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|---|---------------|--|--------------------------------|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b><br>(See Instructions on reverse) |               | LEAVE BLANK (NARA use only)  |                                |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408     |               | JOB NUMBER   | N1-442-99-1                    |
| 1. FROM (Agency or establishment)<br>Department of Health and Human Services      |               | DATE RECEIVED  | 5-21-99                        |
| 2. MAJOR SUBDIVISION<br>Centers for Disease Control and Prevention                |               | NOTIFICATION TO AGENCY   |                                |
| 3. MINOR SUBDIVISION<br>Management Analysis and Services Office                   |               | In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |                                |
| 4. NAME OF PERSON WITH WHOM TO CONFER   | 5. TELEPHONE  | DATE   | ARCHIVIST OF THE UNITED STATES |
| Jimmy A. Harrison   | (404)639-0457 | 10-5-99  | <i>John W. Park</i>            |

6 AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

|             |   |                      |
|-------------|---|----------------------|
| DATE        | SIGNATURE OF AGENCY REPRESENTATIVE              | TITLE                |
| MAY 19 1999 | <i>A. Prentice Barnes</i><br>A. Prentice Barnes | DHHS Records Officer |

| 7<br>ITEM<br>NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR<br>SUPERSEDED<br>JOB CITATION | 10. ACTION<br>TAKEN (NARA<br>USE ONLY) |
|------------------|---|--|--|
| 1.               | <p><b><u>Permanent Records Of the CDC Smallpox Eradication Program</u></b></p> <p>The records in the Atlanta Federal Records Center (FRC) Accessions listed below are determined to be of permanent value after a re-appraisal conducted by the Atlanta Federal Records Center. These records document the eradication of the Smallpox virus and CDC's part in an aggressive campaign to eradicate the virus. A full description of the re-appraisal efforts and a specific listing and analysis of each accession is attached in the report written by the appraisal archivist, Mr. Richard H. Rayburn. CDC asked the Atlanta FRC to conduct a re-appraisal of these records due to the fact of the virtual destruction of the virus and resultant illness, and the unique World-wide public health accomplishment this represents. Those Smallpox records <u>not</u> listed below and stored in the Atlanta FRC will continue to be authorized for destruction under item 2-51, Smallpox Eradication Program and Project Records (NC1-90-78-1, item 82) and item 2-52, Smallpox Legal Files (NC1-90-78-1, item 83) of the CDC Records Control Schedule, B-321. The retention of both of these series is 20 years. Authority is given to the Southeastern Archives, East Point, GA, to destroy non-record material (copies and duplicates) and extremely routine documentation during routine archival processing of these records. The records should</p> |  |  |

**REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION**

JOB NUMBER

PAGE

OF

| 7<br>ITEM<br>NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR<br>SUPERSEDED<br>JOB CITATION | 10 ACTION<br>TAKEN (NARA<br>USE ONLY) |
|-----------------|--|--|---------------------------------------|
|                 | <p>be screened prior to opening them for research as it is likely they contain private medical records restricted from such release by the Freedom of Information Act, Exemption 6.</p> <p><b><u>List of Permanent Smallpox Records at Atlanta, FRC.</u></b></p> <p>Accession No. 442-70-0358, Box 6 only (one box).<br/>                     Accession No. 442-75-1942, Entire Accession (two boxes).<br/>                     Accession No. 442-68-0846, Entire Accession (eight boxes)<br/>                     Accession No. 442-68-1372, Entire Accession (one box)<br/>                     Accession No. 442-69-0885, Entire Accession (three boxes)<br/>                     Accession No. 442-70-0465, Entire Accession (two boxes)<br/>                     Accession No. 442-70-1049, Entire Accession (two boxes)<br/>                     Accession No. 442-75-1592, Box 1 only (one box)<br/>                     Accession No. 442-85-0051, Entire Accession (four boxes)</p> <p>[detailed appraisal report attached]</p> |  |                                       |

## RECORD GROUP 442: RECORDS OF THE CENTERS FOR DISEASE CONTROL AND PREVENTION.

### NRC-SMALLPOX RECORDS EVALUATION

#### Background

From roughly 1960 to 1981 the Centers for Disease Control (CDC) and its predecessor agencies conducted an aggressive campaign to eradicate the Smallpox virus throughout the world. During that period the agency actively sought out the virus and launched numerous campaigns of inoculation and education throughout the United States. In addition, the agency attacked the virus at its source in West Africa, Brazil and Peru and began a campaign to prevent the spread of the disease through study, inoculation, and monitoring of the populations in these regions. As a result of these efforts the spread of the virus was halted and virtually eliminated by the mid-1980s.

