

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

NO 150481

LEAVE BLANK	
JOB NO	NC1-255-81-1
DATE RECEIVED	April 15, 1981
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
5-19-81 <i>Date</i>	<i>[Signature]</i> <i>Archivist of the United States</i>

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

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

2. MAJOR SUBDIVISION
Office of Inspector General (W Codes) *HQ, Field Center*

3. MINOR SUBDIVISION
Assistant Inspector General for Management

4. NAME OF PERSON WITH WHOM TO CONFER
R. Craig Snyder

5. TEL. EXT.
755-8405

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 5 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
3-30-81	<i>Carl Steinmetz</i>	NASA Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>See attached proposed NASA Records Schedule 23 for Inspector General Records.</p> <p>The proposed schedule is a revision of NASA Records Schedules 6: Auditing Records, and Schedule 12: Inspection and Security Records. Delete Item No. 1, Inspection Reports Files, from Schedule 12. Item No. 1 is now Item No. 7 of Schedule 23. Schedule No. 12 is being revised to apply to Security Records only, which is covered by General Records Schedule 18. The records previously covered by NASA Records Schedule 6 are now included in NASA Records Schedule 23, as proposed.</p> <p>The justification for the revision is the establishment of the NASA Office of Inspector General pursuant to Public Law 95-452, the Inspector General Act of 1978.</p>		<i>16 items</i>

115-107

Closed Out: 5-28-81: K.T.D
Copy to 4NC, 5NC-C, 5NC-D, 7NC, 9NC-S, 9NC-L,
10NC & NCW
Agencies & NNG

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

NASA RECORDS SCHEDULE 23 - INSPECTOR GENERAL RECORDS

The records described in this schedule pertain to the management and operation of reports, correspondence, and other information relating to the Inspector General's investigation program and to audits of NASA operations and/or NASA contractors by Inspector General auditors, by GAO, or by other Government auditors. The audit records are created and accumulated (1) by the audit offices that have management control of the internal audits or formulate and prescribe auditing policies and procedures, and by the offices performing the audits; (2) by organizations that have been audited; and (3) by organizations that control or administer the contracts that have been audited. The investigation records are created and accumulated by the organization which provides policy direction for, and conducts, supervises and coordinates investigations relating to the programs and operations of NASA. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>GAO Audits of NASA.</u> Case files on GAO audits of NASA activities. Includes GAO audit reports, correspondence, certificates of clearance, notice of completion, and all related papers.	Transfer to FRC 2 years after date of audit report. Destroy 10 years after trans- fer after date of audit report.
	a. GAO Liaison Staff	NRS6-1
	b. Organization audited.	Destroy 5 years after date of audit report.

2. ~~GAO Audits of Other Agencies.~~ Files on GAO audits of activities of other agencies which were distributed in NASA. Includes GAO audit reports and correspondence.
3. NASA Internal Audits. Case files on NASA internal audits. Consists of audit reports, correspondence, and all supporting work papers.
 - a. Office performing audit.
 - b. Organization audited.
 - c. Other NASA offices.
4. GAO Audits of Contractors. Case files on GAO audits of NASA contractors.
 - a. Cognizant procurement office
 - b. Other offices.

~~Transfer to FRC
2 years after the date
of the audit report.
Destroy 8 years after
transfer.~~

WITHDRAWN

NRS6-2

Transfer to FRC
2 years after date
of final report.
Destroy 6 years after
~~transfer~~ *date of final report*

Destroy 2 years after
date of final audit
report.

Destroy 2 years after
date of final audit
report.

NRS6-3

Destroy with related
contract file.

Destroy 3 years after
audit.

5. NASA Audits of Contractors. Case files on NASA audits of contractors. Includes papers relating to NASA audits for other Government agencies such as DOD.

NRS6-4

- a. Office performing audit.

Transfer to FRC
2 years after date
of final audit report
unless dispute is
involved, in which
case transfer after
dispute is finally
resolved. Destroy
~~46~~ years after *date of*
~~transfer~~ *final audit report.*

- b. Other NASA audit offices.

Destroy 3 years after
date of final audit
report unless dispute
involved, in which
case destroy after
dispute is finally
resolved.

- c. Cognizant procurement office.

Destroy with related
contract file.

- d. Other offices.

Destroy 1 year after
date of final audit
report.

6. Other Audits of NASA Contractors. Includes DCAA and HHS audit reports, correspondence, and all related papers.

NRS6-5

a. Cognizant NASA regional audit office.

Destroy 3 years after date of audit report, unless dispute is involved, in which case destroy after dispute is finally resolved.

b. Cognizant procurement office.

Destroy with related contract file.

c. Other offices.

Destroy 1 year after date of audit report.

7. Inspector General Investigative Files. Case files of investigative reports and related papers on current and former employees of NASA, contractor and sub-contractor firms and employees, and others having relationships with NASA or whose actions have affected NASA relating to activities possible constituting a violation of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific

1. Special Interest Files: ~~Review for destruction or further retention~~ *Destroy*
10 years after case is closed.

2. Routine Interest Files: Destroy
5 years after case is closed.

danger to the public health and safety. Also, 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.

A file is not closed until all judicial and administrative avenues and considerations have been finally exhausted. At the time of closing, the file is designated as a Special or Routine Interest file. Special interest files are those investigative files which the Assistant Inspector General for Investigations determines should be retained because of especially significant, sensitive, or historical content. All other files are routine interest files.