued and personal weapons such as type; serial number; manufacturer; caliber; firearm registration date; and storage location data to include unit, room, building, and phone number.

Disposition: PENDING APPROVAL. Retain in CFA until disposition instructions have been approved by NARA.

905. UTILITY REVIEWS AND QUALITY ASSURANCE

905-01. Utility Review. Studies and analyses of areas of potential innovation and assessments of value to productivity-enhancing technology with a view towards the improvement of health services in the Department of Defense.

Disposition: Permanent. Retire to the WNRC when 5 years old.

905-02. Quality Assurance Studies and Analyses of Healthcare Quality.

905-02.1. Standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

905-02.2. Studies and evaluations on a "when required" basis, not resulting in issuance of new standards.

Disposition: Destroy when 5 years old.

905-02.3. Studies and analyses that result in issuance of new standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

906. TRICARE RECORDS

906-01. Policy

906-01.1. These documents are generally in the form of instructions to the DoD Components on the administration of the TRICARE (formerly Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program). They establish such policy as eligibility under the program for active duty, retired, and dependents of the military; guidance on obtaining contract support; the creation of an accounting system to

process claims and related matters.

Disposition: Permanent. Retire to Denver Federal Records Center (FRC) when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

906-01.2. Studies and reviews of developments and trends in the health industry that may impact on TRICARE.

Disposition: Destroy when 5 years old.

906-01.3. Analyses of TRICARE costs for various types of treatment to determine equitable pricing structure.

Disposition: Destroy when 5 years old. This is a continuous, evolutionary process.

906-01.4. Analyses and preparation of the TRICARE budget.

Disposition: Destroy when 5 years old. This is input to the OSD budget process.

906-02. Liaison Activities. Coordination between industry organizations and professional associations; with healthcare programs in the uniformed and other health agencies.

Disposition: Destroy when 10 years old.

907. PLANNING AND POLICY

907-01. Policy Analysis. These files consist of studies made of the continuing need for health policies that are proposed or presently in the forms of Directives or Instructions. These files also coordinate the proposals of other offices on the need for healthcare legislation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

907-02. Mobilization Plans. Coordination of medical aspects of emergency war and mobilization planning. Documents on liaison with FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

907-03. Productivity Planning. Studies and analyses whose purposes is to optimize efficiency in the healthcare program. The development of uniform standards to measure productivity. Some examples are the exploration of shared resources and the use of screening by a technician to save the doctor's time.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

908. DENTAL AFFAIRS

908-01. Policy

908-01.1. The development, coordination, and issuance of directives and guidelines on dental policy for the Department of Defense. This would include such policy matters as the limitation of dental care for military dependents, the joint utilization of personnel and facilities for dental care.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

908-01.2. The estimation of an equitable continuation pay for dental officers.

Disposition: Destroy 2 years after new estimates for legislative changes proposed.

908-01.3. Monitoring of the Dental Student Program.

Disposition: Destroy when 3 years old.

908-01.4. The establishment of standards for dental classification and specifications for conducting dental examinations.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

909. MEDICAL AFFAIRS.

Development, coordination, and directives on the medical aspects of DoD programs (clinical and preventive medicine for the Armed Forces). Preparation of DoD Directives and Instructions on medical services programs in the Department of Defense. Coordination of Federal medical professional activities.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910. MEDICAL READINESS (NC1-330-80-12)

910-01. General

910-01.1. Speeches. Copies of speeches made by assigned personnel or by others on medical readiness.

Disposition: Destroy when no longer required for reference. The Public Affairs office has the record copies of speeches.

910-01.2. Committee and Conference Records. Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, inter-Departmental, and international committees in which OSD participates as well as committees within principal components of the Department of Defense. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings; and related documents.

Disposition: a. Office of the committee chairman or secretariat, whichever is designated office of record: permanent. Cut off when no longer needed for current operations; retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for committee-type documents maintained in accordance with series 103-06. b. Offices of other committee members, destroy when no longer needed for current operations.

910-02. Armed Services Medical Regulatory Office (ASMRO). Records. Copies of capability reports and similar information from the ASMRO.

Disposition: Destroy when no longer required for reference, as authorized for records maintained in accordance with series 103-08.

910-03. Audits

910-03.1. General Accounting Audits. Case files of audits of medical facilities or related to health affairs. The DoD Inspector General is the POC for internal and GAO auditing activity.

Disposition: Apply disposition schedule from Section 103-10.

910-03.2. Defense Audit Service Audits Case files of audits of medical facilities or related to health affairs.

910-04. National Disaster Medical System/DoD-VA Contingency System

910-04.1. Agreements on concepts training, and other considerations relevant to a contingency plan for the use of non-Federal hospital facilities.

Disposition: Destroy 6 years after superseded, cancellation, or termination of the agreement, as appropriate for agreements maintained in accordance with series 103-04.

910-04.2. Special study reports.

Disposition: a. Reports of task groups are permanent. Retire to the WNRC when no longer needed for reference. b. Reference and non-record materials accumulated in the preparation of the study, destroy when no longer required for reference, as prescribed for documents maintained in accordance with series 102-18.

910-04.3. Documents on Directorate meetings.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

910-04.4. Documents on funding and reimbursement.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as prescribed for documents maintained in accordance with series 103-03.3.

910-04.5. Documents on operations.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-05. Exercises. Documents on exercises between elements of the Department of Defense and other Federal Agencies or organizations.

Disposition: Destroy when no longer required for reference.

910-06. International Affairs

910-06.1. Documents on DoD relationship with Allied countries on medical readiness matters.

Disposition: Permanent. USD(P) offices retain the record copy of any agreements with foreign countries. The OASD(HA) retains any records created on medical readiness such as evaluations and other analyses. Retire to the WNRC when no longer required for reference.

910-06.2. Reference documents on medical facilities and readiness in Allied countries such as Defense Intelligence Agency (DIA) capability studies.

Disposition: Destroy when no longer required for reference.

910-07. Chairman of the Joint Chiefs of Staff and Joint Staff Matters

910-07.1. Copies of documents relating to medical readiness. Copies of capability assessments, readiness reports, and similar material.

Disposition: Destroy when no longer required for reference.

910-07.2. Documents created for readiness evaluation such as analyses of medical readiness; recommendations of a policy nature.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

910-08. Military Medical Facilities. Reference documents on survey of resources of military medical facilities.

Disposition: Destroy when no longer required for reference, as prescribed for documents maintained in accordance with series 103-08.3.

910-09. Mobilization Planning

910-09.1. Documents on the medical aspects of emergency war and mobilization planning. Documents on liaison with other activities such as the FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-09.2. Reference material.

Disposition: Destroy when no longer needed for reference.

910-10. Medical Resource Requirements

910-10.1. Studies and forecasts of wartime medical resource requirements obtained through modeling techniques.

Disposition. Permanent. Retire to the WNRC when no longer needed for current business.

910-10.2. Reference material

Disposition: Destroy when no longer needed.

910-10.3. Studies and forecasts by other Agencies.

Disposition: Destroy when no longer required for reference (904-02.).

910-11. Nuclear, Biological, and Chemical Warfare

910-11.1. Evaluations and policies on nuclear, biological, and chemical warfare related to medical readiness.

Disposition: Permanent. Retire to the WNRC when no superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

910-11.2. Reference material on nuclear, biological, and chemical warfare on medical readiness.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for reference papers maintained in accordance with series 103-08.3.

910-12. Planning, Programming, Budgeting System

910-12.1. Background papers on medical readiness budget matters.

Disposition: Permanent. Retire to the WNRC when no longer needed for reference.

910-12.2. Reference documents on the budget system, including policy guidance and copies of POM.

Disposition: Destroy when no longer required for reference.

910-13. Reserve Affairs

910-13.1. Copies of policy documents on the readiness posture of the Reserve forces.

Disposition: Destroy when no longer required for reference.

910-13.2. Studies, reports, and analyses of Reserve posture.

Disposition: Permanent. Reviews and analyses of a formal nature. Retire to the WNRC when no longer required for reference.

910-14. Wartime Skills Training

910-14.1. Training policy on medical readiness training.

Disposition: Permanent. Retire to the WNRC when superseded, obsolete, or no longer required for reference, as prescribed for policy-type documents maintained in accordance with series 103-01. retire to the WRNC when no longer required for reference.

910-14.2. Training policy reference material.

Disposition: Destroy when superseded, obsolete, or no longer required for reference, as

prescribed for documents maintained in accordance with series 103-08.3. See 903-02. for record material.

910-14.3. General File

910-14.3.1. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program.

910-14.3.2. Background and work papers.

Disposition: Destroy when 3 years old.

910-14.4. Individual Training. Documents on the availability of training and participation in training programs sponsored by other Government Agencies or non-Government institutions.

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

911. TRICARE FILES

911-01. TRICARE Contractor Claims Records (NC1-330-92-5). These files consist of any record, whether paper copy, or electronic media, acquired or used by the fiscal intermediary and/or contractor in the development and processing of TRICARE CHAMPVA claims. These records include but are not limited to: claims (TRICARE claims or other forms approved by TRICARE) receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.) authorization forms; nonavailability statements; certifications of eligibility; double coverage information; completed third party liability (guardianship); peer reviews and other correspondence that support payments to beneficiaries, physicians, and other suppliers of service under TRICARE.

911-01.1. Paper records that are NOT microfilmed.

Disposition: Close out at end of the calendar year in which received; hold 1 additional year; and transfer to the FRC. The FRC shall destroy after an additional 5 years retention.

911-01.2. Paper records that have been microfilmed.

Disposition: Destroy paper upon verification of microfilm, or as directed by TRICARE.

911-01.3. Microform and/or Electronic Media.

Disposition: Close out at end of the calendar year in which created; hold on-site 6 additional years.

911-02. TRICARE Benefit Check Records (NC1-330-77-16). These files consist of paid checks that contractors receive from banks covering amounts paid to beneficiaries and/or sponsors, physicians, and other suppliers of service under the TRICARE program. Also included are check vouchers and canceled or voided checks resulting from non-receipt, loss, theft, or non-delivery where the beneficiary and/or sponsor cannot be reached.

Disposition: Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC shall destroy after an additional 5 years retention.

911-03. Explanation of TRICARE Benefit Records (NC1-330-92-5). These files consist of explanation of TRICARE benefit notices TRICARE Explanation of Benefits (TEOB) used to advise beneficiaries and/or sponsors about TRICARE claims. Included are forms that are developed locally by contractors regarding explanation of TRICARE benefits.

911-03.1. Paper records that are NOT microfilmed.

Disposition: Close out at end of the calendar year in which issued; hold 1 additional year; transfer to the FRC; destroy after 5 years.

911-03.2. Paper records that have been microfilmed.

Disposition: Destroy upon verification of microfilm, or as directed by TRICARE.

911-03.3. Microform and/or Electronic Media.

Disposition: Close out at the end of the calendar year in which created; hold on-site 6 additional years.

911-04. Appeals and Hearings Case Files - TRICARE Program (NC1-330-86-1). These files accumulate when a beneficiary and/or sponsor, physician, or supplier of service is dissatisfied with the contractor's determination denying a request for payment, or with the amount of the payment, or when the individual believes that the request for payment is not being acted upon with reasonable promptness. Included are copies of the claimants' request for review, together with relevant written statements or evidence, notices or review decision, requests for a hearing to protest adverse decisions, hearing proceedings, hearing officers to protest adverse decisions, hearing proceedings, hearing officers' final decisions, and other papers resulting from the appeals process.

Disposition: Place in inactive file upon final action on the case. Close out inactive file at the end of the calendar year in which action was taken, hold 1 additional year, and retire to the FRC. Destroy after 5 years' retention in the FRC.

911-05. Contractor Subcontractor Files. These files consist of copies of contractor agreements with subcontractors, leases for building space, equipment, and consulting and other services. Included are TRICARE approvals, amendments, and similar papers.

Disposition: Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC shall destroy after an additional 5 years retention.

911-06. TRICARE Provider Authorization File (NC1-330-81-8).

911-06.1. Certification of Institutional Providers of Healthcare Cases Files. These files consist of certification of institutional providers of healthcare as authorized TRICARE providers that meet all applicable provisions of law and regulation. The files include: TRICARE forms, correspondence, and related documents certifying that each provider (institutional entity that provides medical services or supplies on an outpatient or inpatient basis) meets the criteria in the TRICARE Regulation, 32 CFR part 199. They also include insure compliance with TRICARE standards, investigation of complaints, termination and reinstatement of providers, and assessment of the operational effectiveness of the provider certification program.

Disposition: Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which final action was taken, hold for 2 additional years, and retire to the TRICARE Records Holding Area (RHA). Destroy after 3 years retention in the RHA.

911-06.2. Health Facilities Registry File. This file consists of a computer printout registry of TRICARE-approved institutional providers of healthcare. The file includes the following categories of providers: Residential Treatment Centers, Specialized Treatment Facilities, and Program for the Handicapped. (The registry is compiled from data contained in file 911-06.1., above.)

Disposition: Destroy when superseded by a new registry.

911-07. TRICARE Recoupment Files (NC1-330-92-5). These files consist of all documents used to develop and execute recoupment cases at the contractor and TRICARE level. The files include: copies of TRICARE claim forms, correspondence and related documents, Explanations of Benefits, checks, investigative reports, court documents and other documents required to collect debts owed the Government. Information from these files may be given to consumer credit agencies.

Disposition: Place in inactive file upon completion of the final action, cut off inactive

file at the end of the calendar or fiscal year in which final action was taken, hold 1 year, transfer to the FRC, destroy after 5 years.

911-08. Fraud and Abuse File (NC1-330-86-2). These files consist of control forms, background papers, development records, external agencies reports/letters/investigative records, contractor products of processing, Utilization Review and Medical Analysis papers, and other documents required to process fraud and abuse cases.

Disposition: Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which the final action was taken, hold 1 year, and transfer to the FRC. The FRC shall hold for an additional 5 years.

911-09. TRICARE Litigation Files. These files consist of TRICARE copies of documents that are forwarded to the Department of Justice for litigation cases in which TRICARE is party.

Disposition: Place in inactive file upon finalization of the case, cut off inactive file at end of the calendar year in which final action taken, hold 1 year, transfer to FRC. The FRC shall hold for an additional 5 years.

911-10. TRICARE Legal Opinion Files. These files consist of records from various legal files which are maintained for legal opinion purposes only.

Disposition: Destroy when no longer required for reference.

911-11. TRICARE Medical Care Grievance Case Files (NC1-330-94-1). These files consist of beneficiary's written complaints of a TRICARE provider, healthcare finder, or other contractor or subcontractor personnel to furnish the level or quality of care and/or service to which the beneficiary may believe they are entitled. This category includes the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of the corrective action taken.

Disposition: Cut off at the end of the CY in which case is closed. Hold in the CFA 1 additional year and retire to FRC. Destroy after 5 years.

912. UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES (USUHS) STUDENT AND ACADEMIC RECORD FILES (NC1-330-88-3)

912-01. Registrar's Student Promotions Committee (SPC) Files. Originals of proceedings of SPC on proficiency, deficiency, graduation, deceleration and/or disenrollment of medical students and other matters referred to the SPC. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon graduation, transfer, withdrawal, or death (GTWD) of a student and incorporate in 912-02., below (NC1-330-88-3, Item 1).

912-02. Registrar's Academic and Training Progress Files. Individual case files of medical student training including student's academic credit transcripts that list grades and credit hours for each class; results from medical board tests; teacher evaluations with final grade in each subject and/or reason for noncompliance (SPC correspondence, if applicable); correspondence regarding State licensure certification procedures or personal requests for academic transcripts and records related to individual training projects. This file also includes records retired there from 912-01. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy 50 years after GTWD (NC1-330-88-3, Item 2).

912-03. Continuing Nursing Education Program Records. Individual nursing program records containing documentation required for accreditation by the American Nurses Credentialing Center's Commission of Accreditation.

Disposition: Cut off annually (CY), hold in the CFA 5 years, destroy 5 years after cut off (NI-330-98-2, Item 1).

912-03.1. Electronic versions of records created by the electronic mail and word applications.

Disposition: Delete when file copy is generated or when no longer required for reference or updating.

912-04. Matriculant Graduate School Records. Individual student records containing required documents for application/selection/completion of program. Each record also contains records on education, indicating subject studies, number of quarter credit hours, final grade in each subject, and/or reason for non-completion of the course. Also includes other related documents required by college/university accrediting organizations. This file contains information protected under the Privacy Act of 1974 (WUSU05).

Disposition: Cut off upon GTWD of student; hold in the CFA 5 years; retire to the WNRC; destroy 50 years after GTWD (NC1-330-91-2, Item 4).

912-05. Nonmatriculate Records Files. Application records of medical and graduate students who were selected to attend USUHS but did not actually matriculate and records of applicants who did not successfully meet all entrance requirements and for those who chose to withdraw during the application process (WUSU04).

Disposition: Cut off at end of school year (May); destroy in the CFA 3 years after student's nonmatriculate date (NC1-330-88-3, Item 5).

912-06. Continuing Medical Education Committee (CMEC) Files. Originals of proceedings of CMEC regarding all matters relating to establishment of USUHS-sponsored CMEC programs; other materials referred to the CMEC. This file contains no policy material (NC1-330-88-3).

Disposition: Cut off annually (CY), hold in the CFA 6 years and retire to WNRC; Destroy after 50 years.

912-07. Continuing Medical Education Program Records. Individual CME Program records containing documentation required for accreditation by the Accrediting Council for Continuing Medical Education (ACCME), the American Nurses Credentialing Center's Commission of Accreditation, or other CME accrediting body.

Disposition: Cut off annually (CY), hold in the CFA 6 years, destroy 6 years after cut off (NI-330-98-2, Item 2).

912-07.1. Electronic versions of records created by the electronic mail and word processing applications.

Disposition. Delete when file copy is generated or when no longer required for reference or updating.

912-08. Matriculant Admissions Files for Medical School. Contains letters of application, letters of recommendation, and general correspondence. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy 50 years after GTWD.

912-09. Student Exam Files. Arranged by class and include copies of examination booklets, answer sheets, testing materials, correspondence, and other documentation pertaining to the administration and control of student testing (NC1-330-91-2).

Disposition: Destroy when superseded or when no longer needed.

912-10. Teaching and Coursework Files. Includes instructional materials developed by the university teaching faculty for both the four-year Medical Education and Graduate Education programs. Maintained by teaching departments and arranged by course catalog number or subject.

912-10.1. Syllabuses, course outlines, handouts, textbooks, manuals, and other instructional materials and teaching aids, to include reprints of published medical literature used in the classroom.

Disposition: a. Uniquely relevant military courses or curriculum: permanent. Cut off upon revision or discontinuance. Retire to WNRC 5 years after cut off; transfer to

NARA 25 years after cut off. b. Regular medical school or graduate school courses: update periodically and destroy when no longer need for reference.

912-10.2. Course announcements; academic calendars consisting of course rotation schedules for 1st through 4th year students or graduate school equivalent; general correspondence, reports, agreements, authorizations, reviews, plans, objectives and other types of records relating to the development, implementation, and administration of the university's teaching program; lecture notes.

Disposition: Destroy when no longer needed.

912-11. Instructor's Individual Medical Student Record Files. These are files kept for the convenience of the teaching staff which consist of materials duplicated in or not appropriate for inclusion in the Academic and Training Progress Case Files, 912-02., or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student rotation assignments, elective assignments, student evaluations, clinical clerkships. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at the end of each academic year, destroy or carry forward contents, as appropriate; upon GTWD of student, destroy or transfer to the registrar's files, as appropriate.

912-12. Instructor's Individual Graduate School Record Files. These are files kept for the convenience of the teaching staff, which consist of materials duplicated in or not appropriate for inclusion in the Matriculant Graduate School Record Files, 912-04., or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student assignments, elective assignments, student evaluations, or other related records. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at end of each of each academic year, destroy or carry forward the contents, as appropriate. Destroy when no longer needed.

912-13. Student Theses and Dissertations Files. Copies of master's theses and doctoral dissertations submitted as requirements for award of an advanced degree in the basic medical sciences. Copies are submitted by each student as follows: one to the university library; one to the Department library; one to the Office of Graduate Education.

Disposition: Office of Graduate Education: permanent. Hold in the CFA for 10 years after date of publication and retire to the WNRC; retire to the NARA after 25 years.

912-14. Removed.

913. USUHS FACULTY FILES

Use for those files maintained by individual faculty that are usually reference in nature and described elsewhere in this schedule.

913-01. Outside Affiliations. These are files consisting of information pertaining to outside professional organizations with which faculty members are affiliated as officers, fellows or participants, and may consist of correspondence, agendas, minutes of meetings, newsletters, reports, or other pertinent materials. They are maintained by or for individual faculty members for ease of reference. Care should be exercised to ensure that information maintained in this file is pertinent to faculty members' USUHS appointment. Affiliations may include but are not limited to such organizations as the American College of Cardiology, American Society for Clinical Investigation, American Federation for Clinical Research, American College of Physicians, Association of American Medical Colleges, Association of American Physicians, Association of Program Directors in Internal Medicine, and American Heart Association.

Disposition: Review periodically and destroy material that is no longer needed or appropriate for continued inclusion.

913-02. Medical and Scientific Journal Publications. These files consist of manuscripts, articles and abstracts written by faculty members in connection with their work at the university for publication in various medical journals such as American Journal of Cardiology, Medical Times, Internal Medicine, or Family Physician. May contain both published articles and original manuscripts. Arranged by author's name and/or division. May also include papers reviewed by USUHS staff.

Disposition: Review periodically and destroy when no longer required for reference purposes.

914. USUHS BIOMEDICAL RESEARCH FILES

These files include records related to the planning, development, and oversight of specific projects and programs of biomedical research performed by USUHS scientists or contractors; experimental, observational and control data; and reports, articles, and data sets.

914-01. Experimental and Statistical Data Files. These files consist of logs, notebooks, cards, forms or other media on which observations and data are recorded; records on patients or volunteers; interviews, questionnaires, examinations, or lab tests, including machine readings and data from slides, specimens or cultures; copies of abstracts of non-clinical records on individuals such as birth and death certificates; records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, punch cards, computer output, tabulations, diagrams or drawings; and intermediate compilations or analyses and

progress reports with feeder reports and background material.

Disposition: a. End products such as Progress Reports of findings and conclusions: permanent. cut off when project is concluded; retire to the WNRC after 5 years; transfer to the NARA 20 years after cut off. b. Destroy all other materials when no longer required for research or reference purposes.

NOTE: a. Those experiments involving human subjects and/or deemed to be of historical significance should be reappraised on an individual basis for permanent retention. Such experiments might deal with a cure of a disease, a major scientific discovery, a major health program, or other event generating great media, public, or historic interest. Notify NARA so that an analysis and appraisal of these experiments can be conducted and appropriate disposition authorized. b. Files created in the course of research undertaken at the request of non-DoD agencies, e.g., the NIH, are not covered by this schedule, must be clearly identified, and must be kept separate from defense-related work.

915. USUHS INTRA- AND EXTRAMURAL RESEARCH PROTOCOL AND GRANT ADMINISTRATION FILES

This section applies to protocols and grants awarded to the USUHS or the Henry M. Jackson Foundation for the Advancement of Military Medicine (HMJ), which are maintained by the Research Administration Office.

915-01. Research Protocols and Grants (NI-330-98-3). These files contain the official copy of the protocol or grant describing the nature of the proposed research, methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Files are arranged by investigator's name and Research Administration control number. Files may be maintained in the following status categories:

915-01.1. Pending - Waiting approval and/or disapproval and action by grantor.

915-01.2. Active - Currently in an approved and/or funded status having passed all stages of review.

915-01.3. Historical - Consist of disapproved, unfunded, and withdrawn applications and include total application, summary of review actions, and notification that no award shall be made. Also consist of previously active grants that have expired or terminated.

Funded Grants and Awards Case Files. These files consist of individual case folders containing the total application, summary of review actions, award notices, progress reports, financial records, audit records, close-out documents and other

supporting and related papers maintained as an identifiable entity. They include research project grants, fellowships, training grants, and similar types of grants and awards.

Unfunded Grants or Awards. These files consist of disapproved, withdrawn and non-funded grant applications and include the total application, summary of review actions, and notification that no award shall be made (WUSU09).

Disposition: a. Cut off on close-out or expiration of protocol/grant or disapproval of award; hold in the CFA for 1 year after cut off, retire to the WNRC, destroy 6 years and 3 months after cut off. NOTE: Those projects deemed to have historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with cure of a disease, a major scientific discovery, a major health program or other event generating great media, public, or historic interest. Notify the NARA so that an analysis and appraisal of these projects can be conducted and appropriate disposition authorized. b. RECINDED. c. RECINDED.

915-01.4. Electronic versions of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer required for reference or updating.

915-02. Grant Control Files. Indexes, registers, logs or other records relating to control of assigning numbers or identifying project applications and grants.

Disposition: Destroy when superseded or obsolete (GRS 3, Item 14. Electronic format (GRS 20, Item 3 (b) (1); GRS 3, Item 14).

915-03. Grant Administration Files. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Disposition: Destroy when 2 years old. GRS 3, Item 14

916. USUHS AUTOMATED DATABASE FILES

This section is reserved exclusively for electronic databases created specifically to facilitate data production requirements unique to the USUHS administrative support programs.

916-01. College and University Financial System (CUFS). This database is maintained by the CUFS Project Office System Manager and provides end users logistical, contracting, and financial management information such as payroll, fund status, order and requisition tracking, and purchase and requisition order tables. Hard copy reports are generated as scheduled by users on a daily, weekly, biweekly, monthly, quarterly, annual, or as-required basis. System backups are performed on a monthly and

annual basis on magnetic tape or other storage media. This file contains information protected by the Privacy Act of 1974 (WUSU02, WUSU17 and WUSU18).

Disposition: Monthly backup files are scratched after 3 years; annual backups after 6 years. Hard copy output is incorporated into user files and is disposed of according to the appropriate subject series descriptions found elsewhere in this Instruction.

916-02. Automated Faculty Curriculum Vitae Files. This database is maintained by the Civilian Personnel Directorate and includes fields describing basic biographical and professional-qualifications data on academic faculty members. Hard copy output is furnished users upon request.

Disposition: Delete individual entries when faculty appointment is terminated. Delete file when system is superseded. (For disposition of non-electronic files, 922-02.)

917. USUHS DEPARTMENT OF LABORATORY ANIMAL MEDICINE (LAM)

This series consists of files pertaining to the operation of the LAM that are not described elsewhere in this Instruction.

917-01. Animal Health Records (NI-330-95-4). These consist of healthcare records for all in-house animal populations of the LAM maintained by the Veterinary Medicine Division and include SF 600, "Chronological Record of Medical Care," weight charts, records of surgical procedures, anesthesiology records. Files are grouped by species (dogs, goats, pigs, cats, pigeons, etc.) and within species by USDA tag number or LAM's internal control numbers.

Disposition: Cut off 5 years after death of animal or 3 years after completion of protocol, whichever is later. At the end of this period animal health records and protocols shall be destroyed.

917-02. Animal Husbandry Files. These records are maintained by the Animal Husbandry Division and are used to monitor the condition and status of in-house animal populations and to human contacts with each animal. They consist of inventories kept by species and protocol number, records of temperature and humidity in animal rooms, and information on animal caretakers or technicians documenting each person's work schedule. These records are maintained on inventory sheets, in log books, and in a mainframe computer.

Disposition: a. Inventory Sheets. Destroy inventory sheets when superseded. Electronic data may be dumped when no longer needed for backup. b. Log Books for Animal Caretakers. Record keeping consists of two log books: 1. Individual animal caretakers' entry log (discontinued October 1, 1994), which is destroyed 2 years after final entry (GRS 18, Item 17b). 2. Daily work logs, including daily work assignment sheets and

sanitation schedule for animals. Cut off at the end of the CY, hold in the CFA for 3 years, retire to the WNRC, destroy 72 years after cut off.

918. USUHS UNIVERSITY AFFAIRS

These files contain records promoting the continuation of esprit among University graduates of all the Services.

918-01. USUHS Alumni and Student Information. Records relating to alumni and current students, including employment and residency information, correspondence, and other related records. These files contain information protected under the Privacy Act of 1974 (WUSU18).

Disposition: Destroy when superseded, obsolete, or no longer required for reference.

919. USUHS PHARMACY FILES

These files are maintained by the USUHS Pharmacy, which provides Departments with necessary pharmaceutical required for laboratory and research protocols.

919-01. Pharmacy Controlled Substance Form (USUHS 6048 or successor). Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by the Pharmacy. This Form is used to log controlled substances. Requester shall be notified upon arrival of substance.

Disposition: Destroy when 10 years old.

919-02. Departmental Controlled Substance Form (USUHS 6049 or successor). Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by Departments or an investigator. Custodians of controlled substances are responsible for safeguarding and maintaining accountability of controlled forms and substances issued to them. Accountability includes documentation of specific date and time when used, species and identification numbers of animals involved with its use, amounts issued, returned or administered, and on-hand balances. Full sheets are returned to Pharmacy and new sheets issued if a balance remains.

Disposition: Destroy when 10 years old.

919-03. Pharmacy/Departmental Controlled Substances (USUHS Form 6047 or successor). Receipt and issue records for controlled substances maintained for accountability purposes.

Disposition: Destroy when 10 years old.

919-04. Pharmacy Controlled Substance Sealing Log (USUHS Form 6054 or successor). Maintained by the Pharmacy for accountability of controlled substances sealed for storage by the Controlled Substance and Alcohol Inventory Board (CSAIB).

Disposition: Destroy when 10 years old.

919-05. Controlled Substances and Alcohol Inventory Board Inventory Report (USUHS Form 6019, or successor). Used by the CSAIB to report the results of all inventory actions.

Disposition: Destroy when 4 years old.

919-06. Request for New Supplies/Pharmaceutical (USUHS Form 6417, or successor). To request new items be added to those stocked in the Pharmacy.

Disposition: Destroy when 2 years old.

919-07. Controlled Substances Temporary Issue Receipts (USUHS Form 6058, or successor). Prepared by Controlled Substance Custodian (CSC) for items leaving the physical facility of USUHS for use at a different location. Yellow copy is retained by Custodian.

Disposition: Destroy when 10 years old.

919-08. Controlled Substance Accountability Worksheets. A monthly accountability of controlled substances within a specific Department. Prepared by department CSC.

Disposition: Destroy when 3 years old, purging once a year.

919-09. Absolute Alcohol Storage Sheets (USUHS Form 6055 or 6056 or successor). Completed by investigators, staff and faculty to keep accountability of absolute alcohol stored in Department fire cabinets. These sheets shall be bound in the "USUHS Pharmacy Alcohol Usage Notebook" issued by the Pharmacy to the CSC.

