

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

1. FROM (Agency or establishment)

Department of Health and Human Services

2. MAJOR SUBDIVISION

National Institutes of Health

3. MINOR SUBDIVISION

Office of Management Assessment

4. NAME OF PERSON WITH WHOM TO CONFER

Leslie D. Watson

5. TELEPHONE

301-496-2832

## 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 6 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
JAN 21 1999	A Prentice Barnes, Sr. <i>A Prentice Barnes, Sr.</i>	DHHS Records Manager

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Previously approved N1-443-97-2</p> <p>Approval is requested to revise some sections of the Management Services 1700 series of the NIH Records Control Schedule. These changes were necessary to include schedules for electronic records; to delete 1700-A-2 as these records are no longer created or maintained; to add a new section (1700-A-3) for Office of Research Integrity (ORI) investigative records maintained by NIH; and to add additional sections to section 1700-A-4 to distinguish between "significant correspondence" and "all other correspondence" so that "working files" and developmental drafts are saved, but not as permanent records.</p>		

SEE ATTACHED

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-443-99-3

DATE RECEIVED

1-26-99

## NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

ARCHIVIST OF THE UNITED STATES

11-5-99

*John W. Carl*

## 1700 MANAGEMENT SERVICES

Records related to such services as studies and analyses of administrative procedures and operations, office procedures, correspondence, communications, printing and distribution services.

EXCLUDED from this section are

- (1) Directives and manual issuances. (See section 1100-F.)
- (2) Records related to Privacy Act requests. (See section 8000-F.)
- (3) Library records. (See section 8000-D.)

### A. Management Appraisal

Records related to management analyses, studies, reviews, audits and investigations.

EXCLUDED from this section are

- (1) Program planning and review records. (See section 1100-C or appropriate program heading.)
- (2) Personnel evaluations. (See item 2300-430.)

1700-A-1 Management Analyses, Studies, and Projects aimed at improving operations; simplifying procedures, organizing activities, programs or systems; increasing efficiency or productivity, determining costs, impacts, etc. Files include correspondence, interim reports, final drafts, final reports and working papers, e.g., notes, supporting documentation and data.

a. Management analyses, studies and projects that are NIH-wide, IC-wide, or that cover major programs, and that result in recommendations for significant changes in policies and procedures.

Disposition:

PERMANENT. Cut off when no further corrective action is necessary. Transfer to National Archives 10 years after completion of the project.

b. Management analyses, studies and projects that do not result in recommendations for significant changes in policies or procedures, or whose scope is limited to sub-units of an Institute/Center or of the Office of the Director, NIH, or which relate to staff or service functions such as personnel, fiscal accounting, procurement, timekeeping, etc.

Disposition:

Official File:

~~Cut off when no further corrective action is necessary. Destroy 2 years after cutoff. If essential for continuing operations reference, may be held up to 3 additional years.~~

*NC1-90-78-12*  
c. Other copies:

Destroy when superseded or discontinued or no later than 1 year after cutoff.

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

Disposition: Delete when recordkeeping copy has been created.

1700-A-2 Reserved

1700-A-3 Research Integrity Files:

Inquiry and Investigative Case Files: These case files contain copies of records, located in all NIH (Office of the Director and IC) offices, related to or collateral to pending, current, or completed allegations, inquiries, investigations or findings of research misconduct, and/or to actions that the Office of Research Integrity (ORI) has taken in connection with such allegations, inquiries, investigations and findings. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals, publications, correspondence, transcripts, final reports prepared by the institute or ORI, and other supporting documents. After the case has been closed (when there has been a final agency action), the records are separated into Misconduct/Administrative Action Files and No-Misconduct Files.

**NOTE: After the case is closed, immediately forward all original documents that were used in the inquiry or investigation, received in or generated by the office, to ORI which maintains the official file.**

a. All other copies:

After the case is closed, destroy NIH IC copies of files, excluding the final ORI report or other decision documents for those cases with a finding of Misconduct/Administrative Actions.

b. Final ORI Reports

Destroy the Misconduct/Administrative Action final ORI Report or other decision documents when 3 years old or after termination of the administrative action or when no longer needed for administrative purposes, whichever is later.

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

Disposition: Delete when recordkeeping copy has been created.

1700-A-4 Investigative/Audit Case Files documenting surveys, reviews, and audits of specific problems or allegations of impropriety or malfeasance.

a. Investigative case files located in all NIH (Office of the Director and IC) offices consisting of documents describing the inception, nature, scope and purpose of each project; all documents used in the inquiry and investigation including significant correspondence (including e-mail), working papers, working drafts, preliminary draft report, final draft report, final advisory report, and report related materials; comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

1. Historically Important case files documenting any case which, in consultation with the Director, Office of Management Assessment (OMA) is historically important because it resulted in major change in NIH or DHHS policy or procedure; was involved in extensive litigation; received widespread publicity in news media or scientific journals; or received considerable attention from the Congress or the Executive Office of the President. Records include: significant correspondence (including e-mail), preliminary draft report, final draft report, final advisory report, and supporting work papers for preliminary and subsequent drafts; case file including the allegation, opinions and IC follow-up response; and comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

Disposition:

~~PERMANENT. Place in inactive file after final agency action has received OMA concurrence. Transfer to the Federal Records Center after 1 year in inactive file or when no longer administratively needed. Transfer to the National Archives 30 years after final agency action.~~

NI-443-97-2

2. Minor Infractions case files documenting investigations of **minor infractions or improprieties** (for example, improper expenditure of public funds less than \$5,000), reviews of minor management problems or projects in which the final recommendation is that no action be taken. Records include: Significant correspondence (including e-mail), preliminary draft report, final draft report, final advisory report, and supporting work papers for preliminary and subsequent drafts; case file including the allegation, opinions and IC follow-up response; and comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; and related follow-up documents.

Disposition:

Place in inactive file after final agency action. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 5 years after final action on the project.

3. All other investigative case files except those that are unusually significant or documenting ethical standards by NIH officials or others.

Disposition:

Place in inactive file after final agency action. Inactive files may be retired to the Federal Records Center 1 year after final action. Destroy 20 years after final action on the project.

b.

Audit case files consisting of internal audits of NIH programs, operations, and procedures, and of external audits of contractors and grantees. Files consists of supporting working papers.

Disposition:

Place in inactive file when case is closed. Cutoff inactive file at end of fiscal year. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 8 years after cutoff.

c.

All other correspondence working papers, working drafts, and report related materials for audits and investigations.

Disposition: Destroy 1 year after final agency action has received OMA concurrence.

d.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of

the records covered by other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: Delete when recordkeeping copy has been created.

*See item*

final action. Destroy 20 years after final action on the project.

~~# 3a.~~

Electronic Version: Delete when file copy is generated or when no longer needed for reference or updating.

2. Audit case files consisting of internal audits of NIH programs, operations, and procedures, and of external audits of contractors and grantees. Files consists of supporting working papers.

*See item*~~3b.~~

Disposition: Place in inactive file when case is closed. Cutoff inactive file at end of fiscal year. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 8 years after cutoff.

Electronic Version: Delete when file copy is generated or when no longer needed for reference or updating.

**Clearances:**

Timothy Wheeles:

*Timothy Wheeles*

Director, Division of Management Support

1/6/99

Date

*for*

Patricia Abell:

*Patricia Abell*

Director, Office of Management Assessment

1/6/99

Date

Leslie Watson:

*Leslie Watson*

NIH Records Management Officer

1/6/99

Date