

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. N1-44291-11	DATE RECEIVED 5-28-91
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Public Health Service		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION Centers for Disease Control			
4. NAME OF PERSON WITH WHOM TO CONFER Johanna A. Bonnelycke PHS Records Management Officer		5. TELEPHONE EXT. (301) 443-2055	DATE 7-1-94 ARCHIVIST OF THE UNITED STATES Curtis Huskamp Pitts
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

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

A. GAO concurrence: is attached; or is unnecessary.

B. DATE 05/21/91	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>A Prentice Barnes, Sr.</i> A Prentice Barnes, Sr.	D. TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>This comprehensive schedule covers the electronic records systems of the Centers for Disease Control's National Institute for Occupational Safety and Health-- Cincinnati and Morgantown Operations.</p> <p>(see attached)</p>		

MASS DATA CHANGE SHEET NOT REQUIRED

NATIONAL INSTITUTE FOR OCCUPATIONAL SAFETY AND HEALTH (NIOSH)

[Schedule revised 11/18/93]

Plans, directs, and coordinates a national program to develop and establish recommended occupational safety and health standards and to conduct research, training, technical assistance, and related activities to assure safe and healthful working conditions for every working person. In carrying out this mission, the Institute: administers research in the field of occupational safety and health, including the conduct of health hazard evaluations; develops innovative methods and approaches for dealing with occupational safety and health problems; provides medical criteria which will ensure, insofar as practicable, that no employee will suffer diminished health, functional capacity, or life expectancy as a result of work experience, with emphasis on ways to discover latent disease, establishing causal relationship between diseases and work conditions; develops and coordinates the appropriate reporting procedures which assist in accurately describing the nature of the national occupational safety and health problems; consults with the U.S. Department of Labor; U.S. Department of the Interior; other Federal agencies; and, in cooperation with the PHS Regional Offices, State and local government agencies; industry; and employee organizations with regard to promotion of occupational safety and health; provides technical assistance to other nations in establishing and implementing occupational safety and health programs.

NIOSH - Cincinnati Operations

1. NIOSH Technical Information Branch Data Bases

This system covers three occupational safety and health data bases maintained by the NIOSH Technical Information Branch. Each data base is different in format and content; one is bibliographic, one is numeric, and one is records management. The data included in these data bases are derived from a wide variety of sources including both NIOSH publications (such as Criteria Documents, Current Intelligence Bulletins, Alerts, Health Hazard Evaluations, final Contract and Grant reports, journal articles, etc.) and non-NIOSH materials (domestic and foreign) published in the open scientific literature (such as journal articles, symposia proceedings, technical reports, etc.). Included under this category are data bases such as:

- NIOSHTIC - The National Institute for Occupational Safety and Health Technical Information Center - NIOSH's on-line, bibliographic data base of literature in the field of occupational safety and health. Approximately 150 current, English language technical journals provide approximately 60 percent of the 6000 additions to NIOSHTIC annually. Retrospective information, some of which is from the 19th century, is also included. The purpose of this data base is to aid the research and technical assistance activities of NIOSH and the occupational safety and health community at large by selecting from the available literature documents with special relevance to

occupational safety and health. Categories such as occupational medicine, safety, toxicology, health physics, engineering, epidemiology and ergonomics are included. NIOSHTIC currently contains approximately 164,000 abstracted references.

- RTECS - The Registry of Toxic Effects of Chemical Substances, a congressionally mandated activity established by Section 20 of the Occupational Safety and Health Act of 1970. The Registry is a compendium of data extracted from the open scientific literature arranged in alphabetical order by prime chemical name. Included are five types of toxicity data: primary irritation, mutagenic effects, reproductive effects, tumorigenic effects, and acute toxicity. The purpose of the system is to serve as a compendium of toxicological data and be a pointer to scientific literature. RTECS currently lists over 107,000 chemicals as it works to fulfill the mandate "to list all known toxic substances...and the concentrations at which such toxicity is known to occur."
- DIDS - Document Information Directory System, a management tool for tracking NIOSH documents. This system is a computerized data file containing records of NIOSH publications and reports, including scientific journal articles written by NIOSH personnel. When the documents are entered into DIDS, they are tracked as they are processed into NIOSHTIC and through the National Technical Information Service which makes these documents available to the public.
- a. Input documents. Journal articles, NIOSH publications, conference and symposium proceedings, technical reports, monographs, toxicity information on chemicals. The type of input document varies among the three data bases.

Disposition: PERMANENT. Transfer to the Federal Records Center after input and verification or when no longer needed for administrative purposes, whichever comes first. Transfer to the National Archives when 20 years old.

Estimated Annual Accumulation -

Total Volume of Hand -

- b. Master File. Online data bases:

- (1) NIOSHTIC - bibliographic entries with abstracts and keywords for NIOSH documents, articles from 150 core journals, translations, conference and symposia proceedings, etc.

Disposition: PERMANENT. Transfer to the National Archives every 5 years. The first transfer will occur upon the approval of this schedule (Note: the data will be transferred to NARA on computer tapes formatted in accordance with NARA regulations noted

in 36 CFR 1228.188, transfer of machine-readable records to the National Archives).

Estimated Annual Accumulation - Negligible*

Total Volume of Hand - Negligible*

- (2) RTECS - Chemicals in alphabetical order by prime chemical name, specific numerical toxicity values, species studied, route of administration utilized (with bibliographic source for each citation), chemical identification data, synonyms, molecular formulas, molecular weights, and applicable regulatory information.

Disposition: PERMANENT. Transfer to the National Archives every 5 years. The first transfer will occur upon the approval of this schedule (Note: the data will be transferred to NARA on computer tapes formatted in accordance with NARA regulations noted in 36 CFR 1228.188, transfer of machine-readable records to the National Archives).

Estimated Annual Accumulation - Negligible*

Total Volume of Hand - Negligible*

- (3) DIDS - NIOSH Documents such as Criteria Documents, Current Intelligence Bulletins, NIOSH Alerts, Health and Safety Guides, Technical Reports, Health Hazard Evaluation Reports, Control Technology Reports, and other miscellaneous documents.

Disposition: Destroy when no longer needed for administrative purposes. (NOTE: Upgrades to the system which result in substantive changes in data content or structure require re-evaluation of the disposition by NARA. Inform the NIOSH Records Liaison or the CDC Records Officer of upgrades to the system.)

- (4) Other Existing and Future Databases.

Disposition: Offer a copy of the database to the National Archives at the close of the related study. If the National Archives declines to accept the database for permanent retention, the database may be destroyed at NIOSH discretion.

* For electronic records, negligible indicates a volume of less than 3 reel to reel tapes or cartridges.

c. Output

Computer tapes, microfiche, and hardbound volumes of data.

Disposition: Destroy when no longer needed to recreate the electronic master file, or when no longer needed for administrative purposes.

2. Hearing Conservation and Audiometric Data Base Analysis (HCADBA)

This item includes data bases consisting of a variety of studies done to investigate hearing losses resulting from employees being exposed to high levels of noise in their occupations. Of particular interest is whether those workers exposed to a particular equivalent level continuous noise experience more or less hearing loss than a matched group of workers exposed to the same equivalent level impulsive noise. (Continuous noise is that noise displaying steady amplitude over time, with a steady spectrum; impulsive noises is a term applied to impulses from explosive events and impacts from collision, with short durations and rapid onsets.) If one group has higher hearing thresholds, it would appear hearing conservation procedures for that group need improvement in one or both of the contributing factors (type/level of noise or effective attenuation of hearing protectors).

Congress dictated that this area be investigated through legislation. The Walsh-Healy Act of 1969 mandated employee protection from occupational exposure to noise conditions posing a hearing loss hazard. The Hearing Conservation Amendments to the Occupational Noise Standards of 1983 required employers in most industries to enact hearing conservation programs and required hearing protection if certain noise level thresholds were exceeded. Within the database are two types of studies:

- Researcher studies of worker groups from whom records were not available which meet all of the specifications for epidemiologic audiometric data base research. (A detailed description of such studies as outlined in b.(1) below). While these data may serve the purpose for which they were collected, they do not warrant long-term retention.
- Epidemiologic studies that yielded data valuable to public health. Results are of such significance as to warrant long-term retention of the data.

Data may emanate from companies willing to provide data from their own hearing conservation programs and NIOSH samples of a segment of the population. These data bases are expected to grow as hearing loss problems gain more widespread attention.

- a. Input. Questionnaires and audiograms on study participants.

Disposition: Destroy hardcopy records 90 days after all data from them has been entered onto a master file and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

- b. Master File. Exposure-specific data vary from study to study, but a typical set includes identifying information, sex, age, present and previous job data, type of ear protection worn, military service information, non-occupational noise exposure, self-reported medical history, and hearing threshold test results. Data set collections intended for periodic update may contain some or all, or the above information as well as other personal, occupational, or medical details.

Currently the data base contains records from prior studies on approximately 2000 employees of a large publishing company with a hearing conservation program in effect since 1977, and a segment of 94 employees of the Ford Motor Company Stamping Plant at Woodhaven, Michigan that were part of a second study. The data base also contains 3000 records from another company which are to be update bi- or triennially with 800 to 1200 new records and 3,200,000 records obtained as the result of an agreement with the U.S. Air Force which are to be updated annually with 200,000 records.

- (1) Incomplete/Inconclusive Studies - Reasons for not meeting specifications may be lack of access to new records on a continuing basis, significant changes in audiometers or audiometric technique over the course of a study, some audiometric data incorrectly entered, some threshold shifts not confirmed on retest, drastic reduction in the study population because of individuals leaving the company or no longer wishing to participate, or studies discontinued because of lack of funding. The most recent updates are maintained to provide employee access to test results for a reasonable time frame.

Disposition: Erase or destroy data when 5 years old.

- (2) Completed/Conclusive Studies

Disposition: PERMANENT. Initial transfer to take place in 1996 and to encompass the most recent two years and oldest two years of data (1994-1995 and 1977-1978). Subsequent data transfers to occur yearly and consist of the previous year's data and the remaining two oldest years data. In 1997, for example, transfer the 1996 and 1979-80 data. Transfer of older data will continue until the 1993

data has been transferred. (Note: The data will be transferred to the Archives on tape formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives.)

c. Documentation of Master File Records (Item 2 b (1))

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under 2 b (2) above.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

d. Outputs

(1) Record copy of publications

Internal NIOSH milestone report shared with participating company and union representatives, articles in such journals as Ear and Hearing.

Disposition: PERMANENT. Retain in agency for 10 years. Transfer to the Federal Records Center when 10 years old. Transfer to the National Archives when 20 years old.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

(2) Additional copies of publications

Destroy when no longer needed for administrative purposes.

3. NIOSH Job Stress Data Base (circa 1987).

The purpose of this data base is to assist in the development of standards for the measurement of occupational stress factors for specific occupations. The data base contains data on job stress factors collected by the governments of Maine and Canada on a questionnaire developed by NIOSH. The governments of Canada and Maine conducted this experimental occupational stress survey on a limited number of employees from several occupational groups in Maine, and in Newfoundland and Labrador, Canada. The results of the survey were provided to NIOSH on tape. NIOSH then provided Canada and Maine with general interpretations of the results from the survey and observations concerning the validity of the questionnaire.

Funding has not been made available for a full scale

implementation of this project; however, NIOSH continues to work on the development of a valid and reliable generic questionnaire instrument (or core set of scales) that could be applied to rate the environmental stress conditions of major categories of occupations. As the need arises, tailor-made scales could be added to the NIOSH developed instrument to capture the idiosyncratic factors which make any particular occupation difficult. Future plans are for the NIOSH instrument to undergo further testing in a longitudinal study of the immunosuppressive effects of job stress.

- a. Input. Consists of data sent to NIOSH from various entities in electronic and hardcopy form.

Disposition: Destroy when no longer needed for administrative purposes.

- b. Master File. Currently consists of approximately 2000 records maintained in electronic form that have been received from Canada and the State of Maine. As other states or industries utilize the NIOSH questionnaire, their data will become part of the Master File.

Data elements include job title, length of time in job, work hazards, physical environment, attitudes about the job, conflict at work, future occupational outlook, feelings of control, workload, responsibility factors, mental demands and non-work factors that impact on one's overall stress level.

Disposition: PERMANENT. Cut off at 5 year intervals. Transfer to NARA. The first transfer to the records will take place upon completion of the schedule. (NOTE: the data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives.)

Volume on Hand - Negligible

Rate of Accumulation - Negligible

- c. Documentation of Master File Records (Item 3 b)

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under 3b above.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

- d. Output.

(1) Record Copy of Publications

Morbidity and Mortality Weekly Report articles, special internal and external reports including Division of Standards Development and Technology Transfer Criteria Document and/or data sets which contain important data on occupational stress levels and/or their measurement published from data collected from job stress surveys.

Disposition: PERMANENT. Retain in office for 30 years. Transfer to the National Archives when 30 years old.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

- (2) Extra copies of Publications, special internal and external reports and/or data sets.

Disposition: Destroy when no longer needed for administrative purposes

4. National Occupational Hazard and Exposure Survey Data Bases

These data bases relate to the gathering and manipulation of data collected on occupational hazards and exposure to toxic substances in the work place. This item covers two major data collection efforts including the National Occupational Hazard Survey (NOHS) and the National Occupational Exposure Survey (NOES), both of which utilized a probability sample of work places, and subsequent substantive data bases which contain primary source data on exposure to hazardous substances and situations in the work place.

The National Occupational Hazard Survey (NOHS) was conducted from 1972 thru 1974. Twenty recent engineering graduates collected information from 4,636 sites in 67 Standard Metropolitan Statistical Areas (SMSAs) on more than 900,000 employees. Management staff completed a 66 item questionnaire characterizing health and safety practices (e.g., numbers of health professionals, engineering controls, etc.). Then, an intensive walk-through of every operation was conducted by the engineering graduates to pinpoint possible employee exposures to hazardous substances. Detailed information was collected on such things as potential for exposure, duration of exposure, form (i.e, dust, vapors, etc.), control measures, trade name products and ingredient information.

The National Occupational Exposure Survey (NOES) was conducted from 1981 thru 1983 and was similar to the NOHS study. The NOES study, however, involved data collection in 98 geographic primary sampling units (PSU). Data was collected on employees who were exposed to hazardous substances in the course of their work duties. Fifteen surveyors collected data at 4,490 manufacturing facilities which employed some 1.8 million employees on their payrolls. A 66 item questionnaire was administered to plant management to characterize health and safety programs and practices,

medical services and engineering controls. The questionnaire was designed such that at least 24 questions are comparable to the ones that were asked in the NOHS study.

a. Input forms. Data collected on potentially hazardous situations in the work place. The forms contain confidential trade secret data and cannot be released to the public.

(1) Input forms for NOES and NOHS projects

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

(2) Input forms for subsequent projects

Disposition: Hold in office five years after completion of study, then transfer to the Federal Records Center (Dayton) or transfer to the Federal Record Center when volume warrants. Destroy when 30 years old.

b. Master File.

(1) Records from the NOHS (1972-74) and NOES (1981-83) maintained in electronic form. These data bases contain over five million records.

Disposition: PERMANENT. Transfer a copy of the data bases from the NOES and NOHS studies to the National Archives within 5 years of the approval of this schedule. (NOTE: the data on the records will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives). These records contain specific trade secret data regarding product ingredients and manufacturing processes; therefore, they are prohibited from public release under item (b) (4) of the Freedom of Information Act.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

(2) Data from all Subsequent Hazard and Exposure Surveys maintained in electronic form.

Disposition: PERMANENT. Transfer a copy of the data base to the National Archives within five years of completion of the study (NOTE: The records will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR

1228.188, Transfer of machine-readable records to the National Archives).

Volume on Hand - Negligible

Rate of Accumulation - Negligible

- c. System documentation for NOHS, NOES and all subsequent Hazard and Exposure Surveys Maintained in Electronic Form (items b (1) and b (2) above). Includes pertinent information regarding tape specifications, variable names and column layouts for each file, and hardcopy version of relevant code books.

Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under item b(1) or b(2) above.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

d. Output

- (1) Record copy of publications and special reports. Includes such records as record copies of special reports and relevant publications derived from the research data contained in the data base and supported by Federal funds. Results discuss trends or whether exposures have increased or decreased.

- (a) Record copies of publications and special reports for NOES and NOHS Surveys.

Disposition: PERMANENT. Transfer a record copy of these publications and special reports immediately to the National Archives in conjunction with the transfer of data tapes under item b (1).

Volume on Hand - Negligible

Rate of Accumulation - Negligible

- (b) Publications and special reports for all subsequent substantive surveys of occupational hazards and exposures.

Disposition: PERMANENT. Transfer a record copy of these publications to the Federal Records Center in five year blocks when 10 years old. Transfer to the National Archives in five year blocks when twenty years old.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

(2) Extra copies of publications and special reports.

Disposition: Destroy when no longer needed for administrative purposes.

5. Occupational Health Epidemiological Studies

This item covers a number of data bases related to studies on evaluations of mortality, disability and morbidity patterns in the United States work force. NIOSH identifies potentially high risk occupations and develops approaches to reduce dangers existing in the workplace. The results of these studies may be used to develop new policies for NIOSH which are disseminated in alerts or other types of bulletins, and for presentations at scientific meetings. The data base began in the 1970's and involves numerous studies investigating whether exposure to certain substances (such as PCBs, perchloroethylene, benzene, dioxin) cause increases in certain types of diseases among exposed workers. Cross-sectional medical studies are also undertaken. The epidemiological studies involve many types of diseases, including cancer, cardiovascular disease, neurologic, and reproductive disorders.

The data base was developed under authority of Section 20 of the Occupational Safety and Health Act, which requires that industry-wide investigations be undertaken. Personnel records from large companies are often obtained to identify a particular cohort of potentially exposed individuals. Periodically segments of the cohort are recontacted and death certificates obtained for those who have died. If findings of significance are uncovered, policy makers within NIOSH are apprised of the situation, and OSHA may be contacted. At any point in time, there are approximately 30 studies that are ongoing.

- a. Input. Questionnaires, company record systems, labor union record systems.

Disposition: Destroy hardcopy records 90 days after all data from them has been entered onto a master file and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master files, whichever is later.

- b. Master File. Data varies from study to study, but typical data elements include demographic information, identifying information, occupational history, results of medical exams, and information on date and cause of death, if deceased. In addition, the master file may include data on detailed self-reported medical history (including cardiovascular, pulmonary, genitourinary, musculoskeletal information, etc.), smoking history, chemical or toxic material exposure away from the

workplace, and extensive information on toxic or chemical material exposures existing in present and previous occupations.

Disposition: PERMANENT. For longitudinal studies, transfer a "snapshot" copy of the Master File to the National Archives within 5 years of completion of each study. For self-contained studies, transfer a copy of the master file within one year of completion of the study. (NOTE: the data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives.)

Volume on Hand - Negligible

Rate of Accumulation - Negligible

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under b above.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

d. Outputs

(1) Record copy of publications

Internal reports to policy staff within NIOSH, summaries of research findings to participating company and union representatives, articles in scientific journals such as the Journal of Occupational Medicine, Scandinavian Journal of Work and Environmental Health, etc.

Disposition: PERMANENT. Retain in office for 10 years. Transfer to the Federal Records Center when 10 years old. Transfer to the National Archives when 20 years old.

Volume on Hand - Negligible

Rate of Accumulation - Negligible

(2) Additional copies of publications

Disposition: Destroy when no longer needed for administrative purposes.

NOTE: Magnetic tape maintained by NIOSH-Morgantown Operations which contain records that have continuing long-term research value will be stored in a dust-free environment at a temperature of 62-68 degrees Fahrenheit and a constant humidity between 35 and 45 percent. A statistical sample of data sets will be read annually to detect any data loss. Tapes will be rewound periodically and data will be copied to new tapes at least once every ten years.

6. MORBIDITY AND MORTALITY STUDIES IN MINING AND GENERAL INDUSTRY

(NOTE: Disposition authority for this record system supersedes the disposition authority for the Coal Miner Information Processing System authorized under NARA Approved Schedule NCl-90-79-4, item 2. These data are included within this larger umbrella system.) This system was originally designed to support compliance with the Federal Coal Mine Health and Safety Act of 1969 and the Federal Mine Safety and Health Amendments of 1977, which commissioned the National Institute for Occupational Safety and Health (NIOSH) to investigate occupational diseases of coal miners and to determine their cause and means of prevention. This data base now includes data from studies undertaken at a wide variety of workplaces in mining and manufacturing. These studies were carried out to investigate occupationally related diseases, to determine causes, and to develop recommendations for prevention measures.

Studies included within the system are designed to evaluate whether excess morbidity and/or mortality is occurring by comparing the morbidity and/or mortality of pre-selected cohorts of persons in potentially high risk work environments with that of other persons (controls) not in such environments. Additionally, indices of morbidity and/or mortality are related to measures of workplace exposure to dusts, etc., to determine exposure-response relationships. Any such relationships detected may eventually be incorporated in Federal regulations or recommendations dealing with worker exposure.

Of special interest to researchers in the Morgantown NIOSH location is the determination of whether miners are at an increased risk for contracting diseases (particularly pneumoconiosis) as a result of their occupational exposure. One example is a morbidity study of coal workers' pneumoconiosis which attempts to discover how coal mine dust affects miner's lungs and to determine what dust levels should be recommended to protect the health of coal miners. Another example is the pulmonary function standards study. This is designed to yield standard values for lung function tests and to estimate the percentage of people who have respiratory symptoms among those who have never been exposed to harmful dust. Results from this study are useful in the evaluation of health effects of possibly harmful occupational environments characterized by respirable dust.

Within the data base are two types of studies:

- Epidemiologic and clinical studies that yield data valuable to public health. Results are of such significance as to warrant long-term retention of the data.
 - Incomplete, cancelled, or uncalibrated data which does not contribute significant new knowledge to the field, or which contain data that are not precise enough for future researchers to do valid statistical analyses.
- a. Input data. Includes such items for morbidity studies as employee questionnaires, consent forms, medical test results, results of lung function tests, occupational history tables and roentgenographic interpretation forms.

Input documents for mortality studies consist of microfilm data from personnel files or survivor interviews in the industries of the cohorts being studied, and death certificates if study participants have died.

Information on worker exposure may also be included in both morbidity and mortality studies.

Disposition:

(1) Original Copies:

After records have been microfilmed, destroy upon verification of copy quality or when no longer needed for administrative purposes, whichever comes first.

(2) Microfilm Copies:

Destroy when no longer needed for administrative purposes.

b. Master Files

Morbidity studies contain computerized data, one tape each per study. The data base contains such information as Social Security number, employment histories, medical and occupational histories, demographic data, X-ray data, smoking histories, results of medical tests, consent forms, environmental data, and questionnaires.

Mortality studies contain demographic information, Social Security number, date and place of death, complete job histories, smoking histories, X-ray film data, etc. When death certificates are received, the master file contains underlying cause and other causes of death, and whether autopsy was performed.

Information on worker exposure, where available, will often be included on the master tapes.

Disposition:

(1) All Completed Studies:

PERMANENT. Cut off on completion of study. Transfer data to the National Archives within 5 years of completion of the study. (NOTE: The data will be transferred to the Archives on tapes or CD ROM formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives, or other applicable transfer policy established by the National Archives).

Volume on Hand - 15 CD ROM

Rate of Accumulation - one CD ROM disk per year

(2) Incomplete or Canceled Studies and Uncalibrated Data:

Maintain records until no longer needed for research or reference purposes

c. Documentation of Master File Records, Completed Studies (Item 6.b.(1))

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Files of notes, memoranda, etc., detailing items related to data processing and analysis, documenting problems and special features of the data.

Disposition: PERMANENT. Transfer a copy of relevant documentation to the National Archives in conjunction with the transfer of electronic records under b. above.

d. Outputs:

Disposition:

- (1) Notification letters and forms (copies)
Notification to the worker and private physician (when required) of needed medical attention and/or medical treatment.

Destroy in 70 years or when no longer needed for administrative purposes, whichever comes first.

(2) Record copy of publications

Reports monitoring the national health status of workers, internal reports providing details of studies, and publications produced by NIOSH personnel for professional journals such as the American Journal of Industrial Medicine.

PERMANENT. Retain in office for 10 years. Transfer to the Federal Records Center (FRC) when 10 years old. Transfer to the National Archives when 20 years old.

Volume on Hand - Negligible*
Rate of Accumulation - Negligible*

(3) Additional copies of publications

Destroy when no longer needed for administrative purposes.

7. NATIONAL COAL WORKERS' AUTOPSY PROGRAM DATA BASE

This system is composed of records in the National Coal Workers' Autopsy Program. This program was mandated by the Coal Mine Health and Safety Act of 1969 which specified that an autopsy can, with permission of the survivor, be performed on any miner who dies if he/she has had qualifying work experience in or at an underground coal mine. This detailed examination of internal organs, including the heart and lungs, may determine the presence of coal workers' pneumoconiosis (CWP) or "black lung" disease. The National Institute for Occupational Safety and Health (NIOSH) reimburses pathologists for performing and/or reviewing autopsies on miners to analyze health factors present at, or possibly contributing to, cause of death.

This program is a service program for survivors of coal miners and is conducted with the cooperation of the United Mine Workers of America and the Mine Safety and Health Administration, United States Department of Labor. To participate in the National Coal Workers' Autopsy Study, the miner's spouse or next-of-kin must give written consent for the pathologist to perform the autopsy and complete a questionnaire composed of nine questions about the working and smoking history of the deceased. The pathologist sends the autopsy report, the questionnaire and several small samples of lung tissue to NIOSH in Morgantown, West Virginia. This program furthers NIOSH efforts toward early detection and prevention of CWP.

*For electronic and textual Records "negligible" indicates a volume of less than three reel to reel magnetic tapes or cartridges, or less than one cubic foot of textual records.

a. Input Documents

Hardcopy files on National Coal Workers Autopsy Study Program including complete autopsy report file.

