

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2019-0007

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 Investigation Proceedings and Audit Case File Records

Internal agency concurrences will be provided No

Background Information

The National Institutes of Health (NIH) conducts audits or investigation proceedings of misuse of NIH grant and contract funds, conflict of interests, improper NIH employee conduct, violations of grant or contract laws, regulations or policies, whistleblower complaints, congressional investigations and testimony, interest of the Executive Office of the President, Food and Drug Administration inspections, and other issues. Case files of internal audits and investigations of agency programs or personnel, operations, research practices, and procedures include, e.g., complaints or allegations received through any source, investigative reports, correspondence, notes, attachments, recommendations, supporting documents, data, interview transcripts, and records documenting physical evidence. These records relate to non-criminal and non-espionage related investigations or audits.

The Health and Human Services Office of the Inspector General (HHS OIG) provides oversight to the National Institutes of Health. NIH does not have its own Office of the Inspector General. This schedule excludes records created or maintained by the HHS OIG.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0443-2019-0007

Sequence Number	
1	Historically Significant Investigation and Audit Case Files Disposition Authority Number: DAA-0443-2019-0007-0001
2	All Other Investigation and Audit Case Files Disposition Authority Number: DAA-0443-2019-0007-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 1149 411">Historically Significant Investigation and Audit Case Files</p> <p data-bbox="342 432 1149 464">Disposition Authority Number DAA-0443-2019-0007-0001</p> <p data-bbox="342 485 1507 905">Relevant criteria for designating case files as historically significant include: those that involve, as subjects, NIH Capstone Officials, involved in serious misconduct; those that result in substantive changes in agency policy or procedure; those involving extensive litigation; those that draw significant public interest as reflected in wide-spread news media or scientific journal attention; and/or, those that draw interest from Congress or the Executive Office of the President. Case files include records of internal audits and investigations of agency programs or personnel, operations, research practices, and procedures include, e.g., complaints or allegations received through any source, investigative reports, correspondence, notes, attachments, recommendations, supporting documents, data, interview transcripts, and records documenting physical evidence.</p> <p data-bbox="342 926 922 957">Final Disposition Permanent</p> <p data-bbox="342 978 850 1010">Item Status Active</p> <p data-bbox="342 1031 818 1062">Is this item media neutral? Yes</p> <p data-bbox="342 1083 805 1209">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 data-bbox="342 1230 1138 1304">GRS or Superseded Authority Citation N1-443-97-2 /1700-A-4-1a NC1-443-84-1 /2a</p> <p data-bbox="342 1335 659 1367">Disposition Instruction</p> <p data-bbox="342 1398 1520 1503">Cutoff Instruction Cut off at end of fiscal year in which the audit or investigation is completed and all associated litigation holds are lifted.</p> <p data-bbox="342 1524 1503 1598">Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff</p> <p data-bbox="342 1629 656 1661">Additional Information</p> <p data-bbox="342 1692 834 1724">First year of records accumulation 1993</p> <p data-bbox="342 1745 1040 1839">What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2005</p>

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	200 MB	20 MB
Paper	20 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

All Other Investigation and Audit Case Files

Disposition Authority Number **DAA-0443-2019-0007-0002**

All other audit or investigation case files not covered by item 0001. Examples include routine audits or investigations into mismanagement, misuse of grant funds, contract issues, ethics concerns, or conflict of interests that do not meet the criteria of historical significance.

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
NC1-443-84-1 /2b
NC1-443-84-1 /2c
N1-443-97-2 /1700-A-4-1b
N1-443-97-2 /1700-A-4-1c
N1-443-97-2 /1700-A-4-2

Disposition Instruction

Cutoff Instruction **Cut off at end of fiscal in which the audit or investigation is completed and associated litigation holds are lifted.**

Retention Period **Destroy after cutoff in 5 year blocks when the most recent records are 10 years old. Longer retention is authorized if required for continuing business use.**

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
06/28/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
08/20/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/29/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
08/29/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
09/11/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/19/2019	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
09/19/2019	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
01/08/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
02/03/2020	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
02/03/2020	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
05/05/2020	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

05/20/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/03/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist