

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2017-0001

Schedule Status Approved

Agency or Establishment National Institutes of Health

Record Group / Scheduling Group Records of the National Institutes of Health

Records Schedule applies to Agency-wide

Schedule Subject Certificates of Confidentiality

Internal agency concurrences will be provided No

Background Information

Certificates of Confidentiality (CoCs) are authorizations issued by the National Institutes of Health (NIH) that helps researchers and their institutions safeguard the privacy of research participants enrolled in sensitive biomedical and behavioral research by protecting against compulsory legal demands, such as subpoenas for identifying information. Certificates of Confidentiality are issued for research that is funded by NIH, or at its discretion, for sensitive research that is related to the NIH health research mission. Research institutions can use a COC to avoid forced disclosure of names and other identifying characteristics about research participants.

Records relating to CoCs include:

- Correspondence;
- Applications and Certificates of Confidentiality issued for Intramural Research;
- Applications and Certificates of Confidentiality issued for Extramural Research; and,
- Applications and denied Certificates of Confidentiality responses.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0443-2017-0001

Sequence Number	
1	Certificates of Confidentiality issued for Intramural Research
1.1	Certificate of Confidentiality Support Documentation Disposition Authority Number: DAA-0443-2017-0001-0001
1.2	Issued Certificates of Confidentiality Disposition Authority Number: DAA-0443-2017-0001-0002
2	Certificates of Confidentiality issued for Extramural Research or other Outside Research Disposition Authority Number: DAA-0443-2017-0001-0003
3	Denied Certificates of Confidentiality Disposition Authority Number: DAA-0443-2017-0001-0004

Records Schedule Items

Sequence Number	
1	Certificates of Confidentiality issued for Intramural Research
1.1	Certificate of Confidentiality Support Documentation
	Disposition Authority Number DAA-0443-2017-0001-0001
	Records related to the request for a Certificate of Confidentiality include applications, associated documentation, master lists of Certificates of Confidentiality maintained by the issuing Institute or Center, and correspondence, for Intramural research that is being conducted internally at the NIH.
	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? No
	Disposition Instruction
	Cutoff Instruction Cut off annually at expiration of the Certificate of Confidentiality.
	Retention Period Destroy 6 year(s) after cutoff.
	Additional Information
	GAO Approval Not Required
1.2	Issued Certificates of Confidentiality
	Disposition Authority Number DAA-0443-2017-0001-0002
	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? No
	Disposition Instruction
	Cutoff Instruction Cut off annually after all of the individually identifiable data (including biosamples) from the research project

2		for which the Certificate of Confidentiality was issued, have been destroyed, used, or otherwise are no longer remaining at the NIH Intramural program.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Certificates of Confidentiality issued for Extramural Research or other Outside Research	
	Disposition Authority Number	DAA-0443-2017-0001-0003
	These records include applications and associated documentation, master lists of Certificates of Confidentiality maintained by the issuing Institute or Center, correspondence, and Certificates of Confidentiality issued for Extramural Research or other outside research. Extramural research includes research that is funded through NIH grants, cooperative agreements, and Research and Development contracts. Other outside research pertains to Certificates of Confidentiality issued for research related to the NIH health mission that is not funded by NIH.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
3	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off annually at expiration of the Certificate of Confidentiality.
	Retention Period	Destroy 6 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Denied Certificates of Confidentiality	
	Disposition Authority Number	DAA-0443-2017-0001-0004
	These records include applications, associated documentation, and correspondence.	
	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?

No

Disposition Instruction

Cutoff Instruction

Cut off annually at notification of denial.

Retention Period

Destroy 3 year(s) 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
01/12/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/19/2017	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
01/19/2017	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/19/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
06/22/2017	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
06/22/2017	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
06/22/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
07/18/2017	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
07/19/2017	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/19/2017	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/20/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist