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| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | |
| TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | |
| 1 FROM (Agency or establishment) National Aeronautics and Space Administration (NASA) | |
| 2 MAJOR SUBDIVISION NASA Headquarters | |
| 3 MINOR SUBDIVISION | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Roland M. Ridgeway Jr., Acting NASA Records Officer | 5 TELEPHONE (202) 358-4485 |

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|---|--|
| LEAVE BLANK (NARA use only) | |
| JOB NUMBER N1-255-00-3 | |
| DATE RECEIVED 3-31-00 | |
| 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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 6-6-01 | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> |

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 6 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 Fri, Mar 31, 2000 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Roland M. Ridgeway Jr.</i> | TITLE Acting NASA Records Officer. NASA Headquarters, Code AO |
|---------------------------|---|--|

| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
|-----------------|---|---|--|
| 1 | NASA INSPECTOR GENERAL AND AUDIT RECORDS SEE ATTACHED PAGES FOR SERIES DESCRIPTION AND DISPOSITION | | |

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

*** INSPECTOR GENERAL RECORDS ***

1 INSPECTOR GENERAL INVESTIGATIONS CASE FILES - NASA 10 IGIC

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations, mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety. Also included are investigative files relating to a variety of administrative matters such as potential or actual tort claims for and against the Government, and management and program studies. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and other having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers [SEE NOTE₁]

(Replaces Schedule 9, Item 23 N1-255-94-2)

- | | | |
|---|---|---|
| 1 | Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General Investigations. Cutoff annually | DESTROY WHEN 5 YEARS OLD |
| 2 | Case files developed during internal investigations of OIG employees | DESTROY 10 YEARS AFTER CASE IS CLOSED OR AFTER THE EMPLOYEE'S SEPARATION, WHICHEVER IS LONGER |
| 3 | All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency Officials or others | PLACE IN INACTIVE FILES WHEN CASE IS CLOSED. CLOSE INACTIVE FILE AT END OF FISCAL YEAR. DESTROY 10 YEARS AFTER FILE IS CLOSED |
| 4 | Significant case files, because the case attracts national media attention, results in a Congressional investigation, or results in substantive change in Agency policy or procedures. Examples include the Challenger and Hubble investigations. Significant cases will be selected by the NASA Office of Inspector General based on the criteria listed in this item | |
| a | Official case file - records created during the investigation and used to develop the final report. Documents are serialized and maintained in official case folders | *PERMANENT* TRANSFER TO NARA 10 YEARS AFTER FILE IS CLOSED |
| b | Background files, notes, duplicate copies, and other materials collected during the investigation but not incorporated into the official case file and not used to develop the final report | DESTROY 10 YEARS AFTER FILE IS CLOSED |
| 5 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

NOTE₁: *A file is not closed until all judicial and administrative avenues and considerations have been finally exhausted*

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

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2 INSPECTIONS AND ASSESSMENTS FILES

(New item)

Case files of inspections and assessments of agency programs, operations, procedures, and those relating to contractors and grantees. Files consist of reports, correspondence, memoranda, and documentation.

1. Office conducting review
CLOSE FILE AT END OF FISCAL YEAR AFTER CLOSE OF CASE. DESTROY 10 YEARS AFTER CLOSE OF CASE
2. Organization being reviewed
CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE
3. All other office copies
CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE
4. Significant case files, because the case attracts national media attention, results in a Congressional investigation, or results in substantive change in agency policy or procedures. Significant cases will be selected by the NASA Office of Inspector General based on the criteria listed in this item.
 - a. Official case file – records created during evaluations and used to develop the final report. Documents are maintained in official case folders.
PERMANENT
TRANSFER TO NARA 10 YEARS AFTER FILE IS CLOSED
 - b. Background files, notes, duplicate copies, and other materials collected during evaluations but not incorporated into the official case file and not used to develop the final report.
DESTROY 10 YEARS AFTER FILE IS CLOSED
5. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.
DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED

SCHEDULE 9

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DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

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AUDIT FILES

(Replaces Schedule 9 Item 24
N1-255-94-2)

A DMS AUDITS

Audit reports and related papers pertaining to the Defense Materials System

1 Office of Primary Responsibility

DESTROY WHEN 5 YEARS OLD

2 All other offices/copies

DESTROY WHEN 3 YEARS OLD

3 Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records

DESTROY/DELETE AFTER THE
RECORDKEEPING COPY HAS
BEEN PRODUCED

B INTERNAL IG

Case files of internal audits of agency programs, operations, procedures, external audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers

1 Office conducting review

CLOSE FILE AT END OF FISCAL
YEAR AFTER CLOSE OF CASE
DESTROY 8 YEARS AFTER
CLOSE OF FILE

2 Organization being audited
(Record cutoff date is date of audit report)

KEEP FOR 3 YEARS DESTROY
AFTER 8 YEARS OR WHEN NO
LONGER NEEDED

3 All other offices/copies

DESTROY 3 YEARS AFTER
DATE OF AUDIT REPORT

4 Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records

DESTROY/DELETE AFTER THE
RECORDKEEPING COPY HAS
BEEN PRODUCED

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MINIMUM RETENTION

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4 **POLICY AND PROCEDURE FILES - HQ ONLY**

(Replaces Schedule 9, Item 25
N1-255-94-2)

Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations. Also records on planning and developing OIG policies and procedures. Records can consist of manual, handbooks, directives, and working papers. Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup.

A One record copy of each if not included in the agency's permanent set of master directives files or the record set of publications

PERMANENT
CLOSE SET OF DIRECTIVES OR PUBLICATIONS WHEN SUPERSEDED OR OBSOLETE. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 10 YEARS OLD

B Working papers and background materials

DESTROY WHEN NO LONGER NEEDED

C All other offices/copies

DESTROY WHEN NO LONGER NEEDED

D Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records

DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED

5 **SEMIANNUAL REPORT TO CONGRESS**

(Replaces Schedule 9, Item 26
N1-255-94-2)

Reports prepared by the statutory OIGs and submitted to the Congress, and working papers. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30. For details on the composition of these reports, see Section 5, Public Law 95-452, as amended by 5 U S C Appendix

A Record copy of report (HQ Only)

*** PERMANENT ***
CLOSE FILE UPON TRANSMISSION TO CONGRESS. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 5 YEARS OLD

B Working and background papers

DESTROY WHEN NO LONGER NEEDED

C All other offices/copies

DESTROY WHEN NO LONGER NEEDED

D Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records

DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED

6 **INDEXES TO CASE FILES**

(Replaces Schedule 9, Item 27
GRS 23-9, N1-255-94-2)

Used as references to OIG case files

DESTROY WITH RELATED RECORDS OR WHEN NO LONGER NEEDED WHICHEVER IS SOONER

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DESCRIPTION OF RECORD SERIES

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7 GAO AUDITS

(Replaces Schedule 9, Item 28
N1-255-94-2)

A OF NASA

Case files on GAO audits of NASA activities Includes GAO audit reports, correspondence, certificates of clearance, notice of completion, and all related papers Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup

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|---|--|--|
| 1 | Headquarters liaison office for GAO audits | RETIRE TO FRC 2 YEARS AFTER DATE OF AUDIT REPORT DESTROY 8 YEARS AFTER SUBJECT DATE |
| 2 | Organization audited or organization controlling audited NASA Contracts (Record cutoff date is date of audit report) | KEEP FOR 3 YEARS DESTROY AFTER 8 YEARS OR WHEN NO LONGER NEEDED |
| 3 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

B OF CONTRACTORS

Case files on GAO audits of NASA contractors

- | | | |
|---|--|---|
| 1 | Cognizant procurement office | DESTROY WITH RELATED CONTRACT FILE |
| 2 | All other offices/copies | DESTROY 3 YEARS AFTER AUDIT |
| 3 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

8 AUDITS OF CONTRACTORS

(Replaces Schedule 9, Item 29
N1-255-94-2)

A NASA

Case files on NASA audits of contractors, including papers related to NASA audits for other Government agencies, such as DoD Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup

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|---|--|--|
| 1 | Office performing the review Recordkeeping Copy | RETIRE TO FRC 2 YEARS AFTER DATE OF FINAL AUDIT REPORT DESTROY 8 YEARS AFTER SUBJECT DATE |
| 2 | Cognizant procurement office | DESTROY WITH RELATED CONTRACT FILE |
| 3 | Other NASA Audit offices | DESTROY 3 YEARS AFTER DATE OF FINAL AUDIT REPORT |
| 4 | All other offices/copies | DESTROY 1 YEAR AFTER DATE OF FINAL AUDIT REPORT |
| 5 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

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B OTHER AUDITS OF NASA CONTRACTORS

Includes DCAA and HHS audit reports, correspondence, and all related papers

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|---|--|---|
| 1 | Cognizant regional audit office Recordkeeping Copy | DESTROY 3 YEARS AFTER DATE OF AUDIT REPORT |
| 2 | Cognizant procurement office | DESTROY WITH RELATED CONTRACT FILE |
| 3 | All other offices/copies | DESTROY 1 YEAR AFTER DATE OF AUDIT REPORT |
| 4 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

END OF SCHEDULE