

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2017-0004

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 Policy Records

Internal agency concurrences will be provided No

Background Information NIH Policy Records include the final approved policies, supporting documentation, standard operating procedures, drafts, comments received, and other background information created during the policy development period. This schedule applies to all policies created at NIH, including administrative and scientific, and those policies approved at all levels.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0443-2017-0004

Sequence Number	
1	Director-Level Policy Records Disposition Authority Number: DAA-0443-2017-0004-0001
2	Policy Records Approved Beneath the Director-Level Disposition Authority Number: DAA-0443-2017-0004-0002
3	Policy Development, Background, Support Records, and Standard Operating Procedures Disposition Authority Number: DAA-0443-2017-0004-0003

Records Schedule Items

Sequence Number	
1	<p>Director-Level Policy Records</p> <p>Disposition Authority Number DAA-0443-2017-0004-0001</p> <p>This item pertains to policy records created within the Office of the Director of the National Institutes of Health or within an Institute or Center (IC), which document policies and procedures and are approved at the Director-level. Policy records include all finalized policies created to establish and describe internal program policies, policy frameworks, directives, manual chapters, policy statements, procedures, position papers, approvals, and all other records, such as recommendations, studies, evaluations, presentations, reports, conclusions, manuals, and guides, that document policy decisions and are used to facilitate final decisions. All supporting and background documents developed in support of the final policy are included in Item 0003.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-90-77-002 /1 NC1-90-78-009 /7/a NC1-90-77-002 /9/a1 NC1-90-77-002 /33</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the fiscal year in which the policy becomes obsolete or superseded.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 1958</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1958 To 2003</p>

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	900 MB
Paper	70 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

Policy Records Approved Beneath the Director-Level

Disposition Authority Number **DAA-0443-2017-0004-0002**

This item pertains to all other policy records that are not approved within the Office of the Director of the National Institutes of Health or within an Institute or Center (IC), at the Director-level. Policy records document internal policies and procedures. Policy records include, but are not limited to, all finalized policies created to establish internal program policies, policy frameworks, directives, procedural instances, policy statements, position papers, approvals, and all other records that document policy decisions and are used to facilitate final decisions.

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**

GRS or Superseded Authority Citation **NC1-90-77-002 /9/b
N1-443-98-003**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which the policy becomes obsolete or superseded.**

Retention Period **Destroy 7 year(s) after cutoff**

Additional Information

3

GAO Approval Not Required

Policy Development, Background, Support Records, and Standard Operating Procedures

Disposition Authority Number DAA-0443-2017-0004-0003

This item pertains to records that document the development of policies and procedures. These records include standard operating procedures, drafts, notes, comments, internal correspondence, background documents, and related working papers, such as studies, reports, and determinations of committees, created during the drafting of policy records described in Item 0001 and 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

GRS or Superseded Authority Citation NC1-90-77-002 /9/a2

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year in which the related policy or standard operating procedure becomes obsolete or superseded.

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
08/30/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
09/13/2017	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
10/05/2017	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
10/05/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
10/16/2017	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
10/20/2017	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
10/20/2017	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
11/15/2017	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
01/25/2018	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/25/2018	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/30/2018	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
01/30/2018	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/30/2018	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH

01/30/2018	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
02/01/2018	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
02/01/2018	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
05/03/2018	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
05/03/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
05/07/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/08/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist