

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO N01-90-79-7	
DATE RECEIVED 26 APR 1979	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
5-10-79 Date	<i>James B. Plouffe</i> Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
Public Health Service

3. MINOR SUBDIVISION
National Institutes of Health

4. NAME OF PERSON WITH WHOM TO CONFER
Dr. Kenneth Thibodeau

5. TEL EXT
496-4606

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4/20/79	<i>Jacquelyn L. Tolson</i>	PHS Records Officer		Office of the Director Division of Contracts and Grants Financial Advisory Services Branch Audit Resolution Section The Audit Resolution Section serves as the focal point within NIH for review, processing and resolution of audit reports on contractor and grantee organizations, such as universities and research hospitals, which receive funding from NIH. The section receives reports on all such institutions. The audits are conducted principally by the HEW Audit Agency, but also by the Defense Contract Audit Agency and the Department of Agriculture Audit Office. The section is responsible for follow-up and resolution of any problems related to activities funded by NIH. In pursuing these problems, reports of previous audits of the same institution are routinely consulted. By intention, the audits are institutional; that is, they are directed at institutions which receive federal grants and contracts, rather than at specific grants and contracts. Thus, the audits should reveal any errors or shortcomings in the management of and accounting of federal funds by the institutions; however, the audits are not conducted on a regular schedule. Moreover, the		<i>1 item</i>

sent to NCW & Agency
5-16-79 MJS

Request for Records Disposition Authority - Continuation

JOB NO

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1.	<p>audits performed to date have been restricted in scope and limited in depth. Usually they only cover a small percentage of all federal grants and contracts received by an institution, and not all expenditures and financial management procedures are investigated. Because of the limitations of the audit reports, the NIH Audit Resolution Section needs to retain successive audit reports on each institution in order to build up a general picture of the management and accounting practices to determine if these practices are reliable and adequate and if costs charged to federal grants and contracts are allowable.</p> <p><u>Audit Report Case Files:</u> Audit reports of institutions which receive funding from NIH, evidence of resolution of problems cited in the reports, and related papers.</p> <p><u>Disposition:</u></p> <p>Transfer case files to Federal Records Center one year after receipt of subsequent audit report on the same institution. Destroy 6 years after transfer. <i>receipt of subsequent audit report.</i></p> <p><u>Certification of Approval</u></p> <p><i>Jacob Seidenberg</i> <hr/> Jacob Seidenberg, Chief Audit Review Section, Division of Contracts and Grants</p> <p><i>Georgia Becker</i> <hr/> Georgia Becker, Records Liaison Officer Division of Contracts and Grants</p> <p><i>Leon M. Schwartz</i> <hr/> Leon M. Schwartz, Associate Director for Administration, NIH</p> <p><i>Kenneth Thibodeau</i> <hr/> Kenneth Thibodeau NIH Records Management Officer</p>		