

**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 & Management

3. MINOR SUBDIVISION  
 Headquarters Administration Office

4. NAME OF PERSON WITH WHOM TO CONFER  
 Sidney F. Musselman

5 TEL. EXT.  
 755-2295

6. CERTIFICATE OF AGENCY REPRESENTATIVE

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 \_\_\_\_\_ 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.

12/20/72  
 (Date)

S. F. Musselman  
 (Signature of Agency Representative)

NASA Records Management Officer  
 (Title)

LEAVE BLANK **RG 255**

DATE RECEIVED  
**DEC 21 1972**

JOB NO  
**NN- 1730 115**

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

1-22-73 *James B. Phoady*  
 Date Archivist of the United States

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>NASA proposes to issue Change 2 to the NASA Records Disposition Handbook, NHB 1441.1A. 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 proposed amendments to 12 records control schedules consist of 64 revisions and additions as marked by arrow heads on the attached (revised) Handbook pages. The amendments are improvements in records dispositions resulting from the first triennial review of all schedules by the NASA Headquarters Offices having agency-wide functional responsibilities.</p> <p>In addition, approval is requested for NRCS items 17-45 and 17-46, previously published but not yet submitted for approval.</p> <p>The current NASA Records Control Schedules were previously reviewed on Jobs Nos. NN 168-75 and 172-154. Attachment consists of 37 pages.</p>		<p>71 items</p>

PRELIMINARY COPY  
FOR REVIEW AND  
COMMENT ONLY

CHANGE 2  
NHB 1441.1A  
JANUARY 1973

## CHANGE 2

# NASA RECORDS DISPOSITION HANDBOOK

Change 2 to the Records Disposition Handbook consists primarily of the 61 new or revised disposition items. However, a new detailed listing of the records that are periodically transferred to Federal Records Centers under GAO Records Group No. 217 have been added to the prefatory remarks to Schedule No. 2. This is the first time such GAO records have been specified with such clarity.

All additions, revisions, and amendments are marked with arrow heads throughout.

Please insert the attached pages into your Handbook to substitute for present pages or to add pages (in numerical order). Record the receipt of this Change and the insertion of the pages on the Changes Check List in the front of your Handbook.

DISTRIBUTION:  
SDL 1 (SIQ)

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

## NASA Records Control Schedule 1--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
6	a. Files maintained by NASA secretary to such board, panel, or committee.	Transfer to FRC 5 years after break or upon dissolution of board, panel, or committee. PERMANENT.
	b. Files maintained by individual members.....	Destroy when no longer needed.
7	<u>NASA Boards, Panels, and Committee Files.</u> Files including minutes, agenda, and reports of NASA boards, panels, committees, and subcommittees, such as NASA Space Science Steering Committee. (Also see items 6 and 39.)	
	a. Files maintained by the Secretary to board, panel, committee, or subcommittee.	Transfer to FRC 5 years after break or upon dissolution of the board, panel, committee or subcommittee. PERMANENT.
	b. Files maintained by individual member.....	Destroy when no longer needed.
8	<u>Historical Items.</u> Documents that have unusual or immediately recognizable historical significance and are filed among other documents that are scheduled for disposal, will be noted and removed from the file before transfer or destruction.	Transfer to FRC 2 years after break. PERMANENT.
9	<u>Internal Administrative Files.</u> Administrative operations files of organizational offices.	
	a. Correspondence concerning routine or temporary internal administrative matters.	Destroy 2 years after break.
	b. Office Personnel Files. ( <u>Employees and military detailees.</u> ) (Official file copies are maintained by Personnel Office.)	Destroy when pertinent employee transfers or is separated.

NASA Records Control Schedule 1--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
16	<u>Publications Requests.</u> Requests from Congressmen for copies of NASA publications which require no formal reply.	Destroy 1 year after request is sent.
17	<u>Labor Relations Files.</u> Documents relating to work stoppages, strikes, and disputes affecting NASA contracts; includes strike reports, reports of work stoppages, correspondence, plans to settle disputes and all related documents.	
	a. Headquarters,.....	Transfer to FRC when inactive. PERMANENT.
	b. Field Installations.....	Destroy <u>5</u> years after break.
18	<u>Cost Reduction Reports Files:</u> Reports, correspondence, work papers, and other supporting documentation required to be on file.	
	a. Headquarters.....	Transfer to FRC 4 years after close of fiscal year in which records were created. Destroy 2 years after transfer.
	b. Field Installations.....	Transfer to FRC 3 years after close of fiscal year in which records were created. Destroy 2 years after transfer.
19	<u>Cost Reduction Reports to the President;</u> including drafts, staffing papers, relevant minutes of review board actions, and other related file material.	

10 yrs  
2

## NASA RECORDS CONTROL SCHEDULE 2: ACCOUNTING--ACCOUNTABLE OFFICERS' RECORDS

Accountable officers' accounts include record copies of all papers concerned with the accounting for and availability and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer whose signature on a summary schedule attests to the authenticity of vouchers listed on the schedule. The latter official takes the responsibility of approving for payment by the disbursing officer, the sums due other agencies, contractors, employees, and others who have provided goods and services to the Government.

This schedule covers memorandum copies of returns relating to the availability, collection, and custody of funds which include (1) the appropriation warrants; (2) other documents which deposit funds into the Treasury; and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule.

GAO has an interest in the legal, fiscal, administrative and research value of records which are necessary in conducting its basic functions--auditing the financial transactions of the Government, examination and settling claims, rendering legal decisions, making investigations, making special and regular reports to Congress and to the committees of the Congress, and furnishing fiscal information to the several branches of the Government and to private individuals in interest. Records of interest to GAO may be defined as books, documents, papers, and records of an agency which relate to its powers, duties, activities, organization, financial transactions, and methods of business.

Records of financial transactions will be retained onsite at NASA installations for audit by GAO. Such records will be kept for three years after the close of the fiscal year to which they pertain. After the three year period, even though the records have not been audited, installations will transfer the records to the Federal Records Center in their region. Whenever the storage of these records onsite becomes a hardship or a substantial nuisance, the installation may submit a request to the NASA Records Management Officer describing the circumstances and requesting permission to retire the records to the Federal Records Center before the expiration of the 3-year holding period. The request will be transmitted to GAO. Advice of GAO's approval or disapproval action (depending on its schedule for conducting an onsite audit) will be forwarded to the installation by the NASA Records Management Officer.

## NASA Records Control Schedule 2--Continued

4 Defining the Financial Records that are Transferred Under Records Group 217:

Many NASA Records are retained onsite by the Financial Management Organization for audit by GAO. However, some of these records are required by law to be transferred to a Federal Records Center for GAO custody as Group No. 217 under the following conditions: (1) after GAO audit, or (2) if unaudited, are retained for 3 years after the fiscal year to which they pertain, and then transferred.

The records transferred to GAO custody consist of:

1. Contract and purchasing files comprised of the "GAO copy" of all contracts and purchase orders including modifications, amendments, supplemental agreements, and change orders, etc.
2. The obligating and payment and collection documents include Statements of Transactions (SF 224 or equivalent); Certificates of Deposit (SF 219); Voucher and Schedule of Payments (SF 1166); original basic vouchers, such as a Travel Voucher (SF 1012); Public Voucher for Purchases and Services other than Personal (SF 1034); Voucher for Transfers between Appropriations and/or Funds (SF 1080); Voucher and Schedule of Withdrawals and Credits (SF 1081); Voucher and Schedule to Effect Correction of Errors (SF 1097); and other original vouchers, schedules, and their supporting documentation.

Only the records described above will be transferred under Records Group 217.

Since the original copies of vouchers, schedules, and supporting documents and contracts covering payments to carriers for freight and passenger transportation services are regularly forwarded directly to GAO and disposed of under GAO schedules, carbon copies of these documents in NASA's possession will remain NASA property and will be transferred under Records Group 255. General ledgers, allotment files, analysis documents, work papers, and all other records that are described in items of the NASA Records Disposition Handbook, NHB 1441.1A, and changes, are also in Records Group 255.

## 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>
1	<u>Accountable Officers' Returns Files.</u> Memorandum copies of statement of transactions, all supporting voucher schedules, documents, and related papers not otherwise provided for in this schedule (exclusive of freight records covered by Schedule 22, and payroll records covered by Schedule 4).	Destroy 4 years after period covered by the account.
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.

## NASA RECORDS CONTROL SCHEDULE 4: ACCOUNTING--PAYROLLING AND PAY ADMINISTRATION RECORDS

Payrolling and pay administration records pertain to disbursements to civil employees of the Government for personal services. This schedule applies to all pay records exclusive of: (a) retirement record cards (Form 2806 or equivalent) that are maintained during employee duty, and then are transferred to the Retirement Division of the Civil Service Commission; (b) files physically transmitted to the General Accounting Office (GAO) or maintained in agency space for audit under Section 117(b) of the Budget and Accounting Procedures Act of 1950.

The GAO has an interest in the legal, fiscal, administrative, and research value of records which are necessary in conducting its basic functions--auditing the financial transactions of the Government, examining and settling claims, rendering legal decisions, making investigations, making special and regular reports to Congress and to the committees of the Congress, and furnishing fiscal information to the several Branches of the Government and to private individuals in interest. Records of interest to GAO may be defined as books, documents, papers, and records of an agency which relate to its powers, duties, activities, organization, financial transactions, and methods of business.

5 Financial records which all Federal agencies are required to retire to Federal Records Centers under Group No. 217, are identified in the remarks portion of NRCS 2. Other records in the possession of the NASA Financial Management organization responsible for payrolling and pay administration which must be transferred to the National Personnel Records Center under Records Group No. 255, include individual earning records, such as SF 1127 (or their EDP equivalents, such as NASA Form 817) and final leave records cards maintained independently of pay and earning records as itemized in this schedule.

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.

## 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>
6	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, <u>CPC</u> , 111 Winnebago St. St. Louis, Missouri, 63118, one year after audit or 3 years after close of year in which generated, whichever is sooner.
2	2 <u>T and A Reports Files.</u> Time and attendance reports and applications for leave and supporting papers. Copies used in payroll preparation and processing. (Where SF 1130, Time and Attendance Report, or its equivalent, is used for both time and attendance and leave posting purposes, the disposal provision for Item 3 applies). Includes Overtime Requests Auth. NASA Forms 171 and 1110.	Destroy 3 years after audit by GAO or 10 years after break, whichever is sooner.
3	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, <u>CPC</u> , 111 Winnebago St. St. Louis, Missouri, 63118, 3 years after break.
4.	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.
5	5 <u>Personnel Notifications Files.</u> Notifications of personnel action, exclusive of those in Official Personnel Folders, or copies used for payroll purposes.	Destroy 2 years after audit by GAO or 10 years after break, whichever is sooner.

