

## Request for Records Disposition Authority

Records Schedule Number      DAA-0167-2019-0001

Schedule Status      Approved

Agency or Establishment      National Institute of Standards and Technology

Record Group / Scheduling Group      Records of the National Institute of Standards and Technology

Records Schedule applies to      Agency-wide

Schedule Subject      NIST Research Project Case Files and Research Notebooks

Internal agency concurrences will be provided      No

Background Information      Records containing information regardless of the physical media or format created by NIST staff, laboratories, divisions, groups, or project teams, related to specific research projects or assignments that may be sponsored or funded by NIST, other government agencies, private sector businesses or other collaborators, scientific research consortia, or NIST interagency collaboration.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

## Outline of Records Schedule Items for DAA-0167-2019-0001

Sequence Number	
1	NIST Research Project Case Files and Research Notebooks
1.1	Selected Research Project Case Files and Research Notebooks Disposition Authority Number: DAA-0167-2019-0001-0001
1.2	Non-selected Research Project Case Files and Research Notebooks Disposition Authority Number: DAA-0167-2019-0001-0002

## Records Schedule Items

Sequence Number	
1	<p><b>NIST Research Project Case Files and Research Notebooks</b></p> <p>Records containing information regardless of the physical media or format created by NIST staff, laboratories, divisions, groups, or project teams, related to specific research projects or assignments that may be sponsored or funded by NIST, other government agencies, private sector businesses or other collaborators, scientific research consortia, or NIST interagency collaboration.</p>
1.1	<p><b>Selected Research Project Case Files and Research Notebooks</b></p> <p>Disposition Authority Number      <b>DAA-0167-2019-0001-0001</b></p> <p>A project case file should provide a reasonable record of a NIST scientific or technological project which would allow another person to reconstruct and/or verify the procedures and analyses. A project case file may contain: • incoming and outgoing correspondence • memoranda • email and email attachments (printed to pdf, scanned, captured directly from email, and other digital formats) • copies of contracts or other requests for service • technical papers • final reports • final research data • progress reports • photos and video footage • references or indexes to related electronic records and data • final statistical analyses, tables, charts, graphs, • analyses of research data, as needed • copies of final approved standards • copies of final presentations related to the project • copies of completed studies, published papers, including widely published drafts, or journal articles related to the project • copies of funding sources (e.g. grants, agreement, MOU, CRADA, IS) • internal draft documents, if required for data quality purposes. Research notebooks are the property of NIST and are maintained by individual scientists, engineers, or project teams and document the progress of research and experimentation. They are official government records. Research notebooks may contain: • notes of the investigator's observations and research progress • scientific methodology • preliminary conclusions • indices and other references to relevant electronic files • sketches and drawings • formulas or equations • statistical analyses • preliminary and final results of tests, experiments, research, investigations or other technological and scientific development activities. • witness signatures / initials and dates NOTE: Prior to closing research project case files, project case files and the corresponding research notebooks should be reviewed by the appropriate division chief to determine if the records meet any or all of the permanent records selection criteria described below. Research project case files (and the related research notebooks) meeting one or more of the criteria listed will be selected for permanent retention, clearly identified as permanently valuable records, and maintained separately from non-selected case files and research notebooks. Selection criteria: Case files (and related research notebooks) that are particularly significant for documenting NIST research projects that: 1. received national or international awards of distinction, i.e. the Nobel Prize; 2. were the work of prominent NIST investigators of widely recognized professional</p>

stature, or who have received national or international recognition outside their professional discipline; 3. were the subject of widespread national or international media attention; 4. resulted in significant social, political, or scientific controversy; 5. were the subject of extensive Congressional, Department of Commerce, or other government agency scrutiny or investigation; or 6. established a precedent for significantly changing NIST research or administrative policies. NOTE: Selected project case files and research notebooks cover NIST research projects that received attention identified under the selection criteria and not the attention the subject matter in general received nationally or internationally outside of the NIST investigation.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-167-92-1/ 27A  
N1-167-92-1/ 28A

#### Disposition Instruction

Cutoff Instruction Cut off annually at the close of the project.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

#### Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1991 To 2005

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	72 Cubic feet	
Microform		

Hardcopy or Analog Special Media		
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1.2

## Non-selected Research Project Case Files and Research Notebooks

Disposition Authority Number      DAA-0167-2019-0001-0002

A project case file should provide a reasonable record of a NIST scientific or technological project which would allow another person to reconstruct and/or verify the procedures and analyses. A project case file may contain: • incoming and outgoing correspondence • memoranda • email and email attachments (printed to pdf, scanned, captured directly from email, and other digital formats) • copies of contracts or other requests for service • technical papers • final reports • final research data • progress reports • photos and video footage • references or indexes to related electronic records and data • final statistical analyses, tables, charts, graphs, • analyses of research data, as needed • copies of final approved standards • copies of final presentations related to the project • copies of completed studies, published papers, including widely published drafts, or journal articles related to the project • copies of funding sources (e.g. grants, agreement, MOU, CRADA, IS) • internal draft documents, if required for data quality purposes. Research notebooks are the property of NIST and are maintained by individual scientists, engineers, or project teams and document the progress of research and experimentation. They are official government records. Research notebooks may contain: • notes of the investigator's observations and research progress • scientific methodology • preliminary conclusions • indices and other references to relevant electronic files • sketches and drawings • formulas or equations • statistical analyses • preliminary and final results of tests, experiments, research, investigations or other technological and scientific development activities. • witness signatures / initials and dates

Final Disposition      Temporary

Item Status      Active

Is this item media neutral?      Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?      Yes

GRS or Superseded Authority Citation      N1-167-92-1/ 27b  
N1-167-92-1/ 28b

Disposition Instruction

Cutoff Instruction

Cutoff annually at the close of the project.

Retention Period

Destroy 15 years after cutoff, but longer retention is authorized if required for business use.

Additional Information

GAO Approval

Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
07/29/2019	Certify	Donna Miller	Records Management Officer	Director's Officer - Management and Organization Officer
11/19/2019	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
04/22/2020	Submit For Certification	Donna Miller	Records Management Officer	Director's Officer - Management and Organization Officer
04/22/2020	Certify	Donna Miller	Records Management Officer	Director's Officer - Management and Organization Officer
10/06/2020	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/19/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/19/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist