REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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.

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

C. DATE
3-30-81

D. SIGNATURE OF AGENCY REPRESENTATIVE
Carl Steinmetz

E. TITLE
NASA Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

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.

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.
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's 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.

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<tr>
<th>ITEM</th>
<th>DESCRIPTION OF RECORDS</th>
<th>DISPOSITION</th>
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| 1    | GAO Audits 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. | a. GAO Liaison Staff

  Transfer to PRC 2 years after date of audit report. Destroy 10 years after transfer from date of audit report.

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

3. **NASA Internal Audits.** Case files on NASA internal audits. Consists of audit reports, correspondence, and all supporting work papers. **Transfer to FRC 2 years after date of final report. Destroy 6 years after date of final report.**

   a. Office performing audit.
   b. Organization audited.
   c. Other NASA offices.

4. **GAO Audits of Contractors.** Case files on GAO audits of NASA contractors. **Transfer to FRC 2 years after date of final audit report. Destroy 2 years after date of final audit report.**

   a. Cognizant procurement office
   b. Other offices. **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.

a. Office performing audit.

b. Other NASA audit offices.

c. Cognizant procurement office.

d. Other offices.

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 4 years after date of final audit report.

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

Destroy with related contract file.

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.

   a. Cognizant NASA regional audit office.

   b. Cognizant procurement office.

   c. Other offices.

7. **Inspector General Investigative Files.**
   Case files of investigative reports and related papers on current and former employees of NASA, contractor and subcontractor 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

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

   Destroy with related contract file.

   Destroy 1 year after date of audit report.

   1. **Special Interest Files:** Review for further retention

   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.