Documentation concerning the Smallpox Eradication Program (SEP) was appraised as non-permanent by the CDC in 1979 and a 20 year retention period established by the agency. During this period many records concerning the SEP program were shipped to the Atlanta FRC and destroyed according to schedule. However, over the past year questions have been raised about the soundness of the above decision given the success of the SEP and the possibility of its serving as a model for other such programs. Given these concerns, it was agreed that the staff of the Atlanta FRC would reevaluate documents relating to the SEP in its custody and provide the CDC with a synopsis of its findings for use in preparation of new SF-115. The following is the report of these findings.

#### Overview

The staff of the Atlanta FRC appraised 26 accessions of Record Group 442 (CDC) concerning the SEP program comprising 134 cubic feet of documents. These accessions involved four offices; that of the Office of the Chief of the SEP, the Statistical Services Office Staff, the Domestic Operations Unit and the Division of Quarantine. Records generated by the Office of the Chief provide an overview of the SEP in both the United States and Overseas and involve tracking and investigation of Smallpox incidents as well as studies and reports. The bulk of these files were generated by Dr. J. D. Millar, Director of the SEP during the 1960s. Records generated by the Statistical Services Staff generally consist of raw data generated by the West African studies undertaken during the 1970s and early 1980s. Records of the Domestic Operations Unit generally involved surveys and reports of smallpox studies done within continental United States. Records of the Division of Quarantine concerned monitoring and tracking of communicable diseases throughout the world.

#### Problems

A. Privacy issues--As with all medical investigations patient data was collected for use and study

by the SEP. Numerous individual patient files are included with the Office of the Chief records as well as group studies from institutions such as the Georgia State Prison at Reidsville. It is suggested that these files be screened for privacy before they are made available to the public.

B. Raw Data--The records of the Statistical Services Staff include thousands of survey sheets of the population of West Africa. These sheets generally give basic information about the person interviewed such as age, village, tribe, etc. Most are numerically coded to facilitate their entry into a computer data program. Complete sets of these codes may or may not be extant in the documents. 86 feet of the above records consist of raw data input forms collected by this office and, while interesting, it is of dubious value to the historical record. These hard copy input forms have varying retention periods but are generally disposed of after five years or when no longer needed according the CDC Records Control Schedule B-321.

From a historic standpoint it can be argued that the survey sheets mentioned above provide a good "snapshot" of the population of various Western African countries during the 1970s and 1980s, but it must be remembered that these are medical surveys and only provide a minimal amount of social or economic data about the populations involved in the survey. Equally, since most of these reports were generated by computers it should be assumed that these data programs are still available for future use by researchers. In addition, various parts of the collected data have already been disposed of or are simply missing. Each of these accessions were reviewed with these caveats in mind.

Analysis of Accessions.

**Statistical Services Staff--West Africa**

**1. Accession No. 70A1620**

4 Boxes Terminal Assessment McBee Survey Computer Cards of West Africa, 1969. These are individual interview reports which gathered statistical data concerning smallpox vaccinations and their results for computer manipulation.

This accession contains data input cards which do not detail the historical mission of the SEP

Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.

B-321, 2-51  
NCI-90-78-1, 82

**2. Accession No. 75A1083**

3 Boxes of Disease and Demographic Study notebooks for Nigeria for the period from 1971-1972. These notebooks contain statistical summaries of survey forms which asked questions concerning sickness, pregnancies, and mortality. Duplicates of each notebook included in the records.

This accession includes data input forms which do not detail the historical mission of the SEP.

Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.

B-321, 2-51  
NCI-90-78-1, 82

~~Boxes 12-17 of 35 (1-11 disposed of). Smallpox survey Forms in French for West Africa for period from 1974-1975. These forms consist of follow-up questions concerning reactions to the smallpox vaccine such as whether the respondent had a fever, a cough, or diarrhea. Respondents included pregnant woman and young children.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/8321/2/51  
NCI-90-78-1, 82

~~4. Accession No. 76D0225~~

~~Boxes 18-23 of 35. Smallpox survey Forms for West Africa for period from 1974-1975~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/8321/2/51  
NCI-90-78-1, 82

~~5. Accession No. 76E0225~~

~~Boxes 24-29 of 35 (Boxes 30-35 disposed of). Smallpox survey Forms for West Africa for period of 1975~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/8321/2/51  
NCI-90-78-1, 82

~~6. Accession No. 76A1876~~

~~1-10 Boxes of 21. Smallpox survey forms for West Africa for period 1974-1975. This accession is identical to those accessions listed in items 3,4,5 except that the survey forms are printed in indigenous language.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/8321/2/51  
NCI-90-78-1, 82

~~7. Accession No. 76B1876~~

~~11-21 Boxes of 21. Part B of the above accession. Some monthly data analysis is included in these files.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/8321/2/51  
NCI-90-78-1, 82

~~8. Accession No. 76A1878~~

~~4 Boxes of IBM punch cards relating to Nigeria.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/B321/2/51  
NCL-90-78-1, 82

~~9. Accession No. 77A0057~~

~~4 Boxes of Smallpox survey forms in French for West Africa for period from 1974-1975  
Correspondence and patient names included in last box.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/B321/2/51  
NCL-90-78-1, 82

~~10. Accession No. 92A0065~~

~~29 Boxes of survey and report forms from the Toxic Virology Section for the period from 1979-1987. This accession includes toxicology reports and forms from around the world. Sample boxes included WHO studies of investigations of smallpox outbreaks, Mammalian Studies for Monkeypox, Zoster Immune Globulin studies and U.S. smallpox virology reports.~~

~~The bulk of this accession includes toxicology forms and lab reports detailing testing procedures and results for the smallpox virus. In addition, numerous photos which seek to identify the virus are present in the files.~~

~~This accession includes data input forms which do not detail the historical mission of the SEP.~~

~~Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.~~

RCS/B321/2/51  
NCL-90-78-1, 82

**Statistical Services Staff--other**

11. Accession No. 70A0358

- 7 Boxes (Boxes 3-5 missing) of Vaccinia Immune Globulin (VIG) forms and reports.
- Box 1--Puerto Rico Student VIG forms which give student names, dates of immunization and reaction.
- Box 2--Puerto Rico Student VIG forms. Smallpox scare and quarantine in Washington DC.
- Box 6--Washington DC scare continued.
- Box 7--Statistical manuals and materials relating to various computer programs.

This accession includes data input forms for Puerto Rico and published manuals and technical papers which do not detail the historical mission of the SEP. It does include materials concerning SEP practices and procedures in quarantining for smallpox in a large metropolitan area (Washington DC) which are of interest to the historical mission of the SEP.

~~Disposition: Boxes 1 & 7. TEMPORARY. Destroy immediately upon approval of this schedule.~~

Disposition: Boxes 2 & 6. PERMANENT. Transfer to NARA in FY99.

RCS/B321/2/51  
NCL-90-78-1, 82

**Domestic Operations Unit**

**12. Accession No. 75A1942**

2 Boxes (Box 3 disposed of in 1992) of the SEP's Domestic Operations Unit tracking case files from 1969-1973. Public requests for information and inquiries regarding the SEP. Investigation of the Yugoslav smallpox outbreak of 1972.

These files include cables, correspondence, and notifications concerning smallpox cases in the U.S. and Yugoslavia and detail activities of the Domestic Operations Unit of the SEP. These files help document the historical mission of the SEP.

Disposition: PERMANENT. Transfer to NARA in FY99.

**13. Accession No. 72A1388**

1 Box containing surveys conducted by the Domestic Operations Unit of the SEP concerning complications arising from VIG during the 1968. State surveys of VIG complications. Lists of doctors participating in Smallpox study.

These files include IBM printouts, codes, patient survey forms, and individual studies of VIG complications in selected states. These studies were published for each state and represent the compilation data collected during the year 1968. It is felt that since these studies are summarized elsewhere their maintenance in document form is not necessary to the historical record of the Domestic Operations Unit of the SEP.

Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.

