

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: **N1-443-97-002**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explanation / Description:

This schedule is superseded by DAA-0443-2019-0007; GRS 5.2 Item 20 (DAA-GRS-2017-0003-0002)

Date Reported: 6/10/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

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JOB NUMBER *NI-443-97-2*

DATE RECEIVED *6-30-97*

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE *10-14-97* ARCHIVIST OF THE UNITED STATES *John W. Cal*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)
 Department of Health and Human Services

2. MAJOR SUBDIVISION
 National Institutes of Health

3. MINOR SUBDIVISION
 Office of Management Assessment, OA,OM,OD

4. NAME OF PERSON WITH WHOM TO CONFER
 Susan M. O'Boyle

5. TELEPHONE
 301-496-6639

6. 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 on the attached 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE **JUN 25 1997** SIGNATURE OF AGENCY REPRESENTATIVE *A. Prentice Barnes, Sr* TITLE **DHHS Records Management Officer**

A. Prentice Barnes

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Previously Approved NARA Job No. NCI-443-84-1</p> <p>Approval is requested to revise, modify and alter portions of the 1700 Series (Management Services) of the NIH Records Control Schedule as follows:</p> <p>1). Originally, DMSR functions were transferred to the Office of Management Assessment (OMA); however, there maybe an instance where a highly visible investigation/audit may begin outside of this office(OMA)and this will allow for these records to be covered, as well.</p> <p>2). The disposition instructions that address transferring NIH records covered under Records Series 1700-A-4, specifically 1700-A-4-1-a, in the NIH Records Control Schedule (B-361)will be altered to allow for the transfer and storage of these records to the Federal Records Center, until they become eligible to offer to the National Archives.</p> <p>NOTE: All retention periods remain the same.</p> <p>3). The disposition instructions that cover Audit case files (GRS 23.2) will be incorporated into the NIH schedule with one modification, e.g., deletion of last sentence which refer to working papers. NIH has developed its own disposition for working papers for</p>		

these type of records.

4). Approval is requested for the disposition of NIH working papers, item 1700-A-2, that are created under this records category, e.g., 1700-A-4. Previously the GRS 16, Item 10 covered this category; however, since the new issuance of the GRS, this item was deleted. Therefore, NIH request re-approval of Item **1700-A-2 Working Papers**.

Changes are as indicated:

1700-A-2 Working papers collected under each management study, review, audit, or investigation, such as notes, drafts, and interim reports.

Disposition: Destroy 6 months after final action on the project report, or 3 years after completion of report if no action is taken.

1700-A-4 Investigative/Audit Case Files Management Survey and Review Project Folders documenting ~~DMSO~~ surveys, ~~and review of management control systems and DMSO~~ reviews, and audits of specific problems or allegations of impropriety or malfeasance.

Located in all NIH (Office of the Director and ICD) offices.

1. Investigative case files consisting of documents describing the inception, nature, scope and purpose of each project; significant correspondence; miscellaneous papers important to the conduct of the project or the development of final determinations; draft reports together with comments or reactions from concerned NIH officials and/or from individuals or organizations subject to review or investigations; final reports and related follow-up documents.
 - a. Investigative case files Project folder documenting any case which, in consultation with the Director, Office of Management Assessment (OMA) ~~DMSO, and of the Chief, NIH Records~~

~~Management Branch, Division of Management Policy~~; is historically important because it resulted in major change in NIH PHS or HHS policy or procedure; was involved in extensive litigation; received widespread publicity in news media or scientific journals; or received considerable attention from the Congress or the Executive Office of the President.

(Revised)

Disposition: PERMANENT. Place in inactive file after final agency action. **Transfer to the Federal Records Center after 1 year in inactive file or when no longer administratively needed.** Transfer to the National Archives 30 years after final agency action.

- b. Investigative case files ~~Project folders~~ documenting investigations of minor infractions or improprieties (for example, improper expenditure of public funds less than \$5,000), reviews of minor management problems or projects in which the final recommendation is that no action be taken.

Disposition: Place in inactive file after final agency action. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 5 years after final action on the project.

- c. All other investigative case files ~~project folders~~ **except** those that are unusually significant or documenting ethical standards by NIH officials or others.

Disposition: Place in inactive file after final agency action. Transfer to the

Federal Records Center after 1 year in inactive file. Destroy 20 years after final action on the project. ~~on the most recent project in the block. (E.g., folders for projects with final action between 1991 and 1996 may be transferred in 1997 with instructions to destroy in 2016.)~~

(GRS 21, Item 2)

2. Audit case files consisting of internal audits of NIH programs, operations, and procedures, and of external audits of contractors and grantees. ~~Files consists of supporting working papers.*~~

Disposition: Place in inactive file when case is closed. Cutoff inactive file at end of fiscal year. Transfer to the Federal Records Center after 1 year in inactive file. Destroy 8 years after cutoff.

* This sentence will not be included as part of the records description when published in the NIH Schedule. Inclusion of this sentence would cause confusion with the proposal disposition of working papers described in 1700-A-2.

NIH Clearance Officials:

Approved:  6/11/97
Director, Office of Management Assessment Date

Approved:  6/11/97
NIH Records Management Officer Date