Disposition: Destroy 1 year after last entry in log.

919-10. Controlled Substances and Alcohol Survey Request/Report (USUHS Form 6016 or successor). Disposal reports of controlled substances that are no longer required.

Disposition: Destroy when 10 years old.

919-11. Department of Justice/Drug Enforcement Administration "Registrants Inventory of Drugs Surrendered" (DEA Form 41, or its successor). Prepared by the Pharmacy Officer and submitted to DEA to account for the destruction of controlled

substances.

Disposition: Destroy when 10 years old.

919-12. Prescription Drugs (not controlled drugs). This file includes hand receipts for drugs, needles, and syringes furnished authorization personnel for use in research only.

Disposition: Destroy when 10 years old.

919-13. Controlled Substances Class I-V. This file consists of copies of the following forms (or their successors): USUHS 6048, "Pharmacy Controlled Substance Form;" USUHS 6049, "Departmental Controlled Substance Form;" USUHS 6047, "Pharmacy/Departmental Controlled Substance;" USUHS 6054, "Pharmacy Controlled Substance;" USUHS 6019, "Controlled Substances and Alcohol Inventory Report;" USUHS 6007, "Use of Biohazards, Controlled Substances, and Dangerous Materials;" USUHS I-6404, "Controlled Substances Temporary Issue Receipt;" USUHS 6058, "Controlled Substance Temporary Issue Receipt;" USUHS 6016, "Controlled Substances and Alcohol Survey Request/Report;" DEA Form 41, "Registrants Inventory of Drugs Surrendered;" and Department controlled substances accountability worksheets.

Disposition: Destroy when 10 years old.

920. USUHS ENVIRONMENTAL HEALTH AND OCCUPATIONAL SAFETY FILES

These files are maintained by the Environmental Health and Occupational Safety (EHS) Division and pertain to the health and safety programs unique to the USUHS. They include data on radiation dosimetry, radiation monitoring, radioactive waste disposal, accidents involving radioactive materials, testing, inspection and calibration of equipment, and radiation safety training and Occupational Health Branch.

920-01. Radiation Protection Surveys - X-ray Surveys - Reports of Local x-ray System Surveys. Includes x-ray system measurements, evaluation of system for compliance with Federal Regulations, and recommendations.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-02. Radiation Protection Surveys - Radioisotope Laboratories. Reports of laboratory surveys for compliance with Federal and USUHS Regulations. Includes tests for radioactive contamination of laboratories and or equipment.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-03. Radiation Protection Surveys - Radioisotope Packages. Reports of surveys for radioactive contamination of incoming or outgoing packages.

Disposition: Destroy when 5 years old (10 CFR 20.2103).

920-04. Radiation Protection Training. Information about preparing and presenting local training courses on methods of controlling, preventing, and dealing with exposure of people and the environment to ionizing radiation. Included are locally developed training materials, aids, notifications of training sessions, rosters of graduation from courses with grades and attendance dates, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU08).

Disposition: a. Information relating to training materials, aids, and notification of courses: Dispose of when superseded or obsolete. b. Training attendance, grades and dates of attendance: Maintain on site. Destroy upon termination of license, following NRC instructions.

920-05. Radiation Standard Operating Procedures (SOPs). SOPs maintained by radiation safety officers that prescribe procedures for procurement, use, disposal, and control of radiation sources.

Disposition: Destroy when SOP is superseded or on disposition of the radiation source, whichever is sooner.

920-06. Radiation Analyses. Information on detecting and recording levels of radiation or radioactivity in material samples or objects, and the environment where materials are used. Included are chemical and radiation analysis reports, process control analysis reports, leak and wipe tests, air biological, water, soil and vegetation samples and similar reports, logs, or information.

Disposition: Retain for 5 years and destroy in the CFA (10 CFR 20.2102 and 10 CFR 35.59(d)).

920-07. Radionuclide Experimental Authorization (REA). Information containing authorization for a Principal Investigator to use radioactive material. All information such as application to use material, requests for user status, requests for protocol reviews, and information needed to maintain the REA are included.

Disposition: Maintain on site. Destroy upon termination of license (10 CFR 20.2102(b)).

920-08. Radiation Sources Accounting Files. Information accumulated by radiation safety personnel in controlling the receipt, retire, use, storage, and disposal of radioactive materials and other radiation sources. Included are records of material movements, instructions concerning movements, registers, issue receipts, inventory and material accounting records, waste disposal reports, computer data bases, and similar information.

Disposition: a. Information related to sealed sources: Destroy 5 years after final disposition of source (10 CFR 35(d)(g)). b. Records of radioactive waste disposal: Maintain on site. Destroy upon termination of license, following NRC instructions (10 CFR 20.210(b)(4)).

920-09. Personnel Dosimetry Files. Information on recording and reporting external or internal exposure to ionizing radiation. Included are records of all dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, DD Form 1141, "Record of Occupational Exposure to ionizing Radiation," and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU10, WUSU13). Disposition: a. Administrative data pertaining to administering program, and individual requests maintained: Destroy 5 years after the individual terminates from USUHS (10 CFR 20.2104(f)). b. DD Forms 1141 (or successor): Maintain on site. Destroy upon termination of license (10 CFR 20.2106(f)). c. Bioassay Data and Calculations: Maintain any positive results on site and destroy when 75 years old. Negative results may be destroyed when 5 years old (10 CFR 20.2106(f)).

920-10. Radiation Safety Committee Files. Information relating to review, evaluation and approval or disapproval of the use of sources of ionizing radiation; procedures and conditions controlling such uses; and qualifications of individual users. Included are minutes of meetings, recommendation pertaining items considered by the committee and similar information.

Disposition: Maintain on site. Destroy upon termination of license (10 CFR 20.2102(b)).

920-11. Radiation Inspections. Information that supplements surveys at local levels. It evaluates and provides guidance on eliminating potential hazards using radiation sources. Such inspections shall be provided by the Nuclear Regulatory Commission, Department of Defense, or other Federal Agencies.

Disposition: a. NRC Inspections: Maintain on site. Destroy upon termination of license, following NRCD guidelines (10 CFR 20.2102(b)). b. Other Inspections: Destroy when 5 years old or on completion of the next comparable survey, whichever is sooner (10 CFR 20.2102 (b)).

920-12. Radiation Incident Files. Information about investigating and reporting cases of overexposure of individuals and the environment to ionizing radiation; and comparable incidents involving radioactive materials. Included are telegraphic reports of incidents, reports of overexposure, ALARA investigations, laboratory spills, reports of loss or theft of radioactive materials, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU11).

Disposition: a. Overexposure and ALARA reports. Maintain on site. Destroy when 75 years old (10 CFR 20.2106(f)). b. Other Reports: Destroy when 30 years old (10 CFR 20.2106(f)).

920-13. Radioactive Material Licensing. Information relating to obtaining a Nuclear Regulatory Commission License to procure and use ionizing radiation sources. Included are license applications, coordinating actions, licenses, permits, and amendments thereto, and similar information.

Disposition: Maintain on site. Destroy upon termination of license.

920-14. Instrument and Source Calibration Files. Information on calibrating radiation sources and instruments that measure radiation. Included are calibration logs, manufacturers and locally developed calibration forms, records pertaining to calibration frequency, and similar information.

Disposition: a. Calibration Certificates: Destroy 3 years after disposal of the related radiation sources (10 CFR 20.2103). b. Logs and other papers: Destroy when 5 years old (10 CFR 20.2103(a)).

920-15. Bioenvironmental Engineering Case Files. These files consist of records created in the course of monitoring health and safety conditions in the workplace and include annual health and safety survey reports, occupational exposure evaluations, assessments and controls data, hazardous material and agent information, and environmental assessments and worksite management practices (WUSU14).

Disposition: Review each file at the end of the calendar year and cut off inactive materials; retire in the CFA for 10 years and retire to WNRC; destroy 40 years after cut off (20 or 29 CFR 1910-20).

920-16. Hazardous Waste Manifests. These files are maintained in the Bioenvironmental Engineering Branch and consist of internal manifests of hazardous material disposal.

Disposition: a. Internal manifests. Destroy when 5 years old (40 CFR 262.40). b. DD 1348-1, "Released/Receipt Document." Maintain on site. Destroy upon termination of license, following EPA guidelines.

920-17. Bioenvironmental Engineering (BEE) Database. Computer database for management of BEE information such as chemical inventories, facility utilization, workload scheduling and other such information pertinent to monitoring ongoing programs. Backups are performed weekly.

Disposition: Delete information in the database when no longer needed. (920-08 for related records.)

920-18. Log and Summary of Occupational Injuries and Illnesses (USUHS Form No. 200, or successor). Records injuries and illnesses and notes of the extent and outcome of each case. Not every injury or illness occurring in the workplace is recordable.

Disposition: Maintain on site. Destroy when 75 years old.

920-19. Supervisor's Report of Accident. Consists of EHS Form 6012 (or successor), "Supervisor's Report of Accident," which serves as an additional record of information pertaining to on-the-job injuries or incidents.

Disposition: Maintain on site. Destroy when 75 years old.

921. MULTIDISCIPLINE LABORATORIES (MDL)

The MDL is the home base of operations for the medical students including a laboratory work and studying area.

921-01. The National Board of Medical Examiners (NBME) File. Comprehensive Part I and Part II given twice a year to second-year medical students. Also includes subject examinations given throughout the year to first through fourth-year medical students. These tests function as elements of the certification process for medical licensure and as measures of academic achievement in individual disciplines. Assistant Dean, Teaching and Research Support and MDL are responsible for the administration and security of all NBME test materials from the date of receipt to the date of their return to the National Board. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: a. Executive Chief Proctor (Teaching and Research Support (TRS)) Chief Proctor (MDL): General correspondence with the Board, orders for tests, correspondence to staff and faculty concerning examinations and preparation for proctoring of examinations, internal memos to request the test sites be in order, and bills for the examinations: Destroy 5 years after exam is administered. b. Registrar's Office: Individual scores, class records, composite lists, statistical information, and Departmental information (some of this information is on tape); general correspondence from prior years held in Registrar's Office consolidated with TRS: Cut off upon GTWD of student; hold in the CFA 20 years; retire to the WNRC; destroy after 50 years. c. Academic Departments: Refer to USUHS Schedule Number 912-09. d. Board of Medical Examiners: Original answer sheets and booklets are returned to NBME.

921-02. Anatomical Gift Program Files. Files on individuals who plan to have or have donated their bodies to medical science. Consists of original legal documents of certificate of Body Donation or Certificate of Body Donation by Next of Kin; and State Death Certificate Burial-Transit Permit, and Authority to Cremate. Also contained in folder are Report on Medical history, vital statistics request for Medical/Dental Records Death Call Worksheet, Lab Reports, Authority to Cremate, copies of all correspondence.

Disposition: a. Individual donor case files (accepted) cut off upon cremation and/or interment of donor's remains or their return to next-of-kin; hold files in Anatomical

Teaching Laboratories for 5 years, then retire to the WNRC; destroy 75 years after cut off. b. Individual donor case files (pending). Review periodically. Destroy any files when no longer needed.

922. CIVILIAN PERSONNEL ACADEMIC APPOINTMENT SECTION

These files are maintained in the Academic Appointment Section, which prepares appointments, promotions, and tenure materials. Not to be confused with the OPF 202-12 or the Office Personnel Information Files (202-07.).

922-01. Visa Files on Foreign National Employees. Correspondence, memorandums, reports, forms and other types of correspondence regarding individual visa applicants. Visa applications are copies.

Disposition: Cut off after separation. Retire to the WNRC 10 years after cut off. Destroy 10 years after retirement to the WNRC.

922-02. Faculty Curriculum Vitae Files (NI-330-95-2). These files contain curriculum vitae, faculty appointment letters, reappointment letters and departmental memoranda for both billeted military and adjunct non-billeted military and civilian faculty members. The files are arranged alphabetically in a central file. It is the only place to locate some information on adjunct faculty; other information may be duplicated in the OPF. This file contains information protected under the Privacy Act of 1974 (WUSU03). (For disposition of electronic database files, 916-02.)

Disposition: Update periodically. Cut off after termination of faculty member, hold in the CFA 5 years and retire to WNRC. Destroy 20 years after retirement.

922-03. Faculty Indexes. These are index cards that include name, address, Department and title, and date of appointment of individuals holding academic appointments at USUHS. Maintained for convenience and reference in the Civilian Personnel Directorate.

Disposition: Update periodically; destroy when no longer required for reference.

922-04. Individual Faculty Case Files Who Work Outside of USUHS. Consists of copies of USUHS Form 1006 (or its successor), "Request for Approval of Outside Activity," which is used to request permission for employment outside of the USUHS facility, and USUHS Form 1013 (or its successor), "Report on Outside Activity," which is completed by September 10 of that year's activities.

Disposition: Cut off after separation. Destroy 3 years after cut off.

923. ADMINISTRATIVE FILES

These files relate to the performance of routine administrative functions not covered elsewhere in this schedule.

923-01. Weekly Activity Report. Activities of all departments in the University compiled weekly.

Disposition: a. Memoranda submitted by the Deputy Dean's OASD(HA). Destroy when 1 year old. b. Memoranda from Departments submitted to Deputy Dean. Destroy when 4 months old. c. Departmental copies. Destroy when 1 year old.

923-02. Suspense Files. Facilitative records such as suspense files.

Disposition: Destroy when 2 years old, or when no longer needed, whichever is sooner. GRS 23, Item 1

923-03. Tracking and Control Records. Facilitative records such as tracking and control records.

Disposition: Destroy when 2 years old, or when no longer needed, whichever is sooner. GRS 23, Item 1

924. UNIVERSITY HEALTH CENTER MEDICAL RECORDS

These files are maintained in the Student Health Clinic that cares for students and student spouses.

924-01. Student Medical Records. Health records for students and their dependents, and military faculty used until the time of graduation/termination. These records contain information protected under the Privacy Act of 1974 (WUSU06).

Disposition: Release to students and spouses upon graduation or retire. Records released to faculty upon reassignment, retirement or resignation.

924-02. Health Unit Control Files. Logs or registers reflecting daily number of visits to health center, and results of lab tests.

Disposition: a. If information is summarized on statistical report: destroy 3 months after last entry (GRS 1, Item 20(a)). b. If information is not summarized: destroy 2 years after last entry (GRS 1, Item 20(b)). c. Log books (Lab and Pap) containing results of laboratory tests, destroy 6 years after date of last entry. GRS 1, Item 19

924-03. Quarter's Log. Listings of all students and active duty personnel who are put on quarters while under treatment for illness. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Destroy 5 years after last entry in log.

924-04. Student Photo File. Maintained for ease of identification.

Disposition: Destroy when 5 years old or when no longer needed. GRS 21, Item 2

924-05. Student Name and Address Log. Alphabetical list of students by year with their name, address, telephone number and social security number, maintained for convenience. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Destroy when superseded.

924-06. Medical Students I and Medical Students II Class Schedules. This file consists of duplicate copies of class schedules maintained for ease of reference.

Disposition: Destroy at end of academic year.

924-07. Wound Data and Munitions Effectiveness Team (WDMET) System. Collection includes textual, non-textual, and electronic records (does not include artifacts, such as shell fragments, bullets, etc.) (NI-330-95-1).

924-07.1. WDMET case files on wounded soldiers consisting of summary sheets, series of body diagrams, descriptions of weapons, medical data treatments information, and other related records.

924-07.2. WDMET reel-to-reel recordings (original and preservation copies) consisting of recorded interviews with witnesses to the wounding as well as with troops generally in the area.

924-07.3. WDMET slides of wounds.

924-07.4. WDMET X-rays of wounded soldiers.

Disposition: Items 924-07.1. through 924-07.4.: Permanent. Transfer immediately to National Archives when no longer needed for current business.

924-07.5. Electronic database of information extracted from WDMET case files.

Disposition: Permanent: a. 1987-1994: Transfer a copy of the database files to the National Archives no later than December 31, 1994. b. 1994-thereafter. Every 3 years, check the database to if there have been any updates to the records. If the database files are updated, transfer updated copy of the database files to the National Archives (i.e., if updates are made in the next 3 years the next transfer would be made prior to December

31, 1997).

NOTE: 1. If updated copy of the index includes all records in the previous transfer of the index - with no changes - plus additional new records, once the latest transfer of the index has been preservation-copied by the National Archives, NARA shall destroy the previous transfer of the index as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.

924-07.6. System documentation for database of information extracted from WDMET case files.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the documentation for the electronic files cited in 924-07.5. (Note 1.), above, along with the first transfer of the electronic files. b. 1994-thereafter: Transfer an updated copy of the documentation with each subsequent transfer of electronic files in 924-07.5. (Note 2.).

NOTE: All transfers of documentation shall be done in accordance with 36 CFR 1228.

924-07.7. Electronic index to WDMET Slides.

Disposition: Electronic Files: Permanent. a. 1987-1994: Transfer a copy of the index files to the National Archives no later than December 31, 1994. b. 1994-thereafter: Every 3 years, check the index to see if there have been any updates to the records. If the index is updated, transfer updated copy of the index to NARA (i.e., next transfer would be made prior to December 31, 1997). NOTE: 1. If updated copy of the index includes all records in the previous transfer of the index - with no changes - plus additional new records, once the latest transfer of the index has been preservation-copied by the National Archives, NARA shall destroy the previous transfer of the index as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.

924-07.8. System documentation for electronic index to WDMET slides.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the documentation for the electronic files cited in 924-07.7. (Note 1.), above, along with the first transfer of the electronic files. b. 1993- : Transfer an updated copy of the documentation with each subsequent transfer of the electronic files in 924-07.7. (Note 2.).

NOTE: All transfers of documentation shall be done in accordance with 36 CFR 1228.

924-07.9. Electronic Index to WDMET slides.

Disposition: Permanent. a. 1987-1994: Transfer a copy of the index files to the NARA no later than 31 December 1994. b. 1994-thereafter: Every 3 years, check the index to see if there have been any updates to the records. If so, transfer updated copy to the NARA (i.e., if updates are made in the next 3 years, the next transfer shall be made prior to December 31, 1997). NOTE: 1. If updated copy of the index includes all records in the

previous transfer - with no changes - plus additional records, once the latest transfer has been preservation-copied by the National Archives, NARA shall destroy the previous transfer as duplicate material. 2. All transfers of data shall be done in accordance with 36 CFR 1228.