RCS18321/2/51  
NCL-90-78-1, 82

**14. Accession No. 73A0250**

3 Boxes (Box 4 disposed of in 1992) of National Surveys of drug companies, VIG consultants, VIG complications and deaths conducted by the Domestic Operations Unit during the year 1968.

These files include procedure and policy statements, questionnaires, case surveys, and papers relating to the above study. As with the accession above it is felt that these surveys were published and that their maintenance is not necessary to the historical record of the Domestic Operations Unit of the SEP.

Disposition: TEMPORARY. Destroy immediately upon approval of this schedule.

RCS18321/2/51  
NCL-90-78-1, 82

**Office of the Chief****15. Accession No. 68A0846**

8 Boxes (One oversize box of photos) of administrative correspondence files of Dr. J.D. Millar from 1961-1964 relating to the Smallpox Eradication Program. 1 Box of IBM punch cards in accession can be disposed of. 2 boxes of Photos concerning Smallpox vaccination study at Georgia State Prison at Reidsville.

These files detail the work of Dr. J.D. Millar and establishment of the Smallpox Eradication Program. They include policy formulation, routine administrative correspondence, smallpox

study proposals and results and are important to the historical mission of the SEP.

Disposition: PERMANENT. Transfer to NARA in FY99.

**16. Accession No. 68A1372**

1 Box of general correspondence from the Office of the Chief, 1963-1966.

These files include foreign smallpox reports and comments on them by members of the SEP staff, U.S. vaccination studies and policy formation which relates to the historical mission of the SEP.

Disposition: PERMANENT. Transfer to NARA in FY99.

**17. Accession No. 69A0885**

3 Boxes of general administrative correspondence files of Dr. D.A. Henderson (Chief of the SEP) for 1966.

These boxes include files for programs, projects, travel, training, labs, personnel, and meetings for the year 1966 and are important to the historical record of the mission of the SEP.

Disposition: PERMANENT. Transfer to NARA in FY99.

**18. Accession No. 69B0885**

1 Box. Box 6 in the above series. Unable to locate.

**19. Accession No. 70A0465**

2 Boxes of files . Jet Gun vaccination studies and McBee card samples of vaccination results at the Atlanta federal penitentiary, 1963-1967. Report and correspondence concerning the smallpox outbreak in Kulmbach, Germany during 1965.

These boxes contain research proposals, correspondence regarding the above studies, sera results, photos, and reports of suspect cases. They help to document the historical mission of the SEP.

Disposition: PERMANENT. Transfer to NARA in FY99.

**20. Accession No. 70A1049**

2 Boxes of files relating to Smallpox Vaccine studies at Georgia State Prisons from 1962-1964 and in Jamaica, B.W.I. from 1963-1965.

These files contain prisoner consent forms, vaccination files and reports for the Georgia State Prisons. Records for Jamaica include files containing student rosters, correspondence, study protocol. These files detail study activities of the SEP and relate to the historical mission of the program.

Disposition: PERMANENT. Transfer to NARA in FY99.

Disposition: PERMANENT. Transfer to NARA in FY99.

**21. Accession No. 75A1592**

3 Boxes. Box 1 relates to Cholera studies conducted by Dr. A. Marshall McBean in West Africa. Boxes 2 & 3 contain publication files created by Dr. J.D. Millar from 1962-1969.

Box 1 of this accession contains a country by country survey of Cholera in West Africa and is of interest to the historical mission of the CDC in general. Boxes 2&3 contain published papers, drafts, handouts, published reports, surveys, published staff lists the maintenance of which is not necessary to the historical record of the SEP.

a. Disposition: Box 1. PERMANENT. Transfer to NARA in FY99.

b. ~~Disposition: Boxes 2 & 3. TEMPORARY. Destroy immediately upon approval of this~~  
schedule.

RCS/B321/2/51  
NCR-90-78-1,82

**Division of Quarantine**

**22. Accession No. 85A0051**

4 Boxes from Division of Quarantine concerning tracking and public notification of outbreaks of Cholera, Smallpox, Plague, etc., from 1960 to 1980.

This accession documents the workings of this office and efforts of the CDC to track diseases worldwide. In addition, this accession complements documents concerning the workings of the Foreign Quarantine Program from 1958 to 1959 accessioned by the National Archives under accession no. 71A1175.

Disposition: PERMANENT. Transfer to NARA in FY99.

Richard H. Rayburn NRC-A