

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

2. MAJOR SUBDIVISION

NASA Headquarters and Field Installations

3. MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER 5 TELEPHONE

Adria A. Lipka

202 358-1372

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-255-94-2

DATE RECEIVED
11/12/93

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 ARCHIVIST OF THE UNITED STATES

7-1-94

Archie Huskamp Peters

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 _____ 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
11-8-93	<i>Adria A. Lipka</i>	NASA Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	NASA Records Retention Schedules (NHB 1441.1B) Chapters 5 and 9. See attached.		

Copies sent to Agency, NSW, NNT, NSR, NCF, NIA @ 7/1/94

NASA RECORDS RETENTION SCHEDULE 5

INDUSTRY RELATIONS AND PROCUREMENT

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 5, pertain to the management and operation of NASA procurement and contracting functions. They are created and accumulated by organizations that have management control or formulate and prescribe procurement 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.

Agency procurement records document the acquisition of goods and non-personal services, reporting procurement needs, and related matters which are a part of daily procurement operations. The basic procurement files reflect a considerable range of procedures, from simple, small purchases to complicated prime contractor and subcontractor operations. Records created prior to 1895 must be offered to NARA for appraisal before applying the disposition instructions. All agencies have official contract files, which contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the agency deems to be best for its own operating purposes. All of these documents make up the official file copy.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping expediting, and other units of the agency procurement organization and are not considered a part of the official file. Other files related to procurement are the special documents referred to as title papers which document the acquisition of real property (by purchase, condemnation, donation, exchange or otherwise) these records are handled under Schedule 8 of this handbook.

This schedule also includes some of the records relating to grant programs. Grant programs document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement records.

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

1
[5100]
(N 17-1)

~~**ROUTINE PROCUREMENT FILES**~~

Contracts, requisitions, purchase orders, leases, bonds, and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 13, 19, and Schedule 8) or described in FAR 48 CFR 4.805. [SEE NOTE₁]

~~**A. Procurement or purchase organization copy and related papers necessary for GAO or internal audit purposes.**~~

- ~~1. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000. DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT. [GRS 3-3a(1) (88)]~~
- ~~2. Transactions of \$25,000 or less and constructions contracts under \$2,000. DESTROY 3 YEARS AFTER FINAL PAYMENT. [GRS 3-3a(2) (88)]~~
- ~~3. Selected case files (by the AN for procurement) that set precedent or are unusual and pertain to purchases of spacecraft or major innovations in intra-atmospheric flight, high speed research aircraft, etc. (transactions of more than 1 million dollars). * PERMANENT * RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT. TRANSFER TO NARA 10 YEARS AFTER FINAL PAYMENT.~~

~~**B. OBLIGATION COPY.**~~

~~DESTROY WHEN FUNDS ARE OBLIGATED. [GRS 3-3b (88)]~~

~~**C. Data submitted to the Federal Procurement Data System (FPDS). Electronic data files maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.**~~

~~DESTROY WHEN 5 YEARS OLD [GRS 3-3d (88)]~~

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

~~RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT. DESTROY 6 YEARS AFTER FINAL PAYMENT~~

E. UNIQUE PROCUREMENT FILES

Unique procurement files located in regional FRC's that are appraised as having permanent value by NARA. (Unique procurement files not yet retired to the FRC's, see item 1A.3 above.)

~~* PERMANENT *
SEE A.3 ABOVE~~
Transfer to NARA at time of NARA appraisal or when 10 years old.

~~**F. ALL OTHER OFFICES / COPIES**~~

~~other copies of records described above used by component elements of a procurement office for administrative purposes.~~

~~Destroy upon termination, completion of contract, or when no longer needed, whichever is sooner.~~

~~[GRS 3-3c (88)]~~

NOTE₁: 6 years/3 months converts the fiscal year to calendar year. GAO audits are based on calendar year.

SCHEDULE 5

ITEM [UFI #]	DESCRIPTION OF RECORD SERIES	MINIMUM RETENTION
2 [5100] (N 17-2)	PROCUREMENT CONTROL FILES Indexes, registers, logs, or other records relating to control of assigning numbers, or identifying projects, applications, contracts, and grants.	DESTROY OR DELETE WHEN NO LONGER NEEDED, OR WHEN 3 YEARS OLD WHICHEVER IS SOONER. [GRS 23-8 (92)]
3 [5100] (N 17-40)	STATUS REPORTS ON PRIME AND SUBCONTRACT AWARDS Machine reports (ADP printouts) on NASA prime and subcontract awards; listings of active contracts by installation, by contractor, by place of performance, by project, including monthly and quarterly summaries, monthly procurement action reports, subcontracts awarded by prime contractors and their first tier subcontractors. A. Office of primary responsibility. (NASA Headquarters)	RETIRE TO FRC 1 YEAR AFTER CLOSE OF FISCAL YEAR TO WHICH RECORDS PERTAIN DESTROY WHEN 10 YEARS OLD. 17/40e
	B. Field Installations and all other copies	DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 2 YEARS OLD. 17/40b
4 [5100] (N 17-8)	BIDDERS' LISTS A. <u>ACCEPTABLE</u> Lists or card files of acceptable bidders.	DESTROY WHEN SUPERSEDED, OBSOLETE, OR 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 3-5d (88)]
(N 17-7)	B. <u>DEBARRED AND SUSPENDED</u> Lists or card files of debarred or suspended bidders.	DESTROY WHEN SUPERSEDED, OBSOLETE, OR 3 YEARS OLD, WHICHEVER IS SOONER. 17/7
5 [5100] (N 17-48)	GENERAL PROCUREMENT CORRESPONDENCE Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Procurement management survey files, including correspondence and reports concerning surveys of procurement management. A. <u>HEADQUARTERS.</u> B. <u>FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES.</u>	RETAIN UNTIL REFERENCE VALUE CEASES; THEN DESTROY. 17/48b DESTROY WHEN 2 YEARS OLD. [GRS 3-2 (88)]

SCHEDULE 5

**ITEM
[UFI#]**

DESCRIPTION OF RECORD SERIES

**MINIMUM
RETENTION**

**6
[5101]
(N 13-7)**

CONTRACT LEGAL ADVICE

Documents pertaining to pre-award contract advice concerning patent, copyright, and technical data matters.

RETIRE TO FRC WHEN NO LONGER
NEEDED FOR REFERENCE
DESTROY WHEN RELATED
CONTRACT OR WHEN 25 YEARS
OLD, WHICHEVER IS LATER. *13/7*

**7
[5104]
(N 17-43)**

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 cancelled or superseded for any one contractor, shall be filed together.

A. HEADQUARTERS.

DESTROY 2 YEARS AFTER
EXPIRATION OF BASIC
AGREEMENT. *13/43*

B. FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES

RETIRE TO FRC 2 YEARS AFTER
FINAL PAYMENT ON CONTRACT
PERFORMED BY APPLICABLE
CONTRACTOR. DESTROY 4 YEARS
AFTER FINAL PAYMENT. *13/43*

**8
[5104]
(N 13-8)**

CONTRACT ADMINISTRATION OF PATENT AND NEW TECHNOLOGY CLAUSES

Documents pertaining to actual administration of patent and new technology clauses in contracts especially pertaining to reporting and processing of inventions required to be reported.

RETIRE TO FRC 2 YEARS AFTER
CONTRACT CLOSE-OUT. DESTROY
WHEN 20 YEARS OLD. *13/8*

**9
[5104]
(N 17-19)**

SURVEYS OF EVALUATIONS

Case files on surveys of evaluations made by NASA procurement offices.

DESTROY 6 YEARS AFTER FINAL
PAYMENT. *13/19*

**10
[5105]
(N 17-11)**

PROCUREMENT ACTION REPORT

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, contractor settlement, semi-annual, consolidated, and summary reports, and related correspondence.

DESTROY WHEN 2 YEARS OLD. *13/11*

SCHEDULE 5

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

~~11~~ **COMPETENCY CERTIFICATES**

~~[5109]
(N 17-31)~~

~~Copies of the certificates, communications, concerning the capacity credit of specific small business concerns~~

~~DISPOSE OF IN ACCORDANCE
WITH RELATED CONTRACT.~~

17/31

12 **CONTRACT DEVIATION FILES**

[5112]
(N 17-4)

Requests, approvals, and disapproval of deviations from standard contract or grant forms and clauses.

A. HEADQUARTERS.

~~PERMANENT~~

~~RETIRE TO FRC WHEN 2 YEARS
OLD. TRANSFER TO NARA WHEN 10
YEARS OLD.~~ *17/4a change*

Destroy with related contract

B. CONTRACTING OFFICE.

DESTROY WITH RELATED
CONTRACT FILE.

17/46

C. ALL OTHER OFFICES/COPIES.

~~DESTROY WHEN NO LONGER
NEEDED OR WHEN 5 YEARS OLD,
WHICHEVER IS SOONER~~

~~13~~ **SOURCE EVALUATION BOARD (SEB) FILES**

~~[5115]
(N 17-39)~~

~~A. ESTABLISHMENT OF BOARD INCLUDING RECORDS CREATED~~

~~Records and correspondence concerning the competitive solicitation, evaluation, and selection of a contractor to perform a major negotiated contract, including designation of board members, rules for board operations, committee appointments, minutes of all committee and board meetings; records on the evaluation process, criteria, specifications; bidder proposals, and reports of committee actions and findings, including backup material and final SEB reports to the Administrator.~~

~~MAINTAIN AS AN INTEGRAL UNIT.
RETIRE AND DESTROY WITH THE
RELATED CONTRACT FILE SEE
ITEM 1.A.3. OF THIS SCHEDULE, IF
CONTRACT IS PRECEDENT SETTING
OR UNIQUE. RETIRING ACTIVITIES
PLACE DESTRUCTION DATE ON THE
SF 135.~~

17/39

(N 13-21) B. ACTIONS OF THE ADMINISTRATOR (OR HIS DESIGNEE)

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 SEB's report and presentation(s). [SEE NOTE₁]

~~RETIRE TO FRC 1 YEAR AFTER THE
END OF THE FISCAL YEAR IN WHICH
THE SELECTION TOOK PLACE.
DESTROY 6 YEARS AFTER THE
FISCAL YEAR IN WHICH THE
SELECTION TOOK PLACE.~~

17/21

NOTE₁: These files are separate from the Board's files set forth above in A.

SCHEDULE 5

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

14
[5115]

SOLICITED AND UNSOLICITED BIDS AND PROPOSALS FILES
(INCLUDING SUCCESSFUL/UNSUCCESSFUL AND REJECTED BIDS)

A. SUCCESSFUL BIDS/PROPOSALS

DESTROY WITH RELATED
CONTRACT CASE FILE (SEE ITEM 1
OF THIS SCHEDULE)
[GRS 3-5a (88)]

(N 17-5)

B. UNSUCCESSFUL BIDS/PROPOSALS - SOLICITED & UNSOLICITED

1. Relating to small purchases as defined in the FAR, 48 CFR Part 13.

DESTROY 1 YEAR AFTER DATE OF
AWARD OR FINAL PAYMENT,
WHICHEVER IS LATER.
[GRS 3-5b(1) (88)]

2. Relating to transactions above the small purchase limitations in
48 CFR, Part 13.

(a) When filed separately from the contract file.

DESTROY WHEN RELATED
CONTRACT IS COMPLETED.
[GRS 3-5b(2)(a) (88)]

(b) When filed with contract case file.

DESTROY WITH RELATED
CONTRACT CASE FILE (SEE ITEM 1
OF THIS SCHEDULE).
[GRS 3-5b(2)(b) (88)]

(N 17-9)

3. Investigative reports concerning feasibility of unsolicited proposal(s).

(a) Reports on proposals resulting in projects.

FILE WITH RELATED CONTRACT.
DESTROY ACCORDINGLY. 12/9

(b) Reports on rejected proposals.

RETIRE TO FRC WHEN 1 YEAR
OLD. DESTROY WHEN 5 YEARS
OLD. 12/9

C. CANCELLED SOLICITATIONS

1. Formal solicitations of offers to provide products or services
(e.g., Invitations for Bids, Requests for Proposals, Requests for
Quotations) which are cancelled prior to award of a contract. The
files include presolicitation documentation on the requirement, any
offers which were opened prior to the cancellation, documentation on
any Government action up to the time of cancellation, and evidence of
the cancellation.

DESTROY 5 YEARS AFTER DATE
OF CANCELLATION.
[GRS 3-5c(1) (88)]

2. Unopened Bids.

RETURN TO BIDDER.
[GRS 3-5c(2) (88)]

D. LISTS/CARDS OF BIDDERS

DESTROY WHEN SUPERSEDED,
OBSOLETE OR WHEN 3 YEARS OLD
WHICHEVER IS LATER.
[GRS 3-5d (88)]

SCHEDULE 5

<u>ITEM</u> <u>[UEI #]</u>	<u>DESCRIPTION OF RECORD SERIES</u>	<u>MINIMUM</u> <u>RETENTION</u>
15 [5119] (N 17-33)	QUALIFICATION LISTS Lists of businesses determined to be qualified to participate in the small business program and related documents.	DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER.
16 [5119] (N 17-32)	SMALL BUSINESS RECORDS A. <u>REPORTS</u> Reports received by small business advisors from NASA procurement offices and from contractors regarding the small business procurement program.	DESTROY WHEN 2 YEARS OLD.
(N 17-28)	B. <u>INFORMATION FILES</u> Documents relating to communications or discussions providing small business concerns with information about NASA requirements for the participation of small business concerns in the NASA procurement program.	DESTROY WHEN 2 YEARS OLD.
(N 17-29)	C. <u>PROGRAM SURVEY FILES</u> Documents relating to surveys to analyze the effectiveness of the small business program.	DESTROY WHEN 2 YEARS OLD.
(N 17-30)	D. <u>QUALIFICATION FILES</u> Case files relating to the productive capacity, credit, resources, and similar data about small business concerns to provide information about the availability of additional small business sources to meet current or anticipated requirements of the procurement program.	DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER.
17 [5127] (N 13-10)	LICENSING OF NASA-OWNED INVENTIONS (DOMESTIC AND FOREIGN) A. <u>LICENSE GRANTS.</u>	RECORDS MAY BE RETIRED TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 25 YEARS OLD. <i>13/10 change</i>
	B. <u>INQUIRIES</u> about commercial rights and licensing program.	DESTROY WHEN 2 YEARS OLD.
18 [5127] (N 13-11)	PATENTS <i>(ALSO SEE SCHEDULE 2)</i> A. <u>INFRINGEMENT</u> Infringement case files, including correspondence of a general nature regarding patent infringement.	RETIRE TO FRC 2 YEARS AFTER SETTLEMENT OF CASE. DESTROY WHEN 20 YEARS OLD. <i>13/10 change</i>
(N 13-12)	B. <u>LICENSES RECEIVED ON PATENTS OR PATENT APPLICATIONS</u> HEADQUARTERS ONLY - (Office of General Counsel)	RETIRE TO FRC 2 YEARS AFTER LICENSE IS NO LONGER ACTIVE. DESTROY WHEN 10 YEARS OLD.

SCHEDULE 5

<u>ITEM</u> <u>[UF]#]</u>	<u>DESCRIPTION OF RECORD SERIES</u>	<u>MINIMUM</u> <u>RETENTION</u>
19 [5129] (N 17-36)	TAX EXEMPTION FILES Documents relating to the issue of tax exemption certificates and related papers which indicated proof of exemption of taxes excluded from the contract price under procurement regulations.	DESTROY 3 YEARS AFTER PERIOD COVERED BY RELATED ACCOUNT. [GRS 3-12 (88)]
20 [5131] (N 17-41)	CONTRACTORS' PAYROLL Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certificates, antikickback affidavits, and other related papers.	DESTROY 3 YEARS AFTER DATE OF COMPLETION OF CONTRACT UNLESS CONTRACT PERFORMANCE IS SUBJECT TO ENFORCEMENT ACTION ON SUCH DATE. [GRS 3-11 (88)]
21 [5131] (N 17-35)	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.
22 [5133] (N 17-6)	BID AND AWARD PROTEST FILES (ALSO SEE SCHEDULE 2) Correspondence and reports regarding protests on bids and awards. A. <u>HEADQUARTERS.</u> B. <u>FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES.</u>	RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 6 YEARS OLD. DESTROY WITH RELATED CONTRACT FILE.
23 [5135] (N 24-15)	R&D CONTRACT REFERENCE FILE Consisting of copies of R&D contracts associated with the accomplishment of the program with changes, modifications, or addenda thereto.	DESTROY AFTER COMPLETION OR CANCELLATION OF PROGRAM.
24 [5137] (N 17-42)	INTERSERVICE INSPECTION FILES Documents relating to the performance of inspection services for other procuring activities, such as audit reports.	DISPOSE OF IN ACCORDANCE WITH RELATED CONTRACT.

SCHEDULE 5

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

25
[5142]

CONTRACTOR MONTHLY MANAGEMENT AND OPERATIONS REPORTS

Contract Technical Monitor's (CTM), Contracting Officers Technical Representative (COTR), or Contracting Officer Representative (COR) for which contract is performed.

A. Copies of formal written direction to the contractor which fills in detail, directs possible lines of inquiry, or otherwise more specifically defines work set forth in the contract statement-of-work.

RECORDS MAY BE RETIRED TO FRC WHEN 4 YEARS OLD. DESTROY UPON CERTIFICATION OF PAYMENT TO THE CONTRACTOR OR WHEN NO LONGER NEEDED FOR FOLLOW-ON CONTRACT PREPARATION. RETIRING ACTIVITY TO PLACE DESTRUCTION DATE ON SF 135.

B. Copies of contractor's management and operation reports, containing financial and production data.

DESTROY 2 YEARS AFTER EXPIRATION OF CONTRACT.

~~26
[5149]~~

~~**CONTRACT TERMINATION REPORT FILES**~~

~~(N 17-3)~~

~~Reports, correspondence, and related documentation pertaining to status of contract or grant termination.~~

~~DESTROY WHEN 3 YEARS OLD OR WITH RELATED CONTRACT FILE, WHICHEVER IS LATER.~~

27
[5200]

CONTRACTOR LABOR RELATIONS - EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS (INDUSTRY)

(N 17-37)

A. COMPLIANCE RECORDS

Documents relating to the compliance with nondiscrimination in employment contract clauses.

1. Compliance Review files consisting of reviews, background papers, complaints, special visits, and correspondence relating to contractor employment practices.

DESTROY WHEN 7 YEARS OLD. [GRS 1-25d(1) (88)]

2. EEO Compliance Reports.

DESTROY WHEN 3 YEARS OLD. [GRS 1-25d(2) (88)]

(N 17-46)

B. CONTRACTOR EEO REPORTS

Contract compliance reviews of contractors and affirmative action plans of contractors and equal employment opportunity (EEO-1) reports.

DESTROY WHEN 7 YEARS OLD. [GRS 1-25d(1) (88)]

C. EEO CLEARANCE PAPERS

Memoranda or other documentation from EEO clearing or approving a contractor for compliance with non-discrimination contract clauses.

DESTROY WITH RELATED CONTRACT.

~~28
[5300]~~

~~**UNSATISFACTORY CONDITION REPORTS**~~

~~(N 20-7)~~

~~Reports and related documents resulting from unsatisfactory performance or working conditions as related to the contract and contractor.~~

~~RETIRE TO FRC 1 YEAR AFTER END OF PROJECT. DESTROY 10 YEARS AFTER THE END OF THE PROJECT.~~

SCHEDULE 5

**ITEM
[UFI#]**

DESCRIPTION OF RECORD SERIES

**MINIMUM
RETENTION**

29 EVALUATION FILES

[5300]

(N 20-1) Case files on evaluations made by the Headquarters R&QA Office.

**RETIRE TO FRC 1 YEAR AFTER COMPLETION OF PROJECT.
~~DESTROY 6 YEARS AFTER COMPLETION.~~**

30 R&QA AUDITS, SURVEYS, AND REPORTS

[5300]

(N 20-11) A. Documents related to R&QA audits, special studies, status reports, etc., including related correspondence (filed by contract).

**RETIRE TO FRC 2 YEARS AFTER CONTRACT FINAL PAYMENT.
DESTROY 5 YEARS AFTER FINAL PAYMENT.**

B. All other or in-house SR&QA Audits, Surveys, and Report files performed.

**CLOSE FILE AT END OF SURVEY/
AUDIT AT END OF FISCAL YEAR.
DESTROY WHEN 9 YEARS OLD.**

C. Quality Surveillance Records/System (QSR)

1. Original forms which document the quality assurance specialist's daily work effort. The form records the specialist's observations of the contractor performing tasks per contractual requirements

DESTROY ORIGINAL QSR'S WHEN 2 YEARS OLD.

2. Copies of items in 1. above.

DESTROY WHEN 6 MONTHS OLD.

31 INSPECTION AND PROOF REPORT(S)

[5300]

(N 20-6) A. Documents reflecting dimensions, drawings used in manufacture, results of proof testing, certifications of acceptance, and related data concerning inspection and proof testing of manufactured components.

DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT.

B. Copies of contracts, purchase orders, and related papers pertaining to Government Source Inspection requirements and Procurement Surveillance findings.

DISPOSE OF IN ACCORDANCE WITH ITEM 1 OF THIS SCHEDULE.

C. Copies of construction contracts and purchase orders relating to non-significant files, including drawings and quality requirements/inspections. [SEE NOTE₁]

DESTROY WHEN 4 YEARS OLD.

NOTE₁: *The records identified in this item are not necessary for final payment or closure of the contract file.*

SCHEDULE 5

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

32 **MANUFACTURING CONTROL FILES**

[5310]
(N 20-8)

Work orders, job orders, turn-in slips, estimate sheets, production reports and other papers relating to the scheduling, dispatch, follow up and control of items to be manufactured.

**DESTROY 3 YEARS AFTER
COMPLETION OF RELATED WORK.**

33 **TECHNICAL FILES**

[5310]
(N 20-4)

Technical records/files on R&QA contracts issued by office.

**RETIRE TO FRC WHEN 1 YEAR OLD.
DESTROY WHEN 4 YEARS OLD.**

34 **PARTS PROGRAM MANAGEMENT FILES**

[5320]
(N 20-3)

Parts program management, including Red Flag Reports, discrete and micro-electronics parts, and parts data systems.

**RETIRE TO FRC 1 YEAR AFTER
COMPLETION OF PROJECT.
DESTROY WHEN 4 YEARS OLD.**

35 **MANUFACTURING QUALITY CONTROL FILES**

[5330]
(N 20-5)

Documents maintained for detection, prevention, and control of manufacturing defects such as in-process inspection sheets, rework records, reports reflecting frequency distribution of manufacturing defects, and related papers.

**DESTROY 3 YEARS AFTER
COMPLETION OF FINAL
PRODUCTION ORDER FOR THE
RELATED COMPONENT.**

SCHEDULE 5

ITEM [UFI#]	DESCRIPTION OF RECORD SERIES	MINIMUM RETENTION
36 [5500] (N 13-19)	WAIVERS - PATENTS Case files on petitions for waiver of patents, and all related documentation and papers.	RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 25 YEARS OLD.
37 [5800]	<p style="text-align: center;">GRANTS</p> <p style="text-align: center;">PROGRAM GRANT</p> <p>A. <u>CASE FILES</u> [SEE NOTE₁] / PRINCIPLE INVESTIGATOR¹ FILES</p> <p>Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets.</p> <p>1. SELECTED case files by the Associate Administrator for the cognizant code, that set precedent or are unusual in scope/design. (ALSO SEE 4. OF THIS ITEM)</p> <p>2. ROUTINE GRANTS.</p>	<p style="text-align: right;"><i>Retire to FRC 2 years after completion of grant. Destroy when 6 years, 3 months old.</i></p> <p>* PERMANENT * RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT. TRANSFER TO NARA 10 YEARS AFTER FINAL PAYMENT.</p> <p>ORIGINAL DOCUMENTATION WILL BE AVAILABLE FOR GAO AUDIT. RETAIN RECORDS FOR 3 YEARS AFTER COMPLETION OF GRANT. RECORDS MAY BE RETIRED TO FRC WHEN 3 YEARS OLD. DESTROY 6 YEARS AFTER COMPLETION OR CLOSE OUT OF GRANT.</p>

NOTE₁: IF any LITIGATION, CLAIM, OR AUDIT IS STARTED BEFORE the expiration of the 6 year period, the records shall be RETAINED UNTIL ALL LITIGATION, CLAIMS, OR AUDIT FINDINGS involving the records have been resolved.

SCHEDULE 5

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

37
[5800]

CONTINUED: GRANTS

~~1. **UNSUCCESSFUL GRANTS**~~

~~Files consist of solicited/unsolicited bids/proposals which contains applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.~~

~~DESTROY 3 YEARS AFTER REJECTION OR WITHDRAWAL. [GRS 3-13 (88)]~~

~~4. **PROGRAM MANAGER / PRINCIPLE INVESTIGATOR GRANT FILES (ALSO SEE SCHEDULE 7, ITEM 6)**~~

~~* PERMANENT *
RETIRE TO FRC 2 YEARS AFTER COMPLETION OF THE PROGRAM/ GRANT TRANSFER TO NARA 10 YEARS AFTER COMPLETION OF PROGRAM, RENEWAL OF GRANT, OR WHEN 25 YEARS OLD, WHICHEVER IS SOONER.~~

~~2. **PEER REVIEWS**~~

~~SEE SCHEDULE 7, ITEM 9~~

B. GRANT CONTROL FILES

Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS SOONER. [GRS 23-8 (89)]

C. GENERAL CORRESPONDENCE AND SUBJECT FILES

1. Correspondence and/or subject files including memoranda, studies reports, forms, and other records relating to the establishment of program, its policies and basic procedures, and the management and evaluation of grants

DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS SOONER.

2. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program

DESTROY WHEN 2 YEARS OLD. [GRS 3-14 (88)]

ITEM
[UEI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

38 FACILITIES GRANTS

[5800]
(N 17-38)

A. DRAWINGS AND SPECIFICATIONS (Routine)

- 1. Headquarters
- 2. Field Installations and all other offices/copies.

RETIRE TO FRC 1 YEAR AFTER FINAL PAYMENT. DESTROY 10 YEARS AFTER FINAL PAYMENT.

~~DESTROY WHEN NO LONGER NEEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.~~

B. PRELIMINARY/PRESENTATION DRAWINGS AND MODELS

Records that relate to the mission of the agency.

- 1. ~~Files selected for architectural, historical, and technological significance.~~

Destroy when no longer needed.

(a) Drawings

~~PERMANENT
TRANSFER TO NARA WITHIN 5-YEARS AFTER COMPLETION OF PROJECT.~~

(b) Architectural models

DISPOSE OF WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES DONATION/OFFER MAY BE MADE TO THE DIRECTOR, SMITHSONIAN OR THE AIR & SPACE MUSEUMS AS APPROPRIATE.

- 2. Non-significant records for temporary structures and buildings or of buildings not critical to the mission of the agency.

(a) Drawings

Records include drawings of the structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations Drawings of electrical, plumbing, heating, or air conditioning systems are also included in this item.

DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.

[GRS 17-3 (88)]
[GRS 17-4 (88)]

(b) Architectural models prepared for illustrative or presentation purposes.

DISPOSE OF WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES.

[GRS 17-7 (88)]

SCHEDULE 5

ITEM
[UFI #1]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

38
[5800]

CONTINUED: FACILITIES GRANTS

C. CONSTRUCTION FILES OF FEDERAL STRUCTURES

1. Intermediate, prefinal, shop, repair and alteration, contract negotiation drawings, standard drawings, project specifications, and documents relating to their preparation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects, or drawings superseded by final working/as built drawings. DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 17-5 (88)]
2. Space Assignment Plans consisting of outlines of floor plans indicating occupancy of a building. DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 17-6 (88)]

D. ENGINEERING DRAWINGS OF ROUTINE MINOR PARTS

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file. DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 17-8 (88)]

E. DRAWINGS REFLECTING MINOR MODIFICATIONS

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file. DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 17-9 (88)]

F. PAINT PLANS AND SAMPLES

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for painting appliances, elevators, and other mechanical parts of all buildings. [SEE NOTE₁] DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 17-10 (88)]

39
[5900]
(N 17-34)

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 SUPERSEDED, OBSOLETE, NO LONGER NEEDED FOR REFERENCE, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.

NOTE₁: *These records are not authorized for disposal if they are for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons. See: B.1. of this Schedule, OR contact the NASA Records Officer or local Installation Records Manager.*

END OF SCHEDULE

NASA RECORDS RETENTION SCHEDULE 9

INSPECTOR GENERAL

Records in this series monitor agency program and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected Government agencies. An OIG conducts and supervises audits and investigations; recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. OIGs must submit reports to the Congress.

This schedule covers the two major series of disposal investigative, audit and related records created or maintained by an OIG. Indexes to these files are covered by NASA Records Schedule 10 - Records Common to Most Offices. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not specifically described in this schedule must be scheduled through the installation records manager. This schedule does not authorize disposal of investigative case files for cases that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedures. Such files must be scheduled by submission of a NASA Form 1418.

Records described in this schedule are authorized for disposal in both hard copy and electronic forms.

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

~~1
[9800]
(N 2-1)~~

ACCOUNTABLE OFFICERS' RETURNS [SEE NOTE, NEXT PAGE]

Memorandum copies of statement of transactions, all supporting voucher schedules, documents and related papers not otherwise provided for in this schedule. Records in these series can be, but are not limited to: MIPR, Military Inter-Departmental Purchase Requests; Project Orders; MOU's, Memorandum of Understanding; Interagency agreements; incoming/outgoing reimbursable public/private agreements; etc. These records are exclusive of freight records covered by Schedule 6, and Payroll records covered by Schedule 3.

- A. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transactions, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.

DESTROY 6 YEARS AND 3 MONTHS AFTER PERIOD COVERED BY ACCOUNT. [GRS 6-1(a) (92)]

Site audit records include, but are not limited to, the Standards and Optional Forms listed. Also included are equivalent agency forms which document the basic financial transaction as described above.

