

## Request for Records Disposition Authority

Records Schedule Number           DAA-0514-2020-0001  
Schedule Status                    Approved

Agency or Establishment           Office of the Assistant Secretary for Health  
Record Group / Scheduling Group   Records of the Office of the Assistant Secretary for Health  
Records Schedule applies to       Major Subdivision  
Major Subdivision                 Office of the Assistant Secretary for Health  
Minor Subdivision                 Office of Research Integrity  
Schedule Subject                  Office of Research Integrity Files  
Internal agency concurrences will be provided   No

Background Information            The Office of Research Integrity (ORI) is organizationally located within the Office of the Assistant Secretary for Health (OASH) within Office of the Secretary (OS) in the Department of Health and Human Services (HHS).  
ORI oversees and directs Public Health Service (PHS) research integrity activities on behalf of the Secretary of Health and Human Services with the exception of the regulatory research integrity activities of the Food and Drug Administration.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0514-2020-0001

Sequence Number	
1	Inquiry and Investigative Case Files
1.1	Misconduct/Administrative Action Files Disposition Authority Number: DAA-0514-2020-0001-0001
1.2	Misconduct Internal Summary Report (ISR) and Director's Memo (DM) - Final Report and Summary Disposition Authority Number: DAA-0514-2020-0001-0002
1.3	No misconduct/Administrative Action Files Disposition Authority Number: DAA-0514-2020-0001-0003
2	Assurance Program Records
2.1	Initial Assurance Regarding Procedures for Dealing with and Reporting Possible Misconduct in Science Form (PHS 6315) Disposition Authority Number: DAA-0514-2020-0001-0004
2.2	The Annual Report on Possible Research Misconduct Form (PHS 6349) Disposition Authority Number: DAA-0514-2020-0001-0005

## Records Schedule Items

Sequence Number											
1	<p><b>Inquiry and Investigative Case Files</b></p> <p>These case files contain records related to pending, current allegations, 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 of potential research malfeasance in relation to HHS funded research. Files consist of 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 including Decline to Pursue. In accordance with 42 CFR § 93.108 records are subject to FOIA exemptions 6 and 7.</p>										
1.1	<p><b>Misconduct/Administrative Action Files</b></p> <p>Disposition Authority Number      <b>DAA-0514-2020-0001-0001</b></p> <p>These case files contain records related to, or collateral to pending, current, or completed allegations, inquiries, investigations or findings of misconduct in science, and/or actions that the Office of Research Integrity has taken in connection with such allegations, inquiries, investigation and findings. Upon investigation completion these case files were deemed to have a level of Misconduct. Documents used in the inquiry and investigation include but are not limited to reports, copies of research data, proposals, publications, correspondence, memoranda of telephone calls, summaries of interviews, interim and final reports prepared by the institution, and other related documents. The Misconduct/Administrative Action files contains: the accession tab, case index, inquiry and investigation reports, final administrative actions, debarment documents, publications and news articles, policies and procedures, statistical analysis documents, scientific analysis documents, transcripts, expert documents, forensic analysis documents, legal analysis documents, liaison documents, litigation documents, compliance documents and case tab.</p> <table data-bbox="345 1514 919 1915"> <tr> <td>Final Disposition</td> <td>Temporary</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> </table>	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
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										

1.2	GRS or Superseded Authority Citation	N1-468-99-004-B1
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which the case closed.
	Retention Period	Destroy 10 years after cutoff.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Misconduct Internal Summary Report (ISR) and Director's Memo (DM) - Final Report and Summary</b>	
	Disposition Authority Number	DAA-0514-2020-0001-0002
	<p>These case files are final reports of the misconduct investigation, where ORI has recommended a finding of research misconduct and/or settlement. The Director's Memo (DM) is an executive summary to the ORI director, and provides a background, jurisdictional, publications affected, summary of findings, Division of Investigative Oversight (DIO) recommendations, and administrative actions to the misconduct investigation. The Internal Summary Report (ISR) final report provides an extensive report on the misconduct case. Detailed information in report includes: Respondent, Institution Officials, Background of Allegations, PHS Jurisdiction, Publications Affected, Summary of Findings (including figures, examples), Scientific Background, Allegations, Respondent, Institutional Inquiry/ Investigation, DIO analysis, Corrections/Retractions, and Administrative Action. In accordance with 42 CFR § 93.108 records are subject to FOIA exemptions 6 and 7, therefore the disclosure of information will be limited, to the extent possible, to those who need to know, and confidentiality must be maintained for the records and evidence.</p>	
	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
<b>Disposition Instruction</b>		
Cutoff Instruction	Cutoff at the end of the fiscal year in which the case closed.	

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

**Additional Information**

First year of records accumulation      1990

What will be the date span of the initial transfer of records to the National Archives?      From 1990 To 2005

How frequently will your agency transfer these records to the National Archives?      Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	15 GB	20 GB
Paper	25 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.3

**No misconduct/Administrative Action Files**

Disposition Authority Number      DAA-0514-2020-0001-0003

These case files contain records related to, or collateral to pending, current, or completed allegations, inquiries, investigations or findings of misconduct in science, and/or actions that the Office of Research Integrity has taken in connection with such allegations, inquiries, investigation and findings. Upon investigation completion these case files were deemed to have No-Misconduct. Files consist of all documents used in the inquiry and investigation including reports, copies of research data, proposals, publications, correspondence, memoranda of telephone calls, summaries of interviews, interim and final reports prepared by the institution, and other related documents. Item also includes "DTP" decline-to-pursue cases - in which the institutions conducted an investigation and made a finding, but ORI did not make a finding and declines-to pursue an investigation.

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	N1-468-99-004-B2
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which the case closed.
	Retention Period	Destroy 5 years after cutoff.
	<b>Additional Information</b>	
	GAO Approval	Not Required
2	<b>Assurance Program Records</b>	
	These 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.	
2.1	<b>Initial Assurance Regarding Procedures for Dealing with and Reporting Possible Misconduct in Science Form (PHS 6315)</b>	
	Disposition Authority Number	DAA-0514-2020-0001-0004
	This form is used to implement Sections 93.301 and 93.304 of 42 C.F.R. part 93. The form is submitted electronically by a sub-recipient awardee 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 Grant Application Awardee and institutional policies and procedures are kept with the Initial Assurance form.	
	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?	No

2.2

GRS or Superseded Authority Citation	N1-468-99-004-A1
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of the calendar year in which the form is submitted.
Retention Period	Destroy 3 years after cutoff.
Additional Information	
GAO Approval	Not Required
The Annual Report on Possible Research Misconduct Form (PHS 6349)	
Disposition Authority Number	DAA-0514-2020-0001-0005
This form is used to implement Section 93.302 of 42 C.F.R. part 93. The form is required by institutions and completed electronically 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 have occurred during the past year.	
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	N1-468-99-004-A2a N1-468-99-004-A2b
Disposition Instruction	
Cutoff Instruction	Cut-off at close of the calendar year of last agency action.
Retention Period	Destroy 5 years after cutoff.
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
04/01/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
07/10/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
08/28/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
08/28/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
09/03/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
12/28/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
12/28/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
01/28/2021	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
02/03/2021	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
02/03/2021	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary



06/30/2021	Submit for Concurrency	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
07/09/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/13/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/13/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist