

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 Office of Public Health and Science

3. MINOR SUBDIVISION
Office of Research and Integrity

4. NAME OF PERSON WITH WHOM TO CONFER
Barbara Bullman

5. TELEPHONE
(301) 443-5300

LEAVE BLANK (NARA use only)

JOB NUMBER *N1-468-99-4*

DATE RECEIVED *7-1-99*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 *1-20-00* ARCHIVIST OF THE UNITED STATES *[Signature]*

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 _____ 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 *JUN 29 1999* SIGNATURE OF AGENCY REPRESENTATIVE *A. Prentice Barnes, Sr.* TITLE *HHS 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 GRS OR SUPERSEDED JOB CITATION	10.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>Approval is requested to schedule these records under its new STAFFDIV within the Office of the Secretary (OS). These changes are required due to a reorganization. The Office of the Assistant Secretary for Health (OASH) became the Office of Public Health and Science (OPHS) effective 10/1/95.</p> <p>NEW</p> <p>Chapter 1000: Office of Public Health and Science (OPHS) Records</p> <p>1000.01 Research Integrity Files</p> <p>A. Assurance Program Files: These files contain records located in the Office of Research Integrity, Division of Policy and Education. The records include the Initial Assurance Regarding Procedures for Dealing with and Reporting Possible Misconduct in Science Form (PHS 6315), the Annual Report on Possible Research Misconduct Form (PHS 6349), the face page of the PHS 398 and the institutional policies and procedures.</p>	<i>N1-514-93-1</i>	

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OF

7.
ITEM
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1. **The Initial Assurance Regarding Procedures for Dealing with and Reporting Possible Misconduct in Science (Initial Assurance) Form (PHS 6315)** – This form is used to implement Section 103 and 104 of 42 CFR part 50. The form is submitted by an applicant organization that has not previously submitted an assurance, is not covered under an existing assurance or where there is an organizational name change. In addition, the face page of the PHS 398 and institutional policies and procedures are kept with the Initial Assurance form.

Disposition: Temporary. Cutoff at close of CY. Destroy when

1 ~~five years~~ old, or when no longer needed administratively, *per conversation w/ B. Bullman* whichever is longer. *per B.B. 10/6/99 CA*

2. **The Annual Report on Possible Research Misconduct Form (PHS 6349)** – This form is used to implement Section 103 of 42 CFR part 50. This form is required by institutions to maintain their assurance. This form provides an update of the information on file for that institution and requests data on the organizations allegations, inquiries and investigations that has occurred during the year.

Disposition:

a. **Reported Activity. Temporary.** Cutoff at close of CY.

~~Retain at ORI for five years, and destroy after five years,~~ *Destroy when 5 years old* or when no longer needed administratively, whichever is longer.

b. **No Activity Reported. Temporary.** Destroy after one year, ~~or when replaced with current years form.~~

per conversation w/ B. Bullman 10/6/99 JS

3. **Electronic Version** – Data that is kept in an electronic database which includes the following information: IPF number, processing date, number of form, date of policies, annual reports, responses to policy questions, responses to allegation questions, Institutional contact, ~~titled~~ of Institutional officials, address, phone numbers, fax numbers, type of grant handling code date, e-mail addresses, and notes and comments.

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Disposition:

Temporary. Retain for ^{ONE} five years, or when no longer needed administratively for reference, whichever is longer.

*Per conversation w/ B. Bullman
10/6/89 SA*

B. Inquiry and Investigative Case Files: These case files contain records 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 institution or ORI, and other supporting documents. After the case has been closed, the files are separated into Misconduct/Administrative Action Files and No-Misconduct Files.

1. Misconduct/Administrative Action Files.

a. Final reports, case summaries, qualifications statement and curriculum vitae of expert consultants, news clippings about the case, copies of relevant publications by the person under investigation, and transcripts of all interviews with complainant, experts, witnesses and the subject of the investigation.

PERMANENT Case is closed after the final agency action and placed in the inactive file. Transfer to the WNRC when 3 years old or no longer administratively needed whichever is later. Case file should be removed from inactive file if further ORI, DAB or court action should occur. Transfer to the National Archives when 6 years old. Transcripts of witness interviews are exempt from disclosure under FOIA exemptions 6 and 7.

b. Final draft, case tracking materials.

TEMPORARY. When no hearing destroy when there is a final agency action. For cases where there is a hearing, retain for 1 year.

c. All other documents and file categories..

After a final agency decision, the records are placed in an inactive file. Transfer to the WNRC when 3 years old or administratively not needed, which ever is later. Destroy when 6 years old.

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7. ITEM NO.

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2. No Misconduct Files.

a. Final reports, case summaries, qualifications statements and curriculum vitae of expert consultants, news clippings about the case, copies of relevant publications by the person under investigation and transcripts of all interviews with investigation.

PERMANENT Case is closed after the final agency action and placed in the inactive file. Transfer to the WNRC when 3 years old or no longer administratively needed whichever is later. Case file should be removed from inactive file if further ORI, DAB or court action should occur. Transfer to the National Archives when 15 years old. Transcripts of witness interviews are exempt from disclosure under FOIA exemptions 6 and 7.

b. Final draft and case tracking materials.

TEMPORARY: Destroy upon close of case.

c. All other documents and file categories.

Place in inactive file after final agency action. Transfer to the WNRC when 3 years old or when no longer administratively need. Destroy when 6 years old.

3. ~~See Attached - electronic copies.~~
Please substitute this schedule for the previous version.

OS/OPHS Clearances:

Barbara Bullman:	<u>Barbara Bullman</u>	<u>5-18-99</u>
	ORI Records Officer	Date
Barbara Boyd	<u>Barbara Boyd</u>	<u>5/18/99</u>
	ORI Administrative Off.	Date
Thomas F. Joyce	<u>Thomas F. Joyce</u>	<u>6/1/99</u>
	for OS Records Officer	Date
Timothy M. White	<u>Timothy M. White</u>	<u>6/10/99</u>
	Associate GC	Date
Lauren Beauch	<u>Lauren Beauch</u>	<u>6/1/99</u>
	OPHS Records Official	Date

- 3. Electronic Version** – An electronic record created using word processing or electronic mail software that remains in storage on the computer system after the recordkeeping copy is produced.

Disposition:

Temporary. Destroy after the record keeping copy has been created.