- SF 215 Deposit Ticket
- SF 224 Statement of Transactions
- SF 1012 Travel Voucher
- SF 1034 Public Voucher for Purchases and Services Other Than Personal
- SF 1036 Statement of Certificate and Award
- SF 1038 Advance of Funds Application and Account
- SF 1047 Public Voucher for Refunds
- SF 1069 Voucher for Allowance at Foreign Posts of Duty
- SF 1080 Voucher for Transfer Between Appropriations and/or Funds
- SF 1081 Voucher and Schedule of Withdrawals and Credits
- SF 1096 Schedule of Voucher Deductions
- SF 1097 Voucher and Schedule to Effect Correction of Errors
- SF 1098 Schedule of Canceled Checks
- SF 1113 Public Voucher for Transportation Charges
- SF 1129 Reimbursement Voucher
- SF 1143 Advertising Order
- SF 1145 Voucher for Payment Under Federal Tort Claims Act
- SF 1154 Public Voucher for Unpaid compensation Due a Deceased Civilian Employee
- SF 1156 Public Voucher for Fees and Mileage
- SF 1164 Claim for Reimbursement for Expenditures on Official Business
- SF 1166 Voucher and Schedule of Payments
- SF 1185 Schedule of Undeliverable Checks for Credit to Government Agencies
- SF 1218 Statement of Accountability (Foreign Service Account)
- SF 1219 Statement of Accountability
- SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts
- SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)
- OF 1114 Bill of Collection
- OF 1114A Official Receipt
- OF 1114B Collection Voucher

SCHEDULE 9

<u>ITEM</u> <u>[UFI #]</u>	<u>DESCRIPTION OF RECORD SERIES</u>	<u>MINIMUM</u> <u>RETENTION</u>
1 [9000]	CONTINUED: ACCOUNTABLE OFFICERS' RETURNS	
B.	Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 6, and payroll records covered by Schedule 3.	DESTROY WHEN 1 YEAR OLD. [GRS 6-1(b) (92)]
2 [9000] (N7-1)	AGENCY BUDGET REQUEST FILES Records in this file series consists of budget material requested via OMB Circular A-11, including material required by the President's Call for the budget. Records include, but are not limited to, letters, forms, exhibits (submitted electronically), and any other related finding aids or documentation associated with this submission, i.e., OMB, Presidents Budget, Justification Support - Congressional Budget Support, etc.	
A.	Original record set maintained at NASA Headquarters by Code B (This set starts October 1, 1958 and continues to Present)	* PERMANENT * TRANSFER TO NARA WHEN 35 YEARS OLD.
B.	Installation working materials/background files and documentation developed by other organizational units and as submitted to the Comptrollers Office.	RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 30 YEARS OLD.
C.	All other offices/copies	DESTROY WHEN SUPERCEDED, NO LONGER NEEDED, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER
3 [9000]	NASA ACCOUNTING AND FINANCIAL INFORMATION SYSTEMS (NAFIS) This is an agency-wide reporting system which resides at NASA Headquarters and conforms to GAO/Treasury standards for summary general ledger format/information This is an on-line integrated system which will be distributed to all NASA installations	
A.	<u>OFFICE OF PRIMARY RESPONSIBILITY.</u>	DELETE/DESTROY WHEN OBSOLETE OR SUPERSEDED OR WHEN 5 YEARS OLD.
B.	<u>INSTALLATIONS.</u>	USE DISPOSITION IN A ABOVE.
C.	<u>ALL OTHER OFFICES/COPIES</u>	DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD.

NOTE₁: *Accounts and supporting documents pertaining to American Indians are not authorized for disposal. These records should be retired under a separate accession to the Federal Records Center. The SF 135 retiring these records should be marked "Records described pertain to American Indians - Indefinite Freeze."]*

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

4
[9000]
(N 24-3)

R&D PROGRAM/PROJECT STATUS REPORTS (PSR) COST/SCHEDULES

Documents relating to cost projections for research and development projects, including information about program objectives in terms of projects, tasks, status, and time phasing for development, and funds required. These files include schedules and directly related forecast and actual costs.

A. INSTALLATIONS (Level 2 Manager)

24/3a change
RETIRE TO FRC 1 YEAR AFTER COMPLETION OF THE PROJECT. DESTROY 10 YEARS AFTER COMPLETION OF PROJECT.

B. SECRETARIAT OFFICE (NASA Headquarters; Comptrollers Office)

* PERMANENT *
RETIRE TO FRC WHEN 4 YEARS OLD. TRANSFER TO NARA WHEN 30 YEARS OLD.

C. ALL OTHER OFFICES/COPIES.

DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD WHICHEVER IS LATER.

5
[9050]
(N 2-5)
(N 1-41)

FUND FILES

A. GENERAL

Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.

DESTROY WHEN 3 YEARS OLD.
[GRS 6-4 (92)]

B. SPECIAL

Records relating to monies obtained to pay for expenses incurred in conjunction with special guest, or monies from sponsors of programs that could not be returned. Includes the "Administrator's Fund," "Activity Fund," "Special Fund," and all other non-appropriated fund activities.

RETIRE TO FRC 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY 6 YEARS AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH RECORDS PERTAIN.

6
[9050]

NASA EXCHANGE - PERSONNEL, PAYROLL, AND FINANCIAL RECORDS

A. GENERAL

Records in this series consists of register receipts, bank deposit slips, register tapes, cancelled checks, bank statements, ledgers, etc.

RETAIN ON-SITE AT RESPECTIVE INSTALLATION DESTROY WHEN 5 YEARS OLD.

B. CORRESPONDENCE FILES - GENERAL

Files include advisory notices such as merchandise and sundry notices, records documenting overall administration of the exchange, general correspondence, customer complaints, security records and reports pertaining to the exchange.

RETAIN ON-SITE. DESTROY WHEN 4 YEARS OLD.

C. STOCK FILES / GOODS RECEIVED

1. **GOODS:** Records relating to the receipt of merchandise, including copies of reports of goods received, shipping documents, tracer inquiries, merchandise follow-up requests, and other documents related to shipments/follow-up of merchandise.

DESTROY WHEN 2 YEARS OLD.

2. **STOCK:** Records used by management for the control and procurement of merchandise at warehouse and on the sales floor, including unit merchandise records, stock record cards, replenishment cards, recorder records, and vendor records.

DESTROY WHEN 2 YEARS OLD.

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

6
[9050]
PASR

CONTINUED: NASA EXCHANGE RECORDS

D. EXCHANGE RECORDS ON INDIVIDUALS - NASA 10 XROI

1. Records contained in this system consist of present and former employees of, and applicants for employment with, NASA Exchanges, Recreational Associations, and Employees' Clubs at NASA installations. Individuals with active loans or charge accounts at one or more of the several organizations. Records contain Exchange employees' personnel and payroll records, including injury claims, unemployment claims, biographical data, performance evaluations, annual and sick leave records, and all other employee records. Credit records on NASA employees with active accounts.
2. General meeting minutes of activities associated with the Employees Exchange.

DESTROY WHEN 5 YEARS OLD.

DESTROY 6 MONTHS AFTER ELECTION OR INITIATION OF NEW COMMITTEE MEMBERSHIP OR WHEN 3 YEARS OLD, WHICHEVER OCCURS FIRST.

E. JOHNSON SPACE CENTER (JSC) EXCHANGE ACTIVITIES - NASA 72 XOPR

Records in this system consist of employees and past employees of the JSC Exchange Operations, applicants under the JSC Exchange Scholarship Program, and JSC employees or JSC contractor employees participating in sports or special activities sponsored by the Exchange. Records include a variety of data relating to personnel actions and determinations made about an individual while employed by the NASA JSC Exchange. These records contain information about an individual relating to birth date, social security number, home address, phone number, marital status, references, veteran preference, and other information relating to the status of the individual. Scholarship information is supplied by individuals who have applied and includes data on education, financial background, and other related information.

EMPLOYEE RECORDS OF JSC EXCHANGE OPERATIONS, PERSONNEL RECORDS ARE RETAINED INDEFINITELY IN AGENCY SPACE TO SATISFY PAYROLL, REEMPLOYMENT, UNEMPLOYMENT COMPENSATION, TAX, AND EMPLOYEE RETIREMENT PURPOSES FOR SUCCESSFUL APPLICANTS UNDER THE JSC EXCHANGE SCHOLARSHIP PROGRAM, RECORDS ARE MAINTAINED UNTIL COMPLETION OF AWARDED SCHOLARSHIP AND ARE THEN DESTROYED. RECORDS PERTAINING TO UNSUCCESSFUL APPLICANTS ARE RETURNED TO THE INDIVIDUAL. FOR PARTICIPANTS IN SOCIAL OR SPORTS ACTIVITIES, RECORDS ARE MAINTAINED FOR STATED PARTICIPATION PERIOD AND ARE THEN DESTROYED.

Records cannot be retired to an FRC.

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

7
[9090]

REIMBURSABLE AGREEMENTS - FINANCIAL

A. GUIDELINES APPLICABLE TO REIMBURSABLE AGREEMENTS

Reports, correspondence, working files and other documentation required on file to support reimbursable activities.

RETAIN ON-SITE UNTIL REFERENCE VALUE CEASES; THEN DESTROY.

B. BENEFITOR FILES

Includes original authorities for reimbursable funding for resident agencies.

DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT.

C. OCCUPANCY (SSC ONLY)

Includes staffing levels, space allocation, utility costs, burden analyses and all pertinent information used in occupancy rate development at SSC. Records include occupancy rate development data; quarterly detail reports; and, SSC Personnel Strength Reports (including historical data).

THESE RECORDS ARE UNIQUE TO SSC AND WILL BE MAINTAINED IN SSC SPACE FOR 10 YEARS RETIRE TO FRC WHEN 10 YEARS OLD. DESTROY WHEN 20 YEARS OLD.

D. WORK PERFORMANCE AGREEMENTS (JSC ONLY)

Records include agreements between JSC and other government or non-government agencies (the customer) whereby JSC performs work prescribed in the agreement and JSC is reimbursed for the cost of the work by the customer. These agreements are usually 1 to 3 years in duration.

1. Office of primary responsibility

TRANSFER TO FRC WHEN 10 YEARS OLD. DESTROY WHEN 20 YEARS OLD.

2. All other offices/copies.

DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.

E. ALL OTHER OFFICES/COPIES OF THE ABOVE RECORDS OTHER THAN THE OPR.

DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.

8
[9100]
(N 7-2)

APPORTIONMENT SCHEDULES - AGENCY WIDE CODING STRUCTURE
ALSO SEE SCHEDULE 7

A. Apportionment and reapportionment schedules proposing quarterly obligations under each authorized appropriation, i.e., Research and Development; Space Flight and Data Communications; Construction of Facilities, Research and Program Management; and, the Inspector General.

1. HEADQUARTERS (CODE B ONLY)
(These are records sent to OMB and Treasury which show the division of funding by project/program.)

change
RETIRE TO FRC 3 YEARS AFTER FISCAL YEAR, 5 YEARS FOR NO YEAR APPROPRIATIONS. DESTROY WHEN ~~20 YEARS OLD~~ *no longer needed or when 20 yrs old, whichever is sooner*
DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR.
[GRS 5-4 (88)]

2. FIELD INSTALLATIONS

B. Periodic reports on the status of accounts/apportionments.
(THIS IS THE SAME AS ITEM 21e, SCHEDULE 7)

1. Annual report (end of fiscal year).

DESTROY WHEN 5 YEARS OLD.
[GRS 5-3a (88)]

2. All other copies/reports.

DESTROY 3 YEARS AFTER END OF THE FISCAL YEAR IN WHICH CREATED
[GRS 5-3b (88)]

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

~~9
[9200]~~

~~ACCOUNTING RECORDS~~

~~A. EXPENDITURES ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES~~

~~Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.~~

~~DESTROY WHEN 2 YEARS OLD.
[GRS 7-1 (88)]~~

~~(N 5-5) B. COST ACCOUNTING REPORTS~~

~~Copies in units receiving reports; in reporting units; and related working papers.~~

~~DESTROY WHEN 3 YEARS OLD.
[GRS 8-6a/b (88)]~~

~~(N 5-6) C. COST REPORT DATA FILES~~

~~Ledgers, forms, and electronic records used to accumulate data for use in cost reports.~~

~~1. Ledgers and forms~~

~~DESTROY WHEN 3 YEARS OLD.
[GRS 8-7a (88)]~~

~~2. Automated records.~~

~~(a) Detail cards.~~

~~DESTROY WHEN 6 MONTHS OLD.
[GRS 8-7b(1) (88)]~~

~~(b) Summary cards.~~

~~DESTROY WHEN 6 MONTHS OLD.
[GRS 8-7b(2) (88)]~~

~~(c) Tabulations~~

~~DESTROY WHEN 1 YEAR OLD.
[GRS 8-7b(3) (88)]~~

~~(N 1-18) D. COST REDUCTION~~

~~Reports, correspondence, working papers, and other supporting documentation required to be on file.~~

~~1. Headquarters.~~

~~RETIRE TO FRC 4 YEARS AFTER
CLOSE OF FISCAL YEAR IN WHICH
RECORDS WERE CREATED.
DESTROY 6 YEARS AFTER SUBJECT
FISCAL YEAR.~~

~~2. Field Installations.~~

~~RETIRE TO FRC 3 YEARS AFTER
CLOSE OF FISCAL YEAR IN WHICH
RECORDS WERE CREATED.
DESTROY 5 YEARS AFTER SUBJECT
FISCAL YEAR.~~

10
[9210]

SIGNATURE AUTHORITY FILES

Records consist of signature authorities for miscellaneous administrative records which include, but are not limited to, Diner's Club authorizations; reports of mail; authority for specified employees to certify funds, etc.

DESTROY UPON SEPARATION,
TRANSFER, OR TERMINATION OF
AUTHORIZED EMPLOYEE OR WHEN
5 YEARS OLD, WHICHEVER IS
SOONER.

SCHEDULE 9

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

11 GENERAL LEDGER - ACCOUNTING

[9220]
(N 3-1)

A. GENERAL ACCOUNTING LEDGERS

Ledgers showing debit and credit entries, and reflecting expenditures in summary (balanced receipts).

~~DESTROY 6 YEARS AND 3 MONTHS
AFTER CLOSE OF THE FISCAL
YEAR INVOLVED.
[GRS 7-2 (88)]~~

(N 3-6)

B. TRIAL BALANCE LEDGERS

Monthly consolidated financial reports supported by analyses reports at the appropriation, fund, or other level, covering all NASA assets, liabilities, funds, equity, revenues, and costs. The consolidated agency-wide report is based on and includes the trial balance and related reports submitted by each NASA installation.

1. ORIGINAL RECORDS (CODE B ONLY)

(a) Annual September Report.

3/6(i) change
RETIRE TO FRC WHEN NO LONGER
NEEDED FOR REFERENCE OR
WHEN 5 YEARS OLD. DESTROY
WHEN 10 YEARS OLD.

(b) Monthly reports (other than September).

RETIRE TO FRC 2 YEARS AFTER
FISCAL YEAR INVOLVED
DESTROY 10 YEARS AFTER
SUBJECT FISCAL YEAR.

2. All other offices/copies of the above reports (including copies maintained at NASA installations).

DESTROY AS SOON AS ACTIVE
REFERENCE VALUE CEASES OR
WHEN 3 YEARS OLD WHICHEVER IS
SOONER.

12 ALLOTMENT/APPROPRIATION FILES

[9230]
(N 3-2)

Records showing status of obligations and allotments under each authorized appropriations.

DESTROY 6 YEARS AND 3 MONTHS
AFTER THE CLOSE OF THE FISCAL
YEAR INVOLVED.
[GRS 7-3 (88)]

13 EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES

[9280]
(N 3-3)

Records used in posting and control media, subsidiary to the general and allotment ledgers (Items 9 and 11), and not covered elsewhere in this schedule.

A. ORIGINAL RECORDS.

DESTROY WHEN 3 YEARS OLD.
[GRS 7-4a (88)]

B. ALL OTHER COIPES.

DESTROY WHEN 2 YEARS OLD.
[GRS 7-4b (88)]

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

14 FINANCIAL STATUS REPORTS

[9300]
(N 3-4)

A. MONTHLY CONSOLIDATED - AGENCY WIDE

This is a monthly consolidated agency wide financial report of commitments, obligations, costs, disbursements, and resource authorizations, consisting of 11 volumes, organized generally by program activity. The following list of reports are considered a part of this series, but is not all inclusive:

Highlight Report, Balance of Payments Report; Medical Report; Expert and Consultant Report; SEDSA--Est. Distribution of Selected accounts.

1. HEADQUARTERS - OFFICIAL RECORD:

3/4a(1) change

(a) Monthly issues of Volume 1, Summary of Data for Administrative Operations, Research and Development, and Construction of Facilities Funding; and Volume 6, Project and Program Year Summary by Program Office and by Installation. RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY WHEN 10 YEARS OLD.

(b) Monthly issues of all other volumes of the report printed. RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY 5 YEARS AFTER SUBJECT FISCAL YEAR.

2. All other copies of the reports in Program Offices, NASA Installations, or other offices. DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.

(N 3-5)
(N 7-9)

B. CONTRACTS AND GRANTS REPORTS - STATUS
SEE ALSO ITEM 19, SCHEDULE 7

Records in this category consist of a consolidated agency wide report of financial and statistical data covering NASA contracts, grants, and intra-Governmental purchase requests.

1. HEADQUARTERS - OFFICIAL RECORD:

(a) Annual September Issue (Following Formats)
E- 3, E-5A; E- 7, E- 8; E- 9; E-10, E-11; E-12;
E-16, E-17, E-26; E-27; E-28, E-29, E-31; E-34;
E-34A; E-35; E-36-1; E-36-3, E-36-4, AND E-38.

~~PERMANENT~~ *7/9 change*
RETIRE TO FRC 1 YEAR AFTER CLOSE OF FISCAL YEAR TO WHICH RECORDS PERTAIN. ~~TRANSFER TO~~ *Destroy*
~~NASA~~ 10 YEARS AFTER SUBJECT FISCAL YEAR.

(b) Issues of formats listed in (a) above, other than September. DESTROY MONTHLY ISSUES AFTER 90 DAYS, OTHER ISSUES AFTER THE CURRENT REPORT IS PRODUCED.

2. All other copies of the reports in Program Offices, NASA Installations, or other offices. ~~DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.~~

SCHEDULE 9

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

15
[9600]
(N 2-3)
(N 2-4)

CERTIFICATES OF SETTLEMENT FILES

Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.

- a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.
- b. Certificates covering period settlements.
- c. Schedules of certificates of settlement of claims settled by the General Accounting Office.

DESTROY 2 YEARS AFTER DATE OF SETTLEMENT.
[GRS 6-3a (92)]

DESTROY WHEN SUBSEQUENT CERTIFICATES OF SETTLEMENTS ARE RECEIVED.
[GRS 6-3b (92)]

DESTROY 2 YEARS AFTER DATE OF SETTLEMENT.

16
[9620]
(N 4-14)

TAX FILES

a. **REPORTS OF WITHHELD TAXES**

Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.

DESTROY WHEN 4 YEARS OLD.
[GRS 2-18c (88)]

(N 4-12)

b. **EXEMPTION FILES**

Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.

DESTROY 4 YEARS AFTER FORM IS SUPERSEDED OR OBSOLETE.
[GRS 2-18a (88)]

(N 4-13)

c. **RETURN FILES**

Returns on income taxes withheld such as IRS Form W-2.

DESTROY WHEN 4 YEARS OLD.
[GRS 2-18b (88)]

17
[9620]
(N 4-1)

PAYROLL RECORDS

A. **INDIVIDUAL ACCOUNTS**

Individual earning and service cards, such as Optional Form 1127 or equivalent. Includes payrolls when individual earning or pay cards are not prepared. [SEE NOTE₁]

- 1. **ELECTRONIC** - Pay record for each employee as maintained in an electronic database. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.
- 2. **NON-ELECTRONIC** - Individual pay record containing pay data on each employee within an agency. This record may be in paper or microform, BUT NOT in machine readable form.

UPDATE ELEMENTS AND/OR ENTIRE RECORD AS REQUIRED.
[GRS 2-1a (93)]

TRANSFER TO NATIONAL PERSONNEL RECORDS CENTER. DESTROY WHEN 56 YEARS OLD.
[GRS 2-1b (93)]

b. **NON-CURRENT PAYROLL FILES**

Copy of non-current payroll data as maintained by payroll service bureaus in either microform or machine readable form.

DESTROY 15 YEARS AFTER CLOSE OF PAY YEAR IN WHICH GENERATED.
[GRS 2-2 (93)]

NOTE₁: *If filed in Official Personnel Folder (OPF) OR in individual pay folder adjacent to the OPF, destroy with the OPF. (SEE SCHEDULE 3, ITEM 1) If NOT in or filed adjacent to the OPF, Destroy 56 years after the date of the last entry on the card.*

SCHEDULE 9

ITEM [UFI #]	<u>DESCRIPTION OF RECORD SERIES</u>	<u>MINIMUM RETENTION</u>
17 [9620]	CONTINUED: PAYROLL FILES	
	B. <u>CORRESPONDENCE FILES</u>	
	General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	DESTROY WHEN 2 YEARS OLD. [GRS 2-2 (88)]
(N 4-7)	C. <u>CONTROL FILES</u>	
	Registers, such as SF 1125, or its equivalent, payroll control registers.	DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-14 (88)]
(N 4-6)	D. <u>PAYROLL FILES</u>	
	Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.	
	1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.	DESTROY WHEN FEDERAL RECORD CENTER RECEIVES SECOND SUBSEQUENT PAYROLL OR CHECK LIST COVERING THE SAME PAYROLL UNIT. [GRS 2-13a (88)]
	2. All other copies.	
	(a) If earning record card is maintained.	DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-13b(1) (88)]
	(b) If earning record card is NOT maintained.	TRANSFER TO NPRC, ST. LOUIS, MISSOURI, WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD. [GRS 2-13b(2) (88)]
(N 4-8)	E. <u>CHANGE FILES</u>	
	Payroll change slips, exclusive of those of the OPF, such as SF 1126.	
	1. Copy used in GAO audit.	DESTROY WHEN RELATED PAY RECORDS ARE AUDITED BY GAO OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-15a (88)]
	2. Disbursing officer copy used in preparing checks.	DESTROY AFTER PREPARATION OF CHECKS. [GRS 2-15b (88)]
	3. All other copies.	DESTROY 1 MONTH AFTER THE END OF THE PAY PERIOD. [GRS 2-15c (88)]

SCHEDULE 9**ITEM
[UFI#]****DESCRIPTION OF RECORD SERIES****MINIMUM
RETENTION****18 ACCOUNTING ADMINISTRATIVE FILES****[9630]
(N 2-6)**

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 WHEN 2 YEARS OLD.
[GRS 6-5a (92)]DESTROY WHEN 3 YEARS OLD.
[GRS 6-5b (92)]**19 NONCOMMERCIAL REIMBURSABLE TRAVEL/PASSENGER FILES****[9630]
(N 22-1)
(N 22-2)**

Records and copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

- A. Travel administrative office files.
- B. Obligation copies.
- C. All other office/copies.
- D. Unused ticket redemption forms, such as SF 1170, or other miscellaneous travel documentation.

