

**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  
 Public Health Services

3. MINOR SUBDIVISION  
 Office of the Assistant Secretary for Health

4. NAME OF PERSON WITH WHOM TO CONFER  
 Johanna Bonnelycke

5. TELEPHONE  
 443-2055

**LEAVE BLANK (NARA use only)**

JOB NUMBER  
 NI-514-94-1

DATE RECEIVED  
 3-24-94

**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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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  
 1-23-95

ARCHIVIST OF THE UNITED STATES  
 Cindy Hankamp Peterson

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: 02/25/94

SIGNATURE OF AGENCY REPRESENTATIVE: *A. Prentice Barnes*  
 A. Prentice Barnes

TITLE: DHHS Records Management Officer

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 GRS OR SUPERSEDED JOB CITATION	10.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 for the PHS Alert Files and the Assurance Program Files of the Office of Research Integrity, as attached.</p> <p>This will become item 26.b. of the OASH Records Disposition Schedule, Appendix B-300 of the HHS Records Management Manual.</p>		

*Copy sent to agency, NNT 2/1/95*

Research Integrity Files

1. PHS ALERT Files: These files pertain to the Public Health Service ALERT Records Concerning Individuals Found to Have Committed Research Misconduct in PHS Sponsored Research.

Disposition:

TEMPORARY:

- A) Records on an open investigation in which the institution has found misconduct but where the ORI has determined that no misconduct is found: Destroy after final ORI action.
- B) Records on closed cases where there has been an administrative action imposed: Destroy after completion of the administrative action period.

2. Assurance Program Files: These files contain records related to or collateral to the Assurance Program. Files consist of the initial assurance, the Annual Report on Possible Research Misconduct, Policies and Procedures of the Institutions, correspondence and related documents.

Disposition:

TEMPORARY:

- A) Annual Report on Possible Research Misconduct: Destroy after the renewal form has been received or when administratively not needed.
- B) Initial Assurance and Other Documents: Destroy when administratively not needed.

Please substitute for previous version.

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

Date: 2/15/94

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

Date: 2/14/94