- 6 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 (CPR), 111 Winnebago St, St.Louis MO 63118 3 years after break.**
- 7 Payroll Control Registers Files. Registers, such as SF 1125, Payroll Control Register, or its equivalent. Destroy 2 years after audit by GAO or 10 years after break, whichever is sooner.
- 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 2 years after audit by GAO or 10 years after break, whichever is sooner.
- 9 Pay Administration Files. Administrative reports and data relating to payroll 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.

10 yrs. 

10 yrs. 

## NASA RECORDS CONTROL SCHEDULE 6: AUDITING RECORDS

9 The records described in this schedule pertain to the management and operation of reports, correspondence, and other information relating to audits of NASA activities and/or NASA contractors by GAO, by NASA auditors, or by other Government auditors. They are created and accumulated by organizations (1) that have been audited, (2) that control or administer the contracts that have been audited, and (3) that have management control of the internal audits or formulate and prescribe auditing 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.

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
10	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.	
	a. Headquarters liaison office for GAO audits .....	Transfer to FRC 2 years after date of audit report. Destroy 8 years after transfer.
	b. <u>Organization audited or organization controlling audited</u> ..... <u>NASA contracts</u>	Destroy 5 years after date of audit report.
11	2 <u>NASA Internal Audits</u> . Case files on NASA internal audits. Consists of audit reports, correspondence, and all related papers.	
	a. Office making review .....	Transfer to FRC 2 years after date of final audit report. Destroy 4 years after transfer.

NASA Records Control Schedule 6--Continued

ITEM	DESCRIPTION OF RECORDS	DISPOSITION
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- 12* ▶ 2 b. Organization audited ..... Destroy 5 years after date of audit report.
- 13* ▶ c. Other offices ..... Destroy 5 years after date of audit report.
- 14* ▶ 3 GAO Audits of Contractors. Case files on GAO audits of NASA contractors.

  - a. Cognizant procurement office ..... Destroy with related contract file.
  - b. Other offices ..... Destroy 3 years after audit.
- 15* ▶ 4 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 making review ..... Transfer to FRC 2 years after date of final audit report. Destroy 4 years after transfer.
  - b. Cognizant procurement office ..... Destroy with related contract file.
  - c. Other offices ..... Destroy 3 years after date of final audit report.
- New Item* ▶ 5 Other Audits of NASA Contractors. Includes DCAA and HEW audit reports, correspondence, and all related papers.

  - a. Cognizant regional audit office ..... Destroy 3 years after date of audit report.
  - b. Cognizant procurement office ..... Destroy with related contract file.
  - c. Other offices ..... Destroy 3 years after date of audit report.

## NASA RECORDS CONTROL SCHEDULE 7: BUDGET AND PROGRAMMING RECORDS

The records described in this schedule pertain to the management and operation of NASA budgeting and resource programming functions. They are created and accumulated by organizations that have management control or formulate and prescribe budgeting or programming 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>Budget Estimates</u>. File copies of budget estimates prepared or consolidated in the NASA Budget Office comprising submissions to the OMB and the Congress.</p> <p>a. Headquarters.....</p> <p>b. Installations.....</p>	<p>Transfer files by fiscal year to FRC when no longer needed for active reference. PERMANENT.</p> <p>Destroy 3 years after break.</p>
2	<p><u>Apportionment Schedules</u>. Apportionment and reapportionment schedules, and memoranda schedules proposing obligations, transfers, etc., under each appropriation.</p> <p>a. Headquarters.....</p>	<p>Transfer to FRC 3 years after break for annual accounts and 5 years after break for no year appropriations. PERMANENT.</p>

*No change in drop.*  


## NASA Records Control Schedule 7--Continued

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
2	b. Installations.....	Destroy annual accounts 3 years after break and no year accounts 5 years after break.
3	<u>Allotment of Funds.</u> Allotment of funds and memoranda concerning decisions on funding levels and changes.	
	a. Headquarters.....	Transfer to FRC 3 years after break for annual accounts and 5 years after break for no year appropriations. PERMANENT.
	b. Installations.....	Destroy annual accounts 3 years after break and no year accounts 5 years after break.
4	<u>Project Approval Documents (PAD).</u> Authorizations to initiate and carry out the projects within the scope defined in the PAD and within available allotted funds.	
	a. Headquarters.....	Transfer files by fiscal years to FRC when no longer needed for active reference. PERMANENT.
	b. Installations.....	Destroy annual accounts 3 years after break and no year accounts 5 years after break.
5	<u>Resources Authority Warrants.</u> Authorizations to utilize a stated amount of resources available to the agency (funds and/or personnel complement) for the execution of approved NASA projects and activities.	

No change in  
18 Disposition.

a. Headquarters..... Transfer to FRC 3 years after break for annual accounts and 5 years after break for no year appropriations. PERMANENT.

b. Installations..... Destroy annual accounts 3 years after break and no year accounts 5 years after break.

6 Work Papers. Work papers, statements, rough data accumulated in preparation of annual budget estimates, including duplicates of papers included in file copies of budget estimates (described in Item 1).

a. Headquarters..... Destroy 5 years after break for no year appropriations and 2 years after break for annual appropriations.

b. Installations..... Destroy one year after break.

7 Status Reports. Periodic reports on the status of appropriation accounts and apportionments thereunder.

a. End of Fiscal Year reports..... Destroy 5 years after break.

b. All other reports..... Destroy 4 years after break.

Budget and Programming Resources Projects:

a. Correspondence regarding NASA resources matters. Subject files that are brought forward as the subject recurs. Break file by fiscal year.  
Destroy earliest file 2 years after no longer needed for reference or is obsolete.

19  
No change in  
8

74

### NASA Records Control Schedule 7--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
8	b. Recurring reports of scientific research and development activities:	
	(1) Headquarters--one copy of each report.....	Transfer to FRC when report becomes inactive. RETAIN INDEFINITELY. <sup>1</sup>
	(2) Other copies.....	Destroy when no longer needed.
	c. Special Studies:	
	(1) Headquarters--one copy of each study.....	Transfer to FRC when study becomes inactive. RETAIN INDEFINITELY. <sup>1</sup>
	(2) Other copies.....	Destroy when no longer needed.
9	<u>Status of Contracts and Grants Report</u> : This is a consolidated agency-wide report of financial and statistical data covering NASA contracts and grants.	
	a. Headquarters Official Record Copy:	
	(1) The annual June issues of Formats E-13, E-17, E-28, E-36-1, E-36-3, and E-36-4.	Transfer to FRC 1 year after the close of the fiscal year to which they pertain. <del>RETAIN INDEFINITELY.</del> PERMANENT
	(2) Issues of above Formats other than the June issues	Destroy 2 years after the fiscal year to which they pertain.
	b. Other copies of reports in other offices	Destroy as soon as active reference value ceases.

*new*  
**20** ▶

*Interdute*  
**21** ▶

<sup>1</sup> These records will be reappraised in 8 years. If entire series is not appraised as "PERMANENT" records, selections may be made from the series for permanent retention.

## NASA Records Control Schedule 6--Continued

ITEM	DESCRIPTION OF RECORDS	DISPOSITION
3	b. Correspondence with, and reports to staff agencies relating to agency space holdings and requirements:	
	(1) Agency reports to General Services Administration regarding space occupied in "Metropolitan Washington"; and "Outside the District of Columbia," and related papers.	Destroy 2 years after break.
	(2) Copies in subordinate reporting units and related work papers.	Destroy one year after break.
4	<u>Identification Credentials Files:</u>	
	a. Identification credentials, including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room, and visitors passes, and other identification credentials.	See NRCS 12-24
	b. Receipts, indexes, listings and accountable records.....	See NRCS 12-24
5	<u>Parking Permit Control Files.</u> Documents relating to the administration and allotment of parking spaces, and used to control the issuance and withdrawal of permits and record violations by holders of permits.	See NRCS 12-25

*(Destroy on transfer or separation of parking permit holder or when permit is expired or revoked, whichever is earlier)*

222 *gr* ▶

b. Documents relating to security surveys and inspections of privately owned facilities performing on NASA contracts and related papers.

Destroy 3 years after completion of last survey or inspection.

8 Fire, Explosion, and Accident Investigative Files. Case files, including all papers relating to the investigations of fires, explosions, and accidents.

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

Transfer to FRC 5 years after break. PERMANENT.

b. Routine cases.....

Transfer to FRC 2 years after break. Destroy 8 years after transfer.

23 1/2 yrs

9 Property Pass Files. Authorization for the removal of property or materials from NASA buildings or reservations.

Destroy 3 months after expiration or revocation.

24

10 Accountability of Firearms Files.

3 yrs

a. Record of acquisition of firearms.....

Destroy 1 year after firearm is destroyed or transferred.

b. Receipts, logs, or registers recording the issuance, transfer, and return of firearms.

Destroy 3 months after return of firearm.

25 yrs

11 Certificate to Carry Firearms Files. (NASA Form 699a and 699b.)

Destroy 1 year after termination of certificate.

12 Firearms Qualification Records Files. All data relating to individual qualifications, training, and maintenance of proficiency in the use of firearms.

Destroy one year after termination of individual.

26

13 Guard Assignments and Strength Files:

3 yrs

a. Ledger records.....

Destroy 2 years after final entry.

b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

Destroy 1 year after break.

NASA Records Control Schedule 12--Continued

12-4

ITEM

DESCRIPTION OF RECORDS

DISPOSITION

27 *3 yrs*

14 Key Accountability Files. Records of keys issued.

For areas under maximum security, destroy 1 year after turn-in of key. For other areas, destroy 1 month after turn-in of key.

28 *5 yrs*  
*6 mos*

15 Visitors Registers Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

For areas under maximum security or if access to classified information is involved, destroy 2 years after final entry or 2 years after date of document, as appropriate; for other areas or if access to classified information is involved, destroy 3 months after final entry or 3 months after date of document, as appropriate.

29

16 Guard Force Facility Check Files:

- 1 yr* a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files or agency security offices covered by Items 21 and 22 of this Schedule).
- b. Reports of routine after-hours security checks which either do not reflect security violations or for which the information contained therein is documented in the files defined in Items 21 and 22 of this Schedule.

Destroy 6 months after break.  
Destroy after 1 month.

30 *(a)*  
*Ch...*

- 17 Guard Service Control Files: and
  - a. Control center key or code records, /emergency call cards.
  - b. Round reports, service reports, or interruptions and tests, and punch clock dial sheets.
  - c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when superseded or obsolete.  
Destroy 6 months after break.  
Destroy 6 months after break.

- 18 Guard Logs Files. Logs and registers not covered elsewhere in this Schedule.
  - a. Central guard office master logs.....

Destroy 2 years after final entry.

31

17

b. Individual guard post logs of occurrences entered in master logs.

Destroy \_\_\_\_\_ after final entry.

19 Personnel Security Clearance Files. A record of investigations of personnel employed by, or seeking employment with the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of files containing material of value for reference purposes.

Transfer to FRC 1 year after termination of the relationship which occasioned the investigative processing. Destroy 30 years after date of last action.

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.

32

22 Security Violation Files (Felonies). Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies.

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

Transfer to FRC 5 years after date of last action. PERMANENT.

33

50 yrs

b. Other cases.....

Transfer to FRC 2 years after date of last action. Destroy 5 years after transfer.

23 Lost and Found Accountability Files. Reports, loss statements, receipts and other papers relating to lost and found articles.

Destroy 1 year after break.

34 New ITEM  
▶ 29

DESCRIPTION OF RECORDS

DISPOSITION

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

b. Other case files .....

Transfer files pertaining to individual contractors when all existing contracts have been completed or otherwise terminated. Destroy 4 years after transfer.

## NASA RECORDS CONTROL SCHEDULE 15: PERSONNEL RECORDS

The records described in this schedule pertain to the management and operation of NASA personnel functions. They are created and accumulated by organizations that have management control or formulate and prescribe personnel 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. However, provisions of the Federal Personnel Manual take precedence over any provision of this schedule which may be in conflict therewith.

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>Official Personnel Folders Files.</u> Personnel folders excluding (a) folders or groups of folders selected by the National Archives; and (b) papers on the left, or the so-called "temporary" side of the folder, which are authorized for disposal by Item 8 of this Schedule.	See the <u>Federal Personnel Manual</u> for instructions relating to folders of employees transferred to another appointing office;  Transfer folders of separated employees to inactive file on separation in accordance with the <u>Federal Personnel Manual</u> ; transfer folder to the National Personnel Records Center, <u>CPC</u> , 111 Winebago St., St. Louis, Missouri, 63118, 30 days after separation.

351



- 7 Employee Interview Records Files. Entrance and exit interviews and interviews involving complaints by or against the employee.
  - a. Entrance and Exit Interview ..... Destroy 6 months after transfer or separation of employee.
  - b. Complaint Interviews..... Destroy 2 years after transfer or separation of employee.
- 36  
 ▶ 8 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.
- 9. 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
- 10. 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.
- 11. Incentive Awards Case Files. Documents other than those maintained in the official personnel folder, including beneficial suggestions. Destroy 3 years after case is closed.
- 12. Incentive Awards Program Files. Reports and all other documents pertaining to the incentive awards program, including minutes of meetings. Destroy 3 years after break.
- 13. Civilian Service Emblem Control Files. Controls maintained to record eligibility for an award of civilian service emblems. Destroy 2 years after break.
- 14. Awards Publicity Files. Documents used in publicizing or encouraging participation in awards programs, including posters, cartoons, placards, and all other means of obtaining attention and announcing results of the programs and all other related papers. Destroy 3 years after break.

## NASA Records Control Schedule 15--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
15	<u>Personnel Action Files</u> . Notifications of personnel action, exclusive of those in official personnel folders.	
37 ▶	a. Chronological file copies, including face sheets.....	Destroy 2 years after break.
	b. All other copies.....	Destroy 1 year after break.
38 2 <sup>mr</sup> ▶	16 <u>Application For Employment Files</u> . Applications for employment and related papers, excluding (a) records relating to appointment and requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the official personnel folder (covered in Item 1 of this Schedule).	Return to applicant 6 months after receipt.
39 1 <sup>mr</sup> ▶	17 <u>Personnel Statistical Reports Files</u> . Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when reference value ceases.
18	<u>Miscellaneous Personnel Records Files</u> . Correspondence and forms in operating personnel offices relating to individual employees not maintained in official personnel folders and not provided for elsewhere in this Schedule.	
	a. Correspondence and forms relating to pending personnel action.	Destroy 6 months after file is closed.
	b. Retention registers (including card files and related papers) from which reduction-in-force actions <u>have</u> been taken.	Destroy 2 years after break.
	c. Retention registers (including card files and related papers) from which <u>no</u> reduction-in-force actions have been taken.	Destroy when superseded.

- 19 Duplicated Personnel Records Files. Copies of documents duplicated in official personnel folders and not provided for elsewhere in this Schedule. Destroy 6 months after file is closed.
- 40 ► 20 (Cancelled)
- 41 3<sup>rd</sup> ► 21 Classification Survey Records Files. Destroy 5 years after break.
- 42 3<sup>rd</sup> ► 22 Personnel Program Evaluation Inspection Files. Correspondence and reports concerning evaluations of personnel administration by NASA or other Government agencies. Destroy 5 years after next inspection.
- 23 Monetary Benefits Files. Documents relating to the origination, implementation, or monitoring of employee benefits, such as Group Life Insurance and Health Plans, which have a cash value but are not a part of salary wages, or other direct compensation. Destroy 5 years after break.
- 24 Outside Employment Files. Documents relating to outside work or services performed by NASA employees in addition to their official duties. Destroy 3 years after termination of approved employment or 3 years after disapproval of outside employment.
- 25 Promotion Register Files. Registers or records of job opportunities, application and evaluation statements, and all related papers. Destroy 2 years after break.
- 26 Vehicle Operation Files. Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. See NRCS 14-9

- (2) Other training aids..... Destroy when superseded or obsolete.
- b. Headquarters (training office)
  - (1) Training aids to courses that are significant or unique to NASA or to Headquarters. Transfer to FRC when superseded, obsolete, or no longer used. PERMANENT.
  - (2) Other training aids..... Destroy when superseded or obsolete.

40 Training Announcements Files. Correspondence, announcements and other documents relating to training but not a part of a separate case file.

- a. Office responsible for announcements will maintain one record copy of each announcement. Transfer to FRC 1 year after break. PERMANENT.
- b. Other copies..... Destroy when superseded, obsolete, or no longer needed.

43 <sup>2-7-92</sup> 41 Employment and Financial Interests Files. Statements of employment and financial interests, forms generated under the Proxmire amendment, and related papers. Destroy 5 years after employee leaves a position in which a statement is required, or 5 years after the employee leaves NASA, whichever is earlier.

42 Employee's Grievance Record File: Copy of decisions rendered, including records of grievance committee: copy of any review decision and correspondence pertaining thereto and any other material pertaining to the case, except record copies of official documents affecting personnel actions in connection with the case. Retain file for each separate case for 7 years after the case is closed; then destroy.

44 <sup>New</sup> 43 Employees Appeal Record File. Copy of decisions rendered, review decisions, and related correspondence and other documentation, except record copies of official documents affecting personnel actions. Retain file for each separate case for 7 years after case is closed. Destroy.

45

44. Labor-Management Relations Files: Case Files, including unfair labor practice matters, elections, representation matters, and case considerations with local and national labor organizations, the Labor Management Relations Council, Assistant Secretary of Labor for Labor-Management Relations, Federal Mediation and Conciliation Service, Federal Impasses Panel, and Civil Service Commission.

Retain file for each separate case for 7 years after the case is closed.  
Destroy.

46

45. Repromotion Consideration Files: Applications and correspondence to and from repromotion eligibles.

Destroy after repromotion is accomplished.

47

46. Reemployment Priority Files: Applications, exceptions and correspondence.

Destroy 2 years after registration.

48

47. NASA Outplacement Program Files: Applications, resumes, vacancy announcements, and related correspondence.

Destroy 2 years after registration.

49

48. Executive Position Files: Records on individuals in and considered for excepted positions which are filled by the Administrator. Correspondence and records on GS-16 positions and individuals in and considered for GS-16 positions. Actions by the Administrator in filling excepted positions. Minutes of GS-16, Excepted and PL 313 positions and individuals. Related policy and general correspondence.

Transfer to FRC 2 years after break  
PERMANENT.

50

49. NASA-CSC Executive Assignment Files: SF 161 on each NASA employee GS-15 or over together with additional information gleaned from newspapers, house organs, etc. Also, in some cases, security and confidential information.

Destroy 3 years after separation.

51

50. NASA Special Employment Program Files: Applications and correspondence for student aids, summer employees and co-ops.

Destroy 2 years after break.

52

51. Public Service Careers Employees Files:

a. On Individuals: School evaluations, supervisory evaluations and test scores.

Destroy 3 years after break.

b. On Programs: Correspondence with Civil Service Commission, Department of Labor, Southwest Training Center, etc.

Destroy 3 years after break.

## NASA Records Control Schedule 17--Continued

ITEM	DESCRIPTION OF RECORDS	DISPOSITION
25	<u>Locator Record Files</u> : Locator sheets, cards, tags, such as space control sheets, location sheets, location cards, bin tags, and other papers utilized as a check or inventory of stock location.	Destroy when superseded or obsolete.
26	<u>Report of Survey Files</u> : Documents maintained for the purpose of review of circumstances concerning the loss, unserviceability, or destruction of Government property or funds, and for determination of the question of pecuniary or other responsibilities.	
a.	Files involving pecuniary liability .....	Transfer to FRC 3 years after final action. <u>Destroy 7 years</u> after transfer.
b.	Other files .....	Destroy after 3 years.
27	<u>Communication Statements and Toll Slips</u> :	See NRCS 10-14.
28	<u>Small Business 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 <u>2</u> years after break.
29	<u>Small Business Program Survey Files</u> : Documents relating to surveys to analyze the effectiveness of the small business program.	Destroy <u>2</u> years after break.
30	<u>Small Business Qualifications 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 or obsolete.
31	<u>Competency Certificates Files</u> : Copies of the certificates, communications, concerning the capacity credit of specific small business concerns.	<u>Dispose of in accordance with related contract.</u>

53 6/yr ▶

54 6/yr ▶

55 6/yr ▶

- 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 3 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.
- 56 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.

57 *New Port* 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 files: 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.

58 *New* 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 3 years after break.

59 *New* 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.

60 *New* 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.

## NASA Records Control Schedule 18--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1		<p>(b) Furnishes its record, along with its approval of disposal action, to NASA office filing the report of excess with the disposal agency.</p> <p>If NASA should act as disposal agency under a delegation from GSA, NASA would transmit pertinent records to receiving agency and retire to Federal Records Center those records not appropriate for transmittal to receiving agency.</p>
2	<p><u>Permanent Real Property Records:</u></p> <p>a. Installation or Facility records consisting of: Easements, leases, licenses, permits and agreements which have been terminated or have expired; installation brochures and historical data; appraisal reports; correspondence pertaining to installation or facility; industrial facilities data; and real property disposal documents.</p> <p>b. Real Property Reports consisting of the record copies of: Real Property Reports to GSA; inventory reports of Jurisdictional Status of Federal Areas Within States; report of NASA total facilities; report of NASA industrial facilities; and report of in-house facilities.</p> <p>c. Master Plans</p> <p>(1) Installation Files. (Maintain one copy of each revision in historical file.)</p> <p>(2) Headquarters Files</p>	<p>Transfer to FRC 2 years after disposal of installation or facility. PERMANENT.</p> <p>Transfer to FRC when ready availability no longer required. PERMANENT.</p> <p>Transfer to FRC on discontinuance of installation or facility. PERMANENT.</p> <p>Destroy when obsolete.</p>

(A)

61 New

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.

e 2 →

## NASA Records Control Schedule 18--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
9	<u>Maintenance Reports Files:</u>	
	a. Reports from field installations to Headquarters concerning maintenance, repair, and operations.	
	(1) Field Installations.....	Destroy 5 years after break.
	(2) Headquarters.....	Destroy 3 years after break.
	b. Reports consolidated by Headquarters from reports described in Item 5a of this Schedule	
	(1) Headquarters.....	Destroy <del>3</del> years after break.
	(2) Other copies.....	Destroy 2 years after break.
10	<u>Preliminary Engineering Report.</u> Report showing the preliminary design of proposed construction projects. Includes design criteria, trade-off studies, and estimate of cost.	
	a. Authorized projects.....	Destroy 2 years after completion or disbanding of project.
	b. Unauthorized projects ( <u>Installation Files</u> ) .....	Destroy 4 years after date of last document in file.
	c. Unauthorized projects (Headquarters Files) .....	Destroy 2 years after submission.
11	<u>Facilities Project Case Files.</u> Documents relating to project requests, including approval, establishing funds, schedules of accomplishments, progress, payments, and the finalization.	
	a. Record file copy at Headquarters.....	<p style="text-align: right;">physical</p> Transfer to FRC 2 years after/completion or disbanding of project. Destroy 5 years after transfer.
	b. All other copies.....	<p style="text-align: right;">physical</p> Destroy 2 years after/completion or disbanding of project.

63 Synp

64 New

65

12 Installation Property Files. Drawings, correspondence, reports, and all other documents maintained by installation of primary responsibility relating to design and construction of facilities, including maps, layouts, building plans, water and drainage systems, alterations, additions, betterments, and removals made to property, and all other pertinent information. Transfer to FRC 2 years after disposal of property. PERMANENT.

13 Air and Water Pollution Reports. Reports concerning the prevention control, and abatement of air and water pollution at facilities.

a. Installation report to Headquarters:

1 yr (1) Reporting Installation copy.....

Destroy 5 years after break.

3 yr (2) Headquarters copy.....

Transfer to FRC 3 years after break.

b. Reports compiled by Headquarters from the installation reports:

Destroy 5 years after transfer.

5 yr (1) Headquarters copy.....

Transfer to FRC 3 years after break. Destroy 5 years after transfer.

(2) Installation copy.....

Destroy 5 years after break or when no longer needed for reference, whichever is earlier.

14 Utility Maintenance Plan. Documents showing maintenance performed and required on utility systems and plants.

Destroy 3 years after discontinuance of system.

66 2 yr

15 Utility Operating Log Files. Logs showing operations of utilities, including temperature, humidity, pressure, and other such readings.

Destroy 3 years after break or on discontinuance of system, whichever is first.

16 Repair and Utility Work Order Files. Requests for repairs and orders, including correspondence, drawings, work sheets, and all related material.

a. Office of primary responsibility.....

Destroy 3 years after break.

b. Other copies, excluding fiscal.....

Destroy on completion of work.

## NASA RECORDS CONTROL SCHEDULE 20: RELIABILITY AND QUALITY ASSURANCE RECORDS

The records described in this schedule pertain to the management and operation of NASA reliability and quality assurance functions. They are created and accumulated by organizations that have management control or formulate and prescribe policies and procedures regulating reliability and quality assurance matters 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.

67 *3/2/72*

68

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
1	<u>Evaluations Files</u> . Case files on evaluations made by the Headquarters R&QA Office.	Transfer to FRC 1 year after completion of project. Destroy <u>6</u> years after transfer.
2	(Cancelled) <i>3/2/72</i>	Records previously transferred under this item may be destroyed.
3	<u>Parts Program Management Files</u> . Parts program management, including Red Flag reports, discrete and microelectronics parts, and parts data systems.	Transfer to FRC 1 year after completion of project. Destroy 3 years after transfer.

## NASA Records Control Schedule 20--Continued

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION</u>
4	<u>Technical Files.</u> Technical files on R&QA contracts issued by office.	Transfer to FRC 1 year after break. Destroy 3 years after transfer.
5	<u>Manufacturing Quality Control Files.</u> 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.
6	<u>Inspection and Proof Report Files.</u> 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.
7	<u>Unsatisfactory Condition Reports Files.</u> Reports and related documents resulting from unsatisfactory conditions.	Transfer to FRC 1 year after end of project. Destroy 9 years after transfer.
8	<u>Manufacturing Control Files.</u> 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.
9	<u>Tool Drawing Files.</u> Vellums, original drawings and tracings used in manufacture of individual components, with related records or comparable documents maintained as a record of tool design and to facilitate reference to the drawings.	Destroy when superseded or obsolete.
10	<u>Shop Planning and Layout Files.</u> Documents reflecting the layout, location and comparable data relative to manufacturing space, machinery, and equipment.	Destroy when superseded or obsolete.
11	<u>R&amp;QA Audits, Surveys, and Reports Files.</u> Documents related to R&QA audits, special studies, status reports, etc. including related correspondence. (Filed by contract.)	Transfer to FRC 2 years after final contract payment. Destroy 3 years after transfer.

69 New

- 6 Car Seal Record Book Files: Books containing accountable office records of the receipt and disposition of car seals and maintained to facilitate monthly inspection as to whether the seals were properly expended. Destroy 1 year after date of last entry.
- 7 Prepaid Outbound Salvage Bill of Lading Files: Documents relating to outbound shipments of salvage or rejected material to consignees who assume necessary freight charges for shipment. Destroy 1 year after break.
- 8 Prepaid Inbound Bill of Lading Files: Documents relating to inbound shipments where freight charges are prepaid by the shipper. Including are receiving documents, commercial bills of lading, freight bills, transit privilege bills of lading cross-reference sheets, similar documents and related correspondence. Destroy 2 years after break.
- 9 Damaged or Improper Shipment Files: Documents used for reporting shipments received from NASA agencies, contractors, and other Government agencies in damaged or otherwise unsatisfactory condition because of deficiencies in preservation, packing, packaging, marking, loading, storage, or handling. Destroy 2 years after break.
- 10 Carrier Rate Tender Files: Documents relating to solicited or unsolicited tenders of reduced rates and/or tariffs submitted by commercial carriers for the transportation of freight. Destroy 1 year after rates or tariffs become superseded or rescinded.
- 70 **Perm.**  
 11 Freight Rate Negotiation Files: Documents relating to negotiations with carriers or carrier's associations on transportation rates, freight classifications, and similar matters. **Destroy** when superseded, obsolete, or no longer required for current operations.
- 12 Motor Carriers' Explosive Operating Authority File: Correspondence and related documents with commercial carriers concerning their facilities and procedures for transporting explosives and other dangerous articles. Destroy 2 years after authority is superseded or rescinded.
- 13 Highway Size and Weight Limit Files: Documents relating to individual State requirements regarding size and weight of vehicles permitted to travel their highways. Destroy 1 year after requirements are superseded or rescinded.

## NASA RECORDS CONTROL SCHEDULE 25--Continued

ITEM	DESCRIPTION OF RECORDS	DISPOSITION
8	<p><u>R&amp;D Project NASA/DoD Contractor Performance Evaluation Reports Files</u>: Semi-annual reports of the project manager for each major selected contract reviewed and commented upon by the contractor, and finally reviewed comprehensively in NASA Headquarters; including the final terminal report summarizing the whole period.</p> <p>a. Project Managers file.</p> <p>b. Headquarters file, including exchanges of correspondence with contractor and Project Manager.</p>	<p>Transfer to FRC after final contract payment. Destroy 6 years after transfer.</p> <p>Transfer to FRC 1 year after final contract payment. Destroy 15 years after transfer.</p>
71▶ 9	<p><u>Data Files on Organic Materials Used in Construction of Planetary Spacecraft</u>: Documentation produced by installations, contractors, sub-contractors and other suppliers, for research and development projects related to planetary flight mission hardware, which includes information relative to the organic materials used on spacecraft destined for planetary landing. Documentation shall include all listings, drawings, test results, parts lists, and specifications pertinent to the organic materials content of the spacecraft <u>as flown</u>.</p>	<p>Transfer to FRC at end of mission, or within 6 months after launch, whichever is sooner. <u>Retain 20 years</u>. Then review with NASA's Planetary Quarantine Officer for authorization to destroy.</p>
10	<p><u>R&amp;D Project Termination Files</u></p>	<p>See NRCS 17-3.</p>
11	<p><u>R&amp;D Project Reports on Unsolicited Proposals Files</u></p>	<p>See NRCS 17-9.</p>

Date: January 16, 1973

From: Ronald L. Heise, NNA

RH

Re: NN-173-115

To: Director, NNA

Items listed below refer to hand written numbers in purple ink.

Items 3, 4, 5, 9, ~~10~~ and 21 contain changes in descriptive material only. They do not effect the disposition of the files.

Items 1, 6, ~~10~~, 11, 14, 17-19, 30, 32, 35, 56 and 71 contain changes in the wording of disposition items to give more comprehensive description, cutoff periods, and/or transfer or reappraisal times. No changes in disposition are made. Disposal authority was obtained under earlier jobs.

Items 2, 7, 8, 12, 13, 15, 22-29, 31, 33, 36-43, 53-55, 57, 62, 63, 65-68 and 70 are requests for changes in disposition standards previously submitted. Most of these items shorten retention periods already authorized. As these records are retained for administrative use only, there is no objection object to NASA's request for changes in the disposition periods, especially since most of them are for shorter periods.

Items 16, 20, 34b, 44-52, 58-61, 64 and 69 are new items to NASA's comprehensive schedule. Of these items, 20a(1), 34a, 49, and 61c(1) are designated for permanent retention. The remaining items have no historical value and are disposable when administrative needs cease.

The permanent items were examined at NASA Headquarters.

*For permanent retention of items 1-71*