DESTROY WHEN 6 YEARS OLD.
[GRS 9-3a (92)]DESTROY WHEN FUNDS ARE
OBLIGATED.
[GRS 9-3b (92)]DESTROY WHEN NO LONGER
NEEDED OR WHEN 3 YEARS OLD,
WHICHEVER IS SOONER.DESTROY WHEN NO LONGER
NEEDED FOR ADMINISTRATIVE
USE OR WHEN 3 YEARS OLD,
WHICHEVER IS SOONER.
[GRS 9-1e (92)]**20 TRAVEL AND TRANSPORTATION FILES - GENERAL****[9730]**

- a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation, and freight functions, not covered elsewhere in this schedule or Schedule 6.

DESTROY WHEN 2 YEARS OLD.
[GRS 9-4a (92)]

- b. Accountability records documenting the issue or receipt of accountable documents.

DESTROY 1 YEAR AFTER ALL
ENTRIES ARE CLEARED.
[GRS 9-4b (92)]

- c. Credit card files and documentation show issuance by commercial organizations for reissue to agency personnel for their use while on official travel duty; receipts, registers, or other related documents.

DESTROY CREDIT CARDS AND
RELATED PAPERS UPON
RECEIPT OF NEW CREDIT CARDS.

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

~~21
[9730]~~

~~PASSPORTS ISSUANCE/CONTROL FILES [SEE NOTE₁]~~

~~A. APPLICATION FILES~~

~~Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.~~

~~DESTROY WHEN 3 YEARS OLD OR UPON SEPARATION OF THE BEARER WHICHEVER IS SOONER.
[GRS 9-5a (91)]~~

~~B. ANNUAL REPORTS CONCERNING OFFICIAL PASSPORTS~~

~~Reports to the Department of State concerning the number of official passports issued and related matters.~~

~~DESTROY WHEN 1 YEAR OLD.
[GRS 9-5b (91)]~~

~~C. PASSPORT REGISTERS~~

~~Registers and lists of agency personnel who have official passports.~~

~~DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.
[GRS 9-5c (91)]~~

22
[9791]

IMPREST FUND

Records in this series include but are not limited to the following types:

Acknowledgement of responsibility forms for cashiers; Release of responsibility; Imprest Fund Alarm System; Request to Increase Imprest Fund Advance; and, Audit of Imprest Funds

DESTROY UPON SEPARATION, TRANSFER, OR TERMINATION OF AUTHORIZED EMPLOYEE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.

NOTE₁: OFFICIAL PASSPORTS SHOULD BE RETURNED TO THE DEPARTMENT OF STATE UPON EXPIRATION OR UPON THE SEPARATION OF THE EMPLOYEE.



SCHEDULE 9**ITEM
[UEI#]****DESCRIPTION OF RECORD SERIES****MINIMUM
RETENTION***** INSPECTOR GENERAL RECORDS *****23
[9900]
PASR****INSPECTOR GENERAL INVESTIGATIONS CASE FILES - NASA 10 IGIC****A. AGENCY PROGRAMS/OPERATIONS**

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. 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.

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.

**DESTROY WHEN 6 YEARS OLD.
[GRS 22-1a (91)]**

2. 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.
[GRS 22-1b (91)]**

3. Significant case files, i.e., Challenger; Hubble, Investigations and/or substantive changes in agency policy or procedures.

**THESE FILES MAY BE CONSIDERED
"PERMANENT" AND MUST BE
SCHEDULED BY SUBMITTING AN
SF-116 FOR DISPOSITION.**

B. EMPLOYEES, CONTRACTOR, AND SUBCONTRACTOR FIRMS/EMPLOYEES

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 possibly constituting a violation of law, rules, or regulations, or 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. [SEE NOTE₁]

1. Special interest.

**DESTROY 10 YEARS AFTER CASE IS
CLOSED.
[NC1-255-81-1]**

2. Routine interest.

**DESTROY 6 YEARS AFTER CASE IS
CLOSED.
[NC1-255-81-1]**

NOTE₁: *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 considered routine interest files.*

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

24 **AUDIT FILES**

[9910]

(N 17-16) ~~A. DMS AUDITS~~
(N 6-2)

~~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 2 YEARS OLD.~~

~~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 CASE. [GRS 22-2 (91)]~~
- ~~2. Organization being audited. DESTROY 2 YEARS AFTER DATE OF AUDIT REPORT. 6/26 change~~
- ~~3. All other offices/copies. DESTROY 2 YEARS AFTER DATE OF AUDIT REPORT. 6/26 change~~

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

[9910]

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.

- 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.

ITEM
[UFI#]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

26
[9910]

SEMIANNUAL REPORT TO CONGRESS

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.

27
[9910]

INDEXES TO CASE FILES

Used as references to investigative and audit case files.

DESTROY WITH RELATED RECORDS OR WHEN NO LONGER NEEDED WHICHEVER IS SOONER. [GRS 23-9 (89)]

28
[9920]
(N 6-1)

GAO AUDITS

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.

1. Headquarters liaison office for GAO audits.

RETIRE TO FRC 2 YEARS AFTER DATE OF AUDIT REPORT. DESTROY 10 YEARS AFTER SUBJECT DATE. [NC1-255-81-1]

2. Organization audited or organization controlling audited NASA Contracts.

DESTROY 5 YEARS AFTER DATE OF AUDIT REPORT. [NC1-255-81-1]

(N 6-3)

B. OF CONTRACTORS

Case files on GAO audits of NASA contractors.

1. Cognizant procurement office.

DESTROY WITH RELATED CONTRACT FILE. [NC1-255-81-1]

2. All other offices/copies.

DESTROY 3 YEARS AFTER AUDIT. [NC1-255-81-1]

SCHEDULE 9

ITEM
[UFI #]

DESCRIPTION OF RECORD SERIES

MINIMUM
RETENTION

29
[9950]
(N 6-4) **AUDITS OF CONTRACTORS**
A. NASA

Case files on NASA audits of contractors, including papers related to NASA audits for other Government agencies, such as DoD.

1. Office performing the review.

RETIRE TO FRC 2 YEARS AFTER
DATE OF FINAL AUDIT REPORT.
DESTROY 8 YEARS AFTER SUBJECT
DATE.
[NC1-255-81-1] /sa change

2. Cognizant procurement office.

DESTROY WITH RELATED
CONTRACT FILE.
[NC1-255-81-1]

3. Other NASA Audit offices.

DESTROY 3 YEARS AFTER DATE OF
FINAL AUDIT REPORT.
[NC1-255-81-1]

4. All other offices/copies.

DESTROY 1 YEAR AFTER DATE OF
FINAL AUDIT REPORT.
[NC1-255-81-1]

(N 6-5) **B. OTHER AUDITS OF NASA CONTRACTORS**

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

1. Cognizant regional audit office.

DESTROY 3 YEARS AFTER DATE OF
AUDIT REPORT.
[NC1-255-81-1]

2. Cognizant procurement office.

DESTROY WITH RELATED
CONTRACT FILE.
[NC1-255-81-1]

3. All other offices/copies

DESTROY 1 YEAR AFTER DATE OF
AUDIT REPORT.
[NC1-255-81-1]

END OF SCHEDULE