

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-443-09-1	
To. NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/24/09	
1 FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION National Institutes of Health (NIH)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION OD/OM/OMA/DMS			
4 NAME OF PERSON WITH WHOM TO CONFER Nyja DeFrank	5 TELEPHONE NUMBER 301-496-2463	DATE 1/19/11	ARCHIVIST OF THE UNITED STATES WITHDRAWN
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 <u>7</u> page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached or <input checked="" type="checkbox"/> has been requested			
DATE 09/23/2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Yvonne K. Wilson</i> Yvonne K. Wilson		TITLE HHS Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Approval is needed for the following listed electronic systems under NIH Manual Chapter 1743 – Keeping and Destroying Records (NIH Records Control Schedule), Section 1100 Station Management, 1100-N General Administration Electronic Systems See attached schedule	None (New Schedule)	

1100 N General Administration Electronic Systems

1100-N-1 NIH OD Executive Secretarial System for Enterprise Records and Correspondence Handling (SERCH)

The purpose of the system is to provide electronic records management and document management for the NIH Director's and NIH Deputy Director's official correspondence and files, to track and distribute all correspondence addressed or directed to the NIH Director and the NIH Deputy Director and documents initiated by them, to assure timely and appropriate response, to classify and maintain these incoming and response documents, briefing materials, and meeting folders as part of the NIH Director's official files until they are either purged and shredded or accessioned to the National Archives and Records Administration according to the NIH Records Control Schedule

a Inputs

~~System inputs include e-mail and electronic documents imported into the system, as well as original hardcopy records that are scanned and entered into the system, along with the replies or final reports created as a result of the originating documents. Each record has approximately 20 metadata fields that are filled in by staff to ensure accurate retrieval and categorization. The system generates additional data as a result of processing. Some records originate in the Office of the Secretary of HHS and are transmitted via SWIFT to the NIH Executive Secretariat, then imported into SERCH.~~

NI-443-89-1
(NIH 1100-B-1a)

b Master File

Information content consists of correspondence between the NIH Director or Deputy Director and a citizen (US or foreign), academic/research scientist, Member of Congress, or US government official

Disposition PERMANENT. Cut off annually
Review files at 5-year intervals and transfer those which are no longer needed for reference to the Federal Records Center. Transfer to the National Archives 20 years after cutoff, in accordance with electronic records transfer instructions as specified in 36 CFR 1228.270

c Outputs
None

N/A

1100-N-2

NIH OD Delegations of Authority Database (DOA)
The NIH Delegations of Authority (DOA) Database provides authorized members of NIH with the ability to enter delegations of authority for their respective IC; edit data concerning IC-specific delegations they enter, and run reports on delegations of authority for all NIH IC officials. In addition, they can delegate redelegable authorities within NIH delegations, to another member of the NIH community authorized to receive the particular authority. A delegation of authority is the formal assignment or commitment of legal power, usually to a subordinate official, to make certain decisions and take certain actions that have legal significance. The OD Office of Management Assessment/Division of Management Support has a responsibility to coordinate and maintain NIH delegations of authority from the NIH Director to senior NIH officials.

a Inputs

~~The DOA database mirrors and tracks NIH and IC-specific delegations of authority. It is a copy of the delegations and does not contain the official record. The database is intended for use by NIH Users, IC Coordinators and OHR Subject Matter Experts. NIH-level input is entered manually by the NIH Delegations Officer or designee from the original hardcopy delegation memo signed by the NIH Director or OD delegate. IC-level input is entered manually by the IC Delegation Coordinator or designee from the original hardcopy re-delegation memo signed by the IC Director or delegate.~~

NC1-90-77-2
Item 7a
(NIH 1100-E-1a)

b Master File

The DOA database mirrors and tracks NIH and IC-specific delegations of authority. It is a copy of the delegations and does not contain the official record. The subject of the records are NIH delegates listed by position title to whom an authority is granted and the positions to whom the relevant authority may be re-delegated. Delegations of authority are emergency operating records which means they are vital to the continued functioning or reconstitution of an

organization during and after an emergency. They are records deemed vital under the NIH Comprehensive Emergency Management/Continuity of Operations Program (COOP) plan. As such, they are maintained for the period of time in which the authority is legally granted.

Disposition: TEMPORARY. Cut off when superseded or obsolete. Destroy 1 year after cutoff.

e. Outputs

~~Output consists of ad hoc data queries and reports run by the NIH Delegations Officer, IC Delegations Coordinator or their designees for the purpose of maintaining and tracking delegations easily, especially when a change in leadership occurs. The frequency of output preparation is based on need.~~

GRS 20
Items 4, 5, 6, 7,
12, and 16

~~Disposition: TEMPORARY. Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.~~

1100-N-3

NIH NIDDK Technology Transfer (TTTS)

The Technology Transfer Tracking System (TTTS) is a commercial off-the-shelf (COTS) product developed by Knowledge Sharing Systems that is a customizable database application for managing and tracking data and processes related to protecting and transferring technologies including patenting and agreements negotiations and pre-issuance and post-execution monitoring. The TTTS system enables the Office of Technology Transfer Development to identify legal deadlines, store agreements and technologies, provide information access to technology managers and investigators, track events, and automate processes. The system automatically generates documents, logs events, and logs due dates when certain criteria are met or triggers are hit.

a. Inputs

None

N/A

b. Master File

Content consists of data associated with legal deadlines, stored agreements and technologies,

information access to technology managers and investigators, tracking events, and automated processes

Disposition TEMPORARY Cut off inactive records upon issuance or expiration of patent, license, or cooperative agreement or last action taken regarding the matter if no patent, license, or cooperative agreement is involved Destroy 10 years after cutoff

e. Outputs

~~The system automatically generates documents, logs events, and logs due dates when certain criteria are met or triggers are hit~~

GRS 20
Items 4, 5, 6, 7,
12, and 16

~~Disposition TEMPORARY Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes~~

1100-N-4

NIH OD Interagency Edison (iEdison)

iEdison is a database repository for records on inventions conceived or first actually reduced to practice using NIH extramural grant or contract funds and from other participating government offices The database contains invention, patent, and utilization information and documents submitted by extramural grantees or contractors as required by the federal Bayh-Dole Act iEdison provides a unified electronic data system that receives stores, tracks, and monitors reported inventions and patents that have been awarded extramural grant or contract funding

a. Inputs

None

N/A

b. Master File

Funding recipients submit invention disclosures which are written reports that identify the funding agreement under which the invention was made and the inventor(s) Under the Bayh-Dole Act, the information provided is to be sufficiently complete in technical detail to convey a clear understanding to the extent known at the time of the disclosure, of the nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the

invention, as well as identifying any publication, on sale or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. Furthermore funding recipients provide information on associated patents and related utilization reports for each invention, as applicable.

Disposition TEMPORARY Cut off inactive records upon issuance or expiration of patent, license, or cooperative agreement or last action taken regarding the matter if no patent, license, or cooperative agreement is involved. Destroy 10 years after cutoff.

e-Outputs

~~Ad hoc data queries, FDA commercial products listing, reports for grants/contracts management staff to monitor invention reporting compliance (using Edison Report Lite an interface to query Edison)~~

GRS 20
Items 4, 5, 6, 7,
12, and 16

~~Disposition: TEMPORARY Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.~~

1100-N-5

NIH OD Technology Tracking System (TechTracs)

NIH TechTracs is a relational database management system that manages and monitors all aspects of the technology transfer process, i.e., CRADAs, invention disclosures, U.S. and foreign patent prosecution, license applications and agreements, technology, marketing, royalties' collection, technology abstracts, statistics, and financial management.

a-Inputs

~~There is no automated data entry. Entry into NIH TechTracs is primarily limited to manually entered information from forms or other documents (PHS 6364 Employee Invention Report, CRADA Clearance Documents), data from submissions (i.e. license applications), correspondence from various international patent offices, and from other sources as necessary. Many documents are scanned and attached to associated records in TechTracs. Data files are downloaded from our annuity contractors.~~

GRS 20
Items 2a4 and
2c

~~and manually imported into TechTracS-~~

~~Disposition-~~

~~(1) TEMPORARY Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.~~

~~(2) TEMPORARY Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228 31(b)(1)(i), whichever is later-~~

b Master File

NIH TechTracS is an information management system designed to track and monitor the short and long range programmatic intellectual property/technology transfer matters for the OTT. This includes, but is not limited to, invention disclosures, patent docket management, license application request, negotiation, docketing, post license execution activities of royalty collection, license monitoring of benchmarks and progress reports, tracking royalty distribution to inventors (OTT does not distribute the royalties), marketing of NIH technologies, and task order administration for work performed by the NIH patent law firm contractors. It tracks Cooperative Research and Development Agreements (CRADAs) submitted for review and monitors progress of executed CRADAs.

Disposition TEMPORARY. Cut off inactive records upon issuance or expiration of patent, license, or cooperative agreement or last action taken regarding the matter if no patent, license, or cooperative agreement is involved. Destroy 10 years after cutoff.

e Outputs

~~The system can produce reports based on ad hoc and predefined business rules. The user has the ability to query specific data and create user defined reports or use pre-formatted reports. Reporting can be described as (1) standard reports, (2) ad hoc reports,~~

GRS 20
Items 4, 5, 6, 7,
12, and 16

~~(3) docket reports, and (4) tracking reports—Word processing template documents can be created and used for forms—Based on predefined business rules, emails can be sent to specific points of contacts as action reminders or notices of event occurrence—The system provides daily updates to the licensing opportunity section of the OTT website. Patent information is used in conjunction with another program to identify potential market interest for scientific collaboration and/or licensing interests~~

~~Disposition—TEMPORARY. Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes~~

1100-N-6

NIH OD Project Performance Monitoring System (PPMS)

The NIH Program Performance Monitoring System (PPMS) is a web-enabled centralized password protected performance monitoring and reporting system used for gathering, managing, analyzing and disseminating program performance and budget data

a Inputs
None

N/A

b Master File

The system includes NIH performance measures and supporting budget data collected from program officers across the organization and managed by the Office of the Director (OD), Division of Program Coordination, Planning, and Strategic Initiatives (DPCPSI), Office of Performance Assessments (OPA) The system contains confidential performance and budget data which is used in public documents such as the Congressional Justification

Disposition TEMPORARY Destroy when no longer needed for reference or when 5 years old, whichever is sooner.

e Outputs

~~The system outputs includes performance measures and budget reports for the Congressional Justification (CJ) Government Performance Results Act (GPR),~~

GRS 20
Items 4, 5, 6, 7,
12, and 16

~~OMB's Program Assessments (formerly PART), HHS Annual Performance Plan, HHS Strategic Plan, NIH Director's Quarterly Performance Meetings, and Organizational Performance Assessments—The system provides multiple reportable and non-reportable standard, ad hoc and tracking reports—Example of reports generated from the system includes performance measure narrative report, summary tables, analysis reports, budget tables, Department-wide linkage tables, program assessments reports and graphical analysis charts and tables—~~

~~Disposition—TEMPORARY. Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes—~~

1100-N-7

NIH OD Roadmap Coding

The Roadmap Coding System is a database application that enables NIH Office of the Director (OD) Office of Budget personnel to assign codes to grants. These code values denote the relationship between the NIH's expenditure and an area of science, disease, or disorder. The system also enables Scientific and Budget Analysts to analyze expenditures by fiscal year and generate reports. Using this system, analysts generate budgetary and scientific year-end reports that are used to respond to internal and external requests for information. The data is also available earlier in the fiscal year so that the burden on program and budget staff to code grants and generate reports in a timely manner is greatly reduced. Additionally, the ability of the institute to respond to external queries is greatly enhanced.

a Inputs

None

N/A

b Master File

The system contains summary and detail spending levels by disease category related to the NIH Roadmap Initiative.

Disposition TEMPORARY Destroy when no longer needed for reference or when 5 years old, whichever

is sooner

~~e-Outputs~~

~~Primary outputs include ad hoc queries and summary funding levels by disease category~~

GRS 20
Items 4, 5, 6, 7,
12, and 13

~~Disposition TEMPORARY Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes~~