

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0443-2017-0001

Status: INACTIVE  
Date Approved: 07/20/2017

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## General Information

Agency or Establishment	National Institutes of Health
Record/Scheduling Group	0443 - Records of the National Institutes of Health
Records Schedule Applies To	Agency-wide
Schedule Subject	Certificates of Confidentiality
Additional Schedule Information	<p>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.</p> <p>Records relating to CoCs include:</p> <ul style="list-style-type: none"><li>• Correspondence;</li><li>• Applications and Certificates of Confidentiality issued for Intramural Research;</li><li>• Applications and Certificates of Confidentiality issued for Extramural Research; and,</li><li>• Applications and denied Certificates of Confidentiality responses.</li></ul>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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## Item Count

Total number of disposition items: 4

Number of Temporary disposition items: 4

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 4

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

Item #	Title	Disposition
0001	Certificates of Confidentiality issued for Intramural Research : Certificate of Confidentiality Support Documentation	Temporary
0002	Certificates of Confidentiality issued for Intramural Research : Issued Certificates of Confidentiality	Temporary
0003	Certificates of Confidentiality issued for Extramural Research or other Outside Research	Temporary
0004	Denied Certificates of Confidentiality	Temporary

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Records Schedule Items

Group Title	Certificates of Confidentiality issued for Intramural Research
DAA-0443-2017-0001-0001	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Certificate of Confidentiality Support Documentation
Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0443-2024-0002-0001 on 06/12/2025.</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off annually at expiration of the Certificate of Confidentiality.
Retention Period	Destroy 6 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-0443-2017-0001-0002	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Issued Certificates of Confidentiality
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0443-2024-0002-0003 on 06/12/2025.</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off annually after all of the individually identifiable data (including biosamples) from the research project 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.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0443-2017-0001-0003		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Certificates of Confidentiality issued for Extramural Research or other Outside Research	
Item Description	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.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	

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Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0443-2024-0002-0003 on 06/12/2025.</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off annually at expiration of the Certificate of Confidentiality.
Retention Period	Destroy 6 year(s) after cutoff.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0443-2017-0001-0004	STATUS: INACTIVE - NOT FOR USE
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Denied Certificates of Confidentiality
Item Description	These records include applications, associated documentation, and correspondence.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0443-2024-0002-0003 on 06/12/2025.</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off annually at notification of denial.
Retention Period	Destroy 3 year(s) after cutoff.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	07/20/2017