

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-514-93-1	DATE RECEIVED 11-6-92
1. FROM (Agency or establishment) Health and Human Services		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Public Health Service		In accordance with the provisions of 44 U.S.C. 13303a 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Office of the Assistant Secretary for Health			
4. NAME OF PERSON WITH WHOM TO CONFER Johanna O. Bonnelycke	5. TELEPHONE 301-443-2055	DATE 1-23-95	ARCHIVIST OF THE UNITED STATES <i>Candy Huslamo Petersen</i>

**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 1 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 11/03/92	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A Prentice Barnes, Sr.	TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Amend the OASH Records Disposition Schedule to include the Office of Research Integrity Files as attached.		
<i>Copies sent to agency, NNI, NCF, NIA 2/1/95</i>			

## OASH Records Disposition Schedule

### Research Integrity Files:

A. 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, ~~until 75 years old.~~

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.

#### 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 ~~until 50 years old.~~

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.

Approved:

Lyle W. Bivens  
Lyle W. Bivens, Ph.D.  
Director, Office of Research Integrity

Date:

2/18/94

Approved:

Chris B. Pascal  
Chris B. Pascal  
Legal Advisor for the Office of Research Integrity

Date:

2/14/94

Please substitute this schedule for the previous version.