

**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO GENERAL SERVICES ADMINISTRATION,  
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON 25, D. C.

1. FROM (AGENCY OR ESTABLISHMENT)  
 National Aeronautics & Space Administration

2. MAJOR SUBDIVISION  
 Office of Organization and Management

3. MINOR SUBDIVISION  
 Headquarters Administration Office

4. NAME OF PERSON WITH WHOM TO CONFER  
 Carl F. Steinmetz

5. TEL. EXT.  
 755-2295

6. CERTIFICATE OF AGENCY REPRESENTATIVE

RG 255

**LEAVE BLANK**

DATE RECEIVED <b>12/5/73</b>	JOB NO <b>NC-174-109</b>
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 "with-drawn" in column 10.	
Date <b>1-4-74</b> <b>James E. O'Neil</b> Archivist of the United States	

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 2 pages are proposed for disposal for the reason indicated: ("X" only one)

**A** The records have ceased to have sufficient value to warrant further retention.

**B** The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

Dec 4 1973 Nathan C. Haines Director, Administrative Services Div.  
 (Date) (Signature of Agency Representative) (Title)


7. ITEM NO	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)			9. SAMPLE OR JOB NO	10. ACTION TAKEN
	NASA proposes to issue Change 3 to the NASA Records Disposition Handbook, NHB 1441.1A which you have on file. The revisions to the NASA Records Control Schedules involved in this Change are submitted for the approval of the Archivist of the United States in accordance with FPMR 101-11.406-2. The amendments are improvements in records dispositions resulting from the first triennial review of all schedules by NASA field installations. A similar review was conducted about two years ago by the Headquarters Offices having agency-wide functional responsibilities. This review resulted in Change 2 to NHB 1441.1A. The proposed amendments to 13 Records Control Schedules consist of the following 40 revisions and additions (as marked by arrow heads on the attached revised Handbook pages):				
	<u>NRCS NO.</u>	<u>PAGE NO.</u>	<u>ITEM NO.</u>	<u>REMARKS</u>	
1	- 1	1-5	9k	Added item.	
2	- 1	1-5	9l	Added item.	
3	- 1	1-8	25f	Revised item.	
4	- 1	1-9	27	Revised item.	
5	- 2	2-3	1	Revised per Revised GRS 6.	
6	- 2	2-4	5	Revised per Revised GRS 6.	
7	- 4	4-2	2	Revised per Revised GRS 2.	
8	- 4	4-2	3	Revised per Revised GRS 2.	
9	- 4	4-2	5	Revised per Revised GRS 2.	
10	- 4	4-3	7	Revised per Revised GRS 2.	
11	- 4	4-3	8	Revised per Revised GRS 2.	
12	- 4	4-4	18	Added item.	

**44 items**

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)				9 SAMPLE OR JOB NO	10 ACTION TAKEN
	NRCS NO.	PAGE NO.	ITEM NO.	FF REMARKS		
13	- 4	4-4	19	Added item.		
14	- 9	9-2	4	Eliminating transfer to FRC.		
15	- 9	9-2	Footnote	Specifying time for review.		
16	- 11	11-2	4a	Clarifying disposition.		
17	- 11	11-2	4d	Added per regulations.		
18	- 12	12-5	19	Revised to clarify.		
19	- 12	12-7	29b	Reduced retention.		
20	- 12	12-7	30	Added item.		
21	- 13	13-6	21	Added item.		
22	- 13	13-6	22	Added item.		
23	- 13	13-6	23	Added item.		
24	- 15	15-3	11	Clarifying description and reducing retention.		
25	- 15	15-3	12	Clarifying description and reducing retention.		
26	- 16	16-1	1a	Eliminating transfer to FRC.		
27	- 17	17-2	1a(2)	Eliminating transfer to FRC.		
28	- 17	17-2	6a	Eliminating permanent retention.		
29	- 17	17-3	9	Clarifying description and revise disposition.		
30	- 17	17-7	32	Reducing retention period.		
31	- 17	17-9	45	Reducing retention period.		
32	- 17	17-9	48	Added item.		
33	- 17	17-10	49	Added item.		
34	- 18	18-1		Footnote added.		
35	- 18	18-3	3c	Added item.		
36	- 18	18-4	5a	Clarifying disposition.		
37	- 18	18-4	5b	Clarifying disposition		
38	- 18	18-7	17	Added item.		
39	- 22	22-1	1a	Reducing retention per Revised GRS 9.		
40	- 22	22-2	2a	Reducing retention per Revised GRS 9.		
41	- 22	22-2	5a	Reducing retention per Revised GRS 9.		
42	- 25	25-3	1a(11)	Adding descriptive sub item.		
43	- 25	25-3	19(12)	Added item. <i>Revised per Sub Memorandum 7 Dec 73</i>		
				The current NASA Records Control Schedules were previously reviewed on Jobs Nos. NN 168-75, 172-154, & 173-115. Attachment consists of 31 pages.		
				The revisions encompass the recently approved revisions to General Records Schedules 2, 6, and 9.		
41A	25	25-1	1a	Revise disposition. <i>Revised per Sub Memorandum 21 Dec 73</i>		

- e. Completed requisitions for service, supplies and equipment, and travel documents. (Official file copies maintained by office rendering services). Destroy 1 year after action is completed.
- d. Records pertaining to charity drives, bond campaigns, blood donations, and other voluntary activities. Destroy 2 years after break or upon completion of program, whichever is sooner.
- e. Hand receipt files on materials loaned or issued for use and is to be returned. Destroy when property is accounted for.
- f. Chronological files. These are the extra copies that are filed and maintained chronologically; sometimes called "Reading File." These are duplicates and are not the official record copies. Transfer to Historian's office 1 year after break. Destroy when no longer needed by Historian.
- g. Suspense files. Destroy when purpose is served.
- h. Information copies of correspondence, reports, or other documents that are not made a part of an official subject or case file. Destroy 1 year after break or when no longer needed, whichever is first.
- i. File of carbon copies of individual Time and Attendance Reports as maintained by the timekeepers. Destroy 1 year after break or when no longer needed, whichever is first.
- j. Overtime Requests and Authorizations (~~NASA Forms 171 and 1110~~). See NRCS 4-2.
- k. Classified Matter Inventory Reporting Files. Documents used to report the results of physical inventories conducted under local requirements to assure proper accounting for all classified matter. Destroy after next inventory or discontinuance of requirement.
- l. Beneficial suggestions and Incentive Award Files, reports thereon and related correspondence. Destroy 2 years after break.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
<del>25</del>	Surveys, inventories, studies; feeder reports of records holdings and cleanup campaigns; local instructions on records management correspondence.	Transfer to FRC 5 years after break. Destroy 5 years after transfer.
<del>25</del>	Formal reports of Records Holdings (Standard Form 136 and NASA Form 1349).	Transfer when administrative need ceases. Destroy 20 yrs after transfer.
<del>25</del>	File of Vital Records Protection Status Reports, GSA Forms 2034 and 2035.	Transfer 5 years after break. Destroy 5 years after transfer.
<del>25</del>	Continuing file of itemized records transfers (Standard Form 135) to Federal Records Centers or other installations or agencies.	Transfer to FRC when no longer needed to retrieve old records. PERMANENT Per RR Plan No. NN-473-1
3. 	f. Office Record Locator Files. Documents used to locate files in current files areas, or files that have been transferred to staging area or retired to FRC; including files plans, lists of selected file numbers, and offices' copies of records shipment lists.	Destroy files plans and list of selected file numbers when superseded. Destroy shipping lists when records reflected thereon have been destroyed; or destroy on discontinuance of organizational activity.
<del>25</del>	<u>Records Disposition Standard Files</u> . NASA Form 1418 (Proposed Change to NASA Records Control Schedules) maintained by Records Management Officers.	Destroy 1 year after publication of disposition standard or 1 year after disapproval, whichever is first.
<del>26</del>	(Canceled)	

ITEMDESCRIPTIONDISPOSITION

4. ▷

27

Forms Management Files. The Master file of each form designed within at each installation, including the NASA series of forms at Hdqts., showing the inception and scope of the form, the program or administrative purposes served by the form, including facsimile copies of m/f of each form and revisions thereof, and references to related procedures instituted, revised, superseded, or cancelled.

Transfer to FRC whenever no longer needed for administrative purposes. PERMANENT per Records Retention Plan No. NN-473-14.

4a-

a. Forms Number Register Files. Documents used to record and control the assignment of forms numbers, consisting of the sequential entry in the register of the name of each form for every assigned number; including a copy of each published listing or index of forms.

Retain PERMANENTLY. May be retired to FRC when no longer needed. PERMANENT per Records Retention Plan No. NN-473-14.

b. Forms Functional Files. A collection of facsimile copies of installation and/or NASA and/or other forms used locally, arranged by functional use, and utilized in determining whether a new form should be developed, or whether existing forms should be desirably consolidated or replaced.

Destroy individual forms whenever superseded or obsoleted.

~~28~~

Publications Files. Published and processed documents prepared by NASA, such as technical reports, historical volumes, informational materials and installation organs.

a. The offices of primary responsibility will maintain one record copy of each published or processed document together with related background papers reflecting a basis for the issuance or that contribute to the content of the publication, including coordination papers and comments.

Transfer to FRC at end of fiscal year in which document is published. PERMANENT  
Per RR Plan No. NN-473-14

b. Working papers such as notes, rough drafts, background reports, and other such papers (exclusive of those described under Item a).

Destroy 1 year after document is published.

c. Other offices' printed copies

Destroy when reference value ceases.



~~29~~

Historian's Source Files. Copies of documents collected and used as source data in preparation of historical volumes. Included are duplicates or copies of correspondence, reports, directives, pamphlets, publications or other official records; preliminary or partial drafts; authors' outline; authors' original notes; and comparable documents.

## NASA Records Control Schedule 2--Continued

Accounting records, regardless of the form in which they are maintained (e.g., paper, magnetic tape, EAM cards, microfilm, printouts, etc.) will be disposed of in accordance with this schedule. Records stored in one form (e.g., magnetic tape) which duplicate the same information stored in another form (e.g., paper) already being retained for required retention periods, should be disposed of as soon as it can be determined that needs for such duplicate records have been met and that they will not likely be required for further use.

The term "break" used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal or calendar year, or after a specific action. As an example, a file which generates an inch or more of correspondence in a year, would probably be broken into separate folders every year at the same time (fiscal year, calendar year, quarterly, etc.). Whereas, when material is generated slowly, a file may be broken every two years. Your records retirement program can be made much easier by designating and adhering to specific break dates for each category of record material in your file station.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
5.  1	<u>Accountable Officers' Returns Files.</u> Memorandum copies of statements of transactions, statements of accountability, all supporting voucher schedules, documents and related papers not otherwise provided for in this schedule (exclusive of freight records covered by NRCS 22, and payroll records covered by NRCS 4).	Destroy <sup>3</sup> / <sub>4</sub> years after period covered by the account.
2.  2	<u>Notices of Exception Files.</u> General Accounting Office notices of exception (formal or informal) and related correspondence.	Destroy one year after exception is reported as cleared by the General Accounting Office.

Settlement of Accounts Files. Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related papers.

- a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.
- b. Certificates covering periodic settlements.

Destroy 2 years after date of settlement, providing certificate is cleared.

Destroy when subsequent certificate of settlement is received.

Settlement of Claims Files. Schedules of certificates of settlement of claims settled by the General Accounting Office.

Destroy 2 years after date of settlement.

Funds Files. Records relating to the availability, collection, custody, and deposit of funds, including appropriation warrants (other than records covered by Item 1).

