

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-255-00-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **01/24/2023**

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1/4A: Inspector General Investigations Case Files - NASA, Significant case files . . ., Official case file . . .

Item 2/4A: Inspections And Assessments Files, Significant case files. . ., Official case file . . .

Item 4A: Policy And Procedure Files -HQ Only, One record copy . . .

Item 5A: Semiannual report to Congress, Record Copy of report (HQ only)

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1/1 was superseded by N1-255-09-001 item 9/23/A1.

Item 1/2 was superseded by N1-255-09-001 item 9/23/A2.

Item 1/3 was superseded by N1-255-09-001 item 9/23/A3.

Item 1/4b was superseded by N1-255-09-001 item 9/23/A4b.

Item 1/5 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).

Item 2/1 was superseded by N1-255-09-001 item 9/24.5/A.

Item 2/2 was superseded by N1-255-09-001 item 9/24.5/B.

Item 2/3 was superseded by N1-255-09-001 item 9/24.5/C.

Item 2/4b was superseded by N1-255-09-001 item 9/24.5/D2.

Item 2/5 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).

Item 3/A1 was superseded by N1-255-09-001 item 9/25/A1. DMS Audits

Item 3/A2 was superseded by N1-255-09-001 item 9/25/A2. DMS Audits

Item 3/A3 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).

Item 3/B1 was superseded by N1-255-09-001 item 9/25/B1. Internal IG

Item 3/B2 was superseded by N1-255-09-001 item 9/25/B2. Internal IG

Item 3/B3 was superseded by N1-255-09-001 item 9/25/B3. Internal IG

Schedule Number: N1-255-00-003

Item 3/B4 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 4B was superseded by N1-255-09-001 item 9/24B.
Item 4C was superseded by N1-255-09-001 item 9/24C.
Item 4D was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 5B was superseded by N1-255-09-001 item 9/26B.
Item 5C was superseded by N1-255-09-001 item 9/26C.
Item 5D was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 6 was superseded by N1-255-09-001 item 9/27.
Item 7/A1 was superseded by N1-255-09-001 item 9/28/A1.
Item 7/A2 was superseded by N1-255-09-001 item 9/28/A2.
Item 7/A3 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 7/B1 was superseded by N1-255-09-001 item 9/28/A1.
Item 7/B2 was superseded by N1-255-09-001 item 9/28/A2.
Item 7/B3 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 8/A1 was superseded by N1-255-09-001 item 9/29/A1.
Item 8/A2 was superseded by N1-255-09-001 item 9/29/A2.
Item 8/A3 was superseded by N1-255-09-001 item 9/29/A3.
Item 8/A4 was superseded by N1-255-09-001 item 9/29/A4.
Item 8/A5 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).
Item 8/B1 was superseded by N1-255-09-001 item 9/29/B1.
Item 8/B2 was superseded by N1-255-09-001 item 9/29/B2.
Item 8/B3 was superseded by N1-255-09-001 item 9/29/B3.
Item 8/B4 was superseded by N1-255-09-001 item 9/29/B4.
Item 8/B5 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2 item 020).

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 (NASA)	
2 MAJOR SUBDIVISION NASA Headquarters	
3 MINOR SUBDIVISION	
4 NAME OF PERSON WITH WHOM TO CONFER Roland M. Ridgeway Jr., Acting NASA Records Officer	5 TELEPHONE (202) 358-4485

DO NOT WRITE BLANK (NARA use only)	
JOB NUMBER N1-255-00-3	
DATE RECEIVED 3-31-00	
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 6-6-01	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

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 6 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 Fri, Mar 31, 2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>Roland M. Ridgeway Jr.</i>	TITLE Acting NASA Records Officer. NASA Headquarters. Code AO
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	NASA INSPECTOR GENERAL AND AUDIT RECORDS SEE ATTACHED PAGES FOR SERIES DESCRIPTION AND DISPOSITION		

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

**MINIMUM
RETENTION**

*** INSPECTOR GENERAL RECORDS ***

1 INSPECTOR GENERAL INVESTIGATIONS CASE FILES - NASA 10 IGIC

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations, 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. 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 [SEE NOTE₁]

(Replaces Schedule 9, Item 23
N1-255-94-2)

- | | | |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|
| 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. Cutoff annually | DESTROY WHEN 5 YEARS OLD |
| 2 | Case files developed during internal investigations of OIG employees | DESTROY 10 YEARS AFTER CASE IS CLOSED OR AFTER THE EMPLOYEE'S SEPARATION, WHICHEVER IS LONGER |
| 3 | 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 |
| 4 | Significant case files, because the case attracts national media attention, results in a Congressional investigation, or results in substantive change in Agency policy or procedures. Examples include the Challenger and Hubble investigations. Significant cases will be selected by the NASA Office of Inspector General based on the criteria listed in this item | |
| a | Official case file - records created during the investigation and used to develop the final report. Documents are serialized and maintained in official case folders | *PERMANENT*
TRANSFER TO NARA 10 YEARS AFTER FILE IS CLOSED |
| b | Background files, notes, duplicate copies, and other materials collected during the investigation but not incorporated into the official case file and not used to develop the final report | DESTROY 10 YEARS AFTER FILE IS CLOSED |
| 5 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

NOTE₁: *A file is not closed until all judicial and administrative avenues and considerations have been finally exhausted*

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

1

2 INSPECTIONS AND ASSESSMENTS FILES

(New item)

Case files of inspections and assessments of agency programs, operations, procedures, and those relating to contractors and grantees. Files consist of reports, correspondence, memoranda, and documentation.

1. Office conducting review

CLOSE FILE AT END OF FISCAL YEAR AFTER CLOSE OF CASE. DESTROY 10 YEARS AFTER CLOSE OF CASE.

2. Organization being reviewed

CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE.

3. All other office copies

CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE.

4. Significant case files, because the case attracts national media attention, results in a Congressional investigation, or results in substantive change in agency policy or procedures. Significant cases will be selected by the NASA Office of Inspector General based on the criteria listed in this item.

- a. Official case file – records created during evaluations and used to develop the final report. Documents are maintained in official case folders.

PERMANENT
TRANSFER TO NARA 10 YEARS AFTER FILE IS CLOSED.

- b. Background files, notes, duplicate copies, and other materials collected during evaluations but not incorporated into the official case file and not used to develop the final report.

DESTROY 10 YEARS AFTER FILE IS CLOSED.

5. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.

DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

2

3	AUDIT FILES	(Replaces Schedule 9 Item 24 N1-255-94-2)
A	<u>DMS AUDITS</u>	
	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 3 YEARS OLD
3	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records	DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED
B	<u>INTERNAL IG</u>	
	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 FILE
2	Organization being audited (Record cutoff date is date of audit report)	KEEP FOR 3 YEARS DESTROY AFTER 8 YEARS OR WHEN NO LONGER NEEDED
3	All other offices/copies	DESTROY 3 YEARS AFTER DATE OF AUDIT REPORT
4	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records	DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

- 4 POLICY AND PROCEDURE FILES - HQ ONLY** (Replaces Schedule 9, Item 25 N1-255-94-2)
- 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. Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup
- 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
 - D Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED
- 5 SEMIANNUAL REPORT TO CONGRESS** (Replaces Schedule 9, Item 26 N1-255-94-2)
- 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
 - D Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED
- 6 INDEXES TO CASE FILES** (Replaces Schedule 9, Item 27 GRS 23-9, N1-255-94-2)
- Used as references to OIG case files DESTROY WITH RELATED RECORDS OR WHEN NO LONGER NEEDED WHICHEVER IS SOONER

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

MINIMUM RETENTION

4

7

GAO AUDITS

(Replaces Schedule 9, Item 28
N1-255-94-2)

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. Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup.

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|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 1 | Headquarters liaison office for GAO audits | RETIRE TO FRC 2 YEARS AFTER
DATE OF AUDIT REPORT
DESTROY 8 YEARS AFTER
SUBJECT DATE |
| 2 | Organization audited or organization controlling audited NASA Contracts
(Record cutoff date is date of audit report) | KEEP FOR 3 YEARS DESTROY
AFTER 8 YEARS OR WHEN NO
LONGER NEEDED |
| 3 | Electronic copies of records that are created on electronic mail and word
processing systems and used solely to generate a recordkeeping copy of
the records | DESTROY/DELETE AFTER THE
RECORDKEEPING COPY HAS
BEEN PRODUCED |

B OF CONTRACTORS

Case files on GAO audits of NASA contractors

- | | | |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| 1 | Cognizant procurement office | DESTROY WITH RELATED
CONTRACT FILE |
| 2 | All other offices/copies | DESTROY 3 YEARS AFTER
AUDIT |
| 3 | Electronic copies of records that are created on electronic mail and word
processing systems and used solely to generate a recordkeeping copy of
the records | DESTROY/DELETE AFTER THE
RECORDKEEPING COPY HAS
BEEN PRODUCED |

8

AUDITS OF CONTRACTORS

(Replaces Schedule 9, Item 29
N1-255-94-2)

A NASA

Case files on NASA audits of contractors, including papers related to NASA audits for other Government agencies, such as DoD. Additional reference is found in NPG 1200 1, Management Control, Audit Liaison, and Audit Followup.

- | | | |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| 1 | Office performing the review. Recordkeeping Copy | RETIRE TO FRC 2 YEARS AFTER
DATE OF FINAL AUDIT REPORT
DESTROY 8 YEARS AFTER
SUBJECT DATE |
| 2 | Cognizant procurement office | DESTROY WITH RELATED
CONTRACT FILE |
| 3 | Other NASA Audit offices | DESTROY 3 YEARS AFTER DATE
OF FINAL AUDIT REPORT |
| 4 | All other offices/copies | DESTROY 1 YEAR AFTER DATE
OF FINAL AUDIT REPORT |
| 5 | Electronic copies of records that are created on electronic mail and word
processing systems and used solely to generate a recordkeeping copy of
the records | DESTROY/DELETE AFTER THE
RECORDKEEPING COPY HAS
BEEN PRODUCED |

SCHEDULE 9

ITEM

DESCRIPTION OF RECORD SERIES

**MINIMUM
RETENTION**

5

B OTHER AUDITS OF NASA CONTRACTORS

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

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|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|
| 1 | Cognizant regional audit office Recordkeeping Copy | DESTROY 3 YEARS AFTER DATE OF AUDIT REPORT |
| 2 | Cognizant procurement office | DESTROY WITH RELATED CONTRACT FILE |
| 3 | All other offices/copies | DESTROY 1 YEAR AFTER DATE OF AUDIT REPORT |
| 4 | Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records | DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED |

END OF SCHEDULE