Disposition: Destroy when no longer needed for administrative use and scientific research. (NOTE: NIOSH will maintain records and specimens within the agency for as long as it is determined that there is a continuing research and administrative use for the records. The data will be of scientific importance enabling NIOSH researchers to have access to original data when undertaking specific studies.)

b. Master File

The National Coal Workers Autopsy Study Program contains name of deceased miner, date of birth, SSN, date and place of death, name and address of mine, job title, smoking history, years in mining, and pathology data from the autopsy protocol, including pathologist's summaries of findings, coded by ICD-8 or ICD-9 codes. This file currently contains data on approximately 6,000 autopsies. This is an ongoing, mandated program.

Disposition: PERMANENT. Cut off in 5 year blocks. Transfer to the National Archives in 5 year blocks when the oldest data in a block is 10 years old (i.e. transfer 1990-1994 data in 2000). The initial transfer of data should take place within 5 years of the approval of this schedule and cover data that is 10 years or more old. (NOTE: The data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives).

Volume on Hand - One computer tape

Rate of Accumulation - approximately 200 records per year

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Disposition: PERMANENT. Transfer to the National Archives in conjunction with records described under item b. above.

Volume on Hand - negligible

Rate of Accumulation - negligible

d. Outputs

No routine output is generated by this program. Autopsy results are infrequently reported to appropriate extramural, legal or administrative authority upon receipt of appropriate releases.

An annual summary (internal) report is provided to the Director, NIOSH, through the NIOSH program office (Office of Planning and Program Evaluation). This report summarizes the number of autopsies received and processed.

Disposition: Destroy when no longer needed for administrative purposes.

8. NATIONAL COAL WORKERS' X-RAY SURVEILLANCE PROGRAM DATA BASES

These records are in a program denoted Coal Workers' X-ray Surveillance Program mandated by the Coal Mine Health and Safety Act of 1969. Federal laws require that mine dust levels be controlled in an effort to prevent coal workers' pneumoconiosis (CWP) as a result of occupational exposures, and that X-ray evidence of pneumoconiosis can lead to eligibility to transfer to less dusty areas of a coal mine without loss of pay. As part of this occupational respiratory disease prevention program, underground coal miners in the United States are currently eligible for chest X-rays at the expense of the employer every five years. The administration of this program, including the certification of X-ray facilities and physician A and B readers, and approval of mine plans to provide the X-ray program, is the responsibility of the National Institute for Occupational Safety and Health (NIOSH). This program leads to assessment of CWP prevalence in miners and development of interventions to eliminate or minimize harmful occupational exposures. Using records on active mines maintained by the Mine Safety and Health Administration (MSHA), NIOSH notifies operators when each mine workforce is to be examined, and approves the submitted plan to ensure compliance with regulations. Miner participation in the program is voluntary except for new miners (those just beginning work at an underground mine) who must have an X-ray within six months of starting work, and one three years later. A third X-ray, to be taken two years later, is mandatory if the second shows signs of CWP.

This item covers the following data bases:

- Certified Interpreting Physicians' File - circa 1978 to present - data bases which contain information on physicians certified as "A" and "B" readers (i.e., physicians who interpret miner X-rays for evidence of CWP) as per provisions of the Federal Mine Safety and Health Act of 1977;
- Mine Operator Plans - the plans developed by the mines for providing the X-ray program when operators are notified by NIOSH that their mine force is to be examined;

- Facility Certifications - certifications of approved X-ray locations;
- Miner X-ray Interpretation Results; and
- Demographic data and occupational history of participants.

Typically, these electronic records facilitate the retrieval of routine information, track the certification process, generate notification letters, present productivity figures and perform other facilitative and routine administrative functions.

- a. Input Documents - Included are such items as forms which contain information regarding demographics and qualifications of A and B physicians and certified X-ray facilities, X-rays, interpretations of these X-rays, and Miner Identification Documents containing identifying information on the miner and a brief occupational history on coal mining jobs ascertained from each miner at time of examination. Original X-rays are maintained because of the possibility of litigation and so that NIOSH researchers can have access to original data when undertaking specific studies. Approved mine operator plans related to employee examinations, and listings of approved and certified X-ray facilities (providers) are also maintained.

Disposition:

- (1) Original X-rays

Maintain within agency until no longer needed for administrative use and scientific research. (NOTE: NIOSH will maintain records within agency for as is determined there is a continuing research and administrative use for the records.) Data which is retained should be of scientific importance thus enabling NIOSH researchers to have access to original data when undertaking specific studies. X-rays must also be maintained because of the possibility of litigation.

- (2) Other hardcopy data

After records have been microfilmed, destroy upon verification of copy quality or when no longer needed for administrative purposes.

- (3) Microfilm copies

Destroy 70 years from the date of creation of the record.

- b. Master File

The master file is a set of record systems. Each set contains records for a specific examination program over

a defined interval. Each data set is maintained in a unique format, developed according to the data collection requirements prevailing at the time of data collection.

The Coal Workers' X-ray Surveillance Program currently contains readings on approximately 350,000 X-rays and job codings for the miner's entire occupational history. At least two interpretations are recorded for each X-ray. The initial interpretation by an A reader is sent to NIOSH from the NIOSH certified X-ray facility designated to conduct the X-rays by the coal mine operator. NIOSH then obtains a second interpretation from a B reader. In a small minority of cases, when there is disagreement between two readers, one or more additional interpretations are obtained and entered in the file.

Disposition: PERMANENT. Before destruction or erasure of this data contact the NIOSH Records Liaison or the CDC Records Officer. Offer to the National Archives when a subset is finalized and/or agency use ceases. Subsets which are rejected by NARA for permanent retention may be destroyed at the agency's discretion. (NOTE: The data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives).

Volume on Hand: Eleven master tapes

Rate of Accumulation: Approximately 3,500 records per year (all files)

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book. Each sub-system is maintained in a specific, unique, format.

(1) For Records Systems Rejected by NARA

Disposition: Destroy when no longer needed for administrative purposes. (Maintain within agency for the same time period as the master file described under item b above).

(2) For Records Systems Accepted by NARA

Disposition: PERMANENT.. Transfer to the National Archives a copy of the relevant documentation in conjunction with the transfer of records systems identified under item b.

d. Output Documents

- (1) Copies of Letters of notification of X-ray results to Mine Safety and Health Administration (MSHA), the miner and his/her designated physician.

Disposition: Microfiche (or other equivalent storage medium) will be maintained within agency until no longer needed for administrative purposes. (NOTE: Data will be of importance as long as program exists.)

- (2) Other miscellaneous documents such as letters to miners informing them of the need to have X-rays taken, lists of approved interpreting physicians, productivity figures, lists of NIOSH Certified X-ray facilities, routine initial certification approval and modification notices.

Disposition: Microfiche (or other equivalent storage medium). Destroy when 50 years old.

- (3) Record copy of publications

Reports to Mine Safety and Health Administration, publications in scientific journals, reports for NIOSH use, and final results of special statistical analyses performed at the request of various researchers. Approximately 10 to 20 requests are received monthly to perform statistical analyses (using SAS or PLI programs). Examples are information on prevalence of the disease by age or by region.

Disposition: PERMANENT. Retain in agency for 10 years. Transfer to the Federal Records Center (FRC) when 10 years old. Transfer to the National Archives when 20 years old.

Rate of Accumulation: Less than one cubic foot

Volume on Hand: Less than one cubic foot

- (4) Additional Copies of Publications

Destroy when no longer needed for administrative purposes.

9. NATIONAL OCCUPATIONAL HEALTH SURVEY OF MINING

The purpose of the system is to allow reporting and analysis of occupational health information from 491 mines and mills which are representative of the entire mining industry in the United States. The 1969 Coal Mine Health and Safety Act as amended by the Federal Mine Safety and Health Amendments of 1977 gave the National Institute for Occupational Safety and Health (NIOSH) the responsibility for conducting research to protect the health of American workers in coal, metal, and nonmetal mines. NIOSH was required to make a determination as to whether each harmful agent is potentially toxic at concentrations in which it is used or found in a mine. This survey determined which health-related agents were present at the surveyed mines, and the number of associated potential exposures.

a. Input Documents

Questionnaires completed by management of company, inventories of chemicals used in the operation, and data derived from observations of miners working, documenting potential chemical exposure and other environmental conditions.

Disposition: Destroy when six years old or no longer needed for administrative purposes, whichever comes first.

b. Master File

Data from 1984-1989 maintained in electronic form on an online system and regularly backed up on computer tape.

Disposition: PERMANENT. Transfer a copy of the sequential version to the National Archives at 5 year intervals, the first transfer to take place within 5 years of the approval of this schedule. Offer a copy of the SAS and PC-ASCII versions to the National Archives at the same time.

Volume on Hand: Six computer tapes.

Rate of Accumulation: Negligible.

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Authorized Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under b above.

d. Outputs

Specialized commodity reports derived from the data base

(1) Reports which do not contain Trade Secret Data and developed for public use.

Disposition: PERMANENT. Transfer a copy of the report to the National Technical Information Service and the National Archives and Records Administration upon publication of report.

(2) Reports which contain Trade Secret Data.

Disposition: PERMANENT. Transfer to the National Archives when 30 years old (release to the public is not authorized because of trade secret information contained in the records).

10. NIOSH CERTIFICATION DATA BASES

Electronic Records Supporting Programs Concerning the Certification of Occupational Protective Devices (i.e., respirators), Exposure Monitoring Instruments (i.e., coal mine dust personal sampler units), and/or other Programs and Facilities.

(NOTE: This item covers the following data bases:

- Respiratory Protective Devices - circa 1910 to present; and
- Coal Mine Dust Personal Sampler Unit Certification - circa 1969 to present.)

Included are electronic record systems which support programs that ensure protection of workers in dangerous environments by certifying reliability, safety and efficacy of respiratory protective devices and coal mine dust samplers. These electronic records are used to support the evaluation, certification and maintenance of official records on respirators and hazard-measuring instruments as required by the Federal Mine Safety and Health Amendments Act of 1977, the Occupational Safety and Health Act of 1970, and the Federal Coal Mine Health and Safety Act of 1969. Typically, these electronic systems facilitate the retrieval of selected certification records, track the certification of new applications, generate approval/disapproval notification letters, and perform other facilitative and administrative functions.

a. Input Documents

Items such as the completed manufacturer's application form, owner/user instruction manuals, engineering drawings, blueprints, quality control data, and parts lists.

Disposition: Destroy when no longer needed for administrative purposes or when information from input documents has been entered into the data base and verified, whichever comes first.

b. Master File (Records maintained in electronic form)

(1) Respiratory Protective Devices Data Bases/Coal Mine Dust Sampler Unit Certification Data Base

Disposition: Delete data seven years after the certification is revoked or after the company ceases manufacturing the device or when no longer needed for administrative or engineering evaluation purposes, whichever comes first. Upgrades to the system which result in substantive changes in data content or structure require re-evaluation of the disposition by NARA. Inform the NIOSH Records Liaison or the CDC Records Officer of upgrades to the system.

(2) All Other Data Bases

Destroy when no longer needed for administrative purposes.

c. Output Documents

Such records and data as initial certification approvals, subsequent extensions of approvals for modifications, minor revisions approvals, and nonconforming product investigation records.

Disposition: Destroy seven years after certification of approval has been revoked or after company has ceased manufacturing of the device, or when no longer needed for administrative or engineering evaluation purposes, whichever comes first.

11. FATALITY ASSESSMENT AND CONTROL EVALUATION (FACE)

This database contains information from a project in which NIOSH investigators collect epidemiologic data on selected occupational fatalities from falls, electrocution, and those occurring in confined spaces (sewers, manholes, utility vaults, etc.) occurring in nine states. Information is collected on a hardcopy form, from which a determination is made as to whether a full field investigation should be undertaken. The primary purpose of the FACE project is to identify factors that may increase the risk of work-related fatal injuries, and secondarily to conduct surveillance of common factors of fatality type. Proposed categories to be investigated in the near future include fatalities occurring in the logging industry and from work with machinery.

a. Input Forms

Documents consist of a core data collection instrument including the date and time of injury, date of death, sex, race, industry, and occupation. Supplemental instruments are completed for each of the three occupational fatality categories which provide more detailed data regarding the circumstances of the fatality. Data from the medical examiner is also included if the victim was so examined.

Disposition: Destroy when no longer needed for administrative purposes.

b. Master File

Currently contains approximately 425 records with data from 1982 to 1993 maintained in electronic form from a coding instrument regularly backed up on computer tape. The data base contains core information on the victim such as date of birth, sex, marital status, place of residence, time of injury, date of death, industry, occupation, etc.

Disposition: PERMANENT. Transfer a "snapshot" copy of the Master File to the National Archives at five year intervals. The initial transfer of data will take place within five years of the approval of this schedule.

(NOTE: the data will be transferred to the Archives on tapes formatted in accordance with regulations noted in 36 CFR 1228.188, Transfer of machine-readable records to the National Archives.)

Volume on Hand - Negligible

Rate of Accumulation - Negligible.

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under b above.

d. Outputs

Listings, reports and publications internal to NIOSH, and special statistical analyses performed at the request of various researchers.

(1) Record Copy of Publications

Disposition: PERMANENT. Transfer to the Federal Records Center in five year blocks when the oldest item in the block is ten years old (i.e., transfer 1990-1994 in 2000). Transfer to the National Archives in five year blocks when 20 years old.

Rate of Accumulation: Negligible.

Volume on Hand: Negligible.

(2) Additional Copies of Publications

Disposition: Destroy when no longer needed for administrative purposes.

12. NATIONAL TRAUMATIC OCCUPATIONAL FATALITY SURVEILLANCE SYSTEM

The purpose of this system is to enumerate and describe fatal occupational injuries in the United States. The system also identifies worker groups at high risk of injury and targets those groups for preventive research. The system includes data derived from death certificates, and include information on demographics, employment, geographic distribution, cause of death and description of injuries.

a. Input. Documents consist of copies of death certificates.

Disposition: Destroy when no longer needed for administrative purposes.

b. Master File - Data from 1980 to 1991 maintained in electronic form on an online system and regularly backed up on computer tape. Data base contains occupation, industry, location of incident, injury descriptors, date of birth, time of injury, date of death, marital status, place of residence, place of death, cause(s) of death, and sex.

Disposition: PERMANENT. Transfer a "snapshot" copy of the Master File to the National Archives at five year intervals. The initial transfer of data will take place within five years of the approval of this schedule. Information cannot be released until records are 75 years old. This will assure the complete protection of the records collected under special confidentiality agreements with states, stipulating that NIOSH not release individually identified death certificate data. (NOTE: The data will be transferred to the Archives on tapes formatted in accordance with regulations noted in

36 CFR 1228.188, Transfer of machine-readable records to the National Archives.)

Volume on Hand - Negligible

Rate of Accumulation - Negligible.

c. Documentation of Master File Records

Includes pertinent information regarding tape specification, variable names and column layouts for each file, and hardcopy version of relevant code book.

Authorized Disposition: PERMANENT. Transfer in conjunction with the transfer of electronic records under b. above.

d. Outputs-Published reports such as Traumatic Occupational Fatalities in the United States, 1980-1989: A Decade of Surveillance; journal articles, and special agency reports to the Occupational Safety and Health Administration.

(1) Record Copy of Publications

Disposition: PERMANENT. Transfer to the Federal Records Center in five year blocks when the oldest records in a block is ten years old (i.e., transfer 1990-94 in 2000). Transfer to the National Archives in five year blocks when 20 years old

Rate of Accumulation: Negligible

Volume on Hand: Negligible.

(2) Additional copies of publications

Disposition: Destroy when no longer needed for administrative purposes.