

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>NI-443-09-4</b>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>9/24/09</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 <b>1/10/11</b>	APPROVIST OF THE UNITED STATES <b>WITHDRAWN</b>
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>15</u> page(s) are not needed 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 Yvonne K. Wilson <i>Yvonne K. Wilson</i>	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 2300 Personnel, 2300-991 Personnel Electronic Systems  See attached schedule	None (New Schedule)	

2300 991 Personnel Electronic Systems

2300-991-1 NIH CC Medical Staff Credentialing Processes  
(SACRED)

Information is collected from individual members of the Clinical Center Medical Staff and is used to document their credentialing and privileging under authority of Section 301 of the Public Health Service Act

a Inputs

~~Information is abstracted and entered by individual members of the Clinical Center Credentialing Staff. The authority for collecting the requested information specifically for this system is contained in section 301 (42 U.S.C. 241) of the Public Health Service Act, as amended, outlining the authority of the Secretary to, within the Public Health Service (PHS) promote the coordination of various research and associated activities, including for purposes of study, admitting and treating individuals at PHS facilities. Section 402(b) of the Public Health Service Act (42 U.S.C. 282(b)), as amended, outlining the authority of the Director of the National Institutes of Health (NIH) with respect to the admission and treatment of individuals at NIH facilities for purposes of study. Forms used for collection include—  
Record of Participation in Patient Care (NIH-101)  
Application for Initial Appointment to the Medical Staff (NIH-2688)  
Application for Reappointment to the Medical Staff (NIH-2688-1)  
Application for Short-Term Appointment to the Medical Staff (NIH-2688-2)  
Delegation of Privileges (NIH-2677-X)—there are almost fifty different versions based on specialty/subspecialty  
Signature Capture & Authorization Form (NIH-2879)  
Request for Interim Privileges (NIH-2695-2)—only the approval date is entered in Sacred~~

NI-443-93-1  
(NIH 2300-293-4a)

b Master File

SACRED stores information on individuals who have been approved as members of the medical staff at the Warren G. Magnuson Clinical Center. Medical staff name, date of birth, home address and telephone

number, office address and telephone number, citizenship, visa information, appointment date, hospital-wide computer access privileges, Institute/Center designation, branch/lab, type of medical staff membership, privilege delineation, professional degree(s) including school of attendance and graduation dates, foreign medical examinations, specialty board certifications, licensing information (including state of licensure and license number), record of disciplinary actions, documentation of training, and admitting privileges.

Disposition TEMPORARY Delete inactive information in the database when no longer needed

e-Outputs

~~Outputs consist of textual notification letters to medical staff, as well as periodic reviews for the credentialing staff. Standard and ad hoc reports can be generated for administration oversight and statistical reporting.~~

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

~~Disposition TEMPORARY Delete inactive information in the database when no longer needed.~~

2300-991-2

NIH OD/ORS/ISA ATLAS

The system monitors and tracks NIH Sponsored foreign scientist immigration information

a. Inputs

~~1 Data comes from the IC on NIH forms 829-1, 829-2, 829-5, 829-7, 590. Data is also provided personally by foreign scientists, e.g., changes in bio information, and assorted worksheets that are used to update information.~~

NC1-90-77-2  
Item 58a  
(NIH 2300-320-6)

~~2 Data is downloaded from the Department of Homeland Security via SEVIS (Student and Exchange Visitor Information System).~~

GRS 20  
Item 2c

b Master File

Includes all data required by Department of Homeland Security and the Department of State as it regards the sponsorship of foreign scientists (immigration related)

Disposition: TEMPORARY Cut off after fiscal year in which related activity is completed. Destroy 6 years after cutoff or when no longer needed for reference, whichever is longer

e. Outputs

~~Data is used to produce letters and documents for immigration purposes, reports for use by IC and other official entities as requested~~

NC1-90-77-2  
Item 58a  
(NIH 2300-320-6)

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

2300-991-3

NIH NIGMS Pharmacology Research Associate Tracking System (PRAT)

The PRAT system is a web-based system that was developed to collect and maintain information on PRAT participants. In particular, this system enables PRAT administrators to track alumni's career progress, and subsequently, use the collected information to report to NIH, the Government Accountability Office (GAO) and Congress

a. Inputs

None

N/A

b. Master File

The PRAT system contains data of applicants, preceptors, and Fellow/Alumni of the program

Disposition: TEMPORARY Cut off annually Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer

e. Outputs

~~The PRAT System generates Applicant, Fellow, and Preceptor reports containing name, address, phone, education, documents received history, and status of the application~~

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~~

2300-991-4 NIH OD NIH Integrated Training System II (NIHITS II)

The NIH Integrated Training System, version 2 (NIHITS II) is a Web-based training nomination system used at the National Institutes of Health (NIH) NIHITS II allows for the creation, approval, and tracking of employee training nominations. It also provides a short summary of an employee's training history.

a. Inputs

None

b. Master File

NIHITS collects training data for internal and/or external training nominations for Federal Employees and some Non-Federal employees. The account data may be updated on a daily basis by NIHITS Super User. While training records can only be generated after a nomination has been approved by an admin staff or by system end-users.

Disposition: TEMPORARY Cut off annually  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer

c. Outputs

None

2300-991-5 NIH FIC CareerTrac

CareerTrac is a global trainee tracking and evaluation system for the Fogarty International Center (FIC) at the NIH. The goal of this system is to create a complete trainee roster for all FIC research training programs and to monitor outputs, outcomes and impacts of FIC trainees.

a. Inputs

None

N/A

b. Master File

The main aim of this system is to track, evaluate and report short and long-term outputs, outcomes and impacts of international and US trainees involved in health research training programs.

Disposition TEMPORARY Cut off annually  
Destroy 5 years after cutoff or when no longer needed  
for reference, whichever is longer

e-Outputs

~~The system generates output in 3 formats: (1) Excel Download, (2) PDF Reports, and (3) Query. The PIs can download reports on the trainees that they have entered into the system, Program Officers can look at their program trainees and also trainees across other programs.~~

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.~~

2300-991-6

NIH NHGRI Trainee Tracking Database

The system supports the overall training mission of the intramural program through the monitoring and tracking of trainees at all levels. The database enables the ITO (Intramural Training Office) to create and manage records for all trainees. A record of each trainee contains name, degree, gender, race, employment status, department and mentor and is maintained to capture aggregate demographic information, to track the progress of individual trainees, and to manage follow-up surveys, annual reviews, and exit interviews critical for the evaluation of the training program. The information in the database aggregated across the data set, presents a snapshot of the size and demographics of the trainees each year.

a-Inputs

~~Documents are submitted that consist of annual reviews, branch, position title, EOD (Enter on Duty), name, CV (resume), gender, race/ethnicity for diversity and evaluation purposes. The information from the documents is entered manually into the system and the documents are stored elsewhere.~~

GRS 1  
Item 18b

b Master File

The following information is collected within this database for diversity and evaluation purposes

annual reviews, branch, position title, Enter on Duty date, name, CV or resume, gender, race/ethnicity

Disposition TEMPORARY Cut off annually  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer

e-Outputs

~~Ad hoc reports are created using the following data fields Annual reviews, branch, position title, EOD (Enter on Duty), name, CV (resume), gender, race/ethnicity for diversity and evaluation purposes.~~

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.~~

2300-991-7

NIH NIAID Intramural NIAID Research Opportunities Program (INRO)

INRO introduces students to research and training opportunities in NIAID's Division of Intramural Research and the Vaccine Research Center To support this endeavor, NIAID created the INRO application INRO provides an on-line application process for students interested in the INRO Program, and enables reviewers to view these applications and assign ratings and select students for participation It serves as a resource for INRO program administrators

a Input

None

N/A

b Master File

The master file includes detailed student application information used by reviewers to evaluate the qualifications of the applicants and determine their suitability for selection to the INRO program. Students enter this information into a public facing Web page after establishing an account using their email address as the ID and the Password of their choice Also included are reference recommendations and reviewer comments

Disposition TEMPORARY Cut off annually

Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer

e. Outputs

~~Reviewer assignment lists, reminder emails to applicants, emails to references requesting information, emails to accepted students, and a list of students not accepted to assist administrator people in preparing hard copy letters to non-selected students~~

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~~

2300-991-8

NIH NIDCR Intramural Research Training Awards Database (IRTA)

The NIDCR training database is used to house an accurate account of trainees that have been at NIDCR including their educational background, training history and personal information. This "system" is essentially a stand-alone MS database used by the Intramural Training Coordinator.

a. Inputs

None

N/A

b. Master File

Documentation of all trainees at NIDCR and the timeframe of their training are housed in these files. Background information on the education level, previous training experience and other sensitive information about the trainee are recorded.

~~Disposition TEMPORARY Cut off annually  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer~~

e. Outputs

~~This system is used to generate reports on trainees who have worked at NIDCR. This information can be generated in the form of graphs with numerical significance recorded.~~

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.~~

2300-991-9

NIH OD OIR Graduate Partnerships Program  
Application, Tracking, Registration, and Evaluation  
Database

The system is designed to identify prospective students for dissertation research (application), monitor the progress toward degree of current students (tracking), register investigators looking for trainees, register trainees for workshops/activities, and evaluate applicants for admission consideration.

a Inputs

None

N/A

b Master File

Applications by prospective students contain the typical graduate school application material, including letters of recommendation and transcripts. Application materials are held active for one year then archived at the close of the admission cycle unless the student matriculates. Students matriculating have their record transferred to the Tracking section of the database where the staff can monitor progress towards degree. Investigator registrations contain details about the research being performed within the laboratory and contact information. This information is posted online and will continue to be unless the investigator wishes to be removed or leaves the NIH to pursue other career options. Some investigators have an additional role in ARTIE, evaluator of prospective students. In this capacity, the investigators have access to the applications for his/her partnership affiliation and submit assessments of the students through the online system. The results of the assessments will determine if a student is invited to interview for admission.

Disposition TEMPORARY Cut off annually.  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer

c Outputs

~~ARTIE is designed to allow the GPP to generate reports on the major populations using the software~~

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

~~system and access to specific fields contained within the online forms-~~

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

2300-991-10 NIH OD OSE SciMentorNet (SMN)

SciMentorNet is an on-line e-mentoring program that extends existing efforts of a partnership with the NIH Office of Behavioral and Social Science Research (OBSSR) and the NIH Office of Science Education (OSE) SciMentorNet ultimately aims to link e-mentors with U S high school students, minimum age 16, and college students, who are interested in behavioral and social science, biomedical science, dental, and healthcare careers Through this e-mentoring program, student “protégés” are linked via e-mail with their e-mentors who provide them with relevant career information, guidance and support E-mentoring takes place on a secured Internet Web site managed by the NIH. The program provides students a safe place to receive professional and ongoing support as they strive for academic and career success

a Inputs

None

N/A

b Master File

The application consists of three databases

- The first database, available to the general public, provides information documentation which lets users know what the mentor program is, who can join, orienting information, the two Conditions of Service documents, and the mechanics of the program There is no customer data stored in the database If users decide to participate in the mentor program as a mentor or as a student requesting a mentor, they are linked to a secure server
- The second is a secure database, where prospective participant applications are completed, submitted, and stored Students will be able to view mentor's name, professional affiliation, home institution (name only), and a statement of professional activities during the

registration (mentor selection process)

- The third database provides a SciMentorNet email database where communications between mentors and student from personal email will be routed. Mail from a student will be deposited in this email database. Each email must have a subject containing both the mentor and student IDs. A never ending agent will continually poll the email database, searching for mail, and when a document is found, the agent will count the activity, strip the document of identifying return address information, and forward the email to the intended recipient (based on the unique IDs controlling this specific mentor-student pair). The document will be deleted from the email database after the forward action occurs.

Disposition TEMPORARY Cut off annually  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer.

c. Outputs

None

N/A

2300-991-11 NIH OD Research and Training Opportunities System (RTO)

The Office of Intramural Training & Education (OITE) administers a variety of programs and initiatives to recruit and develop individuals who participate in research training activities on the NIH's main campus in Bethesda, Maryland, as well as other NIH facilities around the country. These activities range from internships at the high school level through postdoctoral and clinical fellowships. To facilitate its recruitment function, the OITE maintains the NIH Research and Training Opportunities (RTO) Web site, <http://www.training.nih.gov>, which includes applications and related forms for a range of intramural research training programs. The application system includes a back-end database that functions as a centralized repository of information regarding program applicants. Collection of the information in this system is authorized under 42 USC 282(b)(10), 282(b)(13), 241, 242i, 284(b)(1)(C), 284(b)(1)(K), 42 CFR Part 63, and 42 CFR Part 61, Subpart A. The primary use of this information is to evaluate applicants' qualifications for research

training at the NIH.

a. Inputs  
None.

N/A

b. Master File

System records include applications, letters of recommendation, and ratings and notes regarding specific applications.

Disposition: TEMPORARY. Cut off annually.  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer.

e. Outputs

~~The system produces both ad hoc and canned reports.~~

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.~~

2300-991-12

NIH ORS CPR Training Registration System

The Occupational Medical Service, Division of Occupational Health and Safety, CPR Training System is used to manage registration for CPR classes and maintains records of participant completion.

a. Inputs  
None.

N/A

b. Master File

This system retains information on NIH employees who request or are required to attend CPR training; they are primarily Health Care providers and the general population of NIH. Content on the master file consists of: First Name; Last Name; Phone Number; Institute: Building; Room; and e-mail address. This system does not receive data from any other source. Data received is from NIH staff located in the Washington metropolitan area. Data is updated as training is conducted.

Disposition: TEMPORARY. Cut off annually.  
Destroy 5 years after cutoff or when no longer needed for reference, whichever is longer.

e. Outputs

~~System outputs consists of quarterly work load statistics indicating the number of classes held, the number of persons trained, and their job description. There are no other outputs or inter-connectivity with other systems. This data is not shared with other systems or databases.~~

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.~~

2300-991-13

NIH OD Undergraduate Scholarship Program (UGSP)

The NIH UGSP Web site and Electronic Application System provides a Web-based interface for individuals to obtain information, such as eligibility requirements and conditions for participating in the NIH Undergraduate Scholarship Program (UGSP). The Web site also provides an electronic application system with the ability to download and print application forms.

a. Inputs

None.

N/A

b. Master File

UGSP application data. Applicants must be US citizens or permanent residents. Recruitment is nation-wide and we receive applicants from all over the country. Applicant data collected include the following: 1. Contact information; 2. University enrollment; 3. Brief applicant biography; 4. Letters of recommendation; 5. University certification of exceptional financial need. This information is collected yearly during each application cycle from November through February.

Disposition: TEMPORARY. Cut off file at the end of each fiscal year. Retire to the FRC 1 year after cutoff. Destroy 3 years after cutoff or when no longer needed for reference, whichever is longer.

e. Outputs

N1-443-91-1

~~At the end of each application cycle, application information is collected and used by the UGSP Scientific Review Committee to determine eligibility and qualification of applicants.~~

(NIH 2300-537-4)

~~Disposition: TEMPORARY.~~

~~a. Participant Case Files—Cutoff file at the end of the fiscal year in which cut off occurs and place in inactive file. Transfer to Federal Records Center 1 year after cutoff. Destroy 6 years after cut off.~~

~~b. Applicant Case Files—Cut off when the applicant is sent a letter of disapproval or when the application is withdrawn. Destroy 3 years after cutoff.~~

2300-991-14

NIH OD Loan Repayment Program (formerly OLRS)

The NIH Loan Repayment Programs (LRPs) are a vital component of our nation's efforts to attract health professionals to careers in clinical, pediatric, health disparities, or contraceptive and infertility research. In exchange for a two-year commitment to a research career, NIH will repay up to \$35,000 per year of qualified educational debt, in addition to Federal and state taxes that result from these benefits. The NIH LRP Website and Electronic Application System provide a web-based interface for individuals to obtain information about participating in the NIH loan repayment programs. The website also provides an electronic application system that allows applicants to login to a secure website and provide all required documents. Applicants can also view the status of all forms they have submitted, as well as the status of forms submitted on their behalf by their supervisors, recommenders, and institutional officials.

a. Inputs

1. Application data are initially gathered from applicants and their colleagues (recommenders, research supervisors and organizational contacts) via OMB approved forms NIH 2674-1 through 19. Additional loan data are input from faxes submitted by the applicants (promissory notes and loan statements) including loan balances, loan type and interest rates.

GRS 20  
Items 2a4 and  
2c

~~2. The Division of Loan Repayment (DLR) also receives monthly data feeds from AES and the Department of Education and twice monthly data feeds from Sallie Mae. These data provide a 12 month payment history. Only data relevant to the benefits calculation is input to the systems.~~

b. Master File

The information captured and stored in the DLR systems relates to the applicant/participant. These data include SSN, contact information, educational background, RNO data (voluntary), personal statement, funding sources, research activities, recommendations (with recommender contact information), training and mentoring plan, description of research environment, mentor's biographical sketch, and loan information (lender, loan servicer, loan type, balance, interest rate, status, etc). All data collected is approved by OMB. Application data are captured annually between September 1 and January 9. Application data are migrated annually to a Participant Servicing system. The Participant Servicing data includes both collected data and system generated data. Collected data includes the participant contact information, supervisor name and email, loan data, payment verification data, and service verification data. System generated data includes contact information (status, start date, end date, participant obligation), payment data, and audit trails.

Disposition: TEMPORARY. Cut off after the applicant/participant file becomes inactive. Destroy 6 years after cutoff or when no longer needed for reference, whichever is longer.

e. Outputs

~~1. The online application system outputs include a PDF of the online application that is available to the applicant and also the NIH ICs and their reviewers. A form 398 is created and sent daily to CSR during the application cycle so that each application can be input into IMPACH and assigned to an institute or center. The application PDF is passed to IMPACH and uploaded on that system also. Various actions in the systems trigger emails to the applicants,~~

N1-443-91-1  
(NIH 2300-237-4)

participants, and their colleagues. The frequency of the email varies based on the type. For example, research supervisors are sent quarterly emails to complete service verifications and supplementation reminders if the form is not completed within a week. The award email is only generated once when the IC makes a funding decision. DLR also creates file folders for applicants and participants and tracks them using Infolinx.

Disposition: TEMPORARY.

a. Participant Case Files – Cut off file at the end of the fiscal year in which cut off occurs and place in inactive file. Transfer to Federal Records Center 1 year after cut off. Destroy 6 years after cut off.

N1-443-00-2  
(NIH 2300-537-1)

b. Applicant Case Files – Place in inactive file when the applicant is sent a letter of disapproval or when the application is withdrawn. Destroy 3 years after disapproval or withdrawal.

2. DLR produces an Annual Report consisting of summary data related to the application cycle.

N1-443-91-1  
(NIH 2300-537-3)

Disposition: TEMPORARY. Cut off file at the end of each fiscal year. Re file to the FRC 1 year after cutoff. Destroy 3 years after cutoff.

3. Ad hoc reports are generated as needed.

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

Disposition: TEMPORARY. Destroy when superseded, obsolete, or no longer needed for administrative purposes.