Destroy <sup>3</sup>/<sub>4</sub> years after date of document.

Administrative Files. Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

- a. Files used for workload and personnel management purposes.
- b. All other files.

Destroy 2 years after break.

Destroy 4 years after break.

Federal Surety Bond Files:

- a. Official copies of the bond and attached powers of attorney:
  - (1) Bonds purchased prior to January 1, 1956.
  - (2) Bonds purchased after December 31, 1955.
- b. Other bond files, including other copies of bonds and related papers.

Destroy 15 years after bond becomes inactive.

Destroy 15 years after end of bond premium period.

Destroy when bond becomes inactive or at end of bond premium period.

## NASA Records Control Schedule 4--Continued

The term "break" repeatedly used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal, calendar, pay or leave year, or after a specific action.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>Earning or Pay Cards Files.</u> Individual earning or pay cards, such as SF 1127, Individual Pay Card, or its equivalent. Includes payrolls when individual earning or pay cards are not prepared. (See Item 9).	Transfer to the National Personnel Records Center, CPC, 111 Winnebago St. St. Louis, Missouri, 63118, one year after audit or 3 years after close of year in which generated, whichever is sooner.
7. ▽ 2	<u>T&amp;A Reports Files.</u> Time and attendance reports and applications for leave and supporting papers used in payroll preparation and processing. (Where SF1130 Time and Attendance Report or its equivalent is used for both time, attendance, and leave posting purposes, the disposition for Item 3 applies). Includes Overtime Requests and Authorization NASA Forms 171 and 1110 or equivalent; also designations and revocations to maintain T&A reports and those to certify reports.	Destroy after audit by GAO or 3 years after break, whichever is sooner.
8. ▽ 3	<u>Leave Cards Files.</u> Leave record cards and final applications for leave and supporting papers, including time and attendance reports, such as SF 1130, or its equivalent, when used as a leave record.	Transfer to National Personnel Records Center, CPC, 111 Winnebago St. St. Louis, Missouri, 63118, after audit by GAO or 3 years after break, whichever is earlier; NPRC will destroy when 10 years old.
4	<u>Leave Transferred Files.</u> Records showing transfer of leave, such as SF 1150, Record of Leave Data Transferred, or its equivalent.	Destroy copies 2 years after break. NOTE: The original of the SF 1150 is filed by the releasing agency on the right side of the Official Personnel Folder.
9. ▽ 5	<u>Personnel Notifications Files.</u> Notifications of personnel action, exclusive of those in Official Personnel Folders, or copies used for payroll purposes.	Destroy . . . . . after audit by GAO or 3 years after break, whichever is sooner.



10.  $\triangleright$   
11.  $\triangleright$

- ~~9~~ Payroll Certification Files. Payrolls, check lists, and related certification sheets, such as SF 1166, Voucher and Schedule of Payments, or its equivalent.

Transfer to National Personnel Records Center (CFR), 111 Winnebago St, St. Louis MO 63118 3 years after break.
- 10.  $\triangleright$  7 Payroll Control Registers Files. Registers, such as SF 1125, Payroll Control Register, or its equivalent.

Destroy after audit by GAO or 3 years after break, whichever is sooner.
- 11.  $\triangleright$  8 Payroll Change Slips Files. Payroll change slips exclusive of those in Official Personnel Folders, such as SF 1126, Payroll Change Slip, or its equivalent.

Destroy after audit by GAO or 3 years after break, whichever is sooner.
- ~~9~~ Pay Administration Files. Administrative reports and data relating to payrolling operations and pay administration.

Destroy 4 years after break.
- ~~10~~ Savings Bonds or Notes Authorization Files. Individual U.S. Savings Bonds or Notes authorization cards for payroll allotments.

Close inactive file at end of each year and transfer to FRC 2 years thereafter.  
Destroy 2 years after transfer.
- ~~11~~ Bond Deposits and Purchases Files. Reports of deposits and purchases of bonds and related papers.

Destroy 4 years after break.
- ~~12~~ Tax Exemption Files. Withholding tax exemption certificates, such as U.S. Treasury Department Internal Revenue Service Form W-4, Employee's Withholding Exemption Certificate.

Destroy 4 years after record is superseded or obsolete.
- ~~13~~ Tax Returns Files. Returns on income taxes withheld, such as U.S. Treasury Department Revenue Service Form W-2, Wage and Tax Statement.

Destroy 4 years after the date the tax to which they relate becomes due, or the date the tax is paid, whichever is the later.
- ~~14~~ Tax Reports Files. Reports of withheld Federal taxes and related papers (including records relating to income and social security taxes).

Destroy 4 years after the date the tax to which they relate becomes due, or the date the tax is paid, whichever is the later.

## NASA Records Control Schedule 4--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
<del>15</del>	<u>Retirement Reports and Registers Files.</u>	Destroy 4 years after break.
<del>16</del>	<u>Insurance Reports Files.</u> Reports of insurance deductions and related papers, including copies of vouchers and schedules of payment.	Destroy 4 years after break.
<del>17</del>	<u>Levy and Garnishment Files.</u> Official notice of levy or garnishment, change slips, workpapers and correspondence relating to charge against retirement funds or attachment of salary for payment of back income tax or for other debts of Federal employees.	Destroy 4 years after break.
12. ▷ 18	<u>Unemployment Compensation Data Request Files.</u> Requests for wage and separation data to be used in connection with unemployment compensation claims, and related papers; including requests for information and replies thereto, notices of determination, notices of refusal of work offer, and related papers.	Destroy 2 years after break.
13. ▷ 19	<u>Pay Table Files.</u> Consisting of record sets of pay tables.	Destroy on discontinuance and disestablishment of installation.

## NASA Records Control Schedule 9--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
7	<del>(2)</del> Art work used in fund drives, posters for employee sponsored activities, illustrations used in administrative function activities, and other routine in-house activities.	Center when no longer needed for reference. RETAIN INDEFINITELY <sup>1</sup>  Destroy 1 year after purpose has been served.
8	<u>Master Photographic Negative/Transparency Files</u> ; such as used in the production of visual aids (slides, viewgraphs, and photographs) from original art.	Transfer to FRC when no longer needed to reproduce additional visual aids. PERMANENT.
9	<u>Slides and Viewgraphs</u> ; used by program, staff, and project offices for presentations.	Per RR Plan No. NN-473-14 Destroy when no longer needed or when obsolete.
10	Designs and engineering drawings for fabrication of display models and exhibits.	
	(1) Original Vellum drawings.....	Transfer to FRC when no longer needed. Destroy 8 years after transfer.
	(2) Other copies.....	Destroy when no longer needed.
11	<u>Visual Aids Requisition Files</u> . Requests and instructions for the preparation of the Visual Aids described in Item 1 of this schedule.	Destroy 2 years after break.
12	<u>Visual Aids Requisition Registers</u> . Registers showing receipt of requisition and control number assigned to it.	Destroy 2 years after break.
14. ▽	4 <u>Photographic Work Orders and Ledgers</u> . Work orders and ledgers used in processing and production of photographic services.	Destroy 3 years after break.
15. ▽	<sup>1</sup> These records will be reappraised 8 years later	to determine what will be retained permanently.

ITEMDESCRIPTION OF RECORDSDISPOSITION4 Health Record Case Files:

16, ▷ a. Examinations recorded on SF 78, such as preemployment physical examinations; health qualification placement records; disability retirements examinations; fitness for duty examinations; and any other documents deemed of long-term value by both personnel officials and medical officials.

Upon transfer of employee, ship entire medical record, including x-ray films, to medical office of new assignment. Upon separation from Government employment, file medical records in Official Personnel Folder.

✗ All professional evaluation forms, correspondence and related papers documenting employee's medical history, including x-ray films (except those mentioned in Item 4a of this Schedule).

Transfer to FRC 1 year after termination of employment. Destroy 6 years after transfer. (FRC will salvage x-ray films).

✗ Health and medical case histories, and physical and environmental records pertaining to NASA astronauts.

Transfer to FRC when the program requirement no longer exists. PERMANENT per Records Retention Plan No. NN-473-14.

17 ▷ d. Health and medical case histories and physical examination records, including x-ray films, for all asbestos workers (employees exposed to airborne concentration of asbestos fibers).

Transfer to FRC 1 year after termination of employment. Retain for 20 years in accordance with Section 1910.93, OSHA Regulations.

✗ Health and Medical Reports Files: Statistical reports from NASA field installations on health and medical services, and vital statistics reports on NASA personnel.

✗ a. Headquarters

Destroy 6 years after break.

✗ b. Field installations

Destroy 2 years after break.

✗ Consolidated Health and Medical Reports Files: Statistical reports compiled by Headquarters office from reports described in Item 5 of this Schedule.

✗ Headquarters

Transfer to FRC 2 years after break. PERMANENT per Records Retention Plan No. NN-473-14.

~~18~~ Individual guard post logs of occurrences entered in master logs. Destroy after final entry.

18,  $\triangleright$  19 Personnel Security Clearance Files.

- a. Records of investigations of persons employed by, or seeking employment with, the Government or whose relationship with the Government otherwise requires a security clearance; including records created by NASA, such as NASA Forms 346, 397, 838, and 839. Transfer to FRC 1 year after termination of relationship which caused the investigative process. Destroy 30 years after transfer.
- b. Copies of investigative reports and papers obtained from the Civil Service Commission (or from FBI through CSC). Remove from file upon termination of employment relationship and send to CSC in accordance with FPM chapter 736.
- c. Standard Form 86, Security Investigation Data For Sensitive Position. Remove from file and send to Installation Personnel Dept immediately upon termination of employment relationship for inclusion in Official Personnel Folder in accordance with FPM Supl. 296, App. A, Subchapter S3-2.
- ~~20~~ Personnel Security Clearance Status Files. Records maintained in security units to show the security clearance status of individuals, either in the form of lists or rosters. Destroy when superseded or obsolete.
- ~~21~~ Security Violation Files. Case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders. Destroy 2 years after completion of final corrective or disciplinary action.
- ~~22~~ Security Violation Files (Felonies). Case files relating to investigations of security violations of a sufficiently serious nature to be classed as felonies.
- ~~23~~ a. Precedent and unusual cases (selected by pertinent NASA official). Transfer to FRC 5 years after date of last action. PERMANENT  
Per RR Plan No. NN-473-14
- ~~24~~ b. Other cases. Transfer to FRC 2 years after date of last action. Destroy 5 years after transfer.
- ~~25~~ Lost and Found Accountability Files. Reports, loss statements, receipts and other papers relating to lost and found articles. Destroy 1 year after break.

ITEM

DESCRIPTION OF RECORDS

DISPOSITION

29 Industrial Security Files. Documents relating to the security classification, or changes thereto, of a contract with industry.

a. Precedent and unusual cases (selected by pertinent NASA official) .....

Transfer files pertaining to individual contractors when all existing contracts have been completed or otherwise terminated. PERMANENT

Per RR Plan No. NN-473-14  
Destroy 3 years after contract is closed.

19 ▷

b. Other case files .....

20 ▷ 30

Security Program Files. Documents containing security information that relate to the background and continuance of the security program.

Transfer to FRC one year after break.  
Destroy 10 years after transfer.

## NASA Records Control Schedule 13 -- Continued

DESCRIPTION OF RECORDSDISPOSITION

- 21, ▷ 21 Source Evaluation Board Files: Records and correspondence concerning deliberations and actions of the Administrator or his designee and other officials participating in these actions relating to the final selection of the contractor based on the Source Evaluation Board's report and presentations. (These files are separate from the Board's files set forth in NRCS 17-39).
- Transfer to FRC one year after the end of the fiscal year in which the selection took place. Destroy 5 years after transfer.
- 22, ▷ 22 NASA BCA Cases - Government Counsel's Case Files. Appeals before the NASA Board of Contract Appeals consisting of Notice of Appeal, complaint, answer and/or motion, correspondence, transcript of proceedings before the Board, exhibits, briefs in support of the parties' positions taken under the disputes clause of a NASA contract, and Board decisions, together with working papers of the trial attorney charged with representing NASA before the Board.
- Transfer to FRC 2 years after year in which Board rendered its decision or case was finally settled. Destroy 6 years after transfer.
- 23, ▷ 23 Court Cases Involving NASA Contracts Files. Files of cases in the District Court, Court of Appeals, or Court of Claims involving NASA contracts; including complaint answer, motions, discovery, transcript of proceedings, trial exhibits and briefs in support of the parties' positions, together with the working papers of attorney handling the case.
- Transfer to FRC 2 years after year in which Court renders its final decision or year in which case is settled. Destroy 4 years after transfer.

~~X~~ Employee Interview Records Files. Entrance and exit interviews and interviews involving complaints by or against the employee.

~~X~~ Entrance and Exit Interview ..... Destroy 6 months after transfer or separation of employee.

~~X~~ Complaint Interviews..... Destroy 2 years after transfer or separation of employee.

~~X~~ Temporary Personnel Records. All copies of correspondence and forms maintained as temporary records on the left side of the official personnel folder in accordance with the Federal Personnel Manual. Destroy on transfer or separation of employee.

~~X~~ Position Identification Strips Files. Strips used in service control file to provide summary data on each position occupied. Destroy when position is cancelled or new strip is prepared

~~X~~ Performance and Competence Files. Duplicate case files of performance rating boards of review, and acceptable level of competence reconsiderations, copies of which have been forwarded to the Civil Service Commission. Destroy 1 year after completion of case.

24. 11. Incentive Award Case Files. Documents other than those maintained in the official personnel folder relating to submitting, evaluating and approving or disapproving each incentive awards case; including Beneficial Suggestions, Sustained Superior Performance, Special Act or Service, Certificate of Achievement, Certificate of Appreciation, Meritorius Civilian Service, and Presidential Awards. Destroy 2 years after year in which case was closed.

25. 12. Incentive Awards Program Files. Statistical data, reports and other documentation pertaining to the operations of the incentive awards program, including employee suggestion control and subject index files, minutes of award board meetings, correspondence, and related papers. Destroy 2 years after break.



## NASA RECORDS CONTROL SCHEDULE 16: PRINTING, DUPLICATING, AND DISTRIBUTION RECORDS

The records described in this schedule pertain to the management and operation of NASA printing, duplicating, and reproduction functions. They are created and accumulated by organizations that have management control or formulate and prescribe printing, duplicating, or distribution policies and procedures, and by activities and offices applying these procedures. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

The term "break" repeatedly used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal or calendar year, or after a specific action. As an example, a file which generates an inch or more of correspondence in a year, would probably be broken into separate folders every year at the same time (fiscal year, calendar year, quarterly, etc.). Whereas, when material is generated slowly, a file may be broken every two years. Your records retirement program can be made much easier by designating and adhering to specific break dates for each category of record material in your file station.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>Requisitions on the Public Printer.</u> Requisitions on the Public Printer and all supporting papers. (See Schedule 17 regarding records relating to contracted printing and duplicating jobs):	
	a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Destroy 4 years after break.
	b. Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Destroy 4 years after period covered by related account.

26, ▽

## NASA RECORDS CONTROL SCHEDULE 17: PROCUREMENT AND SUPPLY RECORDS

The records described in this schedule pertain to the management and operation of NASA procurement, contracting, and supply functions. They are created and accumulated by organizations that have management control or formulate and prescribe procurement and supply policies and procedures, and by activities and offices applying these procedures. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

The term "break" repeatedly used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal or calendar year, or after a specific action. As an example, a file which generates an inch or more of correspondence in a year, would probably be broken into separate folders every year at the same time (fiscal year, calendar year, quarterly, etc.). Whereas, when material is generated slowly, a file may be broken every two years. Your records retirement program can be made much easier by designating and adhering to specific break dates for each category of record material in your file station.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>Contracts, Purchase Orders, Requisitions, and Lease Records</u> <u>Files:</u> Case files, including correspondence and related papers pertaining to award and administration.	
	a. Procuring or purchasing organization copy:	
	<del>(1)</del> Transactions of more than \$2,500.	
	<del>(2)</del> Selected case files that set precedent or are unusual.	Transfer to FRC 2 years after final payment. PERMANENT.
	<del>(3)</del> Other case files.	Transfer to FRC 2 years after final payment. Destroy 4 years after transfer.

NASA Records Control Schedule 17--Continued

17-2

ITEM

DESCRIPTION OF RECORDS

DISPOSITION

27

(2) Transactions of \$2,500 or less.

Destroy 3 years after year in which final payment was made.

~~b.~~ Headquarters files pertaining to contracts and amendments awarded by field installations.

Transfer to FRC 2 years after final payment. Destroy 4 years after transfer.

~~c.~~ Other copies.....

Destroy 1 year after completion of contract or when no longer needed, whichever is sooner.

~~A~~ Procurement Register Files: Registers or sheets used to record and control the assignment of numbers to contracts, purchase orders, leases, grants, or similar instruments.

Destroy 6 years after break.

~~X~~ Contract Termination Report Files: Reports and correspondence pertaining to status of contract or grant termination.

Destroy 3 years after break or with related contract file, whichever is appropriate.

~~a~~ Contract Deviation Files: Requests, approvals and disapprovals of deviations from standard contract or grant forms and clauses.

a. Headquarters.....

Transfer to FRC 2 years after break. PERMANENT per RR Plan NN-473-14.

b. Contract office.....

Destroy with related contract file.

~~X~~ Unsuccessful and Rejected Bids on Contracts or Negotiated Procurements.

Destroy with related contract file, or 3 years after break if maintained separately.

6 Bid and Award Protest Files: Correspondence and reports regarding protests on bids and awards.

28

a. Headquarters Files.....

Transfer to FRC 2 years after break. Destroy 4 years after transfer.

~~a~~ Field office Files.....

Destroy with related contract file.

~~X~~ Debarred and Suspended Bidder Lists Files.....

Destroy when obsolete or superseded.

~~X~~ Acceptable Bidders Lists Files.....

Destroy when superseded, obsolete, or no longer needed.

29



Unsolicited Proposals Reports Files: Investigative reports concerning feasibility of unsolicited proposals.

a. Reports on proposals resulting in projects.

File with related contract file.  
Destroy accordingly.

b. Reports on rejected proposals .....

Transfer to FRC one year after break. Destroy 4 yrs. after transfer.

~~10~~ Allotment Case Files: Documents used to control and account for controlled materials.

Destroy 5 years after break.

~~11~~ Procurement Action Report Files: Documents relating to the reporting system designed to provide statistics concerning placement, status, delivery, and settlement of procurement actions. Included are special, quarterly, procurement activity, status, monthly, contract settlement, semiannual, consolidated, and summary reports, and related correspondence.

Destroy 2 years after break.

~~12~~ Defense Material System Instruction Files: Documents providing direction and guidance for the NASA program designed to control materials designated as critical by the Defense Materials System. Included are basic directives, procedures, coordination actions, studies, interpretations, and documents containing factoring data embodied in weight information, engineering estimates, and bills of materials.

Destroy after 2 years, or on supersession or obsolescence, as applicable.

~~13~~ Allocation Files: Documents reflecting the distribution of controlled materials from DOD to NASA Headquarters, and further allocations within NASA to allotting agencies. Included are documents indicating material requirements, allocation decisions, tentative allocations, requests for allocation concurrence, allocations, and similar data.

Destroy 5 years after break.

30.



32

Small Business Reports Files: Reports received by small business advisors from NASA Procurement offices and from contractors regarding the small business procurement program.

Destroy <sup>2</sup>/<sub>7</sub> years after break.

~~33~~

Qualification List Files: Lists of businesses determined to be qualified to participate in the small business program and related documents.

Destroy when superseded or obsolete.

~~34~~

Item Pricing Files: Documents used in determining standard prices for use in obtaining improved pricing on purchases and accounting for the sale and issue of items.

Destroy when obsolete or no longer needed for reference.

~~35~~

Cost and Price Analysis Files: Cost and price analysis reports, financial data, audit reports and all other supporting papers relating to a contract.

Dispose of in accordance with related contract. (See Item 1 of this Schedule).

~~36~~

Tax Exemption Files: Documents relating to the issue of tax exemption certificates which indicate proof of exemption of taxes excluded from the contract price under procurement regulations.

Destroy 4 years after break or with related contract file, whichever is appropriate.

~~37~~

Industrial Equal Employment Files: Documents relating to compliance reviews, complaints, special visits, and other such papers pertaining to the compliance with the nondiscrimination in employment contract clauses.

Dispose of in accordance with related contract file.

~~38~~

Facilities Grants Files: Drawings and specifications for facilities grants.

a. Headquarters Files.

Transfer to FRC 1 year after final payment. Destroy 10 years after transfer.

b. Other offices.

Destroy when no longer needed.

~~42~~ Inter-service Inspection Files: Documents relating to the performance of inspection services for other procuring activities, such as audit reports, etc. Dispose of in accordance with related contract.

~~43~~ Basic Agreement Files: Basic agreements are made with individual contractors to set forth the negotiated contract clauses which shall be applicable to future contracts of a specified type entered into between the contractor and NASA during the term of the basic agreements. All basic agreements, current and active, or canceled or superseded for any one contractor, shall be filed together. Transfer file to FRC 2 years after final payment on the last NASA contract performed by the applicable contractor. Destroy 4 years after transfer. (Headquarters file Destroy 2 years after expiration of Basic Agreement.)

~~44~~ PhD Theses File (Headquarters only): Individual copies of dissertations resulting from NASA predoctoral traineeship program. No other copies are retained. Transfer immediately after break. Destroy 5 years after transfer.

31 ▷

45 Mechanized Property and Supply Records (Transaction Register): Mechanized Register reflecting stock items having activity during period covered by the register. This register is an audit trail of stock items and includes transactions such as the following: Transactions establishing new items, receipts, issues due-in's, due-out's, inventory adjustments, etc. Destroy  $\frac{2}{1}$  years after break.

~~46~~ Contractor EEO Reports Files: Contract compliance reviews of contractors and Affirmative Actions plans of contractors and Equal Employment Opportunity (EEO-1) reports. Transfer when no longer needed (within 1 year). Destroy 2 years after transfer.

~~47~~ Defense Industrial Plant Equipment Center (DIPEC) Loan Agreements: Listings of tools or test equipment on loan from DIPEC to NASA contractor or NASA installation. Destroy 1 year after completion of loan.

32 ▷

48 Procurement Management Survey Files. Correspondence and reports concerning surveys of procurement management by NASA Headquarters.

a. Field installations and offices ..... Destroy 3 years after next survey.

b. Headquarters Procurement Office ..... Retain until reference value ceases then destroy.

33 <u>ITEM</u>	<u>DESCRIPTION</u>	<u>DISPOSITION</u>
49	<p><u>Board of Contract Appeals' Case Files.</u> Records of appeals of NASA contractors under the disputes clause of a NASA contract, including findings and final decisions of NASA contracting officers, pleadings, transcripts of hearings, briefs, exhibits and related correspondence, memoranda, working papers, and Board decisions.</p> <p>a. Cases in which the appeal was withdrawn or settled.</p> <p>b. Cases in which Board rendered a decision.</p>	<p>Transfer to FRC 2 years after year in which appeal was withdrawn or settled. Destroy 5 years after transfer.</p> <p>Transfer to FRC 6 years after year in which decision was rendered. Destroy 5 years after transfer.</p>

## NASA RECORDS CONTROL SCHEDULE 18: PROPERTY AND FACILITIES MANAGEMENT RECORDS

The records described in this schedule pertain to NASA property and facilities management functions. They are created and accumulated by organizations that have management control or formulate and prescribe real or personal property or facilities management policies and procedures and by activities and offices applying these procedures. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

The term "break" repeatedly used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal or calendar year, or after a specific action. As an example, a file which generates an inch or more of correspondence in a year, would probably be broken into separate folders every year at the same time (fiscal year, calendar year, quarterly, etc.). Whereas, when material is generated slowly, a file may be broken every two years. Your records retirement program can be made much easier by designating and adhering to specific break dates for each category of record material in your file station.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<p><u>Real Property Records Furnished to Disposal Agency.</u> Installation or Facility Records consisting of:</p> <p>Title documents, including deeds, certificates of title, abstracts of title, accepted offer to sell, tract descriptions, certificates of inspection and possession, payment and closing sheets, tax collector certificates; legal documents resulting from Government condemnation actions; deeds and other papers documenting Government easement interest; transfer and acceptance documents; leases, licenses, permits and agreements which will continue in effect after NASA jurisdiction of real property terminates; maps and drawings pertaining to installation or facility; and installation brochures and copies of historical data of interest to recipient of an installation or facility.</p>	<p>*Office of Facilities (Hdqts.) must approve of all NASA disposal (property) actions and initiate Report of Excess to disposal agency or transmit approval to another NASA office who will file Report of Excess. Office of Facilities either:</p> <p>(a) Transmits its records in this category direct to disposal agency in conjunction with the dispatch of the Report of Excess, or</p>

34

Ch. 3 18-1



ITEM

DESCRIPTION OF RECORDS

DISPOSITION


3 Temporary Real Property Records:

~~a.~~ Installation or Facility records consisting of: Institutional Housing requirements; Center quarterly real property inventory; and Center real property summary reports.

Destroy 2 years after disposal of installation or facility.

~~b.~~ Installation Real Property Inventories, Trailer Reports and Rental of Real Property Reports submitted by Program Offices and/or installations.

Retain current and previous fiscal year reports. Destroy others.

35  c. Building Space Utilization Reports Files. Annual reports of space utilization of all buildings, including numbers of people, areas and purposes for which used (NASA Form 1400).

Destroy 2 years after/<sup>date of</sup>sub-  
mission to Headquarters.

~~4~~ Real Property Studies. Studies relating to real property together with background papers showing inception, scope, and accomplishments.

~~a.~~ Selected studies that are considered unique in character.....

Transfer to FRC when no longer needed for reference. PERMANENT per RR Plan No. NN-473-14.

~~b.~~ Routine studies of a temporary nature.....

Destroy when no longer needed for reference.

5 Surplus Personal Property Disposal. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those turned over to receiver).

36 ▷

a. Transactions of \$2,500 or less.....

Transfer to FRC after final payment. Destroy 3 years after transfer.

37 ▷

b. Transactions of more than \$2,500. Excluding those under Item c. below.

Transfer to FRC after final payment. Destroy 6 years after transfer.

~~c.~~ Selected files that are unique in character relating to transactions over \$25,000.

Transfer to FRC after final payment. PERMANENT. per RR Plan No. NN-473-14.

~~6~~ Excess Personal Property Reports. Copies of reports to GSA regarding excess personal property.

Destroy 3 years after break.

~~7~~ Capitalized Equipment Register. Register showing serial or inventory number of all capitalized equipment currently used or in storage at the installation.

Destroy on discontinuance of installation.

~~8~~ Surplus Property Donations Files. Case files on surplus property donated to Health, Education and Welfare, including pertinent HEW forms, shipping documents and related correspondence.

Destroy 3 years after break.

NRCS 18, PROPERTY AND FACILITIES MANAGEMENT RECORDS

ITEM

DESCRIPTION OF RECORDS

DISPOSITION

38. ▽ 17 Public Reactions to Establishment of Major Projects Files. Correspondence with citizens, including municipal officials, expressing interest in or opposition to establishment of new field centers or new NASA construction programs. This correspondence usually cites adverse impacts upon the community

Destroy 3 years after selection of site or abandonment of site survey or after inception of new program.

## NASA RECORDS CONTROL SCHEDULE 22: TRAVEL AND TRANSPORTATION RECORDS

The records described in this schedule pertain to the management and operation of NASA travel and transportation functions. They are created and accumulated by organizations that have management control or formulate and prescribe policies and procedures regulating travel and transportation operations, and by activities and offices applying these procedures. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

The term "break" repeatedly used in this schedule means the breaking point for making another file folder. The purpose is to separate older file material from the newer, more active material. This should be done regularly at designated periods of time, such as each fiscal or calendar year, or after a specific action. As an example, a file which generates an inch or more of correspondence in a year, would probably be broken into separate folders every year at the same time (fiscal year, calendar year, quarterly, etc.). Whereas, when material is generated slowly, a file may be broken every two years. Your records retirement program can be made much easier by designating and adhering to specific break dates for each category of record material in your file station.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>Passenger Transportation Records Files</u> : Memorandum copies of vouchers (Standard Form 1171a); memorandum copies of transportation requests (Standard Form 1169a); travel authorizations; transportation request registers; and all supporting papers.	Destroy 3 years after break. <del>Transfer to FRC 1 year after break. Destroy 3 years after transfer.</del>
	a. Issuing office memorandum copy.....	
	Other copies.....	Destroy when no longer needed.
	<u>Travel Records Files</u> . Passenger transportation records pertaining to reimbursements to individuals, consisting of copies of	

39 ▽

Ch. 3  
22-1

ITEM

DESCRIPTION OF RECORDS

DISPOSITION

2 travel orders, per diem, vouchers, transportation requests, hotel reservations, and all supporting documents related to official travel of officers, employees, agents, and others authorized to travel by law (exclusive of material covered by Item 1).

a. Travel administrative unit copies.....

Destroy <sup>3</sup>/<sub>4</sub> years after break.

~~1~~ Obligation copies.....

Destroy when funds are obligated.

~~1~~ Passports Files: Official passports and all related papers.....

Return passport to the Department of State when invalid or upon separation or transfer of employee concerned. Destroy related papers one year after separation or transfer of employee concerned.

~~1~~ Transportation Credit Card Files: Credit cards issued by commercial organizations for reissue to agency personnel for their use while on official travel duty; receipts, registers or other documents relating thereto.

Destroy credit cards and related papers upon receipt of new credit cards.

5 Shipping Records Files. Export certificates, transit certificates, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, bills of lading registers, shortage and demurrage reports, parcel post shipments, and all supporting documents, including files relating to the shipment of household effects.

Destroy 3 years after break.

a. Issuing office memorandum copy.....

~~Transfer to PRG 2 years after break. Destroy 2 years after transfer.~~

~~1~~ Other copies.....

Destroy one year after break.

40 >

41 >

## NASA RECORDS CONTROL SCHEDULE 25: R & D PROJECT RECORDS

The records described in this schedule pertain to the management, planning, and performance of an R&D project. Such records are created and accumulated by project organizations that have direct management control of inhouse and/or contractor project activities. Project files relate to individual basic research, applied research, and engineering development projects. The Project Office, normally at the laboratory or division level at a field installation, is responsible for maintaining the files relating to the particular project and for insuring the progressive consolidation of essential documentation of the project. When more than one laboratory at an installation, or more than one installation works on a project, the lead project manager should establish procedures to insure that all files relating to the project are collected at a designated Federal Records Center (FRC) for retirement. When projects continue for several years, it will be desirable to establish file breaks for some records and retire such material to a FRC in advance of project completion. In any event, all R&D project files will be "broken" (cut off) on completion of the project. This schedule describes pertinent categories of the project records and specifies the retention period and disposition for each. (For program management records or R&D administration records, refer to NRCS 24.),

### ITEM

### DESCRIPTION OF RECORDS

### DISPOSITION

1 R&D Project Case Files: Project case files usually contain one or more of the files series listed below. Each series may be filed separately or they may be combined, depending on the size of the project and the location of the personnel involved. Since it is not feasible to dispose of the many files series at different times, each case file is handled as a single unit under one disposition standard.

a. R&D Project Office files relating to complex, especially significant, or unusually large projects, generally resulting in prototype flight equipment; often comprised of one or more of the following files:

NOT AUTHORIZED FOR DISPOSAL AT THIS TIME. Transfer to Federal Records Center (FRC) within 2 years after completion of related project. 13 years after transfer, NASA will submit disposition request to NARS to determine which files, if any, should be retained for permanent retention.

41-A  
▽

## NASA RECORDS CONTROL SCHEDULE 25--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
(1)	<u>R&amp;D Project Procurement Files</u> : One copy of each R&D contract, grant, or agreement associated with the accomplishments of the project with changes, modifications, or addendums thereto. (This is the project's file, not the procurement office file.)	
(2)	<u>R&amp;D Project Status Files</u> : Documents reflecting the project managers master plan for research, development, and test of a designated equipment system. These plans are used as management tools and as a means of informing higher authority of the system's status. Included are project management master plans, superseded and obsoleted parts of the plans, studies and reports used to keep the plan current, and related documents.	
(3)	<u>R&amp;D Project Authorization Files</u> : Documents reflecting actions leading up to and including the authorization for initiation of a project. Included are Project Planning Documents (PPD's) and Project Authorization Documents (PAD's).	
(4)	<u>R&amp;D Project Specification and Drawing Files</u> : Copies of experimental, preliminary, and final drawings and specifications created in connection with the project.	
(5)	<u>R&amp;D Project Test and Evaluation Files</u> : Documents relating to the testing and evaluation of R&D items to make sure that design, technical, and characteristics requirements are met and to provide information for corrective action, research, environmental, engineering, service, and other test directives;	

plans and preliminary and final reports; firing reports; related correspondence; and comparable test data.

- (6) R&D Project Correspondence Files: Correspondence relating to a project and not a part of the project managers files.
- (7) R&D Project Meeting Files: Copies of minutes of meetings, conference reports, trip reports, reports of consultations, and similar papers pertaining to the project.
- (8) R&D Project's Data Location Files: Cross references or notations as to the existence and location of scale models; experimental hardware, motion picture films, and comparable items which are not filed with the project files.
- (9) R&D Project Reference Report Files: Copies of each technical, progress, or test report issued or received in connection with the project, including feasibility, cost effectiveness, contractor reports, etc.
- (10) R&D Project Proceedings and Minutes of Reviews Files: Such as Preliminary Requirements Review, Preliminary Design Review, Critical Design Review, Configuration Inspections, Design Certification Review, Flight Readiness Review, and Post Flight Evaluation.
- 42 ▶ (11) R&D Project Termination Files. Documents reflecting notices of or authority for completion or termination of a project or task, such as technical committee action, termination notice, or comparable local indicating R&D work on a particular project or task has been completed.
- 43 ▶ (12) Post Launch Spacecraft Engineering Performance Files. Logs and data describing the operation of the various functions of the spacecraft or satellite, revealing performance, malfunctions, attitude, environmental conditions which may be used to check ongoing operations and to introduce engineering improvements into the design of later or similar spacecraft; includes reports, technical notes, microfilm plots, memoranda, correspondence and related papers.

Transfer to FRC 1 year after completion of performance period of the craft.