

NRRS 1441.1A, Change 1
Effective Date: January 19, 2017



NASA Records Retention Schedules

Responsible Office: Office of the Chief Information Officer

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/s/ Renee P. Wynn
Chief Information Officer
Senior Agency Official for Records Management

Date: January 19, 2017

NASA Records Retention Schedules Change History

Change numbers that begin “A.” are the changes that were made to the former NPR 1441.1D (when it was the NASA Records Retention Schedules) in order to create the baselined NRRS 1441.1A. Change numbers that begin “1.” (1.a-1.hh) are the changes made in Change 1 to the baselined NRRS 1441.1A.

| Change Number | AFS | Schedule | Approved | Description/Comments |
|----------------------|------------|-------------------------|-----------------------|--|
| 1.a | | 1, 2, 3, 4, 5, 6, 8, 10 | 8/18/2015 9/7/2016 | Added numerous new GRS schedule items issued by the National Archives in GRS Transmittals 24, 26, and 27. See Crosswalk in Appendix B. |
| 1.b | | 5 | | Consolidated numerous NRRS Schedule 5 items. See Crosswalk in Appendix B. |
| 1.c | | 1 | 8/18/2015 9/7/2016 | Removed GRS schedule items rescinded by the National Archives in GRS Transmittals 24 and 26. See Crosswalk in Appendix B. |
| 1.d | 3451 | 1/40.G.A&B | 1/26/2017 | Added newly approved NRRS 1/40.G.A&B, Awards and Program Files - Employees |
| 1.e | 1382 | 1/54.A | | Updated description of NRRS 1/54.A with changes requested from the Office of Communications. |
| 1.f | 1382 | 1/54.B | | NRRS 1/54.B was rescinded by the Office of Communications. |
| 1.g | 1382 | 1/54.C | | Updated description of NRRS 1/54.C with changes requested from the Office of Communications. |
| 1.h | 1382 | 1/58 | | Item rescinded. Non-records. |
| 1.i | 1387 | 1/66 | | NRRS 1/66 is discontinued. Records covered by 2/22.B1. |
| 1.j | 1394 | 1/71.B1 & 2 | | NRRS 1/71.B.1 and 2 are discontinued. Now covered by NRRS 8/101. |
| 1.k | 1394 | 1/71.B3 | | NRRS 1/71.B.3 is discontinued. Now covered by NRRS 8/103 or 8/107. |
| 1.l | 1394 | 1/71.C1 | | NRRS 1/71.C1 is discontinued. Now covered by NRRS 8/101. |
| 1 m | 1410 | 1/72 | | NRRS 1/72 updated series title and description. |
| 1.n | 1440 | 1/75.F | | NRRS 1/75F is discontinued in its entirety and is now covered by NRRS 1/75.A1. |
| 1.o | 1700 | 1/117.5 | 1/26/2017 | Added newly approved NRRS 1/117.5, Safety Activity Records. |
| 1.p | 1710 | 1/119.5.A&B | 1/26/2017 | Added newly approved NRRS 1/119.5.A&B, Safety Concerns and Suggestions Reporting. |
| 1.q | 2210 | 2/7.8.A&B | 1/26/2017 | Added newly approved NRRS 2/7.8.A&B, External Release of NASA Software. |
| 1.r | 2630 | 2/23.B1 | | NRRS 2/23.B1(d) is now a Closed Series. |
| 1.s | 2630 | 2/23.B2 | | NRRS 2/23.B2(b), (c), (d), and (e) are now Closed Series.. |
| 1.t | 2630 | 2/23.B4 | | NRRS 2/23.B4(b)(1) and (2) are now a Closed Series. |
| 1.u | 2630 | 2/23.B6 | | NRRS 2/23.B6(a)1 is now a Closed Series. |
| 1.v | 2630 | 2/23.C1 | | NRRS 2/23.C1 is discontinued. Now covered by NRRS 8/101. |
| 1.w | 2630 | 2/23.C2 | | NRRS 2/23/C2 is discontinued. Now covered by NRRS 8/103 or 8/107. |
| 1.x | 2630 | 2/24.C1 | | NRRS 2/24.C1 is discontinued. Now covered by NRRS 8/101. |
| 1.y | 2630 | 2/24.C2 | | NRRS 2/24/C2 is discontinued. Now covered by NRRS 8/103 or 8/107. |

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|------|------|------------------|-----------|--|
| 1.z | 3630 | 3/49.D | | Removed NRRS 3/49.D, Donated Leave Records. Records covered by NRRS 3/49.C. |
| 1.aa | 3810 | 3/56.5.A | | NRRS 3/56.A1 and 2 are now NRRS 3/56.B and C. |
| 1.bb | 4200 | 4/7 | | NRRS 4/7 is now a Closed Series. |
| 1.cc | 5100 | 5/1.A3 | | NRRS 5/1.A.3 is discontinued. Records found in contract and grant case files. |
| 1.dd | 6700 | 6/11.A, C, & D.1 | | NRRS 6/11.A, C, & D.1 are discontinued. Now covered by NRRS 6/11.I. |
| 1.ee | 6720 | 6/11.E. 1 & 2 | | NRRS 6/11.E. 1 & 2 are now Closed Series. |
| 1 ff | 6730 | 6/11.F | | NRRS 6/11.F is now a Closed Series. |
| 1.gg | 6730 | 6/11.G | | NRRS 6/11.G is discontinued. Records now covered by NRRS 6/11.I. |
| 1 hh | 6752 | 6/11.J | | NRRS 6/11.J is now a Closed Series. |
| 1.ii | 6770 | 6/11.M.1 & 2 | | NRRS 6/11.M.1 & 2 are discontinued. Records now covered by NRRS 6/11.I. |
| 1.jj | 8700 | 8/36.5.C.1&2 | 1/26/17 | Added newly approved NRRS 8/36.5.C1&2, Safety and Mission Assurance. |
| 1 kk | 8814 | 8/50 | | NRRS 8/50 is now a Closed Series. |
| 1.ll | 8820 | 8/53.B.3 | | NRRS 8/53.B.3 is discontinued. Records now covered by NRRS 8/53.A.2. |
| 1.mm | 9050 | 9/6E | | NRRS 9/6.E now covered under new sub items, 9/5.D.4 and 5. |
| A.1 | | 1, 2, 4, 6, 9 | 9/25/2014 | Added numerous new GRS schedule items issued by the National Archives in GRS Transmittal 23. See Crosswalk in Appendix B. |
| A.2 | | 1, 2, 9 | 9/25/2014 | Removed GRS schedule items rescinded by the National Archives in GRS Transmittal 23. See Crosswalk in Appendix B. |
| A.3 | 1200 | 1/20 | | Replaced NRRS 1/20, Records Created By Advisory Commissions, Committees, Councils, Boards And Other Groups Established Under The Federal Advisory Committee Act (FACA) in its entirety with GRS 26-2, GRS 26-3 & GRS 26-4. |
| A.4 | 1380 | 1/38.5 | | Updated description of NRRS 1/38.5 to match the GRS 23-7. |
| A.5 | 1900 | 1/133.A-I | | Updated descriptions of NRRS 1/133.A-I with changes requested from the NASA Office of General Counsel (OGC). |
| A.6 | 1900 | 1/134.A-C | | Updated description of NRRS 1/134.A-C with changes requested from the NASA Office of General Counsel (OGC). |
| A.7 | 2070 | 2/3.A&B | | Added newly revised and approved NRRS 2/3.A&B, Legal Opinion/Advice Files. |
| A.8 | 2420 | 2/15.C | | Removed NRRS 2/15.C.1 and C.2, Master Files, in their entirety. |
| A.9 | 2800 | 2/26.B&C | | Added newly approved sub-items NRRS 2/26.B, IT System Compliance Records and 2/26.C, IT System Administrative Management Records. |
| A.10 | 2800 | 2/26.D-G | | Updated sub-items D-G of NRRS 2/26 to incorporate the newly approved NRRS 2/26.B&C. NRRS 2/26.D is Enterprise Architecture Records; 2/26.E is IT Capital Investment Records; 2/26.F is Legal & Regulatory Compliance Records; 2/26.G is CIO Committee Records. |
| A.11 | 8820 | 8/55 | | Removed NRRS 8/55, C of F Projects Final Reports in its entirety. |

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|------|------|----------|--|--|
| A.12 | 8830 | 8/56.B.2 | | Removed NRRS 8/56.B.2, General Facility Records (WSTF Only) in its entirety. |
| A.13 | 9810 | 9/23 | | Revised sub-items for NRRS 9/23.1-4 to NRRS 9/23.A-B and updated series and sub-item descriptions. |

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PREFACE

P.1 These NASA Records Retention Schedules (NRRS) set forth the retention periods of Federal records created, received and/or maintained by National Aeronautics and Space Administration (NASA) employees and contractors. They were formerly included in NPR 1441.1 from which they have been extracted since they are approved by the National Archives and Records Administration (NARA) and not by NASA.

P.2 This document is called forth in NPR 1441.1, NASA Records Management Program Requirements, for mandatory use in the maintenance and disposition of NASA records, in compliance with 36 CFR Chapter 1220.34.

P.3 This revised edition correlates schedule items with the Agency Filing Scheme (AFS) found as an appendix in NPR 1441.1. The AFS is the NASA subject numbering scheme for filing and records tagging. The NRRS also incorporates some of the General Records Schedules (GRS) produced by NARA as well as NASA's Privacy Act Systems of Records.

P.4 The process for creating new retention schedules and making changes to the NRRS is provided in NPR 1441.1. Changes themselves will be tracked via a Change History log in Appendix B of this document.

Introduction

I.1 NASA RECORDS RETENTION SCHEDULES ORGANIZATION AND FORMAT

a. The NASA Records Retention Schedules (NRRS) are divided into the following 10 subject categories, which are correlated, to the Agency Filing Scheme (AFS).

- Organization and Administrative
- Legal and Technical
- Human Resources - Personnel
- Property and Supply
- Industrial Relations and Procurement
- Transportation
- Program Formulation
- Program Management
- Financial Management and Inspector General
- Common Documentation

b. Schedule 1, "Organization and Administrative Records," and Schedule 10, "Documents Common to Most Offices," will be used by nearly all offices. Schedules 2 through 9 will be used according to office function/operation.

c. The schedules are arranged into four separate, distinct, columns:

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORDS SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|--|--|
| COLUMN ONE | | AFS # is the Agency Filing Scheme (AFS) number for records described in in column three. The AFS may be found in its entirety in NPR 1441.1; the AFS number is used for filing or tagging records, and as a general finding aid for schedules in this document. It is not to be used in a citation for a specific retention schedule item. | |
| COLUMN TWO | | ITEM is a reference number given to the series of records descriptions in the third column. These numbers are used when completing Records Transmittal and Receipt forms, for documentation of records traffic to and from a Federal Records Center (FRC), and in transfer requests (TRs) for transferring records to the National Archives. | |
| COLUMN THREE | | DESCRIPTION OF RECORD SERIES provides descriptions of each category and series of records. The Office of Primary Responsibility (OPR) is also indicated along with specific center instructions, if necessary. | |
| COLUMN FOUR | | RETENTION indicates the required period of time the records are required to be maintained by NASA whether onsite or in inactive storage. NOTE: The statement, "RETIRE TO FRC," can be interpreted as "MAY RETIRE | |

TO FRC OR OTHER APPROVED INACTIVE STORAGE.” The Center Records Manager approves the storage arrangement. “<Authority>” provides the NARA Job Number that approved the disposition and retention for the Records Series described.

Some records series map to a NARA General Records Schedule (GRS). In those cases, the GRS citation is included in this column. It should be noted that neither the NARA Job Number nor the GRS citation are included as part of the NRRS schedule/item citation.

I.2 PRIMARY FILES SUBJECT IDENTIFICATION CODES

Below is a quick look at top levels of subject categories found in more detail within the AFS. This listing may help the user readily find retention schedules for records under a specific functional subject area. The numbers map to the AFS column within the schedules.

1000-1999 ORGANIZATION

| | |
|------------------------------------|------|
| General | 1000 |
| Organizational Structure | 1100 |
| Internal Management Controls | 1200 |
| External Relationships | 1300 |
| Administrative Management Programs | 1400 |
| Administrative Services | 1500 |
| Security | 1600 |
| Safety | 1700 |
| Occupational Health | 1800 |
| Standards of Conduct | 1900 |

5000-5999 PROCUREMENT

| | |
|---|------|
| Procurement/Small Business/Industrial Relations | 5000 |
| Procurement (Contracts) | 5100 |
| Contractor Labor Relations | 5200 |
| Reliability and Quality Assurance | 5300 |
| Contractor-Held Government Property | 5400 |
| Patent Waiver | 5500 |
| Statement of Work | 5600 |
| Awards, Inventions, and Contributions | 5700 |
| Grants and Cooperative Agreements | 5800 |
| Contractor Financial Management & Reporting | 5900 |

2000-2999 LEGAL AND TECHNICAL

| | |
|--------------------------------------|------|
| Law and Legal Matters | 2000 |
| Technology Utilization | 2100 |
| Scientific and Technical Information | 2200 |
| Management Information Systems | 2300 |
| Automatic Data Processing Management | 2400 |
| Communications | 2500 |
| Photographic Services Management | 2600 |
| Information Technology Management | 2800 |

6000-6999 TRANSPORTATION

| | |
|---|------|
| General | 6000 |
| Commercial Freight Services | 6100 |
| Traffic Management Programs | 6200 |
| Transportation of Unusual or Hazardous Cargo | 6300 |
| Preparation and Handling of Cargo | 6400 |
| Special Airlift Services | 6500 |
| Transportation & Transport Engineering | 6600 |
| Motor Vehicle Operations and Management | 6700 |
| Passenger Transportation | 6800 |

3000-3999 PERSONNEL

| | |
|--|------|
| Human Resources/Personnel General | 3000 |
| Executive Human Resources Management | 3100 |
| Personnel Provisions | 3200 |
| Employment | 3300 |
| Employee Performance and Utilization | 3400 |
| Position Classification, Pay, and Allowances | 3500 |
| Time and Attendance | 3600 |
| Personnel Relations and Services | 3700 |
| Insurance and Annuities | 3800 |
| General and Miscellaneous | 3900 |

7000-7999 PROGRAM FORMULATION

| | |
|--|------|
| General | 7000 |
| Research & Development Planning & Approval | 7100 |
| Institutional Planning & Approval | 7200 |
| Facility Planning & Approval | 7300 |
| Approval, Mgt. of Financial Reports (R&D) | 7400 |
| Commercialization | 7500 |
| Program Operating Plans | 7600 |
| Human Resources Utilization | 7700 |
| Resources Authority Allocation System | 7800 |
| Aircraft Operations & Management | 7900 |

4000-4999 PROPERTY AND SUPPLY

| | |
|--------------------------|------|
| Property and Supply | 4000 |
| Inventory Management | 4100 |
| Equipment Management | 4200 |
| Utilization and Disposal | 4300 |
| Supply Cataloging | 4400 |
| Storage and Distribution | 4500 |
| Expanded Supply Control | 4600 |

8000-8999 PROGRAM MANAGEMENT

| | |
|----------------------------------|------|
| General | 8000 |
| Advanced Studies | 8100 |
| Supporting Research & Technology | 8200 |
| Grants & Research Contracts | 8300 |
| Tracking & Data Acquisition | 8400 |
| Environmental Management | 8500 |
| Operations | 8600 |
| Safety & Mission Assurance | 8700 |
| Real Property & Facilities | 8800 |
| Program Medical Support | 8900 |

PRIMARY FILES SUBJECT IDENTIFICATION CODES --- CONTINUED

9000-9799 FINANCIAL MANAGEMENT

| | |
|---|------|
| Principles & General Policies | 9000 |
| Financial Management & Budgeting Systems | 9100 |
| Accounting | 9200 |
| Financial Reports | 9300 |
| Budget Formulation and Execution | 9400 |
| Contractor Financial Management Reporting | 9500 |
| Fiscal Operations | 9600 |
| NASA Travel Regulations | 9700 |

9800-9999 INSPECTOR GENERAL FILES -- AUDITS & INVESTIGATIONS

| | |
|------------------------|------|
| Investigations Program | 9800 |
| Audit Program | 9900 |

NRRS 1: ORGANIZATION AND ADMINISTRATIVE RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 1 are the general, management, and administrative types of records essential to ordinary office operations but distinct from the records of functional activities as set forth in other NASA Records Retention Schedules. Some of the records categorized and listed are found only in offices at the upper management levels; others are found at almost every organizational level. Offices with functional management responsibilities will usually need to consult at least one other schedule, in addition to NRRS 1, in order to effectively control the disposition of their records.

ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------|-------------|--|---|
| 1000-1999 | | ORGANIZATION AND GENERAL ADMINISTRATION | (see below) |
| 1000 | | General (e.g., NASA Strategic Plan) | |
| 1040 | | Emergency Preparedness / Planning and Mobilization | (see below) |
| 1040 | 1 | EMERGENCY DIRECTIVES REFERENCE FILES Copies of Emergency Operating Directives, plans, and procedures issued by the agency, including delegations of authority, emergency assignments, functions, and instructions (other than those issued in case files), as well as those issued by FEMA, other Federal agencies, state and local governments, and the private sector. (NON-RECORD COPIES) | DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-21) |
| 1040 | 2 | EMERGENCY PREPAREDNESS POLICY FILES Record copy of each agency wide or center emergency directive, plan, and procedure issued by the responsible office, including related background papers and program development reports consisting of a copy of each plan or directive issued. A. One record copy of each plan or directive issued, if NOT included in the agency's permanent set of master directives. B. File copy of plan or directive if agency record copy is maintained in a master directives file and all related background materials. C. All other copies. | * PERMANENT * CUT OFF WHEN SUPERSEDED AND RETIRE TO FRC WHEN 3 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 15 YEARS OLD IN 10 YEAR BLOCKS. (e.g., offer 1970-79 block in 1995). <DA: N1-255-94-1> (N 1-20) DESTROY 3 YEARS AFTER ISSUANCE OF A NEW PLAN OR DIRECTIVE. [GRS 18-27] DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1040 | 3 | EMERGENCY PLANNING ADMINISTRATIVE CORRESPONDENCE Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in these schedules. | DESTROY WHEN 2 YEARS OLD. [GRS 18-26] |
| 1040 | 4 | EMERGENCY PLANNING AND READINESS REPORTS Agency reports of operator's tests, consisting of consolidated or comprehensive reports reflecting agency wide results of tests conducted under emergency plans, including exercises and trial tests. | DESTROY WHEN 3 YEARS OLD, OR 1 YEAR AFTER COMPLETION OF NEXT EXERCISE WHICHEVER IS LATER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-22) |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|---|---|
| 1040 | 5 | OPERATIONS TEST FILES Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities and reports (excluding consolidated and comprehensive reports). | DESTROY WHEN 3 YEARS OLD. [GRS 18-28] (N 1-23) |
| 1050 | | Agreements/Memoranda of Understanding | (see below) |
| 1050 | 6 | AGREEMENTS: MEMORANDA OF UNDERSTANDING (MOU) Signed, original MOUs and Letter Agreements between NASA and others with correspondence and all records concerning the agreement matters, such as interagency, intra-agency, or international affairs. A. <u>RECORD COPIES</u> HQ: Office of External Relations keeps record copies for International MOUs. Record copies for domestic MOUs are kept by the Office having primary responsibility. B. <u>CENTERS: OFFICE OF PRIMARY RESPONSIBILITY</u> C. <u>ALL OTHER COPIES</u> | * PERMANENT * RETIRE TO THE CUSTODY OF THE NASA ARCHIVIST OR HISTORIAN. THEY WILL TRANSFER TO THE NATIONAL ARCHIVES WHEN NO LONGER NEEDED TO PREPARE NASA HISTORIES OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1> * PERMANENT * RETIRE TO FRC 2 YEARS AFTER EXPIRATION. TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER EXPIRATION. <DA: N1-255-94-1, 6> DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1058 | | Intra – Agency Agreements | (see below) |
| 1050 1058 | 7 | AGREEMENTS: INTERAGENCY AND INTRA-AGENCY WITH OTHER GOVERNMENT AGENCIES Case files on agreements between NASA and other Government agencies. Includes correspondence and all records/materials concerning the agreement. A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u> | * PERMANENT * RETIRE TO FRC 2 YEARS AFTER COMPLETION OR EXPIRATION. TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER COMPLETION/EXPIRATION. <DA: N1-255-94-1> (N 1-4) |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
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|--------------|-------------|---|---|
| | 7 | B. <u>ALL OTHER OFFICES/COPIES</u> | DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-94-1, 7> <DA: N1-255-09-1> |
| 1070 | | History Program | (see below) |
| 1070 | 8 | <p>HISTORICAL ITEMS/SOURCE FILES</p> <p>Records that have unusual or immediately recognizable historical significance and are filed among other records that are scheduled for disposal will be noted and removed from the file before transfer or destruction. Agency histories and selected background materials. Narrative agency histories, including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention.</p> <p>A. <u>HISTORY SUBJECT FILES</u> (Located in Agency/Center History Offices, including any indexes or finding aids if available.)</p> <p>1. 1945 - 1989 Material in this collection dates from 1945 to 1989 and may be contained in boxes, lektreivers, or file cabinets. Material is marked and accounted for in two categories: (1) Dated/marked when material is added to collection; and (2) Dated/marked when material is accessed for research purposes.</p> <p>2. 1990 and Continuing. [Note: Excluded are electronic copies of agency records made for convenient reference.]</p> <p>B. <u>READY REFERENCE MATERIAL</u></p> <p>Reference material published/sponsored by NASA (Shelf documentation/books).</p> | <p>* PERMANENT * RETAIN RECORDS IN AGENCY FOR 5 YEARS, STARTING JANUARY 1993. TRANSFER TO THE NATIONAL ARCHIVES NO LATER THAN DECEMBER 31, 1998, UNLESS THERE IS AN AGENCY REQUEST CERTIFYING ACTIVE AGENCY USE AND NEED. SUCH REQUEST WILL SPECIFY NEW TRANSFER DATE FOR MATERIAL SO CERTIFIED. <DA: N1-255-94-1, 8> (N 1-8)</p> <p>* PERMANENT * RETAIN IN AGENCY SPACE UNTIL NO LONGER NEEDED OR WHEN 25 YEARS OLD WITH 5 YEARS CONSECUTIVE INACTIVE AGENCY USE OR UNTIL 30 YEARS OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1, 8> <DA: N1-255-09-1></p> <p>RETAIN INDEFINITELY IN AGENCY SPACE UNTIL NO LONGER NEEDED, OR DESTROY WHEN 75 YEARS OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|--|--|
| 1070 | 9 | <p>HISTORY OFFICE CONTRACTOR DELIVERABLES (BOOKS)</p> <p>Copies of documents collected and used as source data in preparation of historical volumes. Included are duplicates or copies of correspondence, reports, directives, pamphlets, publications or other official records; preliminary or partial drafts; authors' outline(s); authors' original notes; responses from readers; reviews; and comparable records.</p> <p>A. <u>MATERIALS RELATED TO COMPLETED VOLUMES</u> (After publication of the finished book.)</p> <p>B. <u>MATERIALS ACCUMULATED FOR FUTURE VOLUMES</u></p> <p>C. <u>PUBLISHED MATERIALS/BOOKS</u></p> | <p>RETIRE TO FRC ONE YEAR AFTER PUBLICATION. DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-29)</p> <p>DESTROY WHEN NO ONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * TRANSFER ONE COPY ANNUALLY TO THE NATIONAL ARCHIVES. <DA: N1-255-94-1></p> |
| 1070 | 10 PASR | <p>HISTORY ARCHIVES BIOGRAPHICAL FILES - NASA 10 HABC</p> <p>Biographical data, speeches, and articles by individuals who are of historical significance in aeronautics, astronautics, space science, and other concerns of NASA; correspondence, interviews, and various other tapes and transcripts of program activities.</p> | <p>MOST FILES ARE RETAINED INDEFINITELY IN AGENCY REFERENCE COLLECTIONS HISTORY OFFICES/ARCHIVES. DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1070 | 11 | <p>HISTORY OFFICE FILES – ADMINISTRATIVE</p> <p>Routine office files, general correspondence, and other materials related to the day-to-day operations and management of the history office and its programs.</p> | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-1, 11> <DA: N1-255-09-1></p> |
| 1101 | | NASA Organization and Definition of Terms | (see below) |
| 1101 1410 | 12 | <p>ORGANIZATIONAL FILES</p> <p>A. Organizational charts, NASA Directives, and reorganization studies, graphic illustrations, which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic</p> | <p>* PERMANENT * RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1> (N 1-3)</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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|--------------|-------------|--|---|
| | 12 | <p>extent of limits of an agency's programs and projects.</p> <p>[NOTE: Excluded from this series are those Organization Charts included in the NASA Directives System -- See Item 72 of this Schedule.]</p> <p>B. Management appraisal files, narrative and statistical reports on significant accomplishments, accounts of and rationale for reorganizations, establishment or disestablishment of field centers; special reports on key planning studies, with related papers showing inception, scope, procedure, results, and case files on approved plans, policies, mission, and programs.</p> <p>1. Office of Primary Responsibility, including the signatory and the office responsible for studying and developing the record.</p> <p>2. All other offices/copies.</p> | <p>* PERMANENT *</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1></p> <p>DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1130 | | Operating Relationships | (see below) |
| 1130 1410 | 13 | <p>FUNCTIONAL STATEMENTS</p> <p>Formally prepared descriptions of the responsibilities assigned to the senior executive officers of the agency at the division level or higher. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.</p> <p>A. <u>RECORD COPIES</u></p> <p>HQ: OFFICE OF MANAGEMENT OPERATIONS, NASA DIRECTIVES & FEDERAL REGULATIONS (Record copy is included in NMI, NPD/NPR System)</p> <p>B. <u>CENTERS</u></p> <p>Office of Primary Responsibility</p> <p>C. <u>ALL OTHER COPIES</u></p> | <p>* PERMANENT *</p> <p>SEE ITEM 72. <DA: N1-255-94-1> (N 1-2)</p> <p>* PERMANENT *</p> <p>SEE ABOVE. <DA: N1-255-94-1, 13></p> <p>DESTROY WHEN OBSOLETE, SUPERSEDED, OR NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1150 | | Committees/Boards/Councils/Panels/Working Groups | (see below) |
| 1150 | 14 | TEMPORARY COMMISSIONS, BOARDS, COUNCILS, AND COMMITTEES | |

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|---------------------|--------------------|--|---|
| | 14 | <p>This schedule covers records created and maintained by temporary commissions, board, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.</p> <p>For convenience, the term “commission” is used in this schedule to cover all types of temporary organizations.</p> <p>[NOTE: Excluded from this series are:</p> <ul style="list-style-type: none"> • Records created by the Inventions and Contributions Board -- See Item 16 of this Schedule. • Groups Established Under the Federal Advisory Committee Act (FACA) –See Item 20 of this Schedule. • Routine and Ad Hoc Conferences and Meetings -- See Item 19 of this Schedule.] <p>A. <u>RECORDS OF AND RELATED TO INTERAGENCY, ADVISORY, OR INTERNATIONAL BODIES</u></p> <p>Records include those related to establishment, organization, membership, and governing policies, as well as records created by the body (e.g. agendas, minutes, final reports and related records documenting the accomplishments of the official boards and committees).</p> <p>B. <u>INTERNAL AGENCY COMMITTEES</u></p> <p>Records of the formation, membership, and charters of, and files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of the official boards and committees.</p> <p>1. Internal Agency Committees Related to the Agency’s Mission</p> <p>Committees established by agency authority (not established by Public Law or executive Order) for facilitative or operational purposes, related to the agency’s mission, composed wholly of fulltime officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.</p> <p>2. Internal Agency Committees Unrelated to an Agency’s Mission</p> <p>Committees established by an agency for facilitative or operational purposes unrelated to the agency’s mission and tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities. Any files created and/or maintained by the committee.</p> | <p>* PERMANENT * RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD. <DA: N1-255-94-1, 14> (N 1-6, N 1-7, N 24-12, N 24-13)</p> <p>* PERMANENT * RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD. <DA: N1-255-94-1></p> <p>DESTROY/DELETE WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. [GRS 26-1a]</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

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(AFS 1000-1999)

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| | 15.1 | <p>with final submissions to Headquarters, on legislative proposals. This series includes case files on each proposed item of legislation and files are kept and maintained, and broken in this fashion.</p> <p>OPR: NASA Headquarters, Office of Legislative Affairs</p> <p>B. Offices providing information, feeder reports, or pertinent documentation to cognizant Headquarters office concerning the proposed legislation.</p> <p>C. All other offices/copies.</p> | <p><DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE PURPOSES. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1170 | | Inventions and Contributions Board | (see below) |
| 1170 | 16 | <p>INVENTIONS AND CONTRIBUTIONS BOARD RECORDS AND FILES</p> <p>A. Minutes of meetings of the Inventions and Contributions Board.</p> <p>1. Record copy. HQ: BOARD OF CONTRACT APPEALS</p> <p>2. Centers. Monetary Awards Only (Significant).</p> <p>3. All other copies.</p> <p>B. Copies of documents/records created by the Board that are maintained at centers or by Board members.</p> <p>C. Alphabetical files, by contributor, on contributions NOT considered for award; files include correspondence, evaluations, and all related papers/records.</p> <p>D. Alphabetical files, by contributor, on contributions considered for award; files include correspondence, evaluations, recommendations by the Inventions and Contributions Board and the Administrator Board and the Administrator and all related records/documentation.</p> | <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WHEN 5 YEARS OLD. <DA: N1-255-94-1></p> <p>RECORDS ARE SUBMITTED TO NASA HQ BY COGNIZANT TU PROGRAM OR PATENT PROGRAM AS APPLICABLE. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 23 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1>(N 13-17)</p> <p>RETIRE TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 22 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-17)</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

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|---------------------|--------------------|--|--|
| | 16 | <p>E. Denied Award Hearings Files. Case files on hearings evolving from denied awards from the Inventions and Contributions Board.</p> <p>F. Award case files/applications that have been microfilmed.</p> <p>1. Paper Records.</p> <p>2. Microfilm/microfiche Records.</p> | <p>RETIRE TO FRC AFTER CASE IS CLOSED. DESTROY WHEN 25 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-18)</p> <p>DESTROY WHEN MICROFILM/MICROFICHE HAS BEEN VERIFIED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 25 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1180 | | NASA Board of Contract Appeals | (see below) |
| 1180 | 17 | <p>NASA BOARD OF CONTRACT APPEALS CASE FILES— GOVERNMENT COUNSEL'S CASE FILES</p> <p>Appeals before the NASA Board of Contract Appeals consisting of Notices of Appeal, complaint, answer and/or motion, correspondence, transcripts of proceedings before the Board, exhibits, briefs in support of the parties positions taken under the disputes clause of a NASA contract, and Board decisions, together with working papers of the trial attorney charged with representing NASA before the Board.</p> | <p>RETIRE TO FRC 2 YEARS AFTER BOARD HAS RENDERED ITS DECISION OR CASE IS SETTLED. DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-22)</p> |
| 1180 | 18 | <p>BOARD OF CONTRACT APPEALS CASE FILES</p> <p>Records of appeals of NASA contractors under the disputes clause of a NASA contract, including findings and final decisions of NASA contracting officers, pleadings, transcripts of hearings, briefs, exhibits, and related correspondence, memoranda, working papers, Board decisions, and other related papers/documentation.</p> <p>A. Records created prior to October 1, 1979. Case in which the appeal was withdrawn or settled.</p> <p>B. Cases in which the Board rendered a decision.</p> <p>C. Records created after September 30, 1979. Cases in which the appeal was withdrawn or settled.</p> | <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>RETIRE TO FRC 6 YEARS AFTER YEAR IN WHICH DECISION WAS RENDERED. DESTROY WHEN 11 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 17-49)</p> <p>DESTROY 1 YEAR AFTER FINAL ACTION ON DECISION. [GRS 3-15b]</p> |
| 1200 | | Internal Management Controls | (see below) |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

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|---------------------|--------------------|--|---|
| 1200 | 19 | <p>SYMPOSIA AND CONFERENCE FILES – MANAGEMENT</p> <p>Files (including invitations, attendance records, agenda, minutes, reports, etc.) of routine and ad hoc conferences and meetings, such as meetings of non-project working groups and task groups, included are staff meetings related largely to administrative matters.</p> | <p>RETIRE TO FRC WHEN 1 YEAR OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-39, N 24-14)</p> |
| 1200 | 20 | <p>FEDERAL ADVISORY COMMITTEE RECORDS</p> <p>This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies of departments.</p> <p>If a committee is a Presidential advisory committee, check with the agency’s General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.</p> <p>For convenience, the term “committee” is used in this schedule to mean “advisory committee” pursuant to FACA.</p> <p>A. <u>SUBSTANTIVE COMMITTEE RECORDS (NON-GRANT REVIEW COMMITTEES)</u></p> <p>Exclusion: this item does not include records of committees whose sole purpose is grant review. Those records are covered in item C below.)</p> <p>Records documenting the establishment and formation of committees and their significant actions and decision. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include:</p> <ul style="list-style-type: none"> • Records related to the establishment of the committee: <ul style="list-style-type: none"> ○ charters (original, renewal, re-establishment, and amended) ○ enacting legislation ○ explanation of committee need, when required ○ filing letters to congress ○ organization charts ○ committee specific bylaws, standard operating procedures, or guidelines ○ any other materials that document the organization and functions of the committee and its components • Records related to committee membership: <ul style="list-style-type: none"> ○ memos or similar documentation of how and/or why individual members were selected | <p>*PERMANENT*</p> <p>TRANSFER TO THE NATIONAL ARCHIVES WHEN RECORDS ARE 15 YEARS OLD OR UPON TERMINATION OF THE COMMITTEE. WHICHEVER IS SOONER. [GRS 6.2-010</p> |

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| | 20 | <ul style="list-style-type: none"> ○ membership balance plans ○ membership rosters ○ appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc. ○ resignation or termination letters ● Records of committee meetings and hearings: <ul style="list-style-type: none"> ○ agency head’s determination that a meeting may be closed to the public ○ agendas ○ materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations ○ meeting minutes ○ public comments ○ testimony received during hearings ○ transcripts of meetings and hearings (note: if transcripts do not exist, audio/visual recordings are permanent under item b) ● Records related to committee findings and recommendations: <ul style="list-style-type: none"> ○ one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee ○ responses from agency to committee regarding recommendations ○ committee presentations or briefings of findings ● Records created by committee members: <ul style="list-style-type: none"> ○ correspondence documenting discussions, decision, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer) ● Records related to research collected or created by the committee: <ul style="list-style-type: none"> ○ records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data) ○ raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies ● Documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): <ul style="list-style-type: none"> ○ records relating to the formation of the subcommittee or working group, if they exist <ul style="list-style-type: none"> ▪ decision documents ▪ membership ▪ statement of purpose or other documentation of duties and responsibilities ○ records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to: | |

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| | 20 | <ul style="list-style-type: none"> ▪ meeting minutes ▪ transcripts ▪ reports ▪ briefing materials ▪ substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, and other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer) ▪ background materials <ul style="list-style-type: none"> • Records related to committee termination (i.e., email, letter, memo, etc.). • Other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. <p>Note: Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to the National Archives. Committee records should be arranged by committee, not by the type of records (e.g. the National Archives should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).</p> <p>B. <u>SUBSTANTIVE AUDIOVISUAL RECORDS (NON-GRANT REVIEW COMMITTEES)</u></p> <p>Exclusion: This item does not include records of committees whose sole purpose is grant review which are covered by item C of this schedule.</p> <p>Records include:</p> <ul style="list-style-type: none"> • audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed • captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings • posters (2 copies) produced by or for the committee <p>C. <u>GRANT REVIEW COMMITTEE RECORDS</u></p> <p>Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item A above for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.</p> | <p>PERMANENT. TRANSFER TO THE NATIONAL ARCHIVES WHEN RECORDS ARE 3 YEARS OLD OR UPON TERMINATION OF COMMITTEE, WHICHEVER IS SOONER. [GRS 6.2-020]</p> <p>TEMPORARY. DESTROY UPON TERMINATION OF COMMITTEE. [GRS 6 2-030]</p> |

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|---------------------|--------------------|--|--|
| | 20 | <ul style="list-style-type: none"> o member credentials (resumes or biographies) o member files (personnel-type records) • Non-substantive web content <p>Note 1: Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.</p> <p>Note 2: Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to NRRS 2/13.</p> <p>F. <u>COMMITTEE MANAGEMENT RECORDS</u></p> <p>Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general.</p> <p>Records include:</p> <ul style="list-style-type: none"> • Agency guidelines • Correspondence • Requests for approval of committee nominees • Copies of records about committees maintained for reporting purposes, such as: <ul style="list-style-type: none"> o information provided to GSA Secretariat for annual comprehensive reviews o statistical data files and reports o annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act o financial operating plans and final cost accountings <p>Note: This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.</p> | TEMPORARY. DESTROY WHEN 3 YEARS OLD, 3 YEARS AFTER SUBMISSION OF REPORT, OR 3 YEARS AFTER SUPERSEDED OR OBSOLETE, AS APPROPRIATE. [GRS 6.2-060] |
| 1216 | | Work Management | (see below) |
| 1216 | 21 | <p>SPECIAL PRIORITIES ASSISTANCE FILES</p> <p>Records used in requesting, coordinating, and granting priorities.</p> <p>A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u></p> <p>B. ALL OTHER OFFICES/COPIES</p> | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 17-18)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|---|--|
| 1216 1220 | | RECORDS OF TOP MANAGEMENT OFFICIALS | |
| 1216 1220 | 22 | <p><u>RECORDS OF MANAGEMENT</u></p> <p>Records created and received by NASA management not included in a specific case file (see Note 1).</p> <p>A. Records created and received in any and all media that substantially document the development and management of NASA policy, operations, and programs. Often arranged as general subject files, they typically include briefings; reports; presentations; studies; substantive correspondence, email, and informal notes; and other records that respond to and decide matters affecting the office’s operation and guidance. Also included are calendars, appointment books, schedules, logs, diaries, and journals that document appointments, telephone calls, conferences, meetings, trips, and other activities and communications while serving in an official capacity. These records document substantive work carried on by the office. [Program and Project Managers see Note 1.]</p> <p>1. Administrator, Center Directors, their deputies and associates who help execute the functions of the Administrator and Center Directors; and heads of Agency or Center Mission Directorates or other direct mission support offices.</p> <p>2. Heads of all other offices (functional offices concerned with Agency or Center infrastructure and administration) such as CIO, CFO, Human Capital, Facility Operations organizations, etc.</p> <p>B. ITEM DISCONTINUED</p> <p>C. All other copies of records described in A or B above.</p> <p>Note 1: Records described by items 22A and 22B that are specific to individual programs or projects are covered by Schedule 8, items 101-113.</p> <p>Note 2: Other general records—transitory files, suspense files, etc.—are covered by Schedule 1, item 78.</p> | <p>* PERMANENT * CUT OFF AT END OF FISCAL OR CALENDAR YEAR. RETIRE TO FRC WHEN 5 YEARS OLD IN 5 YEAR BLOCKS. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-94-1> (N 1-1)</p> <p>TEMPORARY. CUT OFF AT END OF FISCAL OR CALENDAR YEAR. DESTROY OR DELETE BETWEEN 5 AND 15 YEARS AFTER CUTOFF. <DA: N1-255-06-1></p> <p>RECORDS COVERED BY ITEM 1/78F.1</p> <p>NON-RECORD. DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-06-1></p> |
| 1216 | 23 | LANGLEY CENTRAL CORRESPONDENCE FILES (LaRC ONLY) | ITEM DISCONTINUED. |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
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| 1216 | 24 | TRANSITORY OR TEMPORARY INTERNAL ADMINISTRATIVE FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/78G. [GRS 23-7] |
| 1216 | 25 | ROUTINE CONTROL FILES Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records charge-out, and other similar records used solely to control or document the status of correspondence, reports, or other records that are authorized for destruction. | DESTROY WHEN NO LONGER NEEDED. [GRS 4.1-010] (N 24-18) |
| 1240 | | Functional Management | (see below) |
| 1240 | 26 | INTERNAL MANAGEMENT FILES Records relating to internal management and operation of the unit. | DESTROY WHEN 2 YEARS OLD. [GRS 13-6] |
| 1280 | | Quality Management Systems | (see below) |
| 1280 | 26.5 | QUALITY MANAGEMENT FILES This schedule item and sub-items cover records in all media and formats, including those maintained on NASA owned and operated Web sites. Note: For inputs into, outputs from, and documentation of, Quality Management e-systems, see Schedule 2, the following items as appropriate: 15.A and 15.B (inputs), 15.D, 15.E and 15.F (outputs), and 14.D.3 (documentation). (For Quality Assurance records related to NASA Programs & Projects, see NRRS Schedule 8.) A. Files related to the status and overall effectiveness of the Management Systems /external certification programs at the NASA installations. Records include, but are not limited to audits, oversight of corrective actions, management review activities, quality system metrics/evaluations, and correspondence with external auditors. B. Records related to improvement of management and quality processes and activities throughout the Agency and not covered elsewhere in these schedules. Records include, but are not limited to, reports of quality issues, customer/constituent feedback, surveys and survey responses, and documentation/tracking of quality issue corrective actions. C. All copies of records described in A and B above. | DESTROY WHEN 7 YEARS OLD. <DA: N1-255-99-3> <DA: N1-255-09-1> DESTROY WHEN 5 YEARS OLD. <N1-255-10-2> DELETE/DESTROY WHEN NO LONGER NEEDED. <N1-255-10-2> |
| 1300 | | External Relationships | |
| 1311 | | Congress | (see below) |

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|--------------------------|--------------------|--|--|
| 1311 See AFS 1150 | 27 | CONGRESSIONAL CORRESPONDENCE FILES A. and B. See Item 15/B Congressional Correspondence Files. (New item replaced N1-255-94-1 and N 1-15 in April 2001.) C. See Item 15/D Publications requests from Congressmen. (New item replaced N1-255-94-1 and N 1-16 in April 2001.) | |
| 1311 See AFS 1150 | 28 | REPORTS TO CONGRESS A. See Item 15/A/2(a) HQ Office of Legislative Affairs. (New Item replaced N1-255-94-1 and N 1-12 in April 2001.) B. See Item 15/A/2(b) All other offices and copies. (New item replaced N1-255-94-1 in April 2001.) | |
| 1312 | | General Accounting Office (GAO) | (see below) |
| 1312 | 29 | GENERAL ACCOUNTING OFFICE (GAO) EXCEPTIONS FILES/NOTICES GAO notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence. | ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014. (N 2-2) |
| 1320 | | Executive Branch | (see below) |
| 1320 | 30 | LEGISLATION FILES – PROPOSED See Item 15.1 Legislation Files – Proposed | |
| 1328 | | Department of Defense | (see below) |
| 1328 | 31 | MILITARY REPORTS Reports and copies of records from the Departments of the Army, Navy, Air Force, and Defense. | DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-33) |
| 1355 | 32 | UNIVERSITY AFFAIRS PROGRAM FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/68. |
| 1360 | | International Affairs/Programs | (see below) |
| 1360 | 33 | INTERNATIONAL CORRESPONDENCE Correspondence with private individuals outside of the U.S. requesting information or publications. | DESTROY 2 YEARS AFTER RESPONSE TO REQUEST. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-11) |
| 1362 | | Cooperative Projects | (see below) |

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|---------------------|--------------------|--|---|
| 1362 | 34 | INTERNATIONAL ACTIVITIES FILES Case files on NASA international activities; includes correspondence, reports, agreements, and all related papers. | * PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WHEN ACTIVITY CEASES, OR WHEN 30 YEARS OLD. <DA: N1-255-94-1> (N 1-10) |
| 1370 | | Foreign Visits and Visitors | (see below) |
| 1370 | 35 | FOREIGN NATIONAL VISITORS FILES Records relating to the visits of foreign nationals, including authorizations, security clearances, itineraries, correspondence, and reports. | DESTROY 2 YEARS AFTER TERMINATION OF VISIT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-17) |
| 1370 | 36 | VISITOR OPINION CARDS Forms completed by visitors to centers showing their opinion of the facilities. | DESTROY 6 MONTHS AFTER VISIT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-20) |
| 1380 | | Public Affairs | (see below) |
| 380 | 37 | COMMUNITY RELATIONS FILES A. Documentation showing the development, maintenance, and improvement of relations between NASA and the community. GSFC: These are meetings between local leaders in business/political areas to show/demonstrate what GSFC is doing in the local community, rotary clubs, Chamber of Commerce, etc. B. Records relating to speeches, tours, personal appearances, and other such routine activities. | DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-19) DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-19) |
| 1380 | 38 | STATISTICAL REPORTS FILES Statistics regarding public affairs activities of Centers for use in compiling semiannual report, including statistics regarding dissemination of publications and number of publications in stock. A. <u>HQ: PUBLIC AFFAIRS (OPR)</u> B. <u>CENTERS</u> : Office of Primary Responsibility | DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-8) DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-8) |

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|--------------|-------------|--|--|
| 1382 | 43 | <p>PRIVACY ACT AMENDMENT CASE FILES</p> <p>Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. 552a(d)(2); to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. 552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. 552a(g).</p> <p>Includes:</p> <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency's replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials | <p>DESTROY WITH THE RECORDS FOR WHICH AMENDMENT WAS REQUESTED OR 4 YEARS AFTER CLOSE OF CASE (FINAL DETERMINATION BY AGENCY OR FINAL ADJUDICATION, WHICHEVER APPLIES), WHICHEVER IS LATER. [GRS 4.2-090]</p> |
| 1382 | 44 | <p>PRIVACY ACT ACCOUNTING OF DISCLOSURE FILES</p> <p>Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency.</p> <p>Includes:</p> <ul style="list-style-type: none"> • forms with the subject individual's name • records of the requestor's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent | <p>DISPOSE OF IN ACCORDANCE WITH THE APPROVED DISPOSITION INSTRUCTIONS FOR THE RELATED SUBJECT INDIVIDUAL'S RECORDS, OR 5 YEARS AFTER THE DISCLOSURE FOR WHICH THE ACCOUNTABILITY WAS MADE, WHICHEVER IS LATER. [GRS 4.2-050]</p> |
| 1382 | 44.2 | <p>ERRONEOUS RELEASE RECORDS</p> <p>Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p> <ul style="list-style-type: none"> • requests for information • copies of replies • all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> • official copy of records request or copies <p>A. Records filed with the record-keeping copy of the erroneously released records.</p> <p>B. Records filed separately from the record-keeping copy of the released records.</p> | <p>FOLLOW THE DISPOSITION INSTRUCTIONS APPROVED FOR THE RELEASED RECORD COPY OR DESTROY 6 YEARS AFTER THE ERRONEOUS RELEASE, WHICHEVER IS LATER. [GRS 4.2-060]</p> <p>DESTROY 6 YEARS AFTER THE ERRONEOUS RELEASE. [GRS 4.2-061]</p> |

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|--------------|-------------|--|--|
| 1382 | 44.5 | <p>PERSONALLY IDENTIFIABLE INFORMATION EXTRACTS</p> <p>System-generated or hardcopy print-outs generated for business purposes that contain personally identifiable information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet “Log and Verify.”</p> | <p>DESTROY WHEN 90 DAYS OLD OR NO LONGER NEEDED PURSUANT TO SUPERVISORY AUTHORIZATION, WHICHEVER IS APPROPRIATE. [GRS 4.2-130]</p> |
| 1382 | 44.6 | <p>PERSONALLY IDENTIFIABLE INFORMATION EXTRACT LOGS</p> <p>Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p> | <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4.2-140]</p> |
| 1382 | 44.7 | <p>ANALYZING PERSONALLY IDENTIFIABLE INFORMATION (PII)</p> <p>Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p> <p>A. <u>PRIVACY THRESHOLD ANALYSES (PTAs) and INITIAL PRIVACY ASSESSMENTS (IPAs)</u></p> <p>Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p> <p>B. <u>PRIVACY IMPACT ASSESSMENT (PIAs)</u></p> | <p>DESTROY 3 YEARS AFTER ASSOCIATED PIA IS PUBLISHED OR DETERMINATION THAT PIA IS UNNECESSARY, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.2-160]</p> <p>DESTROY 3 YEARS AFTER A SUPERSEDING PIA IS PUBLISHED, AFTER SYSTEM CEASES OPERATION, OR (IF PIA CONCERNS A WEBSITE) AFTER WEBSITE IS NO LONGER AVAILABLE TO THE PUBLIC, AS APPROPRIATE. [GRS 4.2-161]</p> |

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|--------------|-------------|--|--|
| | 44.8 | PRIVACY ACT SYSTEM OF RECORDS NOTICES (SORNs) Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(3)(4) and 5 U.S.C. 552a(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 1/44.8/B). | DESTROY 2 YEARS AFTER SUPERSESSON BY A REVISED SORN OR AFTER SYSTEM CEASES OPERATION. [GRS 4.2-150] |
| 1382 | 45 | ACCOUNTING AND CONTROL FILES Accounting for and control of access to classified, controlled unclassified, and unclassified records and records regarding FOIA, PA, and MDR. Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes: <ul style="list-style-type: none"> • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records • forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routing, and comparable data • agent and research files | DESTROY 5 YEARS AFTER DATE OF LAST ENTRY, FINAL ACTION BY AGENCY (SUCH AS DOWNGRADING, TRANSFER OR DESTRUCTION OF RELATED CLASSIFIED DOCUMENTS, OR RELEASE OF INFORMATION FROM CONTROLLED UNCLASSIFIED STATUS) OR FINAL ADJUDICATION BY COURTS, AS MAY APPLY, WHICHEVER IS LATER. [GRS 4.2-050] |
| 1382 | 46 | PRIVACY ACT REPORTS FILES Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. A. NASA ANNUAL REPORTS TO CONGRESS MAINTAINED AT AGENCY LEVEL OFFICE AT HEADQUARTERS B. ALL OTHER REPORTS/COPIES | ITEM DISCONTINUED, RECORDS COVERED BY ITEM 1/50. |
| 1382 | 47 | PRIVACY ACT GENERAL ADMINISTRATIVE FILES Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. | DESTROY WHEN 2 YEARS OLD. [GRS 14-26] |
| 1382 | 48 | PRESS SERVICE FILES Press service teletype news and similar materials. | DESTROY WHEN 3 MONTHS OLD. [GRS 14-3] |

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|--------------|-------------|---|--|
| | 49 | <p>FREEDOM OF INFORMATION ACT (FOIA) REQUESTS FILES</p> <p>Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.</p> <p>A. <u>CORRESPONDENCE AND SUPPORTING RECORDS</u> (EXCLUDING the official file copy of the copy of the records requested if filed herein).</p> <ol style="list-style-type: none"> 1. Granting access to all the requested records. 2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. <ol style="list-style-type: none"> (a) Requests NOT appealed. (b) Requests appealed. 3. Denying access to all or part of the records requested. <ol style="list-style-type: none"> (a) Requests NOT appealed. (b) Requests appealed. <p>B. <u>OFFICIAL FILE COPY OF REQUESTED RECORDS</u></p> | <p>ITEM DISCONTINUED IN ITS ENTIRETY. RECORDS COVERED BY ITEM 1/42.</p> <p>DESTROY 2 YEARS AFTER DATE OF REPLY. [GRS 14-11a(1)]</p> <p>DESTROY 2 YEARS AFTER DATE OF REPLY. [GRS 14-11a(2)(a)]</p> <p>DESTROY 6 YEARS AFTER FINAL DETERMINATION BY AGENCY OR 6 YEARS AFTER THE TIME AT WHICH A REQUESTER COULD FILE SUIT OR 3 YEARS AFTER FINAL ADJUDICATION BY THE COURTS, WHICHEVER IS LATER. [GRS 14-11a(2)(b)]</p> <p>DESTROY 6 YEARS AFTER DATE OF REPLY. [GRS 14-11a(3)(a)]</p> <p>DESTROY 6 YEARS AFTER FINAL DETERMINATION BY AGENCY OR 6 YEARS AFTER THE TIME AT WHICH A REQUESTER COULD FILE SUIT OR 3 YEARS AFTER FINAL ADJUDICATION BY THE COURTS, WHICHEVER IS LATER. [GRS 14-11a(3)(b)]</p> <p>DISPOSE OF IN ACCORDANCE WITH PROPER SCHEDULE ITEM OR WITH THE RELATED FOIA REQUEST, WHICHEVER IS LATER. [GRS 14-11b]</p> |

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|--------------|-------------|---|--|
| 1382 | 50 | AGENCY REPORTS Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs. Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent. | DESTROY 2 YEARS AFTER DATE OF REPORT. [GRS 4.2-070] |
| 1382 | 51 | FOIA ADMINISTRATIVE FILES Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. | DESTROY WHEN 2 YEARS OLD. [GRS 14-15] |
| 1382 | 52 | FOIA APPEALS FILES A. <u>CORRESPONDENCE AND SUPPORTING RECORDS</u> B. <u>OFFICIAL FILE COPY OF RECORDS UNDER APPEAL</u> | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 1/42. ITEM RESCINDED BY GRS TRANSMITTAL 24. |
| 1382 | 53 | FOIA CONTROL FILES A. <u>REGISTERS OR LISTINGS</u> B. <u>ALL OTHER FILES/COPIES</u> | ITEM DISCONTINUED IN ITS ENTIRETY, RECORDS COVERED BY ITEM 1/45. |
| 1382 | 54 | NEWS RELEASES One copy of each prepared statement or announcement issued for distribution to the news media. Published or processed documents, such as "Press Kits," "Fact Sheets," "Current News," and all other materials used mainly for news media. News releases that announce events such as adoption of new programs, terminations of old programs, major shifts in policy, and changes in senior agency personnel and may be a textual record such as a formal press release or non-textual, such as films, video, or sound recordings (typically cleared through HQ). A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u> Office of Communications record copy maintained by issuing office. | * PERMANENT * RETIRE TEXTUAL RECORDS TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1> (N 19-1) AUDIO VISUAL RECORDS ARE TO BE TRANSFERRED TO THE NATIONAL ARCHIVES IN |

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|-------|------|---|---|
| | 54 | <p>B. <u>STENNIS SPACE CENTER ONLY</u></p> <p>C. <u>ALL OTHER COPIES</u></p> | <p>ACCORDANCE WITH MEDIUM OF CREATION. RETIRE IN 5 YEAR BLOCKS WHEN 5 YEARS OLD. <DA: N1-255-94-1> (N 19-1)</p> <p>ITEM RESCINDED.</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1382 | 55 | <p>GENERAL INFORMATION REQUEST FILES</p> <p>Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.</p> | <p>TEMPORARY. DESTROY WHEN 90 DAYS OLD.[GRS 4.2-010] (N 19-21)</p> |
| 1382 | 56 | <p>INFORMATION SERVICE REPORTS</p> <p>Routine requests for exhibits, speakers, tours, and personal appearances by NASA officials and astronauts.</p> | <p>DESTROY WHEN 5 YEARS OLD, OR WHEN NO LONGER NEEDED FOR REFERENCE WHICHEVER IS FIRST. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1382 | 57 | <p>NASA RADIO PRESENTATIONS</p> <p>Office of Primary Responsibility: HQ (Office of Public Affairs / Code PMD)</p> <p>A. <u>1992 AND EARLIER</u></p> <p>One copy of each radio program as created by NASA and provided to the general public and radio stations. Formats can consist of, but are not limited to: NASA Radio Special Reports; Audio News Features; and Space Notes. (Mediums of transfer consist of: Reel-to-reel; cassettes; transcripts; etc.)</p> <p>B. <u>1993 AND CONTINUING</u></p> <p>1. NASA Space Stories.</p> <p>These are stories of interest about NASA programs/projects. Stories are created as weekly radio shows and are distributed every 4 weeks. Masters consist of 4 stories approximately 4 1/2 minutes in length and 4 items entitled "Frontiers" each is a 90 second version of the Space Story. English" and "Spanish" versions of each program, including a written translation, if one exists.</p> | <p>* PERMANENT * RETIRE TO FRC 1 YEAR AFTER RELEASE OR DELIVERY. TRANSFER TO THE NATIONAL ARCHIVES WHEN 5 YEARS OLD. <DA: N1-255-94-1> (N 19-3)</p> <p>* PERMANENT * TRANSFER 1 PRODUCTION MASTER (1/4" OPEN REEL-TO-REEL TAPE) AND 1 DUBBED CASSETTE COPY TO THE NATIONAL ARCHIVES ANNUALLY, ALONG WITH 1 HARD COPY OF THE LABEL INFORMATION FOR EACH CASSETTE. <DA: N1-255-94-1> (N 19-3)</p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES | RETENTION <Authority> |
|-------|------|---|--|
| | 57 | <p>NOTE: Spanish versions of the NASA Radio programs consist of the NASA Space Stories produced approximately every 1-2 weeks every 4 weeks with one 4 1/2 minute and one 90 second story which duplicate/copy an English story.</p> <p>2. NASA Special Reports.</p> <p>3. NASA Space Notes. Radio programs created by NASA and provided to the general public and radio stations.</p> <p>C. <u>NASA OFFICIAL INTERVIEWS</u></p> <p>1. Raw and Routine interviews. These are interviews done for research and background information for production of NASA Space Stories and Frontiers. (These interviews have been produced on DAT Tapes, cassettes, and 1/4" reel-to-reel tapes.)</p> <p>2. Special Interest Interviews. These are unique interviews with NASA officials concerning current items, issues, or research programs/projects of interest or of special significance to NASA.</p> <p>D. <u>SOUND EFFECTS</u> These consist of noises used in the production of NASA's radio programs, i.e., telemetry sounds; rocket blast-offs; shuttle launches; etc.</p> | <p>* PERMANENT * SEE ABOVE DISPOSITION B.1. <DA: N1-255-94-1></p> <p>* PERMANENT * SEE ABOVE DISPOSITION B.1. <DA: N1-255-94-1></p> <p>DESTROY WHEN 2 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * TRANSFER 1 PRODUCTION MASTER AND 1 DUBBED CASSETTE COPY TO THE NATIONAL ARCHIVES ANNUALLY ALONG WITH 1 HARD COPY OF ANY LABEL OR BACKGROUND INFORMATION CREATED. <DA: N1-255-94-1></p> <p>DESTROY WHEN NO LONGER IN ACTIVE AGENCY USE. [GRS 21-24]</p> |
| 1382 | 58 | <p>PAO CLIPPING FILES (SSC ONLY)</p> <p>Files of articles appearing in technical, trade, commercial publications or magazines on NASA and/or the space program in general. Files may include information collected, which pertains to specific programs being conducted at Stennis or any other center with regard to space and aeronautics research.</p> | ITEM RESCINDED. |
| 1383 | | Audio Visual News Material | (see below) |

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES | RETENTION <Authority> |
|--------------|-------------|--|---|
| 1383 | 59 | <p>POSTERS - EDUCATIONAL</p> <p>Wall Sheets, posters, awareness and educational materials, relating to the programs and mission of the Agency done at NASA's request. (This series does not include contractor generated and produced material over which NASA has no control; or incidental posters such as blood drives, Combined Federal Campaign, Thrift Savings Program, etc.)</p> <p>A. Official record copy</p> <p>B. All other copies</p> | <p>*PERMANENT* TRANSFER 2 COPIES ANNUALLY DIRECTLY TO THE NATIONAL ARCHIVES. <DA: N1-255-94-1></p> <p>DESTROY WHEN NO LONGER NEEDED.</p> |
| 1383 | 60 | <p>POCKET STATISTICS</p> <p>Contains in summary format agency data on activities, events, personnel, financial data, employment statistics, and other data used in the operation and functioning of the Agency.</p> | <p>* PERMANENT * TRANSFER 2 COPIES ANNUALLY OR IN-YEAR-OF CREATION IF NOT PUBLISHED ON AN ANNUAL BASIS, DIRECTLY TO THE NATIONAL ARCHIVES. <DA: N1-255-94-1></p> |
| 1384 | | Public Appearances | (see below) |
| 1384 | 61 | <p>EVENTS CALENDAR FILES</p> <p>A. Calendars showing when and where special events concerning NASA take place, such as speeches, exhibits, tours, conferences, and other major events.</p> <p>Exclusion: Calendars of internal events (e.g. Combined Federal Campaign, Safety & Health, cultural diversity celebrations, etc.) are scheduled under NRRS 1/78E.</p> <p>B. All other offices/copies.</p> | <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL. PERMANENT. TRANSFER TO THE ARCHIVES IN ONE-YEAR BLOCKS AFTER THE END OF THE PREVIOUS CALENDAR YEAR. (Pending NARA approval) (N 19-4)</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1385 | | Speeches and Speakers | (see below) |
| 1385 | 62 | <p>SPEECH FILES</p> <p>Official speeches by NASA personnel. Speeches, addresses, comments, and remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of state and local governments, or private groups.</p> | |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <Authority> |
|--------------|-------------|---|---|
| | 62 | A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u> B. <u>ALL OTHER OFFICES/COPIES</u> | * PERMANENT * RETIRE TO FRC 1 YEAR AFTER RELEASE. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1> (N 19-2) DESTROY WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1385 | 63 | SCRIPT FILES Official film, radio, and television scripts. A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u> B. <u>ALL OTHER OFFICES/COPIES</u> | * PERMANENT * RETIRE TO FRC 1 YEAR AFTER RELEASE OR DELIVERY. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 10 YEARS OLD. <DA: N1-255-94-1> (N 19-3) DESTROY WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-3) |
| 1387 | | Exhibits | (see below) |
| 1387 | 64 | PUBLICATIONS A. <u>ONE COPY OF EACH OFFICIAL NASA PUBLICATION</u> B. <u>PRE-PUBLICATION MATERIAL</u> (General publication files, i.e. STI, R&D, publications held at CASI - See Schedule 2, AFS 2220) | * PERMANENT * TRANSFER 1 COPY ANNUALLY OF ALL PUBLICATIONS CREATED TO THE NATIONAL ARCHIVES. <DA: N1-255-94-1> (N 19-10) RETIRE TO FRC WHEN 1 YEAR OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 19-10) |
| 1387 | 65 | EXHIBITS A. <u>SMALL ROUTINE EXHIBITS</u> Files consist of case records and related documentation/materials, pictures of set-up/design, and specification sheets. | DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> |

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|--------------|-------------|---|--|
| | 65 | <p>B. <u>LARGE MAJOR EXHIBITS</u></p> <p>Files include visitor centers and major off-site exhibits including pictures of set-up/design, specifications sheets and related papers.</p> <p>C. <u>SPECIAL EXHIBITS</u></p> <p>Files consist of case files on special project/exhibits, unique programs, including photographs of the project/exhibit. Examples of such exhibits are, but not limited to:</p> <ul style="list-style-type: none"> • World Fairs • Air Show(s) • Exhibits for the Blind | <p>* PERMANENT * RETAIN EXHIBIT MATERIAL/ DOCUMENTATION ON-SITE FOR 2 YEARS AFTER EXHIBIT IS CLOSED OR REMOVED, THEN TRANSFER TO THE NATIONAL ARCHIVES.</p> <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES 5 YEARS AFTER COMPLETION OF PROJECT/ EXHIBIT OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1></p> |
| 1387 | 66 | FILM FILES (JSC ONLY) | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 2/22.B 1 |
| 1392 | | Educational Programs | (see below) |
| 1392 | 67 | <p>PRE-PUBLICATION MATERIAL - EDUCATIONAL</p> <p>Files consist basically of separations, photographs, camera-ready artwork used primarily to produce final educational publications.</p> | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. EARLIER DESTRUCTION IS AUTHORIZED IF MATERIAL IS NO LONGER NEEDED OR USEFUL. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1392 | 68 | <p>EDUCATION PROGRAM</p> <p>This schedule item and sub-items cover records in all media and formats, including those maintained on NASA owned and operated Web sites.</p> <p>Note: For inputs into, outputs from, and documentation of, Quality Management e-systems, see Schedule 2, the following items as appropriate: 15.A and 15.B (inputs), 15.D, 15.E and 15.F (outputs), and 14.D.3 (documentation).</p> <p>A. General records (in any format) of program administration not linked to specific projects or education packages.</p> <p>B. Records and documentation (in any format) related to the operation and functions of specific NASA Education programs, projects, and activities/opportunities.</p> <p>1. Project management records documenting basic information about projects and/or opportunities, including basic project descriptions, funding amounts and sources, project managers, and NASA Centers.</p> | <p>DESTROY OR DELETE WHEN 5 YEARS OLD. <DA: N1-255-10-3></p> <p>DESTROY OR DELETE WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LONGER. <DA: N1-255-10-3></p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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|--------------|-------------|---|---|
| | 68 | <p>2. Administrative records including but not limited to funding management, calendars, schedules, correspondence, announcements, course descriptions, objectives, registration, and rosters.</p> <p>3. Curriculum materials for use by instructors or students, including but not limited to record copy of manuals, syllabuses, textbooks, and on-line packages.</p> <p>C. Records of participants (in any format), maintained either as individual files identified by individual name or number, or in aggregated files of multiple participants identified by name or number, including but not limited to application forms, personal information supplied by the individuals, transcripts, proposals, and letters of recommendations.</p> <p><i>Records that contain "Personally Identifiable Information" must be managed per guidance of NASA and Federal privacy policies.</i></p> <p>D. Survey responses and other feedback (in any format) from project participants and the general public concerning NASA educational programs, including interest area preferences, participant feedback, and reports of experiences in projects.</p> <p><i>If Records contain "Personally Identifiable Information," they must be managed per guidance of NASA and Federal privacy policies.</i></p> <p>E. All non-record copies, in any format, of records in items A-D</p> | <p>DESTROY OR DELETE WHEN 5 YEARS OLD. <DA: N1-255-10-3></p> <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES 7 YEARS AFTER SUPERSEDED OR OBSOLETE. <N1-255-10-3></p> <p>DESTROY OR DELETE 5 YEARS AFTER LAST ACTIVITY WITH THE FILE. <DA: N1-255-10-3></p> <p>DESTROY OR DELETE WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LONGER. <DA: N1-255-10-3></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-10-3></p> |
| 1392 | 69 | EDUCATIONAL PUBLICATIONS | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/59A. |
| 1392 | 70 | TEACHER WORKSHOP FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/68b.2 |
| 1394 | | Educational Services | (see below) |
| 1394 | 71 | <p>MOTION PICTURE FILMS</p> <p>NOTE: The following dispositions are for FILM ONLY. VIDEO productions are in SCHEDULE 2 and SCHEDULE 8 of this handbook.</p> <p><u>FILM FOOTAGE THAT MAY BE DISPOSED OF:</u></p> <ul style="list-style-type: none"> - Extra copies (master positives; duplicate negatives or prints) of original materials, which have been forwarded to the National Archives or the appropriate FRC. - Original film footage, which is unusable because of inferior quality. | |

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|--------------|-------------|---|---|
| | 71 | <p>-Copies of motion pictures which were made by other agencies and which are no longer useful or do not pertain to NASA activities.</p> <p>A. <u>GENERAL</u></p> <ol style="list-style-type: none"> 1. Films acquired from outside sources for personnel and management training. 2. Films acquired from outside sources for personnel entertainment and recreation. 3. Routine surveillance footage. 4. Routine scientific, medical, or engineering footage. 5. Duplicate prints and pre-print elements not required for preservation. <p>B. <u>R&D PROJECTS:</u></p> <p>Film produced by centers or contractors for research and development projects/programs which require photographic (film) support.</p> <ol style="list-style-type: none"> 1. Complete film reports. (Finished Productions Only) 2. Engineering film - which has documentary (historical) value as well as technical value. 3. Other engineering film footage necessary for development and performance testing, which has been documented in project reports. <p>C. <u>SOUND TRACKS</u></p> <ol style="list-style-type: none"> 1. Sound tracks created with agency sponsored films or R&D projects. (See Also B. and D. of this item.) 2. Sound tracks that are pre-mix sound elements created during the course of a motion picture, television, or radio production. 3. Library sound recordings (e.g., effects, music). | <p>DESTROY 1 YEAR AFTER COMPLETION OF TRAINING PROGRAM. [GRS 21-9]</p> <p>DESTROY WHEN NO LONGER NEEDED. [GRS 21-10 (88)]</p> <p>DESTROY WHEN 6 MONTHS OLD. [GRS 21-11]</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 21-12]</p> <p>DESTROY WHEN NO LONGER NEEDED. [GRS 21-13 (88)]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/101.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/101.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/103 OR 8/107.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/101.</p> <p>DESTROY IMMEDIATELY AFTER USE. [GRS 21-24]</p> <p>DESTROY WHEN NO LONGER NEEDED. [GRS 21-25 (88)]</p> |

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|--------------|-------------|--|---|
| | 71 | <p>D. <u>AGENCY SPONSORED FILMS - OTHER</u></p> <p>1. Films used for the visual presentation of information to the public.</p> <p>(a) Office of Primary Responsibility:</p> <p>Examples of such films are, but not limited to:</p> <p>Television news releases and information reports, i.e., "NASA Highlights" - Press conf. mission reports "Resource Tape" - Rough cut edit with sound track "Post Launch Briefing Clip"</p> <p>(b) All other offices/copies.</p> <p>(c) Original film used to create the "Highlights" and "Resource Tape".</p> <p>2. Films (internal) such as training films that explain agency functions or activities intended for internal or external distribution.</p> <p>3. Films of sponsored television news releases, public service (or "spot") announcements and information reports other than those identified in B., D.1. and D.2. above.</p> | <p>* PERMANENT * RETAIN FILM ON-SITE FOR 5 YEARS. TRANSFER TO THE NATIONAL ARCHIVES (COLLEGE PARK, MD) WHEN 5 YEARS OLD. MATERIAL TO BE INCLUDED: ORIGINAL NEGATIVE OR COLOR ORIGINAL PLUS SOUND TRACK; AND INTERMEDIATE MASTER POSITIVE OR DUPLICATE NEGATIVE PLUS SOUND TRACK; AND SOUND PROJECTION PRINT, ALONG WITH COMPLETE IDENTIFYING INFORMATION. COORDINATE WITH NASA HQ BEFORE SHIPMENT. <DA: N1-255-94-1></p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE PURPOSES. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>TRANSFER TO FRC WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * RETAIN ON-SITE FOR 5 YEARS. TRANSFER TO THE NATIONAL ARCHIVES (COLLEGE PARK, MD) WHEN 5 YEARS OLD. MATERIALS INCLUDED: ORIGINAL NEGATIVE OR COLOR ORIGINAL PLUS SOUND TRACK, AND ONE PROJECTION PRINT. COORDINATE WITH NASA HQ BEFORE SHIPMENT. <DA: N1-255-94-1></p> <p>* PERMANENT * RETAIN ON-SITE FOR 5 YEARS. TRANSFER TO THE NATIONAL ARCHIVES (COLLEGE PARK, MD) WHEN 5 YEARS OLD. <DA: N1-255-94-1></p> |

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|--------------|-------------|---|--|
| | 71 | 4. Library copies of films. | DESTROY WHEN FILM BECOMES INACTIVE OR DAMAGED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1410 | | Directives Management Programs | (see below) |
| 1410 | 72 | <p>FORMAL DIRECTIVES, POLICIES, PROCEDURAL REQUIREMENTS, INSTRUCTIONS, AND OPERATING MANUALS</p> <p>Formal directives distributed as policy directives/statements/instructions, procedural requirements and manuals announcing major changes in the Agency's policies and procedures. Normally these are issued by authority of the head of the agency.</p> <p>A. <u>HEADQUARTERS - AGENCY LEVEL</u> OPR: Management Operations Division, NASA Headquarters</p> <p>Issuances related to agency program functions. Management issuance office Responsible for maintaining all records and background material pertaining to each published instruction, handbook, policy directive, etc. Included in this series is the case files related to the issuance which document aspects of the development of the issuance, including significant backup, comments; original signature pages; etc.</p> <p>B. <u>CENTERS</u></p> <p>1. FORMAL ISSUANCES – SEE ABOVE DESCRIPTION</p> <p>2. ROUTINE ISSUANCES Issuances related to routine administration functions (i.e., payroll, procurement, personnel, etc.)</p> <p>Case files related to the above documents.</p> <p>C. <u>OFFICES PROMULGATING POLICIES, PROCEDURES, INSTRUCTIONS, ETC. TO BE PUBLISHED</u></p> | <p>* PERMANENT * RETIRE TO FRC 1 YEAR AFTER BECOMING OBSOLETE OR SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1> (N 1-2)</p> <p>* PERMANENT * RETIRE TO FRC 5 YEARS AFTER CANCELLATION OR WHEN SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES REGIONAL ARCHIVE IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1></p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 16-1a]</p> <p>DESTROY WHEN ISSUANCE IS DESTROYED. [GRS 16-1b]</p> <p>TRANSFER BACKGROUND AND RELATED MATERIAL TO AGENCY LEVEL ISSUANCE OFFICE (ITEM A.) <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <Authority> |
|--------------|-------------|---|---|
| | 72 | D. <u>COPIES OF THIS MATERIAL RETAINED IN PROMULGATING OFFICE</u> E. <u>ALL OTHER OFFICES/COPIES, INCLUDING ELECTRONIC VERSIONS</u> | DESTROY COPIES OF RECORD MATERIAL WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1412 | | Office of the Federal Register | |
| 1412 | 72.5 | DOCUMENTS PUBLISHED IN THE FEDERAL REGISTER NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by this item. They must be scheduled individually so that THE NATIONAL ARCHIVES can conduct an analysis and appraisal to determine their appropriate disposition. A. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations. B. Files documenting the processing of semiannual regulatory agenda. | DESTROY WHEN 1 YEAR OLD. [GRS 16-13a] DESTROY WHEN 2 YEARS OLD. [GRS 16-13b] |
| 1415 | | Reports Management | (see below) |
| 1415 | 73 | REPORTS CONTROL FILES Case files and document records used to control and maintain assignment of reports control symbols, including reports on studies, decisions, registers, ledgers, and correspondence. Files are maintained for each Agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and document records relating to the evaluation, continuation, revision, and discontinuance of reporting requirements. | DESTROY 2 YEARS AFTER THE REPORT IS DISCONTINUED. [GRS 16-6] (N 1-30) |
| 1420 | | Forms Management | (see below) |
| 1420 | 74 | FORMS MANAGEMENT FILES A. The master file copy of each form designed at each Center, including the NASA series maintained at NASA Headquarters, showing inception, scope, and purpose of the form, including facsimile copies and revisions thereof. Included in this series are any documents used to record and control the assignment of form numbers, consisting of sequential entries; including a copy of published listings or indexes. | DESTROY 3 YEARS AFTER FORM IS DISCONTINUED, SUPERSEDED, OR CANCELLED. [GRS 4.1-040] (N 1-27) |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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|--------------|-------------|---|--|
| | 74 | B. Functional files, background materials, specifications, requisitions, processing data, control records, and materials used to determine if a new form should be developed or whether existing forms should be replaced or consolidated. | DESTROY 3 YEARS AFTER RELATED FORM IS DISCONTINUED, SUPERSEDED, OR CANCELLED. [GRS 4.1-040] |
| 1440 | | Records Management | (see below) |
| 1440 | 75 | <p>RECORDS MANAGEMENT PROGRAM FILES</p> <p>NOTE: These records cannot be retired to an FRC.</p> <p>Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management.</p> <p>A. Records Dispositions</p> <p>Descriptive inventories, disposal authorizations, schedules and reports.</p> <p>1. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States; and, related documentation.</p> <p>(a) Agency Records Officer.</p> <p>(b) Center Records Managers (OPR).</p> <p>(c) All other offices/copies.</p> <p>2. Routine correspondence, memoranda, and extra copies of documentation concerning records dispositions and associated activities.</p> | <p>RETAIN ON-SITE INDEFINITELY UNTIL NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. DESTROY AFTER NEXT COMPLETE REVISION OF SCHEDULES HAS BEEN PUBLISHED OR WHEN 50 YEARS OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-25)</p> <p>RETAIN ON-SITE AND DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 75 YEARS OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/75/C.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/75/C.</p> |

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|--------------|-------------|--|---|
| | 75 | <p>B. Records Holdings Files</p> <p>Statistical reports of agency holdings, cleanup campaigns, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer to the National Archives.</p> <ol style="list-style-type: none"> 1. Records held by offices that prepare reports on Agency wide records holdings. 2. Records held by other offices. <p>C. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and file management; the use of microforms, ADP systems, and word processing; records management surveys; and all other aspects of records management not covered elsewhere in this schedule.</p> <p>D. Local instructions on records management, including surveys, inventories, studies, feeder reports, and general correspondence.</p> <p>E. Office record locator files, indexes, or listings that are used to locate records in current files, or files that have been transferred to staging areas or retired to FRC; including file plans and office copies of shipping lists.</p> <p>F. NASA Form 1418, Proposed Change to NASA Records Control Schedules.</p> <ol style="list-style-type: none"> 1. Agency Records Officer. <ol style="list-style-type: none"> (a) Approved NF 1418. (b) Disapproved NF 1418. 2. Center Records Managers. 3. All other offices/copies. | <p>ITEM RESCINDED PER GRS TRANSMITTAL 24.</p> <p>DESTROY WHEN 6 YEARS OLD. [GRS 4.1-020]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/75/C.</p> <p>DESTROY FILE PLANS/INDEXES WHEN SUPERSEDED. DESTROY LISTS (SHIPPING/TRANSFER) WHEN RECORDS THEREON HAVE BEEN DESTROYED, OR WHEN THE LIST IS NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/75.A.1.</p> |
| | 75.5 | <p>VITAL OR ESSENTIAL RECORDS PROGRAM RECORDS</p> <p>A. Records involved in planning, operating, and managing the agency's vital or essential records program.</p> <p>Includes:</p> | <p>TEMPORARY. DESTROY 3 YEARS AFTER PROJECT, ACTIVITY, OR TRANSACTION IS COMPLETED OR SUPERSEDED.</p> |

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|--------------|-------------|--|--|
| | 75.5 | <ul style="list-style-type: none"> • vital records inventories • vital records cycling plans • results of test, surveys, or evaluations • report of corrective action taken in response to agency vital records test <p>B. Copies of agency records deemed essential to restore agency functions in case of emergency.</p> | <p>[GRS 4.1-030]</p> <p>TEMPORARY. DESTROY WHEN SUPERSEDED BY THE NEXT CYCLE. [GRS 4.1-031]</p> |
| 1440 | 76 | <p>MICROFORM INSPECTION RECORDS</p> <p>A. Logs documenting the inspection of <u>permanent</u> microform records, as required by 36 CFR 1238, including description of the records tested, record category date, elements of inspection, results, and if defects are found, corrective action taken.</p> <p>NOTE: (1) These items do not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives of the United States. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.</p> <p>B. Logs and other records documenting the inspection of <u>temporary</u> microform records, as recommended by 36 CFR 1230.</p> <p>C. Reports made to the National Archives and Records Administration on the results of microform inspection, as required by 36 CFR 1230, and related correspondence.</p> | <p>DESTROY NO SOONER THAN 6 YEARS. [GRS 4.1-020]</p> <p>DESTROY WHEN 2 YEARS OLD OR WHEN SUPERSEDED, WHICHEVER IS LATER. [GRS 16-10 (b)]</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 16-10(b)]</p> |
| 1441 | 76.5 | <p>Records Disposition</p> <p>Note: Records Disposition—see Item 75A.</p> | |
| 1442 | | Files Maintenance | (see below) |
| 1442 | 77 | <p>FINDING AIDS</p> <p>A. Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or an approved item in this schedule.</p> <p>NOTE: EXCLUDED from this series are records containing abstracts or other information that can be used as an information source APART from the related records. An SF-115 MUST BE SUBMITTED by the Agency Records Officer PRIOR TO DISPOSAL of these records--Contact the local Center Records Manager for guidance on this process.</p> | <p>DESTROY OR DELETE WITH THE RELATED RECORDS. [GRS 23-9]</p> |

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|--------------|-------------|--|---|
| | 77 | <p>B. Finding aids for series of records that HAVE BEEN accessioned by the National Archives and Records Administration and those relating to major program case files not previously authorized for disposal.</p> <p>C. All other finding aids/copies.</p> | <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WITH RELATED RECORDS. <DA: N1-255-94-1></p> <p>FOLLOW DISPOSITION INSTRUCTIONS FOR THE RECORDS TO WHICH THEY RELATE, OR DESTROY WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1442 | 78 | <p>GENERAL OFFICE FILES</p> <p>A. <u>CHRON FILES - READING FILES</u></p> <p>Files that are extra copies, convenience copies, reference copies, which are filed and maintained in chronological order. These are duplicates and ARE NOT the official record copy (yellow).</p> <p>B. <u>SUSPENSE FILES</u></p> <p>Papers/records arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.</p> <ol style="list-style-type: none"> 1. A note or other reminder to take some action. 2. The file copy or an extra copy of an outgoing communication, filed by date on which a reply is expected. <p>C. <u>TRACKING AND CONTROL RECORDS</u></p> <p>Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or this schedule.</p> <p>D. <u>INFORMATION COPIES</u></p> <p>Copies of correspondence, reports, or other documents that are for reference use and are not made a part of an official subject or case file.</p> | <p>TRANSFER TO HISTORIAN'S OFFICE WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED FOR REFERENCE. HISTORIAN WILL DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-9f)</p> <p>DESTROY AFTER ACTION TAKEN. [GRS 23-6a] (N 1-9g)</p> <p>WITHDRAW DOCUMENTS WHEN REPLY IS RECEIVED. <u>NOTE:</u> IF SUSPENSE COPY IS AN EXTRA, DESTROY IMMEDIATELY; IF COPY IS THE FILE COPY, INCORPORATE IT INTO THE OFFICIAL FILES. [GRS 23-6b]</p> <p>DESTROY WHEN NO LONGER NEEDED. [GRS 4.1-010]</p> <p>DESTROY WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-9h)</p> |

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|--------------|-------------|---|---|
| | 78 | <p>E. <u>SCHEDULES OF DAILY ACTIVITIES</u></p> <p>Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, created and maintained in hard copy or electronic form, EXCLUDING materials determined to be personal.</p> <ol style="list-style-type: none"> 1. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials. (See Item 22, "Records of Management" of this Schedule.) 2. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. <p>F. <u>ADMINISTRATIVE RECORDS</u></p> <p>Records accumulated by individual offices through internal management or housekeeping activities of the office or in <i>general</i> management and oversight of the function for which the office exists.</p> <ol style="list-style-type: none"> 1. Housekeeping records for daily administration of the office. Records may relate to office staffing, procedures, and internal communications; day-to-day oversight of office personnel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include all types and methods of correspondence and communications (e.g., letters, memos, or any type of e-communications). 2. Administrative records generated in performance of the function for which the office exists. These records may include all types and methods of correspondence and communications (e.g., letters, memos, or any type of e-communications), meeting agendas and minutes, management reviews and surveys, reports, copies of internal activity documentation such as work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels. <p>NOTE: This schedule item concerns <i>general</i> records only, not those belonging in case files documenting <i>specific</i> projects, incidents or cases, transactions, etc. and that are covered by other schedules.</p> | <p>DESTROY OR DELETE WHEN 2 YEARS OLD. [GRS 23-5a]</p> <p>DESTROY OR DELETE WHEN NO LONGER NEEDED. [GRS 23-5b]</p> <p>CUT OFF AT END OF FISCAL OR CALENDAR YEAR. DESTROY/DELETE 2 YEARS AFTER CUTOFF. [GRS 23-1]</p> <p>CUT OFF AT END OF FISCAL OR CALENDAR YEAR. DESTROY/DELETE 5 YEARS AFTER CUTOFF. <DA: N1-255-11-2></p> |

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(AFS 1000-1999)

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|--------------|-------------|--|--|
| | 78 | <p>G. <u>TRANSITORY FILES</u></p> <p>Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Examples of transitory correspondence are shown below.</p> <ol style="list-style-type: none"> 1. Routine requests for information or publications and copies of replies that require no administrative action, no policy decision, and no special compilation or research for reply. 2. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material. 3. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records. 4. Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling or work-related trips and visits, and other scheduling related activities. 5. Suspense and tickler files or 'to-do' and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date. <p>H. WORD PROCESSING and ELECTRONIC MAIL FILES</p> <p>I. ADMINISTRATIVE OFFICE FILES</p> | <p>DESTROY WHEN 90 DAYS OLD. [GRS 4.2-010]</p> <p>ITEMS 2-5, DESTROY IMMEDIATELY, OR WHEN NO LONGER NEEDED FOR REFERENCE, OR UNDER A PREDETERMINED SCHEDULE OR BUSINESS RULE (E.G., IMPLEMENTING THE AUTO-DELETE FEATURE OF "LIVE" ELECTRONIC MAIL SYSTEMS). [GRS 23-7]</p> <p>ITEM DISCONTINUED.</p> <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 1/78F.1.</p> |
| 1470 | | Management Improvement | (see below) |
| 1470 | 79 | <p>MANAGEMENT IMPROVEMENT REPORTS</p> <p>Management improvement reports submitted to the Office of Management and Budget (i.e., A-76 Reports) and related analyses. This includes Government Performance and Results Act (GPRA) development and final records.</p> <p>A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u></p> | <p>(N 1-5)</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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|--------------|-------------|---|---|
| | 79 | B. <u>ALL OTHER OFFICES/COPIES</u> | DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1490 | | Printing Management | (see below) |
| 1490 | 80 | OFFICE COPYING EQUIPMENT FILES A. Procurement requests, NASA Form 51, justifications, approvals or disapprovals, located in offices (not the office procuring the equipment) whether purchase or rental equipment (except equipment in printing, duplicating, or reproduction facilities). B. Daily production reports/records. C. Production reports (other than daily), cost records (including repairs, maintenance, supplies, operating labor, depreciation) and studies. | DESTROY 2 YEARS AFTER ACQUISITION OF EQUIPMENT OR AFTER DISAPPROVAL. <DA: N1-255-94-1> <DA: N1-255-09-1> DESTROY 90 DAYS AFTER INCLUSION OF DATA IN MONTHLY (OR OTHER CONSOLIDATED) REPORT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 16-7) DESTROY WHEN 5 YEARS OLD. (IF RECORDS ARE KEPT SEPARATELY FOR EACH MACHINE, DESTROY WHEN MACHINE IS DISPOSED OF OR TRANSFER WITH MACHINE.) <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1490 | 81 | REQUISITIONS ON THE PUBLIC PRINTER Records relating to requisitions on the Printer (outside the agency) and all supporting papers. A. Printing procurement unit copy of requisitions, invoice, specifications, and related papers, e.g., SF 1, SF 1C, and GPO Forms 2511, GPO 1026A. B. Accounting copy of requisition, Government Printing Office Invoice, transfer of funds voucher, and receiving report. C. Administrative correspondence pertaining to the administration and operation of the unit responsible for printing, binding, and duplication, and distribution matters, and related papers. | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 16-1a) DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 16-1b) DESTROY WHEN 2 YEARS OLD. [GRS 13-1] (N 17-20) |
| 1490 | 82 | JOB OR PROJECT FILES - PRINTING Job or project records containing all papers and data pertaining to the planning and execution of duplication, and distribution of jobs (in-house): | |

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|--------------|-------------|---|--|
| | 82 | <p>A. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers, exclusive of:</p> <ul style="list-style-type: none"> - Requisitions on the Public Printer and related records; and, - Records relating to services obtained outside the Agency. <p>B. Files pertaining to planning and other technical matters concerning these services.</p> <p>C. NASA Headquarters Duplicating Center - in-house duplication only, records relating to the operation, execution, reproduction (i.e., Form 51 - HQ Printing and Reproduction Requisition/Request) and distribution.</p> | <p>DESTROY 1 YEAR AFTER COMPLETION OF JOB. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1490 | 83 | <p>CONTROL REGISTERS - PRINTING</p> <p>Control registers pertaining to requisitions and work orders.</p> | <p>DESTROY 1 YEAR AFTER CLOSE OF FISCAL YEAR IN WHICH COMPILED OR 1 YEAR AFTER FILLING OF REGISTER, WHICHEVER IS APPLICABLE. [GRS 13-3] (N 16-3)</p> |
| 1490 | 84 | <p>JOINT COMMITTEE ON PRINTING - REPORTS TO / AUTHORIZATIONS</p> <p>A. Agency reports to the Joint Committee on Printing regarding the operation of Class A and B plants and inventories of printing, binding, and related equipment in Class A and B plants or in storage.</p> <p>B. Copies of reports in subordinate reporting units and their related work papers.</p> <p>C. Correspondence and authorizations by the JCP and related papers concerning establishment, relocation, and disestablishment of printing plants.</p> <p>D. Records/reports concerning the acquisition, transfer, and disposal of equipment.</p> <p>E. All other miscellaneous documentation, e.g., inclusion of printing in contracts or grants.</p> | <p>DESTROY WHEN 3 YEARS OLD. [GRS 13-5a] (N 16-4)</p> <p>DESTROY 1 YEAR AFTER DATE OF REPORT. [GRS 13-5b] (N 16-4)</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 16-5)</p> <p>DESTROY 2 YEARS AFTER DISPOSAL OF THE EQUIPMENT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 16-5)</p> <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 16-5)</p> |
| 1500 | | Administrative Services | (see below) |

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SCHEDULE 1
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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|---|
| 1500 | 85 | LOCATOR RECORD FILES 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. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 17-25) |
| 1520 | | Graphics | (see below) |
| 1520 | 86 | GRAPHIC ARTS - VISUAL MEDIA Materials prepared for the purpose of assisting NASA officials in presentations, such as Congressional Hearings, program reviews, technical briefings, public lectures, publications, exhibits, and in-house activities. A. <u>ORIGINAL ART WORK - NASA ART PROGRAM</u> 1. Art work (non-record artifact) commissioned by NASA to depict/represent a particular event or concept of space and/or NASA missions. 2. NASA Portraits - High-level NASA officials (i.e., Administrator; Center Directors, Deputy Administrators, Deputy Center Directors) (Office of Record at NASA Headquarters). 3. STENNIS SPACE CENTER ONLY (Graphics Office) Artwork developed and used in hearings, presentations, reviews, conferences, briefings, and presentations of information to the general public such as speeches, news releases, educational briefs, and exhibits. (Official file copies are maintained by another office at Stennis Space Center.) B. <u>BOARD ART - COMPUTER GENERATED GRAPHICS</u> 1. Presentations to the Public Artwork used in Congressional Hearings; budget presentations; summary review conferences; technical briefings; and presentations to the public such as speeches, releases to news media, educational briefs, and exhibits. 2. NASA Internal Use Artwork used in fund drives, posters for employee-sponsored activities, illustrations used in administrative function activities, and other routine in-house activities, including routine handbills, flyers, posters, letterheads, and other graphics. | RETAIN INDEFINITELY WITHIN AGENCY CUSTODY AS PART OF THE NASA ART PROGRAM OPERATED BY CODE P AT NASA HQ. <DA: N1-255-94-1> PERMANENT * TRANSFER ONE 3x5 TRANSPARENCY AND PRINT TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-94-1> DESTROY WHEN NO LONGER NEEDED BY THE INSTALLATION OR WHEN REFERENCE VALUE CEASES. <DA: N1-255-94-1> <DA: N1-255-09-1> RETURN ORIGINAL BOARD ART TO THE REQUESTING OFFICE. DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 91a(1)) DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING. [GRS 21-6](N 9-1a(2)) |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|--|
| | 86 | <p>C. <u>VIEWGRAPHS/TRANSPARENCY</u></p> <ol style="list-style-type: none"> 1. Master photographic negatives - such as those used in the production of visual aids (slides, viewgraphs, and photographs) from original art. NASA HQ: OPR - CODE JOB-2 ONLY 2. Slides and viewgraphs/transparencies used by program, staff, and project offices for presentations. 3. All other offices/copies. 4. STENNIS SPACE CENTER ONLY Records consist of master photographic negative/transparency files, graphic arts, and line art, including any material maintained in electronic/magnetic format. Collection includes black & white half tones, color photos, negatives and paper line art. This collection may include duplicate files that exist in other offices of the same presentation. (Some work is generated by use of photo-typesetting equipment.) <p>D. <u>LINE ART / NEGATIVES / PLATES</u></p> <ol style="list-style-type: none"> 1. Line and halftone negatives, screened paper prints and offset lithographic plates used for photomechanical reproduction. 2. Line copies of graphs and charts. <p>E. <u>VISUAL AIDS REQUISITION/REGISTER FILES</u></p> <ol style="list-style-type: none"> 1. Requests and instructions for the preparation of the visual aids described under this Item 1/86B b., whether in hard copy or electronic. | <p>RETIRE ORIGINAL TO FRC WHEN NO LONGER NEEDED TO REPRODUCE ADDITIONAL VISUAL AIDS, WORKING COPIES, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 91b)</p> <p>DESTROY 1 YEAR AFTER USE. [GRS 21-5] (N 9-1c)</p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY OR DISPOSE OF RECORDS WHEN NO LONGER NEEDED BY THE AGENCY OR WHEN REFERENCE VALUE CEASES. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING. [GRS 21-7]</p> <p>DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING. [GRS 21-8]</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 9-2)</p> |

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|--------------|-------------|--|--|
| | 86 | <p>2. Registers showing receipt of requisition and control number assigned to it.</p> <p>NOTE: These records may be included in an automated "Action Tracking System."</p> <p>F. <u>FINDING AIDS FOR VISUAL MEDIA/GRAPHIC ARTS</u></p> <p>Finding aids for identification, retrieval, or use of temporary audiovisual, visual records. May include indexes, catalogs, shelf lists, logbooks, caption sheets, shot lists, etc., and may be in text, card, microform, or electronic</p> | <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 9-3)</p> <p>TEMPORARY. DESTROY WHEN NO LONGER NEEDED. [GRS 4.1-010]</p> |
| 1530 | | Postal Records | (see below) |
| 1530 | 87 | <p>POSTAL RECORDS</p> <p>A. Post office forms and supporting papers, exclusive of records held by the United States Postal Service.</p> <p>1. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts.</p> <p>2. Application for postal registration and certificates of declared value mail.</p> <p>3. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.</p> <p>B. Post irregularities files, such as correspondence, reports, and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.</p> <p>C. Postal statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).</p> <p>D. Production and statistical reports and data relating to the handling of mail and volume of work performed.</p> <p>E. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item a. of this schedule and those used as indexes to correspondence files.</p> <p>F. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the Agency by mail.</p> <p>G. Metered Mail Files (Annual official penalty mail, metered mail reports and all related papers).</p> | <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-5a] (N 10-17)</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-5b]</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-5c] (N 10-22)</p> <p>DESTROY 3 YEARS AFTER COMPLETION OF INVESTIGATION. [GRS 12-8]</p> <p>DESTROY WHEN 6 MONTHS OLD. [GRS 12-6b] (N 10-18)</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-6b] (N 10-19)</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-6a] (N 10-23)</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 12-6e] (N 10-20)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 6 YEARS OLD. [GRS 12-7] (N 10-24)</p> |

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|--------------|-------------|--|---|
| 1530 | 88 | MAILING OR DISTRIBUTION LISTS A. <u>CORRESPONDENCE, REQUEST FORMS, AND OTHER RECORDS RELATING TO CHANGES IN MAILING LISTS</u> B. <u>CARD LISTS</u> C. <u>PLATE OR STENCIL MAILING LISTS</u> D. <u>ALL OTHER LISTS KEPT BY OFFICES OTHER THAN THE OFFICIAL MAIL ROOM/OFFICE</u> | DESTROY AFTER APPROPRIATE REVISION OF LIST OR AFTER 3 MONTHS, WHICHEVER IS SOONER. [GRS 13-4a] (N 16-6) DESTROY INDIVIDUAL CARDS WHEN CANCELLED OR REVISED. [GRS 13-4b] DESTROY PLATES OR STENCILS WHEN CANCELLED OR REVISED. <DA: N1-255-94-1> <DA: N1-255-09-1> DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1540 | | Building and Grounds Management | (see below) |
| 1540 | 89 | AGENCY SPACE FILES Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration. A. Building plan files and related agency records utilized in space planning, assignment, and adjustment. B. Correspondence with and reports to staff agencies relating to agency space holdings and requirements. 1. Agency reports to the General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers. 2. Copies in subordinate reporting units and related work papers. C. General correspondence of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. | DESTROY 2 YEARS AFTER TERMINATION OF ASSIGNMENT, OR WHEN LEASE IS CANCELLED, OR WHEN PLANS ARE SUPERSEDED OR OBSOLETE. [GRS 11-2a] DESTROY WHEN 2 YEARS OLD. [GRS 11-2b(1)] DESTROY WHEN 1 YEAR OLD. [GRS 11-2b(2)] DESTROY WHEN 2 YEARS OLD. [GRS 11-1] |
| 1540 | 90 | BUILDING AND EQUIPMENT SERVICE FILES Requests for building and equipment maintenance services, excluding fiscal copies. | DESTROY 3 MONTHS AFTER WORK PERFORMED OR REQUISITION IS CANCELLED. [GRS 11-5] (N 8-1) |

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|--------------|-------------|---|--|
| 1550 | | General Office Services | (see below) |
| 1550 | 91 | DIRECTORY LISTINGS - BUILDING / TELEPHONE Correspondence, forms, and other records relating to the compilation of building and telephone directory service listings. | DESTROY 2 MONTHS AFTER ISSUANCE OF LISTING. [GRS 11-3] (N 1-32) |
| 1551 | | Internal Mail/Messenger Service | (see below) |
| 1551 | 92 | NASA INTERNAL MAIL AND MESSENGER SERVICE RECORDS Records of and receipts for mail and packages received through the official mail and messenger service. | DESTROY WHEN 6 MONTHS OLD. [GRS 12-6f] (N 10-21) |
| 1551 | 93 | MESSENGER SERVICE - MOTOR Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records. | DESTROY WHEN 2 MONTHS OLD. [GRS 12-1] (N 10-25) |
| 1570 | | Office Supplies | (see below) |
| 1570 | 94 | INVENTORY REQUISITION FILES - STOCK / SUPPLY Requisitions for supplies and equipment for/from current inventory. A. <u>STOCKROOM COPY</u> B. <u>COMPLETED REQUISITIONS FOR SERVICE, SUPPLIES, AND EQUIPMENT, AND TRAVEL DOCUMENTS</u> (Official file copies are maintained by the office rendering service.) C. <u>ALL OTHER OFFICES/COPIES</u> | DESTROY 2 YEARS AFTER COMPLETION OR CANCELLATION OF REQUISITION. [GRS 3-8a] (N 17-22) DESTROY 1 YEAR AFTER ACTION IS COMPLETED. <DA: N1-255-94-1> DESTROY WHEN 6 MONTHS OLD. [GRS 3-8b] |
| 1580 | | Telephone (Local) | (see below) |
| 1580 | 95 | TELEPHONE SERVICE RECORDS Requests from operating units for installation, alterations, relocation, or removal of telephone facilities, excluding fiscal copy. General files including plans, reports, and other records pertaining to equipment requests, telephone service and like matters. | DESTROY WHEN 3 YEARS OLD. [GRS 12-2(b)/(d)] (N 8-2, N 10-16) |
| 1600 | | Security | (see below) |

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|--------------|------------------------------|---|--|
| 1600 | 96 | <p>SECURITY PROGRAM FILES</p> <p>A. <u>SIGNIFICANT POLICY AND PROGRAM RECORDS</u></p> <p>Documents, manuals, directives, plans, reports and correspondence that document significant and/or unique security program functions, including NACA security program files.</p> <p>B. <u>OTHER POLICY AND PROGRAM FILES</u></p> <p>Records that reflect the administration and direction of security and protective services programs relating to routine classified information accounting and control, facilities security and program and protective services, personnel security clearances, and emergency planning.</p> <p>C. <u>CLEARANCE SUBJECT FILES - ADMINISTRATIVE</u></p> <p>Correspondence, reports, and other records relating to the routine administration and operations of the personnel security program, not covered by this item, or elsewhere in this schedule.</p> | <p>* PERMANENT *</p> <p>RETIRE TO FRC 5 YEARS AFTER SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-94-1> (N 12-30)</p> <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1600 | 97 PASR | <p>SECURITY RECORDS SYSTEM - NASA 10 SECR</p> <p>Records contained in this system/category consist of (1) Personnel Security Records, (2) Criminal Matter Records, and (3) Traffic Management Records.</p> <p>A. PERSONNEL SECURITY RECORDS</p> <p>B. CRIMINAL MATTER RECORDS</p> <p>C. EMERGENCY DATA RECORDS</p> <p>D. TRAFFIC MANAGEMENT RECORDS</p> | <p>SEE SPECIFIC RECORD SERIES FOR AUTHORIZED DISPOSITION.</p> <p>SEE NRRS 1/103 AND 1/114.</p> <p>SEE NRRS 21//97 5A & B.</p> <p>SEE NRRS 1/100B1.</p> <p>SEE NRRS 1/97.5C.</p> |
| 1600 | 97.5 | <p>PROTECTIVE SERVICE CRIMINAL MATTER RECORDS</p> <p>Records in any format and media resulting from criminal investigations related to crimes against NASA personnel or property, or related to any criminal investigative activity, Law Enforcement actions, or Law Enforcement documented incidents that occur on NASA property. Excludes investigation records of the Inspector General which are covered under Schedule 9.</p> | |

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|--------------|-------------|--|---|
| | 97.5 | <p>A. CRITICAL INCIDENT CASE FILES</p> <p>Case files for criminal investigation of critical incidents, offenses, and citation reports. Includes death from suicide, natural causes, and traffic fatalities; sex-related crimes involving violence or force (actual or implied), threats, or weapons; arson; bombing; kidnapping; attempted arson, bombing, kidnapping, homicide and suicide; any crime or incident resulting in grievous bodily harm to any person; and cases identified for extended retention by the NASA Protective Services Office. Grievous bodily harm is defined as the loss of a limb, permanent loss of any senses (sight, hearing, etc.), any fractured bones, or permanent damage to any body organ.</p> <p>B. SERIOUS INCIDENT CASE FILES</p> <p>Case files for criminal investigation of incidents not meeting the criteria for Item A but which involve violence (or the threat of violence) resulting in serious bodily harm, or theft of government, contractor, or personal property. Serious bodily harm is defined as any injuries not meeting the criteria for grievous bodily harm, but requires medical transport, and can involve injury not requiring hospitalization. Also includes burglary, workplace violence, alcohol/drug related offenses, weapons violations, non-fatal traffic accidents, and suspicious incidents.</p> <p>C. ROUTINE CASE FILES</p> <p>Case files for routine incidents, offenses, or citation reports involving routine traffic citations, assistance to outside agencies, executive protective services, trespass warnings, and other non-injury related reports.</p> <p>D. BACKGROUND AND OUTPUT MATERIAL</p> <ol style="list-style-type: none"> 1. Feeder or background document records: working copies, summary sheets, copies of information, input forms, and other materials used as source data for the records in items above. 2. Excerpts from or copies of records above; reports, summaries or statistical analyses produced from records above and used for convenience, reference or distribution. | <p>CUT OFF FILE AFTER CASE CLOSES. DESTROY 45 YEARS AFTER CUTOFF. <DA: N1-255-07-2></p> <p>CUT OFF FILE AFTER CASE CLOSES. DESTROY 25 YEARS AFTER CUTOFF. <DA: N1-255-07-2></p> <p>CUT OFF FILE AFTER CASE CLOSES. DESTROY 3 YEARS AFTER CUTOFF. <DA: N1-255-07-2></p> <p>DESTROY/DELETE AFTER ASSOCIATED OFFICIAL RECORDS HAVE BEEN CREATED. <DA: N1-255-07-2></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-07-2></p> |
| 1600 | 98 | <p>NONPERSONAL REQUISITION FILES</p> <p>Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (EXCLUDING records associated with Accountable Officers' Accounts (Schedule 9).</p> | <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 17-21)</p> |

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|--------------|-------------|--|---|
| 1600 | 99 | <p>KEY ACCOUNTABILITY FILES</p> <p>Files relating to the accountability for keys, door cards, etc. issued.</p> <p>A. <u>AREAS UNDER MAXIMUM SECURITY</u></p> <p>B. <u>ALL OTHER AREAS</u></p> | <p>DESTROY 3 YEARS AFTER TURN-IN OF KEY. [GRS 18-16a] (N 12-14)</p> <p>DESTROY 6 MONTHS AFTER TURN-IN OF KEY. [GRS 18-16b] (N 12-14)</p> |
| 1600 | 100 | <p>GUARD SERVICE FILES</p> <p>A. <u>ASSIGNMENT FILES</u></p> <p>1. Files relating to guard assignment and strength.</p> <p>(a) Ledger records.</p> <p>(b) Requests, analyses, reports, change notices, and other papers relating to assignments and strength requirements.</p> <p>B. <u>CONTROL FILES</u></p> <p>1. Control center key or code records, emergency call cards, and building record and employee identification cards.</p> <p>2. Round reports, service reports on interruptions and tests, and punch clock daily sheets.</p> <p>3. Automatic machine patrol charts and registers of patrol and alarm services.</p> <p>4. Arms distribution sheets, logs, charge records, transfer sheets and receipts.</p> | <p>DESTROY 3 YEARS AFTER FINAL ENTRY. [GRS 18-13a] (N 12-13)</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 18-13b]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 18-19a] (N 12-10, N 12-17)</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 18-19b]</p> <p>DESTROY WHEN 1 YEAR OLD. [GRS 18-19c]</p> <p>DESTROY 3 MONTHS AFTER RETURN OF ARMS. [GRS 18-19d]</p> |
| 1600 | 101 | <p>CLASSIFIED DOCUMENTS ADMINISTRATIVE CORRESPONDENCE FILES</p> <p>Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.</p> <p>Note: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibility for security and protective services programs.</p> | <p>DESTROY WHEN 2 YEARS OLD. [GRS 18-1] (N 1-9k)</p> |
| 1610 | | Personnel Security | (see below) |

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|--------------|-------------|--|--|
| 1610 | 102 | <p>CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENTS</p> <p>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian or military personnel with access to information that is classified under standards put forth by Executive orders governing security classification.</p> <p>Legal Citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p> <p>A. Records maintained in the individuals' official personnel folder.</p> <p>B. Maintained separately from the individual's personnel folder.</p> | <p>APPLY THE DISPOSITION FOR THE OFFICIAL PERSONNEL FOLDER. [GRS 4.2-120]</p> <p>DESTROY WHEN 50 YEARS OLD. [GRS 4.2-121]</p> |
| 1610 | 103 | <p>PERSONNEL SECURITY CLEARANCE FILES</p> <p>Personnel security clearance case files and related indexes maintained by the personnel security office.</p> <p>A. Files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.</p> <p>B. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.</p> <p>C. Index to the Personnel Security Case Files.</p> <p>D. Status files, lists, or rosters maintained in security units showing the current security clearance status of individuals.</p> | <p>DESTROY UPON NOTIFICATION OF DEATH OR NOT LATER THAN 5 YEARS AFTER SEPARATION OR TRANSFER OF EMPLOYEE OR NO LATER THAN 5 YEARS AFTER CONTRACT RELATIONSHIP EXPIRES, WHICHEVER IS APPLICABLE. [GRS 18-22a] (N 12-19)</p> <p>DESTROY IN ACCORDANCE WITH THE INVESTIGATING AGENCY INSTRUCTIONS. [GRS 18-22b]</p> <p>DESTROY WITH RELATED CASE FILE. [GRS 18-22c]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 18-23]</p> |
| 1620 | | Physical Security | (see below) |
| 1620 | 104 PASR | <p>GODDARD SPACE FLIGHT CENTER (GSFC) LOCATOR AND INFORMATION SERVICES TRACKING SYSTEM (LISTS) - NASA 51 LIST</p> <p>Employee identification cards/information. Records contained in the system will consist of privacy and personal information for all onsite and off-site NASA/GSFC civil servants and onsite and near-site contractors, tenants, and other guest workers possessing or requiring badge identifications.</p> | <p>RECORDS ARE RETAINED FOR VARYING PERIODS OF TIME DEPENDING ON THE NEED FOR USE OF THE FILES, AND ARE DESTROYED OR OTHERWISE DISPOSED OF WHEN</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
| 1620 | 108 | <p>SECURITY VIOLATION FILES</p> <p>Case files relating to investigations of alleged violations of Executive Orders, laws or agency regulations for the safeguarding of national security information.</p> <p>A. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determination, exclusive of files held by the Department of Justice or Defense offices responsible for making such determinations.</p> <p>B. All other offices and files, EXCLUSIVE of papers placed in official personnel folders.</p> | <p>DESTROY 5 YEARS AFTER CLOSE OF CASE. [GRS 18-24a] (N 12-22, N 12-21)</p> <p>DESTROY 2 YEARS AFTER COMPLETION OF FINAL ACTION. [GRS 18-24b]</p> |
| 1620 | 109 | <p>CONTAINER FILES</p> <p>A. <u>CLASSIFIED DOCUMENT SECURITY</u></p> <p>B. <u>RETURNABLE</u></p> <p>Documents reflecting the receipt, transfer, and return to vendor of receiving reports, reports of survey, shipping documents, reports, or similar documents.</p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/111.B.2</p> <p>DESTROY 3 YEARS AFTER RETURN OF CONTAINER OR PURCHASE OF CONTAINER, WHICHEVER IS APPLICABLE. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 17-23)</p> |
| 1630 | | Control of Classified Information | (see below) |
| 1630 | 110 | <p>ACCESS REQUEST FILES</p> <p>Requests and authorizations for individuals to have access to classified files.</p> | DESTROY 2 YEARS AFTER AUTHORIZATION EXPIRES. [GRS 4.2-030] (N 12-5) |
| 1630 | 111 | <p>ACCOUNTABILITY AND CONTROL</p> <p>A. <u>ACCESS TO CLASSIFIED AND CONTROLLED UNCLASSIFIED RECORDS</u></p> <p>Including records regarding FOIA, PA, and MDR</p> <p>Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests.</p> <p>Includes::</p> <ul style="list-style-type: none"> • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records | DESTROY OR DELETE 5 YEARS AFTER DATE OF LAST ENTRY, FINAL ADJUDICATION BY COURTS, OR FINAL ACTION BY AGENCY (SUCH AS DOWNGRADING, TRANSFER OR DESTRUCTION OF RELATED CLASSIFIED DOCUMENTS, OR RELEASE OF INFORMATION FROM CONTROLLED UNCLASSIFIED STATUS), AS MAY APPLY, WHICHEVER IS LATER. [GRS 4.2-040] |

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|--------------|-------------|---|--|
| | 111 | <ul style="list-style-type: none"> • forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routing, and comparable data • agent and researcher files <p>B. <u>CLASSIFIED DOCUMENTS</u></p> <p>1. <u>INFORMATION ACCESS AND PROTECTION TRACKING AND CONTROL RECORDS</u></p> <p>Includes:</p> <ul style="list-style-type: none"> • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files <p>2. <u>ACCESS CONTROL RECORDS</u></p> <p><u>Includes:</u></p> <ul style="list-style-type: none"> • <u>safe and padlock combinations</u> • <u>names or other personal identifiers of individuals who know combinations</u> • <u>comparable data used to control access into classified document containers</u> <p>3. <u>RECORDS RELATING TO CLASSIFIED OR CONTROLLED UNCLASSIFIED DOCUMENT CONTAINERS</u></p> <p>Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security such as SF-701 and SF-702.</p> <p>Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p> | <p>DESTROY 2 YEARS AFTER LAST FORM ENTRY, REPLY, OR SUBMISSION; OR WHEN ASSOCIATED DOCUMENTS ARE DECLASSIFIED OR DESTROYED, OR WHEN AUTHORIZATION EXPIRES; WHICHEVER IS APPROPRIATE. [GRS 4.2-030] (N 12-3)</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 4.2-031]</p> <p>DESTROY 90 DAYS AFTER LAST ENTRY ON FORM. [GRS 4.2-032]</p> |
| 1640 | | <u>Security Classifications</u> | (see below) |
| 1640 | 112 | <p><u>SECURITY CLASSIFICATION SYSTEMS</u></p> <p>A. <u>AUTOMATIC AND SYSTEMATIC DECLASSIFICATION REVIEW PROGRAM RECORDS</u></p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decision.</p> | <p>DESTROY OR DELETE 30 YEARS AFTER COMPLETION OR REVIEW. [GRS 4.2-100]</p> |

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|--------------|-------------|---|--|
| | 112 | B. <u>FUNDAMENTAL CLASSIFICATION GUIDANCE REVIEW FILES</u> Reports, significant correspondence, drafts, received, comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO). | DESTROY 5 YEARS AFTER REPORT IS SUBMITTED TO ISOO. [GRS 4.2-110] |
| 1650 | | Industrial Security | (see below) |
| 1650 | 113 | 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 Officials, i.e., Director, Security, Logistics & Industrial Relations Division; Chief, NASA Security. B. All other offices/case files. | DESTROY AFTER THE DOCUMENT TO WHICH THE CLASSIFICATION ACTION APPLIES HAS BEEN REGRADED OR DECLASSIFIED BY SUITABLE MARKINGS. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 12-29) DESTROY WHEN NO LONGER NEEDED, OR 3 YEARS AFTER CONTRACT IS CLOSED/COMPLETED. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1680 | | Visitor and Foreign Travel Control | (see below) |
| 1680 | 114 | LOGS, REGISTERS, AND CONTROL FILES A. <u>VISITORS</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to restricted areas, and reports on automobiles and passengers. 1. Areas under maximum security. 2. All other areas. B. <u>GUARDS</u> Guard logs and registers not covered elsewhere, or under A, of this schedule. | DESTROY 5 YEARS AFTER FINAL ENTRY OR DATE OF DOCUMENT, AS APPROPRIATE. [GRS 18-17a] (N 12-15) DESTROY 2 YEARS AFTER FINAL ENTRY OR DATE OF DOCUMENT, AS APPROPRIATE. [GRS 18-17b] |

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|--------------|-------------|--|--|
| | 114 | <p>1. Central guard office master logs.</p> <p>2. Individual guard post logs of occurrences entered in master logs.</p> | <p>DESTROY 2 YEARS AFTER FINAL ENTRY. [GRS 18-20a] (N 12-18)</p> <p>DESTROY 1 YEAR AFTER FINAL ENTRY. [GRS 18-20b]</p> |
| 1680 2630 | 115 | <p>PASSPORT FILES (SEE ALSO SCHEDULE 2)</p> <p>Personal identification or passport photographs</p> | <p>RETURN ORIGINAL TO REQUESTOR, DESTROY WHEN 5 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER. [GRS 21-2] (N 22-3)</p> |
| 1690 | | Security Surveys | (see below) |
| 1690 | 116 | <p>SURVEYS AND INSPECTION OF FACILITIES</p> <p>Reports of surveys and inspections of facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.</p> <p>A. <u>GOVERNMENT-OWNED FACILITIES</u></p> <p>B. <u>PRIVATELY-OWNED FACILITIES</u></p> <p>Reports of surveys and inspections of facilities assigned security cognizance by Government agencies, and related documents.</p> | <p>DESTROY WHEN 3 YEARS OLD, OR UPON DISCONTINUANCE OF THE FACILITY, WHICHEVER IS SOONER. [GRS 18-9] (N 12-7)</p> <p>DESTROY WHEN 4 YEARS OLD OR WHEN SECURITY COGNIZANCE IS TERMINATED, WHICHEVER IS SOONER. [GRS 18-10]</p> |
| 1700 | | Safety | (see below) |
| 1700 | 117 | <p>SAFETY FILES - PROPERTY</p> <p>Safety inspection and maintenance records for all NASA real and personal property.</p> <p>A. <u>INSPECTING OFFICE</u></p> <p>NOTE: Payload Safety Data Files/Records are maintained under AFS 8680 See Schedule 8 for records created in this series.</p> <p>B. <u>ALL OTHER OFFICES/COPIES</u></p> | <p>RETIRE TO FRC WHEN RELATED PROPERTY IS DISPOSED OF BY NASA. DESTROY 5 YEARS AFTER DISPOSAL. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-6)</p> <p>DESTROY WHEN 4 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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|--------------|-------------|--|--|
| 1700 | 117.5 | SAFETY ACTIVITIES RECORDS Records, regardless of format, of safety activities by designated organizational personnel other than the office of functional responsibility for the safety program, including Supervisor Safety Visit records, minutes of periodic safety meetings, fire extinguisher location logs, and related materials. Internal organizational safety activities records would be included in this item. Cutoff date is based on date of document, activity, or entry in log. | CUTOFF AT THE END OF THE FISCAL OR CALENDAR YEAR. DESTROY 3 YEARS AFTER CUTOFF OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. <DAA-0255-2016-0001> |
| 1700 | 118 | GROUND-BASED PRESSURE SYSTEMS RECORDS Reports and correspondence related to design, inspection, and certification of Ground-Based Pressure Systems. Records may include Inspection reports, Pressure System Condition Reports Category C, Low Energy/Low Risk Requests, Pressure Systems Design Review Records, Waivers, and Weld/Braze Inspection Reports. Certification packages include active and superseded records. Inspection and re-certification dates are based on NASA inspection table requirements. Cutoff date is date of document. Note: If Pressure Vessels and Systems ceases to exist and records are at least 3 years old, early destruction of records can be requested through NASA Records Officer at Headquarters. A. Recordkeeping copy (paper) B. Electronic copies generated on office automation applications such as e-mail and word processing applications. | RETIRE TO FRC OR APPROVED STORAGE FACILITY WHEN 5 YEARS OLD. DESTROY WHEN 25 YEARS OLD. <N1-255-99-3> <DA: N1-255-09-1> DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED. <N1-255-99-3> |
| 1710 | | Safety/Accident Prevention | (see below) |
| 1710 | 119 | FIRE, EXPLOSION, AND ACCIDENT INVESTIGATIVE FILES Case files, investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. A. <u>PRECEDENT OR UNUSUAL CASES</u> Cases selected by pertinent NASA Officials, i.e., Chief, NASA Security Office, Associate Administrator, Office of Safety and Mission Assurance, and all type A and B mishaps. B. <u>ROUTINE CASES</u> | * PERMANENT * RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD. <DA: N1-255-94-1> (N 12-8) DESTROY WHEN 2 YEARS OLD. [GRS 18-11] |

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|--------------|-------------|---|--|
| 1710 | 119.5 | <p>SAFETY CONCERNS AND SUGGESTIONS REPORTING</p> <p>Records and reports, regardless of format, on employee safety concerns and suggestions. Records consist of safety concerns, unexpected occurrences), and related beneficial safety suggestions. EXCLUDING facility repairs or maintenance requests that are reported to the Center’s safety organization.</p> <p>A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u></p> <p>B. <u>ALL OTHER OFFICES AND COPIES</u></p> | <p>DESTROY OR DELETE 1 YEAR AFTER SUGGESTION DISPOSITION OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. <DAA-0255-2016-0002></p> <p>CUTOFF AT END OF FISCAL OR CALENDAR YEAR. DESTROY 90 DAYS AFTER CUTOFF OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. <DAA-0255-2016-0002></p> |
| 1711 | | Accident Reporting & Investigation | (see below) |
| 1711 | 120 | <p>SAFETY REPORTS / RECORDS</p> <p>A. <u>NASA SAFETY REPORTS - ANNUAL</u></p> <p>Statistical reports, surveys on loss and injuries compiled by Headquarters from reports described in B of this item. (This is typically an annual report that can, but is not limited to, include hardware loss, and more information/data than DoL report requires.)</p> <ol style="list-style-type: none"> 1. Headquarters. 2. Centers (feeder reports to HQ). <p>B. <u>SAFETY PROGRAM REPORTS</u></p> <p>Statistical reports from Centers regarding injuries and accidents, such as NASA Forms 344 and 345. NOTE: 01-17-02, NASA Forms 344 and 345 no longer exist and have not been used for many years. (THIS IS AN INACTIVE SERIES OF RECORDS.)</p> | <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-4)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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|--------------|-------------|--|--|
| | 120 | <p>1. Headquarters.</p> <p>2. Centers and all other offices/copies.</p> <p>C. <u>INDIVIDUAL ACCIDENT REPORTS</u></p> <p>Forms, reports, correspondence, and related medical and investigatory relating to on-the-job injuries whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor (DoL).</p> <p>D. <u>PROTECTIVE AND PREVENTIVE MEASURES REPORTS</u></p> <p>E. <u>SAFETY AND RELIABILITY REPORTS</u></p> <p>Files consist of Safety & Reliability Reports including Hazard Reports and Risk Assessments relating to the KSC Ground Support Equipment that interfaces with the flight hardware. Files contain, but are not limited to: Preliminary-, KSC-Hazard Reports; ESR-, Mission Safety-, Safety-, and System/Subsystem-Assessments; System Safety Review Panel Issues; System Assurance, Failure Mode & Effects-Analyses; Critical Items Lists; Design Review Reports; and, Criticality Assessments.</p> | <p>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-3)</p> <p>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 12 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>CLOSE FILE ON TERMINATION OF COMPENSATION OR WHEN DEADLINE FOR FILING A CLAIM HAS PASSED. DESTROY 3 YEARS AFTER CLOSE OF FILE. [GRS 1-31](N 21-5)</p> <p>SEE ITEM 116 OF THIS SCHEDULE <DA: N1-255-09-1> (N 21-7)</p> <p>RETIRE TO FRC WHEN THE RISK/SAFETY ASSESSMENT/ANALYSIS IS COMPLETE/INACTIVE. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 1711 | 121 | <p>ACCIDENT/MISHAP INCIDENT CASE FILES</p> <p>Correspondence, reports, and all related papers concerning potential or actual individual accidents or incidents occurring at ground centers. Cutoff date is date case closed.</p> <p>A. <u>HEADQUARTERS</u> Recordkeeping copy (paper).</p> <p>B. <u>CENTERS, ALL OTHER OFFICES/COPIES</u> Recordkeeping copy (paper)</p> <p>C. <u>INDIVIDUAL ACCIDENT REPORTS</u></p> | <p>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-2)</p> <p>RETIRE TO FRC WHEN 4 YEARS OLD. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>SEE ITEM 120 C. OF THIS SCHEDULE.</p> |

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|--------------|-------------|---|--|
| 1711 | 122 | MISHAP INVESTIGATION BOARD FILES Files contain, in addition to others listed, photographs, witness interviews and all other materials concerning the investigation. | * PERMANENT * RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD. <DA: N1-255-94-1, 14> |
| 1730 | | Protective Clothing and Equipment | (see below) |
| 1730 | 123 | SPECIAL PERMIT FILES Requests for permits to operate and handle special type machines and tools controlled by manufacturers. | DESTROY ON EXPIRATION OF PERMIT OR WHEN SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-8) |
| 1740 | | Safety Standards | (see below) |
| 1740 | 124 | HEALTH PHYSICS AND PROCESS CONTROL DATA LOGS Records of Health Physics Daily Logs, Water Activity Analysis Logs, Geiger-Mueller Analysis Logs, Air Sample Analysis Logs, Daily Routine Health Physics Logs, Background and Efficiency Logs, Portable Survey Instrument Calibration Logs, and Source Movement, Inventory and Leak Test Logs. | RETIRE TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-9) |
| 1740 | 125 | SAFETY STANDARDS FILES Documents created in the development of safety standards and practices in developmental and production operations; the safety location, design, layout, and construction of facilities where fuels, propellants, or other hazardous materials are handled or operations are exposed to ignition hazards; the safe handling, storage, and movement of hazardous materials; and other areas requiring safety standards. The files include recommendations, coordination actions, studies, and other actions taken to establish standards. A. <u>OFFICE DEVELOPING THE STANDARDS</u> B. <u>ALL OTHER OFFICES/COPIES</u> | DESTROY WHEN 10 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 21-1) DESTROY 2 YEARS AFTER SUPERSEDED OR OBSOLETE, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1800 | | Occupational Health | (see below) |
| 1800 | 126 | HEALTH AND OCCUPATIONAL MEDICINE RECORDS PASR NOTE: Occupational Safety and Health Administration (OSHA) records are maintained under AFS 8720. See Schedule 8 for records created in this series. | |

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|--------------|-------------|--|---|
| | 126 | <p>A. <u>NASA HEALTH INFORMATION MANAGEMENT SYSTEM - NASA 10 HIMS</u></p> <p>NASA Civil Service employees and applicants; other agency civil service and military employees working at NASA; visitors to centers; onsite contractor personnel who receive job related examinations, have mishaps or accidents, or come to the clinic for emergency or first aid treatment.</p> <p>B. <u>SPACE FLIGHT PERSONNEL AND THEIR FAMILIES</u></p> <p>C. <u>HEALTH AND MEDICAL REPORTS</u></p> <p>Statistical reports on health and medical services and vital statistics reports on NASA personnel. Includes copies of statistical summaries and reports with related papers pertaining to employee health, retained by reporting unit.</p> <p>1. Headquarters.</p> <p>2. Centers.</p> | <p>SEE FOLLOWING INDIVIDUAL ITEMS LISTED SEPARATELY BY RECORD SERIES/CATEGORY. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * SEE SCHEDULE 8.</p> <p>DESTROY 6 YEARS AFTER DATE OF SUMMARY OR REPORT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 11-5)</p> <p>DESTROY 2 YEARS AFTER DATE OF SUMMARY OR REPORT. [GRS 1-22]</p> |
| 1800 | 127 | <p>EMPLOYEE HEALTH RECORDS</p> <p>A. <u>INDIVIDUAL HEALTH CASE FILES - EMPLOYEE MEDICAL FOLDER (EMF)</u></p> <p>1. Examinations recorded on SF 78, such as pre-employment physical examinations; health qualification placement records; disability retirement examinations; fitness for duty examinations; and any other documents deemed of long-term value as defined in 5 CFR part 293, subpart E.</p> <p>(a) Transferred employees.</p> <p>(b) Separated employees.</p> | <p>UPON TRANSFER, SHIP ENTIRE MEDICAL RECORD, INCLUDING X-RAYS, TO MEDICAL OFFICE OF NEW ASSIGNMENT. [GRS 1-21a(1)] (N 11-4)</p> <p>30 DAYS AFTER SEPARATION TRANSFER TO NATIONAL PERSONNEL RECORDS CENTER (NPRC), ST. LOUIS, MO. NPRC WILL DESTROY 75 YEARS AFTER BIRTH DATE, 60 YEARS AFTER DATE OF THE EARLIEST DOCUMENT IN THE FOLDER IF THE DATE OF BIRTH CANNOT BE ASCERTAINED, OR 30 YEARS</p> |

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|--------------|-------------|--|--|
| | 127 | <p>2. TEMPORARY or SHORT-TERM records as defined in the FPM. Records may consist of forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING records cited in "a." above. These are records that are not required for filing in the EMF, and if not retained by the agency, should UNDER NO CIRCUMSTANCES be sent to the NPRC.</p> <p>3. Individual Employee Health Case Files created prior to establishment of the EMF system that has been retired to an FRC.</p> <p>B. <u>INDIVIDUAL NON-OCCUPATIONAL HEALTH RECORD CARDS/FILES</u></p> <p>Records in this series include forms, correspondence, and other documents, including summary records, documenting an individual employee's medical history, physical condition and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by A. above.</p> <p>1. NASA employees Cards that contain such information as date of employee's visit, diagnosis, and treatment.</p> <p>2. Onsite Contractor Personnel Doctor's clinic records or similar records that contain data of visit, diagnosis, and treatment.</p> <p>C. <u>EMPLOYEE ASSISTANCE PROGRAM</u></p> <p>Personal case files consisting of handwritten notes, letters to physicians or counselors, calendar of treatment(s), authorization releases, after care information and telephone messages. Case files are to be maintained separate from the EMF and/or the Official Medical Record(s), kept to an absolute minimum, and handled with privacy in accordance with Section 408 of Public Law 92-155.</p> <p>1. Management Referral.</p> | <p>AFTER LATEST SEPARATION, WHICHEVER IS LATER. [GRS 1-21a(2)]</p> <p>DESTROY 1 YEAR AFTER SEPARATION OR TRANSFER OF EMPLOYEE. [GRS 1-21b]</p> <p>DESTROY 60 YEARS AFTER RETIREMENT TO FRC. [GRS 1-21c]</p> <p>DESTROY 6 YEARS AFTER DATE OF LAST ENTRY. [GRS 1-19] (N 11-2)</p> <p>DESTROY 8 YEARS AFTER INDIVIDUAL'S EMPLOYMENT ON-SITE IS TERMINATED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 11-3)</p> <p>DESTROY 5 YEARS AFTER LAST DATE IN FILE, OR UPON TERMINATION OF EMPLOYEE. <DA: N1-255-90-8> <DA: N1-255-09-1></p> |

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|--------------|-------------|---|--|
| | 127 | 2. Voluntary. | DESTROY 2 YEARS AFTER LAST DATE IN FILE, OR UPON TERMINATION OF EMPLOYEE. <DA: N1-255-90-8> <DA: N1-255-09-1> |
| 1800 | 127.2 | <p>MEDICAL QUALITY ASSURANCE RECORDS</p> <p>A. <u>Medical incident investigations</u></p> <p>Records of medical incidents and subsequent investigations occurring in the NASA healthcare system</p> <p>B. <u>Health Care Provider Credentialing and Privileging Records</u></p> <p>Records may include individual’s name, address, date of birth, social security number, name of medical or professional school attended and year of graduation. Records may also contain information involving the individual’s license, registration or certification by a State licensing board and/or national certifying body, citizenship, honor and awards, professional performance, experience, judgment, education qualifications, Drug Enforcement Administration certification, evaluation of clinical and/or technical skills, and involvement in any administrative, professional or judicial proceedings.</p> <p>1. Credentialing records</p> <p>(a) Professional credentials of licensed and unlicensed healthcare providers employed by NASA health facilities.</p> <p>(b) Professional credentials of licensed and unlicensed healthcare professionals who are unsuccessful applicants to NASA health facilities.</p> <p>2. Privileging actions (adverse actions, impaired provider, Fair Hearings)</p> <p>Records of employment actions taken regarding licensed and unlicensed healthcare providers, including any adverse actions taken as a result of impairment (inability to perform duties due to physical or mental impairment) or other issue.</p> <p><i>Records that contain “Personally Identifiable Information” must be managed per guidance of NASA and Federal privacy policies.</i></p> | <p>RETAINED BY CHIEF HEALTH AND MEDICAL OFFICER. DESTROY 20 YEARS AFTER DATE OF INCIDENT. <N1-255-10-6></p> <p>RETAIN ONSITE AT CENTER OF SERVICE. DESTROY 15 YEARS AFTER EMPLOYEE SEPARATION. <N1-255-10-6></p> <p>DESTROY WHEN NO LONGER NEEDED FOR APPLICANT SELECTION PURPOSES. <N1-255-10-6></p> <p>RETAINED BY CHIEF HEALTH AND MEDICAL OFFICER. DESTROY 15 YEARS AFTER EMPLOYEE SEPARATION. <N1-255-10-6></p> |

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|--------------|--------------|--|--|
| 1814 | | Clinical Facilities | (see below) |
| 1814 | 128 | HEALTH UNIT CONTROL FILES Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units. A. <u>SUMMARIZED ON STATISTICAL REPORT</u> B. <u>NOT SUMMARIZED</u> | DESTROY 3 MONTHS AFTER LAST ENTRY. [GRS 1-20a] (N 11-1) DESTROY 2 YEARS AFTER LAST ENTRY. [GRS 1-20b] |
| 1815 | | Narcotics and Drugs | (see below) |
| 1815 | 129 | NARCOTICS AND SEDATIVE DRUG RECORDS All records on the control and disposition of narcotic and sedative drugs, including completed NASA Forms 1387, describing dosages, shipments, inventories, and verifications. | DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 11-11) |
| 1840 | | Industrial Hygiene | (see below) |
| 1840 | 129.5 | INDUSTRIAL HYGIENE RECORDS A. SURVEY RECORDS All qualitative and quantitative records and supporting documentation of monitoring, sampling, or measuring of toxic or harmful chemical, physical, or biological agents in the workplace. This includes, but is not limited to, analytical methodologies, calculations and background data relevant to interpretation of the results. Other records created in compliance with the most protective federal, state and local industrial hygiene protection statutes and regulations. Executive Orders, and industry standards including, but not limited to, the most current, OSHA, NIOSH, NASA NPRs, ACGIH, ANSI and ASHRAE standards. 1. All employee-related beryllium exposure records and supporting documentation. See Notes 1, 2, and 2. All other employee-related exposure records and supporting documentation. See Notes 1, 2, and 4. 3. All non-employee related beryllium records and supporting documentation. See Notes 1, 3, and 4. 4. All other non-employee related records and supporting documentation. See Notes 1, 3, and 4. | CUT OFF UPON EMPLOYMENT TERMINATION. DESTROY 75 YEARS AFTER CUTOFF. <DAA: 0255-2011-0002> CUT OFF UPON EMPLOYMENT TERMINATION. DESTROY 30 YEARS AFTER CUTOFF. <DAA: 0255-2011-0004> CUT OFF ANNUALLY. DESTROY 75 YEARS AFTER CUTOFF. <DAA: 0255-2011-0003> CUT OFF ANNUALLY. DESTROY 30 YEARS AFTER CUTOFF. <DAA: 0255-2011-0005> |

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|---|------------------------|---|--|
| | 129.5 | B. ADMINISTRATIVE RECORDS C. Copies of any records above. | SEE NRRS 1/78.F. DESTROY WHEN NO LONGER NEEDED. <DAA: 0255-2011-0001> |
| <i>129.5 Note 1 Examples of documents of data files that could be part of an official record</i> | | | |
| Case specific correspondence General and routine correspondence Field notes and observations Sampling forms and data Analytical methodologies notes Calculations, and mathematical methods used Training Background data and information and notes | | Records of Decision (ROD) Laboratory and all other reports Work sheets Sampling plans and collection methodologies Photos Interviews Final reports and/or forms | |
| <i>Note 2 Examples of employee exposures records</i> | | | |
| Chemical exposure evaluation Metals exposure evaluation Incident or exposure evaluation Complaint investigation Ergonomic Investigation | | Indoor air quality investigation Noise exposure evaluation Heat stress evaluation Asbestos abatement monitoring records All qualitative exposure assessments | |
| <i>Note 3 Examples of records not related to employees</i> | | | |
| Process or chemical reviews General workplace evaluations Local exhaust system evaluations Personal Protective Equipment evaluations Job/Safety Hazard Analyses Final reports and/or forms | | Design reviews Training Work authorizations and permits Chemical inventories Audits, inspections, and corrective action plans Equipment calibrations | |
| <i>Note 4 Retention period under these items may be lengthened to comply with state or local statutes and regulations.</i> | | | |
| 1860 | | Radiological Health | (see below) |
| 1860 | 130 PASR | RADIATION RECORDS A. <u>GODDARD SPACE FLIGHT CENTER RADIATION SAFETY COMMITTEE RECORDS - NASA 51 RSCR</u> Employment and training history of radiation users and custodians under Goddard Space Flight Center (GSFC) cognizance. | RECORDS ARE KEPT FOR 2 YEARS. IF EMPLOYEE DOES NOT WISH TO BE RENEWED FOR THE POSITION AT THE END OF 2-YEAR PERIOD, THE RECORD IS REMOVED AND PLACED IN AN INACTIVE FILE. RECORDS ARE RETAINED AT GSFC UNTIL DESTROYED. DESTROY WHEN 75 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |

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|--------------|-------------|---|--|
| | 130 PASR | B. <u>KENNEDY SPACE CENTER RADIATION TRAINING AND EXPERIENCE SUMMARY - NASA 76 RTES</u> Custodians and/or users of sources of radiation (ionizing and non-ionizing) Applicable to all users or custodians at Kennedy Space Center (KSC) and NASA or NASA contractor personnel at Cape Canaveral Air Force Station, Florida, or Vandenberg Air Force Base, California. | RECORDS ARE RETAINED AT KSC. DESTROY WHEN 75 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| | PASR | C. <u>KSC-USNRC OCCUPATIONAL EXTERNAL RADIATION EXPOSURE HISTORY FOR NUCLEAR REGULATORY COMMISSION LICENSES - NASA 76 XRAD</u> KSC personnel, civil servants, and contractor personnel, who have received radiation exposure. Files include name, date of birth, exposure history, name of license holder, and social security number. | RECORDS ARE RETAINED AT KSC. DESTROY WHEN 75 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| | PASR | D. <u>GLENN RESEARCH CENTER OCCUPATIONAL RADIATION EXPOSURE RECORDS - NASA 22 ORER</u> Present and former Glenn Research Center (GRC) employees and contractor personnel who may be exposed to radiation. Files include name, date of birth, exposure history, name of license holder, social security number, employment and training history. | RECORDS ARE RETAINED AT GRC. DESTROY WHEN 75 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 1870 | | Environmental Sanitation | (see below) |
| 1870 | 131 | PESTICIDE RECORDS A. CLOSED SERIES B. MISCELLANEOUS REPORTS | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/23.5. |
| 1870 | 132 | ENVIRONMENTAL HEALTH REPORTS | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/23 5 |
| 1900 | | Ethics Management Program | (see below) |
| 1900 | 133 PASR | ETHICS PROGRAM FILES A. <u>ETHICS PROGRAM IMPLEMENTATION, INTERPRETATION, COUNSELING, AND DEVELOPMENT FILES</u> General ethics program records. Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and | TEMPORARY. DESTROY 6 YEARS FOLOWING THE CONCLUSION OF AN ETHICS REGULATORY REVIEW, PROVISION OF ADVICE TO AN EMPLOYEE, MAKING A DETERMINATION REGARDING OUTSIDE EMPLOYMENT OR AFTER SUCH DETERMINATION IS NO LONGER IN EFFECT OR APPLICABLE, OR WHEN NO LONGER NEEDED FOR AN ACTIVE INVESTIGATION; WHICHEVER IS LATER. |

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| | <p>133</p> <p>PASR</p> | <p>Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics- related regulations and directives.</p> <p>Includes:</p> <ul style="list-style-type: none"> • records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. • determinations, including advice and counseling to individual employees, and supporting records. • records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. • records relating to advice and counseling on Hatch Act matters <p>B. <u>STANDARDS OF CONDUCT COUNSELLING CASE FILES - NASA 10 SCCF</u></p> <p>C. <u>ETHICS AGREEMENTSRECORDS</u></p> <p>Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:</p> <ul style="list-style-type: none"> • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications <p>Note: Ethics Pledges and associated waiver certifications are filed in the political appointee’s Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for government Officers and Employees.</i></p> <ol style="list-style-type: none"> 1. Agreements for employees who do not file financial disclosure reports. 2. Agreements for employees who file financial disclosure reports. | <p>[GRS 2.8-010]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/133A.</p> <p>TEMPORARY. DESTROY 6 YEARS AFTER THE WAIVER OR OTHER AGREED- UPON DETERMINATION OR ACTION HAS BEEN ISSUED OR UNDERTAKEN, OR 6 YEARS AFTER IT IS NO LONGER IN EFFECT, OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. [GRS 2.8-100]</p> <p>TEMPORARY. DESTROY AT THE SAME TIME AS THE EMPLOYEE’S LAST RELATED FINANCIAL REPORT IS DESTROYED OR WHEN NO</p> |

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| | 133 | <p>D. <u>REFERRALS AND NOTIFICATIONS OF VIOLATIONS OF CRIMINAL CONFLICT OF INTEREST STATUTES AND OTHER POTENTIAL VIOLATIONS FILES</u></p> <p>Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, <i>Notification of Conflict of Interest Referral</i>.</p> <p>E. <u>ETHICS PROGRAM REVIEW RECORDS</u></p> <p>1. OGE Program Review Records</p> <p>Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.</p> <p>2. Agency Program Review Files</p> <p>F. <u>ETHICS PROGRAM PROCEDURES FILES</u></p> <p>G. <u>OFFICE OF GOVERNMENT ETHICS PROGRAM QUESTIONNAIRE RECORDS</u></p> <p>Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.</p> <p>H. <u>ETHICS PROGRAM EMPLOYEE TRAINING AND EDUCATION FILES</u></p> | <p>LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. [GRS 2.8-101]</p> <p>TEMPORARY. DESTROY 6 YEARS AFTER FINAL DISPOSITION OF THE REFERRAL TO EITHER THE IG OF DOJ. [GRS 2.8-020]</p> <p>TEMPORARY. DESTROY 6 YEARS AFTER ALL OUTSTANDING ETHICS PROGRAM REVIEW DEFICIENCIES HAVE BEEN RESOLVED OR WHEN THE DOCUMENTATION FOR THE NEXT PROGRAM REVIEW IS ON FILE, WHICHEVER IS LATER. [GRS 2.8-050]</p> <p>TEMPORARY. DESTROY 6 YEARS FOLLOWING THE CONCLUSION OF AN ETHICS REGULATORY REVIEW. [GRS 2.8-010]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 1/133A.</p> <p>DESTROY 3 YEARS AFTER SUBMISSION. [GRS 2.8-040]</p> |

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|--------------|-------------|--|---|
| | 133 | <p>1. Training Management Records</p> <p>Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.</p> <p>2. Training Materials</p> <p>Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors' guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.</p> <p>I. <u>REPORTS OF PAYMENTS ACCEPTED FROM NON-FEDERAL SOURCES</u></p> <p>1. Agency Reports</p> <p>Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p> <p>2. Supporting Documentation</p> <p>Documentation, such as statements and forms, used to complete the submitted reports.</p> | <p>DESTROY WHEN 6 YEARS OLD. [GRC 25-8a]</p> <p>DESTROY WHEN 6 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER. [GRS 25-8b]</p> <p>TEMPORARY. DESTROY 3 YEARS FOLLOWING SUBMISSION OF THE REPORT TO OGE. [GRS 2.8-030]</p> <p>TEMPORARY. DESTROY 1 YEAR FOLLOWING SUBMISSION OF THE REPORT TO OGE. [GRS 2.8-031]</p> |
| 1900 | 134 | <p>FINANCIAL DISCLOSURE REPORTING FILES</p> <p>A. PUBLIC FINANCIAL DISCLOSURE REPORTS</p> <p>Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p> | |

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|--------------|-------------|--|---|
| | 134 | <p>1. Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.) including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 U.S.C. app. Section 105, 5 CFR 2634.603</p> <p>2. All other reports</p> <p>Legal Citation: 5 U.S.C. app. Section 105, 5 CFR part 2634.603</p> <p>3. Periodic transaction reports.</p> <p>OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p>Legal Citation: STOCK Act, Publ. L. 112-105</p> <p>4. Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</p> <p>Legal Citation: 5 U.S. C. app. Section 105(b)(2)</p> <p>B. CONFIDENTIAL FINANCIAL DISCLOSURE REPORTS</p> <p>Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.</p> | <p>TEMPORARY. DESTROY 1 YEAR AFTER NOMINEE CEASES TO BE UNDER CONSIDERATION FOR THE POSITION OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED [GRS 2.8-060]</p> <p>TEMPORARY. DESTROY 6 YEARS AFTER RECEIPT OF THE OGE FORM 278 OR 278e BY THE AGENCY OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-061]</p> <p>TEMPORARY. DESTROY 7 YEARS AFTER RECEIPT BY THE AGENCY OR WHEN THE RELATED SUBSEQUENT OGE FORM 278 (SF 278) IS READY FOR DESTRUCTION 6 YEARS LATER. THE REPORTS MAY BE RETAINED LONGER IF NEEDED FOR ACTIVE INVESTIGATION. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-062]</p> <p>TEMPORARY. DESTROY WHEN THE REQUESTED REPORT IS DESTROYED. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-063]</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | 134 | <p>1. Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 CFR 2634.604</p> <p>2. All other reports</p> <p>Legal Citation: 5 CFR 2634.604</p> <p>3. OGE Optional form 450-A Reports</p> <p>Legal Citation: 5 CFR 2634.604, 5 CFR 2634.905</p> <p>Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE From 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE From 450-A report is ready for destruction.</p> <p>C. ALTERNATIVE OR ADDITIONAL FINANCIAL DISCLOSURE REPORTS AND RELATED RECORDS</p> <p>1. Reports for individuals not subsequently confirmed by the U.S. Senate</p> <p>Legal Citation: 5 U.S.C. app. Section 105</p> | <p>TEMPORARY. DESTROY 1 YEAR AFTER NOMINEE CEASES TO BE UNDER CONSIDERATION FOR THE POSITION OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED [GRS 2.8-070]</p> <p>TEMPORARY. DESTROY 6 AFTER RECEIPT OF THE OGE FORM 450 BY THE AGENCY, EXCEPT WHEN THE OGE FORM 450 SUPPORTS ONE OR MORE SUBSEQUENT OPTIONAL OGE FORM 450-As THEN DESTROY 6 YEARS AFTER RECEIPT OF THE LAST RELATED OGE FORM 450-A BY THE AGENCY, OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-071]</p> <p>TEMPORARY. DESTROY 6 YEARS AFTER RECEIPT OF THE OGE FORM 450-A REPORT BY THE AGENCY, ALONG WITH THE ASSOCIATED OGE FORM 450, OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-072]</p> <p>TEMPORARY. DESTROY 1 YEAR AFTER NOMINEE CEASES TO BE UNDER CONSIDERATION FOR THE POSITION OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-080]</p> |

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ORGANIZATION AND ADMINISTRATIVE RECORDS

SCHEDULE 1
(AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------------|-------------|--|---|
| | 134 | <p>2. All other reports</p> <p>Legal citation: 5 U.S.C. app. Section 105</p> <p>D. FINANCIAL DISCLOSURE SUPPORTING DOCUMENTATION</p> <p>Supporting documentation used to review and verify the filer's report submission. Includes records such as:</p> <ul style="list-style-type: none"> • reviewer's notes • background research reports • memorialized verbal comments of filer in response to reviewer questions | <p>TEMPORARY. DESTROY 6 YEARS AFTER RECEIPT OF THE FINANCIAL DISCLOSURE REPORT BY THE AGENCY OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. THIS DISPOSITION INSTRUCTION IS MANDATORY; DEVIATIONS ARE NOT ALLOWED. [GRS 2.8-081]</p> <p>TEMPORARY. DESTROY AT THE SAME TIME AN INDIVIDUAL'S RELATED FINANCIAL DISCLOSURE REPORT IS DESTROYED OR 6 YEARS AFTER THE INDIVIDUAL HAS SUBMITTED THEIR LAST FINANCIAL DISCLOSURE REPORT; OR WHEN NO LONGER NEEDED FOR ACTIVE INVESTIGATION, WHICHEVER IS LATER. [GRS 2.8-090]</p> |
| 1900 | 135 | <p>INSPECTION REPORT FILES</p> <p>Case files of investigations and inspection reports and related papers on NASA personnel or private concerns having relationships with NASA relating to alleged violations of standards of conduct, regulations, or of Federal criminal law.</p> | <p>RETIRE TO FRC AFTER CASE IS CLOSED. DESTROY WHEN 30 YEARS OLD. <DA: N1-255-94-1> (N 12-1)</p> |
| 1910 | | Ethics | See Item 133 of this Schedule. |
| General | | General Schedule Notes | (see below) |
| | 136 | RECORDS NOT COVERED ELSEWHERE IN THIS HANDBOOK | <p>SUBMIT NASA FORM 1418, "PROPOSED CHANGE TO NASA RECORDS CONTROL SCHEDULES," TO INSTALLATION RECORDS MANAGER FOR SUBMISSION TO THE NASA RECORDS OFFICER FOR PROCESSING. <DA: N1-255-94-1></p> |
| | 137 | <p>REJECTED RECORD OFFERS</p> <p>Records offered to the National Archives and Records Administration but appraised as lacking sufficient research or other value to warrant permanent retention or records that do not require a SF 115. Contact Center Records Manager or the Agency Records Officer for more information on this process.</p> | <p>SEE 36 CFR, SECTION 1228.60, FOR POSSIBLE DONATION; OR DESTROY IMMEDIATELY IF RECORDS ARE NOT WANTED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| END OF SCHEDULE | | | |

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NRRS 2: LEGAL AND TECHNICAL RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other offices.

This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

LEGAL

The records described in Schedule 2 pertain to the management and operation of NASA's legal and patent functions. They are created and accumulated by organizations that have management control or formulate and prescribe legal or patent policies and procedures and by activities and offices applying these procedures. This schedule describes the pertinent categories and specifies the retention period and dispositions for each.

TECHNICAL

Schedule 2 also includes records that pertain to the management and operation of NASA's scientific and technical information programs, including the technology utilization offices. These records include the published formal series of scientific and technical information, the routine operating procedures which include sending the contracting officer a copy of all correspondence with the contractor pertaining to contract administration, and the patent counsel copies of reportable items and data, and all correspondence relevant to innovations and potentially patentable inventions.

Finally, this schedule describes records of CIOs within the Agency and records documenting Information Technology program planning, operations, and compliance.

LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES | RETENTION <Authority> |
|------------------|-------------|--|--|
| 2000-2999 | | LEGAL AND TECHNICAL | (see below) |
| 2000 | | Laws and Legal Matters | (see below) |
| 2000 | 1 | <p>FEDERAL PERSONNEL SURETY BOND FILES</p> <p>A. OFFICIAL COPIES OF THE BOND AND ATTACHED POWERS OF ATTORNEY</p> <ol style="list-style-type: none"> 1. Bonds purchased before January 1, 1956. 2. Bonds purchased after December 31, 1955. <p>B. OTHER BOND FILES, INCLUDING OTHER COPIES OF BONDS AND RELATED PAPERS</p> <p>C. <u>SURETY BOND REVIEW FILES AND DOCUMENTS RELATING TO THE REVIEW OF THE LEGAL SUFFICIENCY OF SURETY BONDS.</u></p> | <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014. (N 2-7)</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 2000 | 2 | <p>PATENT FILES</p> <p>A. <u>PATENT SOLICITATION CASE FILES</u></p> <p>Files may include but are not limited to the following records, including invention disclosures (whether patented or not) received by NASA via another Agency through a contract; invention dockets containing pertinent correspondence on inactive cases, abandoned applications, and closed items; and invention disclosure logs and ledgers showing reported invention disclosure, date, disposition, and US Patent Office action.</p> <ol style="list-style-type: none"> 1. Files for specific invention disclosures for which no patent application was filed. 2. File for specific invention disclosures for which patent application was filed. 3. Soliciting instructions to Centers regarding procedures for soliciting. | <p>RETIRE TO FRC 6 MONTHS AFTER CASE IS INACTIVE. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-9)</p> <p>RETIRE TO FRC 6 MONTHS AFTER PATENT IS ISSUED. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 1 YEAR OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | 2 | <p>B. <u>DETERMINATION OF RIGHTS</u> to Employee Inventions, including documents pertaining to Executive Order 10096, et seq.</p> <p>C. <u>ASSISTANCE TO OTHER AGENCIES ON PATENTS</u> Files include legal assistance given to other Agencies on patent matters.</p> <p>D. <u>PATENT-SOLICITING INSTRUCTIONS TO JPL</u> regarding solicitation procedures.</p> <p>E. <u>ALL OTHER OFFICES/COPIES.</u></p> | <p>RETIRE TO FRC 6 MONTHS AFTER CASE IS INACTIVE OR 6 MONTHS AFTER PATENT IS ISSUED. DESTROY WHEN 25 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-13)</p> <p>DESTROY WHEN 1 YEAR OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 2000 | 2.3 | <p>TRADEMARK FILES</p> <p>All trademark-related records are located under this Schedule. Trademark files (whether registered or not), including but not limited to correspondence, applications, right to use investigations, fee, renewals, infringement case files, and notification files.</p> <p>Records created in any and all media by the NASA Office of General Counsel or Center Offices of Chief Counsel, their internal NASA clients, and NASA contractors in the course of their efforts to obtain federal trademark registrations at the U.S. Patent and Trademark Office for NASA marks.</p> | <p>RETAIN IN OFFICE OF THE GENERAL/CHIEF PATENT COUNSEL. DESTROY WHEN 37 YEARS OLDS. <DA:N1-255-07-1></p> |
| 2000 | 2.5 | <p>ALTERNATIVE DISPUTE RESOLUTION (ADR) FILES</p> <p>Alternative Dispute Resolution (ADR) is any Procedure, conducted by a neutral third party, used to resolve issues in controversy, including but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration, and use of ombudsman. The records covered relate to techniques and processes used by NASA ADR program in resolving disputes with or between its own employee</p> <p>A. General files including correspondence and copies of statutes, regulations, meeting minutes, reports, evaluations of ADR program, and other records relating to NASA ADR program.</p> <p>B. Case files documenting ADR proceedings.</p> | <p>DESTROY WHEN 3 YEARS OLD [GRS 1-27]</p> <p>DESTROY 3 YEARS AFTER SETTLEMENT IS IMPLEMENTED OR CASE IS DISCONTINUED. [GRS 1-27]</p> |
| 2070 | | Legal Opinion / Advice Files | (see below) |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|--|--|
| 2070 | 3 | <p>LEGAL OPINION/ADVICE FILES</p> <p>Documents reflecting requests and Office of the General Counsel (OGC) or Center Office of the Chief Counsel (OCC) responses to requests for decisions on the legal sufficiency of actions proposed by, arising within, or referred to NASA, including definitive legal interpretations supporting the consistent applications of NASA policies, applicable statutes, regulations, and/or other authorities.</p> <p>A. <u>ADVICE AND OPINIONS – SIGNIFICANT ISSUES</u></p> <p>Records of requests for and OGC or Center OCC responses to requests for legal interpretations, opinions, or advice relating to a variety of issues including but not limited to partnering methods, contract actions, appropriations, employment discrimination, the Freedom of Information Act, human resources, real property, privacy, security, grants management, intellectual property, export control, and international and space-related matters. Significant issues are those that set precedent for NASA or have a major impact on NASA operations. These records would include but not be limited to formal written opinions such as those issued on NASA letterhead and signed by the General Counsel, Deputy General Counsel, Associate General Counsels, or a Center Chief Counsel.</p> <p>B. <u>ADVICE AND OPINIONS – NON SIGNIFICANT ISSUES</u></p> <p>Records of requests for and OGC or Center OCC responses to requests for legal interpretations, opinions, or advice relating to a variety of issues including but not limited to partnering methods, contract actions, appropriations, employment discrimination, the Freedom of Information Act, human resources, real property, privacy, security, grants management, intellectual property, export control, and international and space-related matters. Non-Significant issues are those that do not set precedent for NASA and do not have a major impact on NASA operations.</p> | <p>PERMANENT CUT OFF AT END OF THE CALENDAR YEAR. TRANSFER TO THE NATIONAL ARCHIVES 30 YEARS AFTER THE CUTOFF DATE. <DAA: 255-14-0003> (N13-3)</p> <p>TEMPORARY. CUT OFF AT THE END OF THE CALENDAR YEAR. DESTROY/DELETE 6 YEARS AFTER CUTOFF DATE. <DAA: 255-14-0003></p> |
| 2080 | | Claims | (see below) |
| 2080 | 4 | <p>CLAIM FILES</p> <p>Case files relating to claims in favor of, or against, the Government for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omissions of acts. Included, but not limited to, are tort claims (2 yr. statute of limitation), maritime claims, foreign claims, international treaties, Space Act claims, and personal property claims.</p> <p>A. <u>SPECIAL MASTER CLAIMS</u></p> <p>Claims established when many claims result from a single accident, incident, or disaster.</p> | <p>RETIRE TO FRC 2 YEARS AFTER FINAL ACTION ON CASE. DESTROY WHEN 28 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-1)</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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|--------------|-------------|--|--|
| 2080 | 4 | <p>B. <u>ROUTINE ALLOWED OR DISALLOWED CLAIMS</u></p> <p>1. Claims involving personal injury or a minor.</p> <p>2. All other claims.</p> <p>C. <u>REPORTS</u></p> <p>1. Investigative</p> <p>Documents accumulated from investigating accidents and incidents which could, but do not, result in the filing of a claim.</p> <p>2. Miscellaneous</p> <p>Claims reports consisting of statistical, fiscal, and related reports on the disposition of claims.</p> | <p>RETIRE TO FRC 2 YEARS AFTER FINAL ACTION ON THE CASE. DESTROY WHEN 28 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC 2 YEARS AFTER FINAL ACTION ON CASE. DESTROY WHEN 8 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC ON EXPIRATION OF PERTINENT STATUTORY PERIOD FOR FILING A CLAIM. DESTROY 5 YEARS AFTER EXPIRATION OF PERTINENT STATUTORY PERIOD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-4)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-5)</p> |
| 2084 | | Contract Claims | (see below) |
| 2084 | 5 | <p>ADMINISTRATIVE AND COURT LITIGATION CASES INVOLVING NASA</p> <p>Files of cases including, but not limited to, complaint answer, motions, discovery, transcript of proceedings, trial exhibits and briefs in support of the parties' positions, together with the working papers of the attorney handling the case</p> | <p>RETIRE TO FRC 2 YEARS AFTER YEAR IN WHICH COURT RENDERS ITS FINAL DECISION OR THE YEAR IN WHICH THE CASE IS SETTLED. DESTROY 20 YEARS AFTER FINAL DECISION OR CASE IS SETTLED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 13-23)</p> |
| 2100 | | Technology Utilization (Including Small Business Innovative Research (SBIR)) | (see below) |
| 2100 | 6 | <p>SMALL BUSINESS INNOVATIVE RESEARCH (SBIR)</p> <p>These are files that are maintained by the Technology Utilization Office at NASA Centers of solicited proposals. NASA typically announces to small business entities what areas of interest and/or research monies are available for possible performance. Small businesses send in proposals to NASA in the subject areas for review and evaluation. These files are kept in the sequence of phases required under the SBA regulations.</p> <p>A. <u>PHASE I - SELECTED PROPOSALS</u></p> <p>Winning proposals, scores, evaluations, recommendations, and selected proposals which are funded.</p> | <p>RETAIN AND INCORPORATE INTO PHASE II CASE FILES. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
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|--------------|-------------|---|---|
| 2131 | 7 | <p>1. Headquarters</p> <p>One record copy of each publication, including abstract.</p> <p>2. Centers</p> <p>Innovator's working papers (including patent) relating to the publication, such as feeder reports, background materials, interim reports, notes, correspondence, together with related showing inception, scope, and background.</p> <p>3. All other offices/copies.</p> <p>E. <u>TECHNICAL SUPPORT PACKAGE (TSP) FILES</u></p> <p>TSP files typically consist of basic technology that has not yet been transferred to a working/private-public organization. Files consist of a collection of technical documentation related to and describing aspects of the innovation reported in a NASA Tech Brief (Item D. above), including reproducible master copy (if any) and exclusive of duplicated copies of the TSP (if this is a patent, it is the basic documentation).</p> <p>F. <u>TU DISSEMINATION FILES</u></p> <p>Preliminary, progress, and final reports of publications prepared or issued by contractors operating a Regional Technology Transfer Center (RTTC); COSMIC; or TAC, in cooperation with NASA and other contractors assisting the Technology Utilization Program dissemination efforts, and related correspondence.</p> | <p>* PERMANENT *</p> <p>RETIRE TO FRC 5 YEARS AFTER PUBLICATION. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD. <DA: N1-255-94-1> (N 23-7)</p> <p>RETIRE TO FRC AT THE SAME TIME AS THE RELATED CASE FILES. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 23-3)</p> |
| 2170 | | <p>1. Headquarters - TU Office/Program</p> <p>2. All other offices/copies.</p> <p>G. <u>NEW TECHNOLOGY FILES</u></p> | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 23-4)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|---|
| | 7 | <p>1. REPORTS</p> <p>These are new technology reports submitted to Technology Utilization Offices by in-house personnel or by contractors in accordance with the provisions of the contract's new technology clause (an annual report).</p> <p>(a) HQ and all other NASA Centers.</p> <p>2. CONTRACT ADMINISTRATION OF CLAUSE</p> <p>Records pertaining to administration of the new technology clause in contracts, especially to reporting and processing of innovations required to be reported.</p> <ul style="list-style-type: none"> ⊗ GSFC ONLY - This item applies to the Patent Office. ⊗ HQ and all other NASA Centers. <p>H. <u>TU APPLICATIONS FILES</u></p> <p>1. APPLICATION TEAM</p> <p>Reports, correspondence, minutes of meetings, etc. produced by the application team in identifying public sector opportunities for adaptive engineering.</p> <p>2. APPLICATION ENGINEERING PROJECT CASE FILES</p> <p>These files are maintained by the Program Manager who is located at NASA HQ, Code C, and consist of RTOP summaries, interim reports; and summaries in narrative format.</p> <p>NOTE: Case files that are located at the respective lead installation and should be retired under Schedule 8, R&D Project Case Files as a PERMANENT record series.</p> <p>I. <u>SPINOFF FILES</u></p> <p>1. SPINOFF CASE FILE</p> <p>Files are maintained by year and consist of research files which contain clippings, correspondence with companies, product literature, and interview notes and any other similar documentation or related materials.</p> <p>2. SPINOFF PUBLICATION</p> <p>(a) CLOSED SERIES</p> <p>(b) CLOSED SERIES</p> | <p>RETIRE TO FRC 3 YEARS AFTER RECEIVED. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> (N 23-2)</p> <p>SEE DISPOSITION ABOVE.</p> <p>RETIRE TO FRC 1 YEAR AFTER CONTRACT CLOSEOUT. DESTROY 10 YEARS AFTER FINAL PAYMENT OR CLOSEOUT. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 23-1)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|---|--|
| | 7 | (c) 2003 – Continuing | * PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WITH STI PUBLICATIONS OF ITEM 8.B.1 <DA: N1-255-04-4> |
| 2190 | | Export Control | (see below) |
| 2190 | 7.5 | EXPORT CONTROL PROGRAM RECORDS Records resulting from implementation of Export Control Program policies and procedures, including but not limited to export control training records; export clearance documentation (information sheets or forms); program audit reports; export licensing data; exceptions and exemptions; logs of export control activities. Records held by Installation Export Control Office and Export Control Representatives. | FOR PAPER RECORDS, RETIRE TO THE FEDERAL RECORDS CENTER FIVE YEARS AFTER THE EXPORT APPROVAL DATE OR THE EXPIRATION OF THE LICENSE, WHICHEVER IS LONGER. MAINTAIN ELECTRONIC RECORDS ON SITE. DELETE/DESTROY WHEN 10 YEARS OLD. <DA: N1-255-04-2> |
| 2210 | | External Release of NASA Software | (see below) |
| 2210 | 7.8 | SOFTWARE USAGE AGREEMENTS Software usage agreements or other software release records. These records serve as the legal instrument(s) in releasing NASA software to recipient requesters and defining the terms and conditions of release. The records include the recipient’s names and contact information, together with the date of transfer and name/version of software transferred. A. Electronic software release records B. Paper or other copies of records. | DESTROY 50 YEARS AFTER SOFTWARE RELEASE, OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. <DAA-0255-2016-0005> DESTROY WHEN RECORD-KEEPING ELECTRONIC VERSION IS CREATED, OR WHEN REFERENCE VALUE CEASES, WHICHEVER IS LATER. <DAA-0255-2016-0005> |
| 2220 | | Publications Program / STI Databases | (see below) |
| | 8 | SCIENTIFIC AND TECHNICAL INFORMATION PUBLICATIONS AND MATERIALS Scientific and Technical Information (STI) is defined as the results (facts, analyses, and conclusions) of basic and applied scientific, technical, and related engineering research and development. STI also includes management, industrial, and economic information relevant to this research as well as papers submitted for NASA approval and released to other scientific and technical organizations EXTERNAL to NASA for publication and dissemination (e.g., journal articles or conference papers.) | |

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|--------------|-------------|--|---|
| | 8 | <p>A. <u>PUBLICATIONS</u></p> <p>Published and processed documents prepared by NASA, such as technical reports, historical volumes, journal articles, conference papers, and informational materials.</p> <ol style="list-style-type: none"> One copy of each publication submitted to Center for AeroSpace Information (CASI) as STI, as well as processing forms, such as Report Documentation Page (SF 298) and Document Availability Authorizations (DAAs). Related background papers, working papers such as notes, rough drafts, background reports and interim reports, and other such papers reflecting a basis for the issuance or that contribute to the content of the publication, including coordination papers and comments retained either by publication office or author(s). <p>B. <u>PUBLICATIONS AND MATERIALS HELD/MAINTAINED AT CASI</u></p> <ol style="list-style-type: none"> Record copy of scientific and technical publications, including, but not limited to, Technical Publications, Technical Memoranda, Contractor Reports, Conference Publications, Technical Translations, Special Publications, conference and meeting papers, conference presentations, journal articles, and other forms of STI listed in NPR 2200.2. Record copy of Document Availability Authorization (DAA) for each STI document. <p>C. Other locally published reports NOT included in "formal" STI series.</p> <p>D. <u>ALL OTHER COPIES</u> of any material in items A, B, and C, and their subitems.</p> | <p>DESTROY/DELETE 5 YEARS AFTER DATE OF PUBLICATION OR WHEN REFERENCE VALUE CEASES, WHICHEVER IS LATER. <DA: N1-255-09-1> (N 1-28)</p> <p>DESTROY/DELETE 15 YEARS AFTER DOCUMENT IS PUBLISHED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES ANNUALLY IN ACCORDANCE WITH THE NATIONAL ARCHIVES APPROVED TRANSFER GUIDANCE. <DA: N1-255-04-4></p> <p>RETAIN AT CASI. DESTROY/DELETE WHEN REFERENCE VALUE CEASES OR WHEN NO LONGER NEEDED. <DA: N1-255-10-1></p> <p>DESTROY/DELETE WHEN REFERENCE VALUE CEASES. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 23-8)</p> <p>DESTROY/DELETE WHEN REFERENCE VALUE CEASES OR WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |
| 2220 | | STI DATABASE ACCESSION SERIES | |
| 2220 | 9 | <p><u>NASA STI DATABASE</u></p> <p>NASA funded or sponsored metadata records that contain abstracts, availability authorization and summarize records copy materials maintained by CASI under Item 8.B.</p> | <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES ANNUALLY. <DA:N1-255-10-1></p> |
| 2240 | | Library Program Activities | (see below) |
| 2240 | 10 | LIBRARY RECORDS | |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES | RETENTION <Authority> |
|--------------|-------------|---|---|
| | 10 | <p>A. <u>LIBRARY ADMINISTRATIVE RECORDS</u></p> <p>Records documenting a library’s planning and management. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none"> • Strategic plans, project plans • Policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • Promotional material describing library services and resources • Correspondence and records on library staffing and relations with other libraries • Quick guides to library databases and resources, topical or customized reading lists, and bibliographies <p>Note: For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see NRRS 5.1, Procurement Files</p> <p>B. <u>LIBRARY OPERATIONS RECORDS</u></p> <p>Records documenting the daily activities of running a library.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Reference inquiries and responses • Correspondence and records about normal cataloging circulation, and document delivery activities • Visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms • Photocopying and digitization requests <p>C. <u>INTER LIBRARY-LOAN (ILL) REQUESTS</u></p> | <p>TEMPORARY. DESTROY WHEN 3 YEARS OLD OR 3 YEARS AFTER SUPERSEDED OR OBSOLETE. [GRS 4.4-010]</p> <p>TEMPORARY. DESTROY WHEN BUSINESS USE CEASES. [GRS 4.4-020]</p> <p>TEMPORARY. DESTROY 5 YEARS AFTER COMPLETING THE TRANSACTION. [GRS 4.4-030]</p> |
| 2300 | | Management Information Systems | (see below) |
| 2300 | 11 | <p>MANAGEMENT PROJECT FILES</p> <p>Surveys, analytical studies, background papers, notes, data, interim reports, final reports, and relating papers pertaining to administrative functions; e.g., appraisal of microfilming proposals, evaluating need of additional filing equipment, reviewing utilization of office machinery.</p> | <p>TRANSFER TO FRC 3 YEARS AFTER COMPLETION OR TERMINATION OF PROJECT. DESTROY WHEN 7 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-31)</p> |
| 2310 | | Information Resources Management | (see below) |
| | 12 | <p>IRM (INFORMATION RESOURCES MANAGEMENT) FILES</p> <p>A. <u>IRM FILES - GENERAL</u></p> <p>Records in this series consist of correspondence, feeder reports that are summarized into other reports, background documentation, or other related materials.</p> | <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|---|
| | 12 | <p>B. <u>SELF-ASSESSMENTS</u></p> <p>NASA Annual self-assessment documentation concerning reviews of IRM policy compliance, responsibilities, and practices. Included are associated correspondence, directives, guides, surveys, studies, summary reports, actions plans and progress reports, and major information system inventories.</p> <p>1. Headquarters.</p> <p>(a) Summary reports as submitted by Center.</p> <p>(b) Agency level summary reports as prepared by OPR.</p> <p>2. Centers.</p> <p>(a) Reports submitted to Headquarters on self-assessments.</p> <p>(b) OPR responsible for preparing and submitting reports to Headquarters, including background data used for summary report.</p> <p>C. <u>TRIENNIAL REVIEW FILES</u></p> <p>Reports and compliance certifications required by General Services Administration (GSA) concerning reviews of IRM practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.</p> <p>1. Headquarters - OPR</p> <p>2. Centers- OPR</p> <p>D. <u>IRM LONG-RANGE PLANS/REPORTS</u></p> <p>Documents involving the establishment of schedules to achieve NASA's long range IRM objectives, the formulation of new concepts and requirements in IRM for planning purposes and similar matters. Included are IRM long range plans, forecasts, reports, documents reflecting the evolution of these plans/forecasts, and documents contributing to the development of such plans or forecasts.</p> | <p>DESTROY WHEN 7 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 7 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 8 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 8 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 7 YEARS OLD. [GRS 16-11]</p> <p>DESTROY WHEN 7 YEARS OLD. [GRS 16-11]</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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|---------------------|--------------------|---|---|
| | 12 | <p>1. OPR - NASA Headquarters (Code JT) (Documentation may include but is not limited to the IRM L-R Plan Call Letter; incoming documentation from the contributing office; incoming external documents).</p> <p>2. Contributing Offices (Headquarters and Centers).</p> <p>3. All other office/copies.</p> <p>E. <u>IRM STRATEGIC PLAN</u> (5 Year Plan/Updated Annually)</p> <p>Records consist of IRM strategies that are common to NASA that support the Agencies missions and goals by providing Agencywide perspectives and directions for NASA's IRM-related program initiatives. The plan includes IRM goals and objectives, key milestones within a three-to-five year timeframe that defines the contribution of information resources to the accomplishment of NASA's missions. Records include but are not limited to: Meeting minutes; IRM documentation; final publication or proposed "Strategic Plan."</p> <p>1. OPR - NASA Headquarters</p> <p>2. Contributing Office (Headquarters and Centers).</p> <p>3. All other office/copies.</p> | <p>DESTROY BACKUP DOCUMENTATION 1 YEAR AFTER COMPLETION OF THE IRM LONG RANGE PLAN. RETAIN FINAL IRM L-R PLAN ON-SITE FOR 10 YEARS AND THEN DESTROY. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN 3 YEARS OLD OR WHEN SUPERSEDED, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETAIN ON-SITE AND DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>RETAIN ON-SITE AND DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN 3 YEARS OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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|---------------------|--------------------|---|---|
| | 12 | F. <u>OMB BULLETINS (IRM PLANS - ANNUAL)</u> Documentation consists of OMB Bulletins, background material, supporting documentation and information which may include but are not limited to records concerning: security; ICB (Information Collection Budget); Long-Range Plan Strategic Overview; Telecommunication Plan. 1. OPR - NASA Headquarters 2. Contributing Office (Headquarters and Centers), and all other offices/copies. | RETAIN ON-SITE AND DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 2400 | | Automatic Data Processing (ADP) Management | (see below) |
| 2400 | 13 | AUTOMATED DATA PROCESSING (ADP) RECORDS – GENERAL A. <u>COMPUTER READABLE MEDIA - GENERAL</u> Electronic media created in the areas of accounting, inventories, budget, library type indices, administration, and are used in connection with the accumulation of operating and reporting data of activities. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by the National Archives for destruction. B. <u>WORD PROCESSING FILES – GENERAL</u> Documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent. 1. When used to produce hard copy which is maintained in organized files. | IF PAPER RECORDS EXIST, AND THE ELECTRONIC MEDIA REPRESENTS A DUPLICATION, RELEASE MEDIA FOR REUSE NOT LATER THAN 30 DAYS AFTER THE NEED FOR IT HAS BEEN MET AND THAT IT WILL NOT BE REQUIRED FOR FURTHER USE. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 27-1) DESTROY IMMEDIATELY AFTER COPYING TO A RECORDKEEPING SYSTEM OR OTHERWISE PRESERVING, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.3-040] |

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|--------------|-------------|--|--|
| | 13 | <p>2. When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy providing that the hard copy has been authorized for destruction by the GRS or an approved SF 115.</p> <p>C. <u>ADMINISTRATIVE DATA BASES</u></p> <p>1. GENERAL</p> <p>Data bases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by the GRS or an approved SF 115, if the hard copy records are maintained in organized files, and hard-copy printouts from these data bases created for short-term administrative purposes.</p> <p>2. ADMINISTRATIVE COMPUTER SYSTEMS MEDIA</p> <p>This series consists of administrative and/or financial programming software, and/or data that is used for day-to-day operations.</p> <p>D. <u>ELECTRONIC SPREADSHEETS</u></p> <p>Spreadsheets generated to support administrative functions generated by an individual as background materials or feeder reports or that are recorded on electronic media, i.e., hard/floppy disks.</p> <p>1. When used to produce hard copy that is maintained in organized files.</p> <p>2. When maintained in electronic form only.</p> | <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>MEDIA IS BACKED-UP DAILY WITH STORAGE OF MEDIA ON-SITE FOR 2 WEEKS AND THEN RELEASED FOR REUSE IN THE COMPUTER OPERATIONS CENTER. (BACKUP MEDIA ARE ROTATED AND MAINTAINED OFFSITE.) [GRS 20-1](N 27-9)</p> <p>DESTROY IMMEDIATELY AFTER COPYING TO A RECORDKEEPING SYSTEM OR OTHERWISE PRESERVING, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.3-040]</p> <p>DESTROY IMMEDIATELY AFTER COPYING TO A RECORDKEEPING SYSTEM OR OTHERWISE PRESERVING, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.3-040]</p> |
| 2410 | | Policies and Procedures | (see below) |
| 2410 | | AUTOMATED DATA PROCESSING (ADP) RECORDS/FILES | |

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|--------------|-------------|--|--|
| 2410 | 14 | <p>A. <u>ANNUAL ADP PLANS</u></p> <p>Developed by the installations, these plans are submitted to the Information Resources Management Policy Office (Code JTD) at Headquarters for review. The plan is consolidated into a summary report and used for active reference.</p> <ol style="list-style-type: none"> 1. Office of functional responsibility (NASA HQ). 2. All other offices/copies. <p>B. <u>SECURITY PLANS</u></p> <p>In accordance with the Computer Security Act of 1987 (P.L. 100-235) annual plans are required to be prepared and submitted to NIST and NSA for comment regarding computer systems that are identified containing sensitive information. Each system plan includes a basic description of the purpose, environment, and sensitivity of the system and the security measures intended to protect the system and its data. Plans are not statements of agency security policy. They indicate security requirements and how the agency intends to meet those requirements.</p> <ol style="list-style-type: none"> 1. Office of functional responsibility (NASA HQ). (NOTE: This is agency-wide responsibility) 2. Centers and all other offices/copies. <p>C. <u>SYSTEM DEVELOPMENT RECORDS</u></p> <p>These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:</p> | <p>RETIRE TO FRC 5 YEARS AFTER THE YEAR TO WHICH THE PLANS PERTAIN. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 1-43)</p> <p>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>ITEM SUPERSEDED. RECORDS COVERED BY ITEM 2/27.E.</p> <p>ITEM SUPERSEDED. RECORDS COVERED BY ITEM 2/27.E.</p> <p>DESTROY 5 YEARS AFTER SYSTEM IS SUPERSEDED BY A NEW ITERATION, OR IS TERMINATED, DEFUNDED, OR NO LONGER NEEDED FOR AGENCY / IT ADMINISTRATIVE PURPOSES, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-011]</p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|---|
| | 14 | <ul style="list-style-type: none"> • Project Plans • Feasibility Studies • Cost Analyses • Requirements Documents • Change Control Records • Information Protection Plan • Agency Security Plan • System Security Plan • Test / Acceptance Plan • Quality Control Plan • Project Schedules • Plan of Action and Milestones (POA&M) • Configuration Management Plan • Resource Management Plan • Risk Assessment/Mitigation Plan • Disaster Recovery Plan • Deployment Guide • User Guide • Training Guide <p>Exclusion: This item does not apply to system data or content.</p> <p>Note: Use Schedule 2, Item 14.D for certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as built design or maintenance of an electronic system containing permanent records.</p> <p>D. <u>DATA ADMINISTRATION RECORDS</u></p> <p>Includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information. Includes:</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • taxonomies • schemas • registries • source code • records layouts • metadata • user guides • output specification • software operating manuals • data standards • table & dependency descriptions • physical data model • logical data model <p>1. Documentation necessary for preservation of permanent electronic records.</p> | <p>*PERMANENT*</p> <p>TRANSFER TO THE NATIONAL ARCHIVES WITH THE PERMANENT ELECTRONIC RECORDS TO WHICH THE DOCUMENTATION RELATES. [GRS 3.1-050]</p> |

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|--------------|-------------|--|---|
| | 14 | <p>2. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</p> <p>E. <u>IRM-APR/DPA DOCUMENTATION (Agency Procurement Request/ Delegation of Procurement Authority)</u></p> <p>1. GENERAL POLICY FILES</p> <p>General policy files contain information/documentation on Agency policy for assigning staff responsibilities, changes in staff, and other related administrative matters concerning the handling and processing of APR/DPA's.</p> <p>(a) OPR - NASA Headquarters</p> <p>(b) All other office/copies.</p> <p>2. NASA CASE FILES</p> <p>Case files consist of documentation which includes, but is not limited to, Agency Procurement Request (APR); Delegation of Procurement Authority (DPA); FIP Resources Decision Document (FRDD); Justification for Other than Full and Open Competition (JOFOC); re-delegation of authority; management presentations; and, reports (6-month, annual, and contract award). This material documents the cradle to grave process for information resources acquisitions.</p> <p>(a) OPR - NASA HEADQUARTERS</p> <p>(1) Active APR Files</p> <p>(i) If NO delegation authority is received.</p> <p>(ii) Delegation authority received.</p> <p>(2) Delegation of Authority Files</p> <p>(i) If APR/DPA process is completed.</p> | <p>DESTROY 5 YEARS AFTER THE PROJECT/ACTIVITY/ TRANSACTION IS COMPLETED OR SUPERSEDED, OR THE ASSOCIATED SYSTEM IS TERMINATED, OR THE ASSOCIATED DATA IS MIGRATED TO A SUCCESSOR SYSTEM, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3 1-051]</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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|--------------|-------------|--|--|
| | 14 | (ii) If program or request is cancelled or terminated prematurely. (3) Contract Award Files (4) Expired, Cancelled, or Terminated Case Files (i) PRIOR to contract award. (ii) AFTER contract award. (b) CENTERS (1) Active APR Files (i) If NO delegation authority is received. (ii) Delegation authority received. (2) Contract Award Files | HANDLE AS PERMANENT PENDING RETENTION APPROVAL. HANDLE AS PERMANENT PENDING RETENTION APPROVAL. HANDLE AS PERMANENT PENDING RETENTION APPROVAL. |
| 2420 | | Data Reduction and Interpretation | (see below) |
| 2420 | 15 | COMPUTER/ELECTRONIC MEDIA - GENERAL A. <u>FILES TO CREATE, USE, OR MAINTAIN MASTER FILES</u> 1. Electronic files created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. 2. Electronic files used to create or update a master file, including but not limited to, work files, valid transaction files, and intermediate input output records. 3. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. | DESTROY 3 YEARS AFTER AGREEMENT, CONTROL MEASURES, PROCEDURES, PROJECT, ACTIVITY, OR TRANSACTION IS OBSOLETE, COMPLETED, TERMINATED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-010] (N 27-2) DESTROY IMMEDIATELY AFTER DATA HAVE BEEN ENTERED OR OTHERWISE INCORPORATED INTO THE MASTER FILE OR DATABASE AND VERIFIED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4 3-020] DESTROY WHEN BUSINESS USE CEASES. [GRS 3 2-030] |

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|---------------------|--------------------|---|--|
| | 15 | <p>B. <u>HARDCOPY OR ANALOG INPUT/SOURCE FILES</u></p> <p>1. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for permanent retention.</p> <p>(a) Hardcopy or analog input/source records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p>(b) Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA’s electronic records standards</p> <p>Exclusions:</p> <p>The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency’s approved schedule.</p> <ul style="list-style-type: none"> • hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2)) • hardcopy records when the electronic versions do not meet NARA’s electronic records standards. • hardcopy records that are not incorporated in their entirety into an electronic system. • original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. <p>Legal citations: 36 CF\$ 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>(c) Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p>Exclusions:</p> <ul style="list-style-type: none"> • hardcopy records when the electronic versions do not meet NARA’s electronic records standards. • hardcopy records that are not incorporated in their entirety into an electronic system. | <p>DESTROY IMMEDIATELY AFTER VERIFICATION OF SUCCESSFUL CONVERSION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4 3-010] (N 27-8)</p> <p>DESTROY 60 DAYS AFTER SUBMITTING NOTIFICATION OT NARA PER 36 CFR 1225.24(a)(1) AND VERIFICATION OF SUCCESSFUL CONVERSION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.3-011]</p> <p>DESTROY IMMEDIATELY AFTER APPROVAL OF A SCHEDULE FOR THE ELECTRONIC RECORDS AND AFTER VERIFICATION OF SUCCESSFUL CONVERSION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4.3-012]</p> |

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|--------------|-------------|---|--|
| | 15 | <ul style="list-style-type: none"> • original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule. <ol style="list-style-type: none"> 2. Electronic records, except as noted in item B.3., entered into the system during an update process, and not required for audit or legal purposes. 3. Electronic records received from another Agency and used as input/ source records by the receiving Agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another Agency in response to the specific information needs of the receiving Agency. 4. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. <p>C. <u>MASTER FILES</u> (INTERIM AND FINAL)</p> <ol style="list-style-type: none"> 1. Media containing detailed or summary transaction data cumulative through the last updating or merger process, or containing outstanding transaction items, or totals representing the current status of a record. Interim media are used as input to the next subsequent run that produces a new updated interim or final master. 2. Final master media containing detailed or summary data or cumulative transactions under a program, account. 3. Master files that relate to administrative functions and that: <ul style="list-style-type: none"> ⊗ Replace, in whole or in part, administrative records scheduled for disposal under one or more items in Schedules 1 through 9; and, | <p>DESTROY IMMEDIATELY AFTER DATA HAVE BEEN ENTERED OR OTHERWISE INCORPORATED INTO THE MASTER FILE OR DATABASE AND VERIFIED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4 3-020]</p> <p>DESTROY IMMEDIATELY AFTER DATA HAVE BEEN ENTERED OR OTHERWISE INCORPORATED INTO THE MASTER FILE OR DATABASE AND VERIFIED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4 3-020]</p> <p>DESTROY IMMEDIATELY AFTER DATA HAVE BEEN ENTERED OR OTHERWISE INCORPORATED INTO THE MASTER FILE OR DATABASE AND VERIFIED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 4 3-020]</p> <p>ITEM DISCONTINUED. THIS ITEM WAS DRAWN FROM A GRS ITEM NO LONGER IN EXISTENCE.</p> <p>ITEM DISCONTINUED. THIS ITEM WAS DRAWN FROM A GRS ITEM NO LONGER IN EXISTENCE.</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> |

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|--------------|-------------|---|---|
| | 15 | <p>⊗ Consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates;</p> <p>EXCLUDING those that replace or duplicate the following items: ·Schd. 1-111; 1-127; 1-126c; ·Schd. 2-19H; ·Schd. 3-1; 3-51b; 3-47a;</p> <p>D. <u>SUMMARIZED INFORMATION DATA FILES</u></p> <p>Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under an approved item or is authorized for deletion by an approved disposition (SF 115). The following data files may not be destroyed before securing the National Archives approval. Data files EXCLUDED from the above disposition are those that were created:</p> <p>⊗ To allow public access to the data; or</p> <p>⊗ From a master file or database that is unscheduled, that was scheduled as permanent but no longer exists or can no longer be accessed.</p> <p>E. <u>EXTRACTED/REDUCED INFORMATION</u></p> <p>1. GENERAL</p> <p>Electronic records/files consisting solely of records extracted from a single master file or database that is disposable under an approved disposition.</p> <p>The following extracts MAY NOT be destroyed before securing the National Archives approval. (For "print" and "technical reformat" files see items below.) Extracts EXCLUDED from the above disposition are those:</p> <p>⊗ Produced to allow public access to the data; or,</p> <p>⊗ Produced from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists, or can no longer be accessed; or</p> <p>⊗ Produced by an extraction process which changes the informational content of the source master file or database.</p> | <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4 3-031]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4.3-031]</p> |

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|--------------|-------------|---|---|
| | 15 | <p>2. REDUCED DATA - COMPUTER MEDIA (ALSO SEE SCHEDULE 8)</p> <p>Computer media that contain all the basic and supporting measurements after they have been selected, processed, and reduced to the final form that best represents the scientific knowledge obtained from the investigation, i.e., space science flight experiments/investigations.</p> <p>F. <u>PRINT FILES</u></p> <p>Electronic file extracted from a master file or database without changing it and used solely to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and reports.</p> <p>G. <u>TECHNICAL REFORMAT FILES</u></p> <p>Electronic files consisting of data copies from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.</p> <p>H. <u>SECURITY BACKUP FILES</u></p> <p>Electronic files consisting of data identical in physical format to a master file or database and retained in case the master or database is damaged or inadvertently erased.</p> <p>1. File identical to records scheduled for transfer to the National Archives.</p> <p>2. File identical to records authorized for disposal in an approved NASA records schedule.</p> <p>I. <u>ELECTRONIC INDEXES OR FINDING AIDS</u></p> <p>Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the National Archives, an approved SF 115, or another NASA Schedule, EXCLUDING records containing abstracts or other information</p> | <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL. (N 26-4)</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4.3-031] (N 27-6)</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4.3-031]</p> <p>DESTROY IMMEDIATELY AFTER THE IDENTICAL RECORDS HAVE BEEN CAPTURED IN A SUBSEQUENT BACKUP FILE OR AT ANY TIME AFTER THE TRANSFER THE REQUEST HAS BEEN SIGNED BY NATIONAL ARCHIVES, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.2-050]</p> <p>DESTROY IMMEDIATELY AFTER THE IDENTICAL RECORDS HAVE BEEN DELETED OR REPLACED BY A SUBSEQUENT BACKUP FILE, BUT LONGER RETENTION IS REQUIRED FOR BUSINESS USE. [GRS 3 2-051]</p> <p>DELETE WITH RELATED RECORDS OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. [GRS 4.1-010]</p> |

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|--------------|-------------|---|--|
| | 15 | <p>that can be used as an information source apart from the related records.</p> <p>J. <u>SPECIAL PURPOSE PROGRAMS</u></p> <p>Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule EXCLUDING software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives and commercial, off-the-shelf (COTS) programs or application, unless the agency has modified such programs or applications considerably to perform a mission-related function. Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p> <p>K. <u>OUTPUT RECORDS</u></p> <p>Ad hoc reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems. EXCLUDING reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials). Records containing substantive information, such as annotations, that is not included in the electronic records (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)</p> | <p>DELETE WHEN RELATED MASTER FILE OR DATABASE HAS BEEN DELETED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-012]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 4.3-030]</p> |
| 2430 | | Equipment Utilization and Control | (see below) |
| 2430 | 16 | <p>INFORMATION SERVICES SYSTEM - LaRC ONLY</p> <p>The data for this system is in electronic format only. It is downloaded from the mainframe - data is received either weekly or monthly - and needs to be provided to users in electronic format (data is in ASCII format--located on a microprocessor). No paper documentation is created. The electronic file is extracted from a master file or database without changing it and it is used solely to produce another electronic database or medium.</p> <p>A. <u>DATA</u></p> <p>Administrative and/or business records.</p> <p>B. <u>PAPER</u></p> | <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WORK USE. [GRS 20-5]</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2

(AFS 2000-2999)

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|--------------|-------------|--|---|
| | 16 | Records consist of user manuals and administrative paperwork/correspondence which either establishes, modifies, or changes the systems. Paperwork can include lists or requests to add or delete system users. Paperwork not required for audit or legal purposes. | SEE NRRS 2, ITEM 15.B.1 |
| 2430 | 17 | <p>COMPUTER-MEDIA STORAGE FACILITIES</p> <p>A. <u>SPACE SCIENCE FLIGHT PROJECT/EXPERIMENT DATA</u> (ALSO SEE SCHEDULE 8)</p> <p>Media which have been used to create reduced data, or where usable data has been extracted. These data typically represent any and all orbiting spacecraft originated data, including, but not necessarily limited to, instrument and housekeeping data. Such data is sent from spacecraft such as the Compton Gamma Ray Observatory (GRO), the Upper Atmosphere Research Satellite (UARS).</p> <p>B. <u>OTHER SCIENTIFIC, ENGINEERING, AND EXPERIMENTAL DATA</u></p> <ol style="list-style-type: none"> 1. Environmental, oceanographic, atmospheric, terrestrial, data and/or extraterrestrial observations and measurements, medical research and/or animal or plant husbandry investigations. 2. Data used in the development, fabrication, construction, testing, and/or routine operation of such things as instruments, vehicles, machinery, or spacecraft. <p>C. <u>CONTRACTOR-CREATED MEDIA</u></p> <ol style="list-style-type: none"> 1. Scientific, engineering, and experimental data received by NASA in pursuance of Federal law or in connection with the transaction of public business and duplicated in a National Data Center. 2. Scientific, engineering, and experimental data media created under a contract and in the possession of the contractor in a Government storage facility, i.e., GSFC's Tape Staging and Storage Facility (TSSF). | <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL. (N 26-2)</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL. (N 26-3)</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> |
| 2430 | 18 | <p>DUPLICATE COMPUTER/ELECTRONIC MEDIA</p> <p>Computer/electronic media that has been duplicated and provided as an extra copy to other offices or individuals other than the Principal Investigator or the Office of Primary Responsibility (OPR).</p> | DELETE RECORDS WHEN NO LONGER NEEDED. RELEASE MEDIA FOR REUSE AS SOON AS RECORDS DELETED. [GRS 20-7] (N 26-5) |
| 2500 | | Communications | (see below) |
| 2500 | 19 | <p>COMMUNICATIONS RECORDS</p> <p>A. <u>CORRESPONDENCE, REPORTS, AND REFERENCE FILES</u></p> | |

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(AFS 2000-2999)

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|--------------|-------------|---|---|
| | 19 | <p>Correspondence and related records pertaining to the internal administration and operation of the communications function. Documents relating to communications planning, projecting requirements and costs, and HQ approval, such as NASA Form 1102 and 1103 and related materials. Records may include, but are not limited to: NASA Mail items/documentation (media independent) such as monthly NASA-Mail reports, user account requests and activity logs; Direct Access Computer System (DACS) requests; and any other associated user documentation.</p> <p>B. <u>COMMUNICATION EQUIPMENT/SUPPORT REQUIREMENTS</u></p> <p>1. Security equipment requirements and all related documentation and materials.</p> <p>2. Project support communications requirements, records consist of documents reflecting support requirements for the objectives contained in the PSCN database (OPR).</p> <p>C. <u>GUIDANCE, POLICY, PLANNING RECORDS</u></p> <p>Program files which consist of documents providing guidance or assumptions for the development of the communications segment Files consist of overall guidance, technology plans, and ADP plans - OPR, NASA Headquarters, and MSFC Com Center ONLY.</p> <p>D. <u>INTERFERENCE REDUCTION</u></p> <p>Documents relating to the testing or advising on techniques and equipment designed to reduce or eliminate electrical disturbances which cause undesirable response or malfunctioning of electric equipment.</p> <p>E. <u>FACILITIES LEASE REQUESTS</u></p> <p>Documents relating to requests for providing, rearranging, and removing communication facilities, equipment, and services leased from commercial companies to meet communications objectives of NASA.</p> <p>F. <u>ACCOUNT FILES</u></p> <p>Documents relating to communication lines, i.e., telephone, data, wide-area networks, etc. Vouchers, vendors' invoices, and correspondence EXCLUDING fiscal copy, and including local and commercial overseas accounting.</p> <p>1. Reference copies of vouchers, bills, invoices, and related records.</p> | <p>DESTROY WHEN 2 YEARS OLD OR WHEN REFERENCE VALUE CEASES, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-29)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-11)</p> <p>DESTROY WHEN UPDATED OR SUPERSEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-5)</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL. (N 10-4)</p> <p>DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-8)</p> <p>DESTROY 3 YEARS AFTER TERMINATION OF LEASE. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-7)</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 1.1-011] (N 10-5)</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2

(AFS 2000-2999)

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|--------------|-------------|---|--|
| | 19 | <p>2. Records relating to Centers, change, work orders, removal, and servicing of equipment.</p> <p>3. Copies of agreements with background data and other records relating to agreements for telecommunications services.</p> <p>G. <u>TOLL SLIPS/STATEMENTS</u></p> <p>Telephone, telegram, TWX, toll slips, and all other communication statements and related papers.</p> <p>H. <u>TELECOMMUNICATIONS OPERATIONAL FILES</u></p> <p>1. Message registers, logs, performance reports, daily load reports, and related or similar records.</p> <p>2. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Messages maintained by the communications offices or centers, and EXCLUDING the copies maintained by the originating program office.</p> <p>I. <u>WIRE/WIRELESS MESSAGE FILES</u></p> <p>Copies of incoming and outgoing wire/wireless message and all related records.</p> | <p>DESTROY 1 YEAR AFTER AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 12-2d(2)]</p> <p>DESTROY 2 YEARS AFTER EXPIRATION OR CANCELLATION OF AGREEMENT. [GRS 12-2e]</p> <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 10-14)</p> <p>DESTROY WHEN 6 MONTHS OLD [GRS 12-3a] (N 10-12)</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 12-3b]</p> <p>DESTROY WHEN 6 MONTHS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-13)</p> |
| 2570 | | Radio Frequency Management | (see below) |
| 2570 | 20 | <p>FIXED COMMUNICATIONS FILES</p> <p>A. <u>FACILITY PROJECTS</u></p> <p>Documents relating to the establishment, approval, and construction or implementation of fixed wire/cable, blueprints on maintenance in-house and outside, and radio facility development projects.</p> <p>B. <u>OPERATIONS FILES</u></p> <p>Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders or code systems.</p> <p>C. <u>TRAFFIC VOLUME REPORT</u></p> <p>Documents reflecting data on circuit usage for engineering of fixed communications facilities, planning, programming and budgeting and related papers.</p> | <p>* PERMANENT * RETIRE TO FRC 1 YEAR AFTER DISCONTINUANCE OF FACILITY. TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER DISCONTINUANCE OF FACILITY. <DA: N1-255-94-1> (N 10-6)</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-9)</p> |

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|--------------|-------------|---|---|
| | 20 | 1. Office of primary responsibility. 2. All other offices/copies. | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-2) DESTROY WHEN 6 MONTHS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> |
| 2570 | 21 | RADIO AND TELEVISION RECORDS A. <u>SERVICE CONTROL FILES</u> Documents related to the servicing and operation of radio and television equipment and systems, including service records and summaries of authorized equipment and service. B. <u>RADIO FREQUENCY FILES</u> Authorization, allocation, assignment, correlation, and use of radio frequencies and call signs. C. <u>COMMUNICATIONS REPRESENTATION FILES</u> Documents concerning representation on and recommendations to joint or other non-NASA agencies, including implementation of decisions on signal communications and electronic policies, particularly on radio frequency allocations, call signs, radio interference, and radio propagation matters. | DESTROY WHEN SUPERSEDED OR ON DISCONTINUANCE OF THE FACILITY OR INSTALLATION, WHICHEVER IS SOONER. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-10) RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-1) DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 10-3) |
| 2600 | | Photographic Services Management | (see below) |
| 2600 | 22 | FILM CONTROL - LOGS / FORMS / CHARGE OUT CARDS A. Log books, caption sheets, shelf lists, indexes, catalogs, and shot lists, used as finding aids for identification, retrieval, or use. B. Forms used as finding aids, identification, or used for retrieval purposes, of films. C. Cards showing film and equipment on loan(s). | TEMPORARY. DESTROY WHEN NO LONGER NEEDED. [GRS 4.1-010] (N 19-13) SEE ABOVE DISPOSITION. (N 19-12) DESTROY 1 YEAR AFTER LAST ENTRY ON CARD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 9-6) |
| 2630 | | Photography Services | (see below) |
| 2630 | 23 | PHOTOGRAPHS / STILL PICTURES NOTE: Motion Picture Films (N 19-16) AFS 1394 SEE SCHEDULE 1. Sound Tracks AFS 1394 SEE SCHEDULE 1 | |

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|--------------|-------------|--|---|
| | 23 | <p>A. <u>PHOTOGRAPHIC WORK/PRODUCTION REPORT FILES</u></p> <ol style="list-style-type: none"> 1. Work orders and ledgers used in processing and production of photographic services (information may be contained in an electronic action tracking system). 2. Reports showing workload, time expended, and type of production (color, black and white, still, or motion picture). <p>B. <u>STILL PICTURES</u></p> <p>NOTE: FOLLOW CENTER SPECIFIC DISPOSITION IF ONE IS PROVIDED.</p> <p>NOTE: Photo/negative degradation can occur when collections are stored in FRC's under non-favorable conditions. An immediate transfer to the National Archives should be considered instead of storing records when Agency needs ceases.</p> <ol style="list-style-type: none"> 1. Photographs (a master and one captioned print, if available), slides and transparencies (original and one duplicate, if available) use for the visual presentation of information to the public. (This series includes any finding aids or indexes used, paper or electronic, if available.) <ol style="list-style-type: none"> (a) MASTER NEGATIVES <p>Collections of negatives otherwise unidentified by a specific category or collection title.</p> (b) NASA HEADQUARTERS <p>NASA Headquarters (Office of Public Affairs) will maintain one record copy of all titled and official NASA photographs and slides released to the public. (NOTE: Arrangement of records should be kept by subject or calendar year, whichever is feasible.)</p> | <p>DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 9-4)</p> <p>DESTROY WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-1> <DA: N1-255-09-1> (N 9-5)</p> <p>* PERMANENT * RETIRE MASTER AND ONE PRINT IF AVAILABLE TO FRC IN 1 YEAR BLOCKS WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD WHICHEVER IS SOONER. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD OR SOONER. <DA: N1-255-94-1></p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
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|--------------|-------------|--|---|
| | 23 | <p>(c) CENTERS</p> <p>Installation originating the photograph or slide will retain the negative and one print of each of its serially numbered NASA photographs.</p> <p>(d) DAMAGED NASA HEADQUARTERS STILL PHOTOGRAPH COLLECTION – CLOSED SERIES</p> <p>2. AMES RESEARCH CENTER (ARC)</p> <p>The official ARC photo collection resides with the Imaging Technology Branch. Collection consists of master still negatives, photographs, and/or slides, maintained on a computerized indexed system accessed via key word search (system covers Dryden Flight Research Facility collection/records).</p> <p>(a) One print and master negative along with associated indexes/finding aids. (Starting January 1983 and forward.)</p> <p>(b) Master negatives 1939-1949 – CLOSED SERIES</p> <p>(c) Master negatives 1950-1960 – CLOSED SERIES</p> <p>(d) Master negatives 1961-1971 – CLOSED SERIES</p> <p>(e) Master negatives 1972-1982 – CLOSED SERIES</p> <p>3. KENNEDY SPACE CENTER (KSC)</p> <p>(a) Space Transportation System (STS)</p> | <p>*PERMANENT* RETIRE TO LOCAL FRC IN ONE YEAR BLOCKS WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 25 YEARS OLD OR SOONER. <DA: N1-255-94-1></p> <p>* PERMANENT * TRANSFER ANNUALLY 1 YEAR AS IT BECOMES 11 YEARS OLD. (THIS DISPOSITION STARTS WITH RECORDS DATED AFTER 1983.) <DA: N1-255-94-1></p> <p>* PERMANENT * RETAIN NEGATIVES ON-SITE FOR 5 YEARS. TRANSFER ORIGINALS AND ONE CAPTIONED PRINT (WHERE AVAILABLE) TO THE NATIONAL ARCHIVES, STILL PICTURES BRANCH (NNSP), COLLEGE PARK, MD, WHEN 5 YEARS OLD. INDEXES AND FINDING AIDS SHOULD BE TRANSFERRED WITH THE RECORDS. <DA: N1-255-94-1</p> |

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|--------------|-------------|--|--|
| | 23 | <p>(b) STS Research and Development. Records include STS R&D coverage, training, and construction progress stills.</p> <p>4. STENNIS PHOTOGRAPHIC COLLECTION (SSC)</p> <p>Collection consists of master still negatives, photographs, and/or slides used for the visual presentation of information to the public. Records are tracked and logged in a computerized database which documents each picture by SSC negative numbers, date, name, and general caption/description.</p> <p>Official records are maintained by the Stennis Graphics Department as the office of primary responsibility, not by the requesting office or project.</p> <p>(a) One print and master negative along with associated printout of computerized database/index.</p> <p>(b) Stennis Official Photographic Collection dated:</p> <p>(1) 1962 through 1967 – CLOSED SERIES</p> <p>(2) 1968 through 1973 – CLOSED SERIES</p> <p>5. LANGLEY RESEARCH CENTER (LaRC)</p> <p>The original numbered photographic negative collection and associated logs. This collection consists of records dated 1958 and beyond, considered as a part of the National Aeronautics and Space Administration (NASA) collection. These negatives will be grouped in 5-year blocks along with their logs and associated finding aids.</p> | <p>* PERMANENT * RETAIN NEGATIVES ON-SITE FOR 5 YEARS. TRANSFER ORIGINALS AND ONE CAPTIONED PRINT (WHERE AVAILABLE) TO THE NATIONAL ARCHIVES, STILL PICTURES BRANCH (NNSP), COLLEGE PARK, MD, 20740 WHEN 5 YEARS OLD. INDEXES AND FINDING AIDS SHOULD BE TRANSFERRED WITH THE RECORDS. <DA: N1-255-94-1></p> <p>* PERMANENT * TRANSFER IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. (THIS DISPOSITION STARTS WITH THE RECORDS DATED JANUARY 1, 1974.) <DA: N1-255-94-1></p> <p>* PERMANENT * NEGATIVES AND LOGS THAT ARE A PART OF THE NASA COLLECTION WILL BE TRANSFERRED IN 5 YEAR BLOCKS WHEN NO LONGER NEEDED BY THE AGENCY FOR ACTIVE USE OR WHEN 30 YEARS OLD, WHICHEVER IS SOONER. [N1-255-89-5]</p> |

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| | 23 | <p>6. GLENN RESEARCH CENTER (GRC)</p> <p>Currently GRC collection consists of approximately 10 years of "C#" pictures stored on-site at GRC with the remaining stored at Sandusky, Ohio. Collection is dated from 1941 to present (pre-1980 majority B/W; post-1980 majority Color). Stills are kept chronologically by "C#". Launch photography is not a part of the C-collection.</p> <p>(a) "C" Collection.</p> <p>Glenn "C#" Collection will be transferred in 5 year blocks as indicated:</p> <p>[One master print, if available, and associated indexes/logs or other finding aids, if available.]</p> <p>NOTE: GRC is currently underway with a project whereby this "C" collection is being transferred to an electronic/computerized access system. Therefore, TRANSFER to the National Archives is based on completion of this project.</p> <p>(1) 1941 through 1971 – CLOSED SERIES</p> <p>(2) 1972 and Continuing:</p> <p>(b) "CC," "CS," and "CD" Collections.</p> <p>Files in these collections consist of graphic artwork, photographs, and copies of the Center Director's annual message to GRC.</p> <p>(1) CLOSED SERIES</p> <p>(2) CLOSED SERIES</p> <p>(3) "CD" Collection [Cleveland Drawing] This is a collection of GRC original artwork.</p> <p>NOTE: This is a CONTINUING series/collection.</p> | <p>* PERMANENT * NEGATIVES AND LOGS THAT ARE A PART OF THE COLLECTION WILL BE TRANSFERRED IN 5 YEAR BLOCKS WHEN NO LONGER NEEDED BY THE AGENCY FOR ACTIVE USE OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-1></p> <p>* PERMANENT * TRANSFER ONE 35MM SLIDE AND ONE PRINT IN 5 YEAR BLOCKS WHEN 20 YEARS OLD, STARTING JANUARY 31, 1998. <DA: N1-255-94-1></p> |

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| | 23 | <p>(c) Portraits – Photos not paintings.</p> <p>This collection consists of portraits of high-level center officials (1 master negative plus 1 print), and are maintained by the officials last name.</p> <p>NOTE: This collection is being converted to an electronic system and will be transferred to the National Archives after conversion and capture of the portraits on the new system has occurred.</p> <p>C. <u>R&D STILLs</u></p> <ol style="list-style-type: none"> 1. SELECTED PROJECT CASE FILES 2. NON-SELECTED PROJECT CASE FILES 3. CENTER PHOTO LABS/OFFICES <p>Duplicate copies of above stills (Items 23-C-1 and C-2) that are maintained in the Center photo lab, audiovisual office, or any other office as reference copies.</p> | <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD. <DA: N1-255-94-1></p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/101.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/103 OR 8/107.</p> <p>THIS SERIES MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 2630 | 24 | <p>VIDEO PRODUCTIONS</p> <p>NOTE: Record elements consist of an ORIGINAL and a duplicate, if available for all * PERMANENT * items. FOLLOW CENTER SPECIFIC DISPOSITION IF ONE IS PROVIDED.</p> <p>A. <u>FINISHED PRODUCTIONS</u></p> <ol style="list-style-type: none"> 1. DOCUMENTARIES <p>Documentary style finished video productions which document installation projects, programs, or the mission of the Agency/ Center, such productions may include but are not limited to:</p> <ul style="list-style-type: none"> ⊗ Aeronautics and Space Reports <ol style="list-style-type: none"> 2. MISCELLANEOUS PRODUCTIONS <p>Finished video productions such as the following, but not limited to:</p> <ul style="list-style-type: none"> ⊗ Training Classes ⊗ Meetings/Conferences or Seminars <ol style="list-style-type: none"> 3. LANGLEY RESEARCH CENTER | <p>* PERMANENT * PRODUCTIONS ARE TRANSFERRED TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION, NONTEXTUAL DIVISION, ON AN ANNUAL BASIS OR AS CREATED. TWO COPIES OF EACH PRODUCTION WILL BE PROVIDED. ONE MASTER (FINISHED PRODUCTION) AND ONE DUPLICATE COPY. <DA: N1-255-94-1></p> <p>DESTROY OR REUSE WHEN NO LONGER NEEDED OR WHEN 1 YEAR OLD, WHICHEVER IS LONGER. <DA: N1-255-94-1> <DA: N1-255-09-1></p> |

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| | 24 | <p>(a) FINISHED PRODUCTIONS – (See description above)</p> <p>(b) R&D TECHNICAL RESEARCH</p> <p>These videos are taped per customer requests of pure R&D projects such as testing data and footage of experiments, etc. The original footage is returned to the researcher/scientist as the requesting customer.</p> <p>4. JOHNSON SPACE CENTER (JSC) NOTE: See NRRS 8, Item 25A.</p> <p>(a) MISSION VIDEO - MASTERS</p> <p>Consists of launch/landing; JSC downlinks (1 original and 1 converted to color); pre-mission and post-mission press conferences; and, on-board recordings.</p> <p>NOTE: Records are to be recopied every 10 years and with TRANSFER at 30 years. Included with transfer at 30, will be the earliest generation available in a then current professional video format and will include a reference copy, if available.</p> <p>(b) MISSION VIDEO - COPIES / DUPLICATES</p> <p>(c) MISCELLANEOUS ACTIVITIES</p> <ul style="list-style-type: none"> ⊗ Test and Training Activities ⊗ Productions (Scripted), i.e., General Information/Training ⊗ Documentaries of Press Conference(s)/Special Events <p>5. STENNIS SPACE CENTER (3/4" format only)</p> <p>Documentary style productions on center projects and mission, including R&D projects and documentaries.</p> <p>B. <u>STILL VIDEO PHOTOGRAPHY</u></p> <p>STENNIS SPACE CENTER (SSC) GLENN RESEARCH CENTER (GRC)</p> | <p>*PERMANENT * TRANSFER IN 5 YEAR BLOCKS WHEN 10 YEARS OLD. <DA: N1-255-94-1></p> <p>DESTROY WHEN NO LONGER NEEDED FOR RESEARCH REFERENCE AND EVALUATION OF SCIENTIFIC DATA. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * MASTER MEDIA WITH ALL IDENTIFYING INFORMATION. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD. <DA: N1-255-94-1></p> <p>RETAIN AT JSC IN STORAGE. DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>DESTROY OR REUSE AFTER 30 DAYS. <DA: N1-255-94-1> <DA: N1-255-09-1></p> <p>* PERMANENT * TRANSFER ANNUALLY TO THE NATIONAL ARCHIVES ONE ORIGINAL MASTER AND ONE DUPLICATE COPY OF THE VIDEO. <DA: N1-255-94-1></p> <p>* PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 20 YEARS OLD <DA: N1-255-94-1></p> |

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| | 24 | <p>The graphics department or photo lab, as appropriate, will take the digital image and transfer the permanent information from the 2x2 disk to optical disk or the archival media acceptable at the time of transfer. Data consists of R&D or mission related documentation and is usually time sensitive.</p> <p>C. <u>R&D VIDEOS</u></p> <ol style="list-style-type: none"> 1. SELECTED PROJECT CASE FILES 2. NON-SELECTED PROJECT CASE FILES 3. CENTER PHOTO LABS/OFFICES <p>Duplicate copies of the above videos (Items 24-C-1 and C-2) that are maintained in the Center photo lab, audiovisual office, or any other office as reference copies.</p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/101.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/103 OR 8/107.</p> <p>THIS SERIES MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 2630 | 25 | <p>PASSPORT FILES</p> <p>Personnel identification or passport photographs. RETURN ORIGINAL TO REQUESTOR.</p> | <p>DESTROY WHEN 5 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER. [GRS 21-2](N 22-3)</p> |
| 2800 | | Information Technology (IT) Management | |
| 2800 | 26 | <p>RECORDS OF THE CHIEF INFORMATION OFFICER</p> <p>This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices</p> <p>A. <u>INFORMATION TECHNOLOGY (IT) PROGRAM PLANNING RECORDS</u></p> <p>Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.</p> <p>Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to the National Archives.</p> | <p>CUT OFF ANNUALLY. DESTROY/DELETE WHEN 7 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. [GRS 27-1]</p> |

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| | 26 | <p>B. <u>IT SYSTEM COMPLIANCE RECORDS</u></p> <p>Records documenting analyses of systems, applications, or collections of information for compliance with Federal and Agency requirements (e.g. IPTAs and PIAs).</p> <p>C. <u>SYSTEM ADMINISTRATIVE MANAGEMENT RECORDS</u></p> <p>Summary data and ad hoc reports about IT systems and applications created for administrative management purposes. Records may consist of individual entries from databases maintained for compliance purposes as described in item B.</p> <p>D. <u>ENTERPRISE ARCHITECTURE RECORDS</u></p> <p>Records identifying the IT systems and networks required to perform the agency’s mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency’s baseline architecture, target architecture, and related sequencing plans.</p> <p>E. <u>IT CAPITAL INVESTMENT RECORDS</u></p> <p>Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and clearance and review records.</p> <p>Note: Records needed to support contracts are scheduled under Schedule 5.</p> <p>F. <u>LEGAL AND REGULATORY COMPLIANCE RECORDS</u></p> <p>Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.</p> <p>G. <u>CIO COMMITTEE RECORDS</u></p> <p>Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> | <p>TEMPORARY. RETAIN UNTIL ANALYSIS/ASSESSMENT IS SUPERSEDED AND DESTROY ONE YEAR AFTER DECOMMISSION OF THE SUBJECT SYSTEM/APPLICATION OR COLLECTION TERMINATION. <DAA: 255-14-0002></p> <p>TEMPORARY. UPDATE WHEN DATA OR RECORDS ARE SUPERSEDED; DESTROY WHEN NO LONGER NEEDED FOR AGENCY BUSINESS PURPOSES. <DAA: 255-14-0002></p> <p>CUT OFF WHEN SUPERSEDED BY A NEW ITERATION OF THE ENTERPRISE ARCHITECTURE. DESTROY/DELETE WHEN 7 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER [GRS 27-2]</p> <p>CUT OFF ANNUALLY. DESTROY/DELETE WHEN 7 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER [GRS 27-3]</p> <p>CUT OFF ANNUALLY. DESTROY/DELETE WHEN 5 YEARS OLD. [GRS 27-4]</p> <p>CUT OFF ANNUALLY. DESTROY/DELETE WHEN 5 YEARS OLD [GRS 27-5].</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| | 26 | Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. | |
| 2800 | 27 | <p>INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS</p> <p>A. <u>OVERSIGHT AND COMPLIANCE FILES</u></p> <p>Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.</p> <ol style="list-style-type: none"> 1. Performance measurements and benchmarks. 2. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. <p>Note: See item C2 for performance files relating to systems.</p> <p>B. <u>IT FACILITY, SITE MANAGEMENT, AND EQUIPMENT SUPPORT SERVICES RECORDS.</u></p> <p>Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.</p> <p>C. <u>IT ASSET AND CONFIGURATION MANAGEMENT FILES.</u></p> <ol style="list-style-type: none"> 1. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. | <p>DESTROY 5 YEARS AFTER THE PROJECT / ACTIVITY / TRANSACTION IS COMPLETED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-040]</p> <p>DESTROY 5 YEARS AFTER THE PROJECT / ACTIVITY / TRANSACTION IS COMPLETED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-040]</p> <p>DESTROY 3 YEARS AFTER AGREEMENT, CONTROL MEASURES, PROCEDURES, PROJECT, ACTIVITY, OR TRANSACTION IS OBSOLETE, COMPLETED, TERMINATED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-020]</p> <p>DESTROY 3 YEARS AFTER AGREEMENT, CONTROL MEASURES, PROCEDURES, PROJECT, ACTIVITY, OR TRANSACTION IS OBSOLETE, COMPLETED, TERMINATED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-020]</p> |

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| | 27 | <p>2. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow- up, and impact assessment of operational networks and systems. Includes, but is not limited to:</p> <p>(a) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.</p> <p>(b) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p> <p>Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of item C2(a).</p> <p>D. <u>SYSTEM BACKUPS AND TAPE LIBRARY RECORDS.</u></p> <p>1. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p> <p>(a) Incremental backup tapes.</p> <p>(b) Full backup tapes.</p> <p>Note: See Schedule 2/H, for backups of master files and databases.</p> <p>2. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.</p> | <p>DESTROY 5 YEARS AFTER SYSTEM IS SUPERSEDED BY A NEW ITERATION, OR IS TERMINATED, DEFUNDED, OR NO LONGER NEEDED FOR AGENCY/IT ADMINISTRATIVE PURPOSES, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-030]</p> <p>DESTROY 3 YEARS AFTER AGREEMENT, CONTROL MEASURES, PROCEDURES, PROJECT, ACTIVITY, OR TRANSACTION IS OBSOLETE, COMPLETED, TERMINATED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-020]</p> <p>DESTROY WHEN SUPERSEDED BY A FULL BACKUP, OR WHEN NO LONGER NEEDED FOR SYSTEM RESTORATION, WHICHEVER IS LATER. [GRS 3.2-040]</p> <p>DESTROY WHEN SECOND SUBSEQUENT BACKUP IS VERIFIED AS SUCCESSFUL OR WHEN NO LONGER NEEDED FOR SYSTEM RESTORATION, WHICHEVER IS LATER. [GRS 3.2-041]</p> <p>DESTROY/DELETE WHEN SUPERSEDED OR OBSOLETE. [GRS 4.1-010]</p> |

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| | 27 | <p>E. <u>SYSTEMS AND DATA SECURITY RECORDS</u></p> <p>These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • Published computer technical manuals and guides • Examples and references used to produce guidelines covering security issues related to specific systems and equipment • Records on disaster exercises and resulting evaluations • Network vulnerability assessments • Risk surveys • Service test plans • Test files and data <p>F. <u>SYSTEM ACCESS RECORDS</u></p> <p>These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:</p> <ul style="list-style-type: none"> • User profiles • Log-in files • Password files • System usage files • Audit trail files & extracts • Cost-back files used to assess charges for system use <p>Excluding records relating to electronic signatures. (See PKI Administrative records)</p> <p>1. Systems requiring special accountability for access.</p> <p>These are user identification records associated with systems which are highly sensitive and potentially vulnerable.</p> <p>2. Systems not requiring special accountability for access.</p> <p>These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.</p> | <p>DESTROY 1 YEAR AFTER SYSTEM IS SUPERSEDED BY A NEW ITERATION OR WHEN NO LONGER NEEDED FOR AGENCY/IT ADMINISTRATIVE PURPOSES TO ENSURE A CONTINUITY OF SECURITY CONTROLS THROUGHOUT THE LIFE OF THE SYSTEM. [GRS 3.2-010]</p> <p>DESTROY 6 YEARS AFTER PASSWORD IS ALTERED OR USER ACCOUNT IS TERMINATED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.2-031]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 3.2-030]</p> |

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| | 27 | <p>G. <u>COMPUTER SECURITY INCIDENT HANDLING, REPORTING AND FOLLOW-UP RECORDS</u></p> <p>A computer incident with the Federal government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, and (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins (“hacks,” including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency report of such incidents both internally and external. Includes records such as reporting forms, reporting tools, narrative reports and background documentation.</p> <ul style="list-style-type: none"> • Reporting forms • Reporting tools • Narrative reports • Background documentation <p>Note: Any significant incidents (e.g., a major system failure of compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA</p> <p>H. <u>INFORMATION TECHNOLOGY OPERATIONS AND MAINTENANCE RECORDS</u></p> <p>These records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as:</p> <ul style="list-style-type: none"> • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: <ul style="list-style-type: none"> ○ reviews, site visits reports, trouble reports, equipment service histories, reports of follow-up actions, related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories | <p>DESTROY 3 YEARS AFTER ALL NECESSARY FOLLOW-UP ACTIONS HAVE BEEN COMPLETED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.2-020]</p> <p>DESTROY 3 YEARS AFTER AGREEMENT, CONTROL MEASURES, PROCEDURES, PROJECT, ACTIVITY, OR TRANSACTION IS OBSOLETE, COMPLETED, TERMINATED OR SUPERSEDED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-020]</p> |

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| | 27 | <ul style="list-style-type: none"> • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations: <ul style="list-style-type: none"> ○ measures of benchmarks, performance indicators, critical success factors, error and exception reporting, self-assessments, performance monitoring, management reports • website administration: <ul style="list-style-type: none"> ○ frames, templates, style sheets, site maps, codes that determine site architecture, change requests, site posting logs, clearance records, requests for correction of incorrect links or content posted, requests for removal of duplicate information, user logs, search engine logs, audit logs • records to allocate charges and track payment for software and services <p>Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p>Note 2: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records.</p> <p>I. <u>FINANCING OF IT RESOURCES AND SERVICES</u></p> <p>Note: Copies of records needed to support contracts should be in procurement files, which are under Schedule 5.</p> <ol style="list-style-type: none"> 1. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements. 2. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. 3. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in Schedule 9/9B and 9/9C. <p>J. <u>IT CUSTOMER SERVICE FILES</u></p> | <p>PROCUREMENT RELATED RECORDS ARE COVERED IN SCHEDULE 5. FINANCIAL TRANSACTIONS ARE COVERED IN SCHEDULE 9.</p> |

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| | 27 | <p>1. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.</p> <p>2. Help desk logs and reports and other files related to customer query and problem response; customer requests not covered elsewhere in this schedule; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.</p> <p>K. <u>INFRASTRUCTURE PROJECT RECORDS</u></p> <p>Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications, Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none"> • Maintaining network servers, desktop computers, and other hardware • Installing and upgrading network operating systems and shared applications • Providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. <p>Includes records such as:</p> <ul style="list-style-type: none"> • Installation and testing records • Installation reviews and briefings • Quality assurance and security review • Requirements specifications • Technology refresh plans • Operational support plans • Test plans • Models, diagrams, , schematics, and technical documentation <p>Exclusion: Records relating to specific systems that support or document mission goals are covered by NRRS 8/101-117.</p> <p>Note: Records concerning the development of each information technology (IT) system and software application are covered under NRRS 2/14.C, System Development Records.</p> <p>L. <u>PUBLIC KEY INFRASTRUCTURE (PKI) RECORDS</u></p> <p>Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and</p> | <p>DESTROY/DELETE 1 YEAR AFTER RECORD IS SUPERSEDED OR OBSOLETE. [GRS 24-10a]</p> <p>DESTROY/DELETE WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED FOR REVIEW AND ANALYSIS, WHICHEVER IS LATER. [GRS 24-10b]</p> <p>DESTROY 5 YEARS AFTER PROJECT IS TERMINATED, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 3.1-010]</p> |

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| | 27 | <p>procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.</p> <p>Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine with PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.</p> <p>1. PKI ADMINISTRATIVE RECORDS</p> <p>Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.</p> <p>Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine with PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.</p> <p>(a) Federal Bridge Certification Authority (FBCA) Certification Authorities (CAs)</p> <p>(b) Other (non-FBCA ET. AL.) Certification Authorities (CAs)</p> <p>2. PKI TRANSACTION-SPECIFIC RECORDS</p> <p>Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may</p> | <p>DESTROY/DELETE WHEN 7 YEARS 6 MONTHS, 10 YEARS 6 MONTH, OR 20 YEARS 6 MONTHS OLD, BASED ON THE MAXIMUM LEVEL OF OPERATION OF THE CA, OR WHEN NO LONGER NEEDED FOR BUSINESS, WHICHEVER IS LATER. [GRS 3.2-060]</p> <p>DESTROY/DELETE WHEN 7 YEARS 6 MONTHS TO 20 YEARS 6 MONTHS OLD, BASED ON THE MAXIMUM LEVEL OF OPERATION OF THE CA, OR WHEN NO LONGER NEEDED FOR BUSINESS, WHICHEVER IS LATER. [GRS 3.2-061]</p> <p>DESTROY/DELETE WHEN 7 YEARS 6 MONTHS TO 20 YEARS 6 MONTHS OLD, BASED ON THE MAXIMUM LEVEL OF OPERATION OF THE APPROPRIATE CA AND AFTER THE INFORMATION RECORD THE PKI IS DESIGNED TO PROTECT AND/OR ACCESS IS DESTROYED ACCORDING TO AN AUTHORIZED SCHEDULE, OR IN</p> |

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LEGAL AND TECHNICAL RECORDS

SCHEDULE 2
(AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
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| | 27 | <p>vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.</p> <p>Note: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information records. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information records.</p> | <p>THE CASE OF PERMANENT RECORDS, WHEN THE RECORD IS TRANSFERRED TO NARA LEGAL CUSTODY. LONGER RETENTION IS AUTHORIZED IF THE AGENCY DETERMINES THAT TRANSACTION-SPECIFIC PKI RECORDS ARE NEEDED FOR A LONGER PERIOD. [GRS 3.2-062]</p> |
| END OF SCHEDULE | | | |

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NRRS 3: HUMAN RESOURCES (PERSONNEL) RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 3 pertain to the management and operation of NASA personnel functions. These records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of all official personnel folders of civilian employees and other records relating to civilian personnel, wherever located in the Agency. However, records such as the Official Personnel Folders, employee performance records, and the Employee Medical Folders, are maintained according to OPM's Guide to Personnel Recordkeeping (Operating Manual 293-31), which takes precedence over any provisions of this schedule which may be in conflict therewith. This OPM guide prescribes a system of recordkeeping for certain Federal personnel records.

With the exception of electronic records created in central data processing facilities described above, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, under NASA Schedule 2, for General Record Categories, other NASA schedules as appropriate depending on record series, and, NASA Schedule 10, Records Common to Most Offices.

HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------|-------------|---|--|
| 3000-3999 | | HUMAN RESOURCES / PERSONNEL | (see below) |
| 3000 | | Human Resources/Personnel (General) | (see below) |
| 3000 | 1 | <p>OFFICIAL PERSONNEL FOLDER (FILE)</p> <p>Records filed on the RIGHT side of the Official Personnel Folder (OPF) [See 2. for the temporary papers on the LEFT side of the OPF.] Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.</p> <p>NOTE: Master files and data bases created in central data processing facilities to supplement or replace the OPF's are NOT AUTHORIZED for disposal. Such files MUST be scheduled on an SF 115.</p> <p>A. <u>TRANSFERRED EMPLOYEES</u></p> <p>RECORD COPY – HQ - Office of Human Resources and Education</p> <p>B. <u>SEPARATED EMPLOYEES</u></p> <p>RECORD COPY – HQ - Office of Human Resources and Education</p> <p>C. <u>ALL OTHER OFFICES/COPIES</u></p> | <p>SEE FEDERAL PERSONNEL MANUAL FOR INSTRUCTIONS RELATING TO FOLDERS OF EMPLOYEES TRANSFERRED TO ANOTHER AGENCY. [GRS 1-1a] (N 15-1)</p> <p>TRANSFER FOLDER TO NATIONAL PERSONNEL RECORDS CENTER, ST. LOUIS, MO, 30 DAYS AFTER SEPARATION. NPRC WILL DESTROY 65 YEARS AFTER SEPARATION FROM THE FEDERAL SERVICE [GRS 1 – 1b]</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 3000 | 2 | <p>TEMPORARY INDIVIDUAL EMPLOYEE RECORDS</p> <p>All copies of correspondence and forms maintained on the LEFT side of the Official Personnel Folder (OPF) in accordance with Chapter 3 of “The Guide to Personnel Recordkeeping”, EXCLUDING performance-related records.</p> | <p>DESTROY WHEN SUPERSEDED OR OBSOLETE OR UPON SEPARATION OR TRANSFER OF EMPLOYEE, UNLESS SPECIFICALLY REQUIRED TO BE TRANSFERRED WITH THE OPF. [GRS 1-10] (N 15-8)</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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|--|-------------|--|---|
| 3050 | | Equal Opportunity | (see below) |
| 3050 Formerly AFS 3700, Item 3/50 in NPR 1441.1C | 2.5 | <p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS</p> <p>A. <u>AFFIRMATIVE ACTION PLANS (AAP)</u></p> <ol style="list-style-type: none"> 1. Agency copy of consolidated AAPs. 2. Agency feeder plan to consolidated AAPs. 3. Report of onsite reviews of AAPs. 4. Agency copy of annual report of affirmative action accomplishments. 5. Headquarters compiled reports. <p>B. <u>SPECIAL REPORTS</u></p> <p>Reports on specific EEO programs, such as the status of women, minority groups, and mentally challenged. Employment statistics relating to race and sex.</p> <p>C. <u>EQUAL OPPORTUNITY RECORDS</u></p> <ol style="list-style-type: none"> 1. Applications of employees and applicants for employment. 2. Miscellaneous routine records created by EEO offices not covered elsewhere in this item. <p>D. <u>EEO GENERAL</u></p> <p>General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and agency EEO Committee meeting records including minutes and reports.</p> | <p>DESTROY 5 YEARS FROM DATE OF PLAN. [GRS 1-25h(1)] (N 15-27, N 15-28)</p> <p>DESTROY 5 YEARS FROM DATE OF FEEDER PLAN OR WHEN ADMINISTRATIVE PURPOSES HAVE BEEN SERVED, WHICHEVER IS SOONER. [GRS 1-25h(2)]</p> <p>DESTROY 5 YEARS FROM DATE OF REPORT. [GRS 1-25h(3)]</p> <p>DESTROY 5 YEARS FROM DATE OF REPORT. [GRS 1-25h(4)]</p> <p>RETIRE TO FRC WHEN PLANS ARE 5 YEARS OLD. DESTROY WHEN 30 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1></p> <p>DESTROY WHEN 5 YEARS OLD. [GRS 1-25f] (N 15-29)</p> <p>SEE ITEM 13 OF THIS SCHEDULE. [GRS 1-15]</p> <p>ROUTINE RECORDS ARE REVIEWED PERIODICALLY AND ARE RETAINED OR DESTROYED AS REQUIRED BY THIS NPR OTHERWISE RECORDS IN THIS SERIES ARE DESTROYED WHEN 3 YEARS OLD, OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS APPLICABLE.</p> <p>DESTROY WHEN 3 YEARS OLD, OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS APPLICABLE. [GRS 1-25g]</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|---------------------|--|--|
| | 2.5 PASR | <p>E. <u>EQUAL EMPLOYMENT OPPORTUNITY RECORDS (EEO) – NASA 10 EEO</u></p> <ol style="list-style-type: none"> 1. Official Discrimination Complaint Case Files Originating agency’s file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, record of hearings and meetings, and other records as described in EEOC Management Directive 110, Chapter 6, Section III. Cases resolved within the agency, by EEOC, or by a U.S. Court. 2. Copies of Complaint Case Files Duplicate case files or documents pertaining to case files retained in official discrimination complaint case files. 3. Background Files Background record not filed in the Official Discrimination Complaint Case files. Records documenting complaints that do not develop into Official Discrimination Complaint Cases. 4. Compliance Records <ol style="list-style-type: none"> (a) Compliance Review Files Reviews, background papers, and correspondence relating to contractor employment practices. (b) EEO Compliance Reports | <p>DESTROY 4 YEARS AFTER RESOLUTION OF CASE. [GRS 1-25a]</p> <p>DESTROY 1 YEAR AFTER RESOLUTION OF CASE. [GRS 1-25b]</p> <p>DESTROY 2 YEARS AFTER FINAL RESOLUTION OF CASE [GRS 1-25c]</p> <p>DESTROY WHEN 7 YEARS OLD. [GRS 1-25d(1)]</p> <p>DESTROY WHEN 3 YEARS OLD. [GRS 1-25d(2)]</p> |
| 3050 | 2.6 | <p>REASONABLE ACCOMMODATION REQUEST RECORDS</p> <p>Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:</p> <ul style="list-style-type: none"> • Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille; • Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and • Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria. <p>This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included</p> | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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|--------------|-------------|---|--|
| | 2.6 | <p>are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodations(s).</p> <p>A. <u>GENERAL FILES</u></p> <p>Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s), and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.</p> <p>B. <u>EMPLOYEE CASE FILES</u></p> <p>Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists continuing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice or procedures for informal dispute resolution or appeal processes, forms, correspondence, e-mails, records of oral conversations, medical documentation, and notes.</p> <p>[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel files.]</p> <p>C. <u>SUPPLEMENTAL FILES</u></p> <p>Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, e-mails, notes.</p> <p>Note: these records are neither part of an employee's Official Personnel "File (OPF) nor part of a supervisor's unofficial personnel file.</p> <p>D. <u>TRACKING SYSTEM</u></p> <p>Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.</p> | <p>DESTROY THREE YEARS AFTER SUPERCESSION OR WHEN NO LONGER NEEDED FOR REFERENCE WHICHEVER IS LATER (N1-GRS-04-2 item 1a)</p> <p>DESTROY THREE YEARS AFTER EMPLOYEE SEPARATION FROM THE AGENCY OR ALL APPEALS ARE CONCLUDED WHICHEVER IS LATER. (N1-GRS-04-2 item 1b)</p> <p>DESTROY THREE YEARS AFTER END OF FISCAL YEAR IN WHICH ACCOMMODATION IS DECIDED OR ALL APPEALS ARE CONCLUDED, WHICHEVER IS LATER. (N1-GRS-04-2 item 1c)</p> <p>DELETE/DESTROY THREE YEARS AFTER COMPLIANCE REPORT IS FILED OR WHEN NO LONGER NEEDED FOR REFERENCE. (N1-GRS-04-2 item 1d)</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------------------|--|--|
| 3100 | | Executive Human Resources Management (Senior Executive Service (SES)) | (see below) |
| 3100 | 3 PASR | EXECUTIVE RESOURCES MANAGEMENT SYSTEM – NASA 10 ERMS Biographical data, education, training, work experience, and career interests of individuals with experience and education unique to the NASA mission in the technical and administrative fields who are considered to be candidates for key positions within NASA. | RECORDS ARE RETAINED FOR VARYING PERIODS OF TIME DEPENDING ON THE NEED FOR USE OF THE FILES AND ARE DESTROYED OR OTHERWISE DISPOSED OF WHEN NO LONGER NEEDED. [GRS 20 – 3b (1)] |
| 3100 | 4 | INTERAGENCY PERSONNEL AGREEMENTS (IPA) Records in this series consist of confidential files which are assignment agreements authorized by the Intergovernmental Personnel Act of 1970, including all correspondence, the IPA form, and any other related documentation and materials. These files are typically filed by individual’s last name and include IPA Form No. 5069 – 104 plus all associated background documentation. A. <u>RECORD COPY</u> HQ: B. <u>ALL OTHER OFFICES/COPIES</u> | RETIRE TO FRC 2 YEARS AFTER TERMINATION DATE OF AGREEMENT. DESTROY WHEN 10 YEARS OLD. <DA: N1 – 255-89-4> <DA: N1-255-09-1> DESTROY WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3100 | 5 | EXECUTIVE POSITION FILES – PERFORMANCE FILES NOTE: Performance records pertaining to Presidential appointees are not covered under any of these schedule items nor the GRS. Such records, if any, must be scheduled through the local Installation Records Manager and forwarded to the NASA Records Officer for submission and approval to the National Archives and Records Administration. A. <u>NON-SES APPOINTEES</u> (as defined in 5 U.S.C. 4301 (2)) including records on excepted positions. 1. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents. | DESTROY AFTER THE EMPLOYEE COMPLETES 1 YEAR OF ACCEPTABLE PERFORMANCE FROM THE DATE OF THE WRITTEN ADVANCE NOTICE OF PROPOSED REMOVAL OR REDUCTION IN GRADE NOTICE. [GRS 1-23(a)(1)] |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
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|--------------|-------------|---|--|
| | 5 | <p>3. Performance-related records pertaining to a former employee.</p> <p>(a) Latest rating of record 3 years old or less and performance plan upon which it is based and any summary rating.</p> <p>(b) All other performance plans and ratings.</p> <p>4. All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.</p> <p>5. Supporting documents.</p> <p>B. <u>SES APPOINTEES</u> (as defined in 5 U.S.C. 3132a(2)).</p> <p>1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</p> <p>2. Performance-related records pertaining to a former SES appointee.</p> <p>(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.</p> <p>(b) All other performance ratings and plans</p> <p>3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).</p> | <p>PLACE RECORDS ON LEFT SIDE OF THE OPF AND FORWARD TO GAINING FEDERAL AGENCY UPON TRANSFER OR TO NPRC IF EMPLOYEE SEPARATES (SEE ITEM 1b OF THIS SCHEDULE). AN AGENCY RETRIEVING AN OPF FROM NPRC WILL DISPOSE OF THESE DOCUMENTS IN ACCORDANCE WITH ITEM 5A3(b) OF THIS SCHEDULE [GRS 1-23a(3)(a)]</p> <p>DESTROY WHEN 4 YEARS OLD. [GRS 1-23a(3)(b)]</p> <p>DESTROY 4 YEARS AFTER DATE OF APPRAISAL. [GRS 1-23a(4)]</p> <p>DESTROY 4 YEARS AFTER DATE OF APPRAISAL. [GRS 1-23a(5)]</p> <p>DESTROY WHEN SUPERSEDED. [GRS 1-23b(1)]</p> <p>PLACE RECORDS ON LEFT SIDE OF THE OPF AND FORWARD TO GAINING FEDERAL AGENCY UPON TRANSFER OR TO NPRC IF EMPLOYEE LEAVES FEDERAL SERVICE (SEE ITEM 1b OF THIS SCHEDULE). AN AGENCY RETRIEVING AN OPF FROM NPRC WILL DISPOSE OF THOSE DOCUMENTS IN ACCORDANCE WITH ITEM 3/5.B.2(b) OF THIS SCHEDULE. [GRS 1-23b(2)(a)]</p> <p>DESTROY WHEN 5 YEARS OLD. [GRS 1-23b(2)(b)]</p> <p>DESTROY 5 YEARS AFTER DATE OF APPRAISAL [GRS 1-23b(3)]</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|---------------------|--------------------|---|--|
| | 5 | 4. Supporting documents. | DESTROY 5 YEARS AFTER DATE OF APPRAISAL. [GRS 1-23b(4)] |
| 3100 | 6 | NASA-CSC EXECUTIVE ASSIGNMENT FILES Standard Form 171 on each NASA employee GS-15 or over together with additional information gleaned from newspaper, house organs. Also in some cases, security and confidential information. | DESTROY 3 YEARS AFTER SEPARATION. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-49) |
| 3200 | | Personnel Provisions (General) | |
| 3273 | | Inspections, Surveys, and Audits | (see below) |
| 3273 | 7 | MANPOWER SURVEY FILES Documents relating to appraisals, either onsite or by other review procedures, such as Manpower Audit director's Review of Laboratories and Staff Offices. | DESTROY 5 YEARS AFTER APPRAISAL IS CONDUCTED. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 1-35) |
| 3290 | | Personnel Records and Processing | (see below) |
| 3290 | 8 | NOTIFICATIONS OF PERSONNEL ACTIONS Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and notification of all other individual personnel actions, exclusive of those in the Official Personnel Folders, including copies or equivalent, not filed in OPF. A. Chronological file copies, including fact sheets, maintained in personnel offices. B. All other copies maintained in personnel offices. C. Pay or fiscal copy. (NOT filed in OPF) | DESTROY WHEN 2 YEARS OLD. [GRS 1-14a] (N 15-15) DESTROY WHEN 1 YEAR OLD. [GRS 1-14b] DESTROY WHEN RELATED PAY RECORDS ARE AUDITED BY GAO OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-22c, 2-23a] (N 4-5) |
| 3290 | 9 | DUPLICATE COPIES – PERSONNEL FILES (MAINTAINED OUTSIDE PERSONNEL OFFICES) Copies of documents duplicated in the OPF and not provided for elsewhere in this schedule (including employees and military detailees). NOTE: Official file copies are maintained by personnel office. A. <u>SUPERVISOR'S PERSONNEL FILES</u> Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions, copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. | REVIEW ANNUALLY AND DESTROY SUPERSEDED OR OBSOLETE DOCUMENTS; OR DESTROY ALL DOCUMENTS RELATING TO AN INDIVIDUAL EMPLOYEE 1 YEAR AFTER SEPARATION OR TRANSFER. [GRS 1-18a] (N 15-19) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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|---------------------|--------------------|---|---|
| | 9 | B. <u>DUPLICATES</u> Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule. | DESTROY WHEN 6 MONTHS OLD [GRS 1-18b] |
| 3292 | | Development of Personnel Statistics | (see below) |
| 3292 | 10 | STATISTICAL DATA / REPORT FILES A. <u>MANPOWER DATA</u> Reports compilation or other documents created to provide a source of statistical data for use in manpower control activities. B. <u>PERSONNEL OPERATIONS</u> Statistical reports in the operating personnel office and subordinate units relating to personnel. | DESTROY WHEN 5 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 1-34) DESTROY WHEN 2 YEARS OLD. [GRS 1-16] (N 15-17) |
| 3292 | 11 | EMPLOYEE RECORD CARDS Employee record cards used for information purposes outside personnel offices (such as SF 7-B, or Agency internal form). | DESTROY ON SEPARATION OR TRANSFER OF EMPLOYEE. [GRS 1-6] (N 15-5) |
| 3300 | | Employment (General) | (see below) |
| 3300 | 12 | COMPETITIVE PLACEMENT PLAN (CCP) FILES Records consist of files used to advertise vacancy announcements and other related documentation which may include but is not limited to the announcement, materials related to the job/position selection, and the vacancy itself. | RETAIN ON-SITE WITHIN THE PERSONNEL OFFICE AND DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3300 | 13 | EMPLOYMENT APPLICATIONS Applications (Standard Form 171, OF 612, etc.) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF. | DESTROY UPON RECEIPT OF OPM INSPECTION REPORT OR WHEN 2 YEARS OLD, WHICHEVER IS EARLIER. [GRS 1-15] (N 15-16) |
| 3300 | 14 | NASA SPECIAL EMPLOYMENT PROGRAM FILES Applications and correspondence for student aids, summer employees, and co-ops. | DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-50) |
| 3300 | 15 | UTILIZATION REPORTS – EXPERTS AND CONSULTANTS Quarterly and annual reports to OPM relating to the employment and utilization of experts and consultants. | RETAIN UNTIL EXAMINED BY OPM OR DESTROY WHEN 10 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|----------------|--|--|
| 3300 | 16 | CERTIFICATE OF ELIGIBLES FILES Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible. | DESTROY WHEN 2 YEARS OLD. [GRS 1-5] (N 15-4) |
| 3300 | 17 | SERVICE RECORD CARD Service Record Card (Standard Form 7 or its equivalent). Cards showing service records of employees separated or transferred. A. Cards for employees separated or transferred on or before December 31, 1947. B. Cards for employees separated or transferred on or after January 1, 1948. | TRANSFER TO NPRC, ST. LOUIS, MO. DESTROY 60 YEARS AFTER EARLIEST PERSONNEL ACTION DATE. [GRS 1-2a] (N 15-2) DESTROY 3 YEARS AFTER SEPARATION OR TRANSFER OF EMPLOYEE. [GRS 1-2b] |
| 3300 | 18 | 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. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-24) |
| 3300 | 19 PASR | SPECIAL PERSONNEL RECORDS – NASA 10 SPER Individuals covered by this system of records are candidates for and recipients of awards or NASA training, civilian and active duty military detailees to NASA; participants in enrollee programs; Faculty, Science, National Research Council and other Fellows, Associates and Guest Workers including those at NASA Centers but not on NASA rolls; NASA contract and grant awardees and their associates having access to NASA premises and records; individuals with interest in NASA matters including Advisory Committee Members; and prospective employees. Categories include: <ul style="list-style-type: none"> • Special Program Files. • Correspondence and related information to these files. • Special records and rosters. • Agencywide and installation automated personnel information. | "10 SPER" RECORDS ARE NOT AUTHORIZED FOR DISPOSAL AT THIS TIME. PAPER RECORDS ARE RETAINED ON SITE AND ARE DESTROYED OR TRANSFERRED IN ACCORDANCE WITH THE SPECIFIC RECORD SERIES IDENTIFIED IN THIS SCHEDULE. 10 PAYS RECORDS – SEE SCHEDULE 9 (NOTE THESE RECORDS ARE RETAINED FROM 1 TO 3 YEARS DEPENDING ON GAO AUDIT AND/OR DESTROYED OR TRANSFERRED TO NPRC). <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3311 | | Power of Appointment and Removal | (see below) |
| 3311 | 20 | OFFERS OF EMPLOYMENT (APPOINTMENT) Correspondence, letters, and telegrams offering appointments to potential employees. | |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|--|---|
| | 20 | <p>A. <u>ACCEPTED OFFERS</u></p> <p>B. <u>DECLINED OFFERS</u></p> <p>1. When name is received from certificate of eligibles.</p> <p>2. Temporary or excepted appointment.</p> <p>3. All others.</p> | <p>DESTROY WHEN APPOINTMENT IS EFFECTIVE. [GRS 1-4a] (N 15-3)</p> <p>RETURN TO OPM WITH REPLY AND APPLICATIONS. [GRS 1-4b(1)]</p> <p>FILE WITH APPLICATION (SEE ITEM 13 OF THIS SCHEDULE). [GRS 1-4b(2)]</p> <p>DESTROY IMMEDIATELY. [GRS 1-4b(3)]</p> |
| 3312 | | Position Control | (see below) |
| 3312 | 21 | <p>MANPOWER REPORTS</p> <p>A. <u>AUTHORIZATION FILES</u></p> <p>Documents and supporting papers relating to the allocation of manpower spaces to successive echelons.</p> <p>1. Office of Primary Responsibility.</p> <p>2. All other offices/copies.</p> <p>B. <u>REPORTS</u></p> <p>Reports from Centers to NASA Headquarters concerning manpower, and all related papers.</p> <p>1. Centers.</p> <p>2. Headquarters. (SEE ITEM C. BELOW)</p> <p>C. <u>HEADQUARTERS</u></p> <p>Reports compiled from information received from Centers (See B. above)</p> | <p>*PERMANENT* RETIRE TO FRC WHEN 3 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-89-4> (N 1-36)</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED. <DA: N1-255-89-4> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 1-37)</p> <p>DESTROY WHEN 2 YEARS OLD <DA: N1-255-89-4> <DA: N1-255-09-1></p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|---------------------|--------------------|--|--|
| | 21 | <p>1. Headquarters – Agency Level.</p> <p>2. All other offices/copies.</p> | <p>*PERMANENT*</p> <p>OPR: RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-89-4> (N 1-38)</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 3315 | | Career and Career-Conditional Employment | (see below) |
| 3315 | 22 | <p>PUBLIC SERVICE CAREERS EMPLOYEES FILES</p> <p>A. <u>INDIVIDUALS</u> School evaluations, supervisory evaluations, and test scores.</p> <p>B. <u>PROGRAMS</u> Correspondence with Civil Service Commission, Department of Labor Southwest Training Center.</p> | <p>DESTROY WHEN 3 YEARS OLD <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-51)</p> <p>DESTROY WHEN 3 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 3316 | | Temporary and Indefinite Employment | (see below) |
| 3316 | 23 | <p>TEMPORARY INDIVIDUAL EMPLOYEE RECORDS</p> <p>All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of “The Guide to Personnel Recordkeeping”, EXCLUDING performance related records.</p> | <p>DESTROY WHEN SUPERSEDED OR OBSOLETE, OR UPON SEPARATION OR TRANSFER OF EMPLOYEE, UNLESS SPECIFICALLY REQUIRED TO BE TRANSFERRED WITH THE OPF. [GRS 1-10a] (N 15-8)</p> |
| 3330 | | Recruitment, Selection, and Placement | (see below) |
| 3330 | 24 | <p>NASA OUTPLACEMENT PROGRAM</p> <p>Applications, resumes, vacancy announcements and related correspondence.</p> | <p>DESTROY 2 YEARS AFTER REGISTRATION <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-47)</p> |
| 3335 | | Promotion and Internal Placement | (see below) |
| 3335 | 25 | <p>PROMOTION REGISTER FILES</p> <p>Registers or records of job opportunities, application and evaluation statements, and all related papers.</p> | <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-25)</p> |
| 3335 | 26 | <p>REPROMOTION CONSIDERATION FILES</p> <p>Applications and correspondence to and from repromotion eligibles.</p> | <p>DESTROY AFTER REPROMOTION IS ACCOMPLISHED. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-45)</p> |
| 3350 | | Job Retention | (see below) |
| 3350 | 27 | <p>LENGTH OF SERVICE AND SICK LEAVE AWARD FILES</p> <p>Records including correspondence, memoranda reports, computations of service and sick leave, and list of awardees.</p> | <p>DESTROY WHEN 1 YEAR OLD. [GRS 1-12b]</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|---|--|
| | 28 | Reserved | |
| 3350 | 29 | CIVILIAN SERVICE EMBLEM CONTROL FILE Records maintained to control the record of eligibility for an award of civilian service emblems. | DESTROY WHEN 3 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-13) |
| 3352 | | Reemployment Rights | (see below) |
| 3352 | 30 | REEMPLOYMENT PRIORITY FILES Applications, exceptions, and correspondence related to reemployment. | DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-46) |
| 3400 | | Employee Performance and Utilization | (see below) |
| 3400 | 31 | PERFORMANCE AND COMPETENCE FILES Copies of case files (duplicates) of performance rating boards or review, and acceptable level of competence reconsiderations, copies of which have been forwarded to OPM. | DESTROY 1 YEAR AFTER CASE IS CLOSED. [GRS 1-9] (N 15-10) |
| 3400 | 32 | Ph.D. THESES FILES – NASA HEADQUARTERS ONLY Individual copies of dissertations resulting from NASA predoctoral traineeship program. No other copies are retained. | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3400 | 33 | TRAINING RECORDS/FILES – GENERAL EXCLUDING records of formally established schools which train Agency employees in specialized program areas, such as law enforcement and national defense. NOTE: For inputs into, outputs from, and documentation of Training e-systems, see Schedule 2, the following items as appropriate: 15.A and 15.B (inputs), 15.D, 15.E and 15.F (outputs), and 14.D.3 (documentation). A. General records in any format documenting NASA training, including but not limited to: administration; training calendars, schedules, and announcements; course descriptions, objectives, registration and rosters; reports; and tests. B. TRAINING MATERIALS 1. Unique training materials in any format related to NASA’s mission, such as astronaut, payload processing, on-board flight crew training, etc. | DESTROY OR DELETE WHEN 5 YEARS OLD. <N1-255-09-3 <DA: N1-255-09-1> *PERMANENT* CUT OFF WHEN SUPERSEDED OR OBSOLETE. TRANSFER TO THE NATIONAL ARCHIVES 7 YEARS AFTER CUTOFF. <N1-255-09-3> (N 15-39) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | 33 | <p>2. Routine training materials in any format, including but not limited to record copy of manuals, syllabuses, textbooks, and on-line packages.</p> <p>C. With the exception of D below, all training records in any format that are specifically linked to individuals, such as training plans, course completion, certifications resulting from training, test results, on-the-job training, and competencies.</p> <p>D. <u>JOHNSON SPACE CENTER (JSC)</u> <u>All training records in any format linked specifically to Astronauts.</u></p> <p>E. All non-record copies, in any format, of records in above 4 items.</p> | <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. <N1-255-09-3> <DA: N1-255-09-1></p> <p>DESTROY OR DELETE 5 YEARS AFTER SEPARATION OF EMPLOYEE OR WHEN NO LONGER NEEDED, WHICHEVER COMES FIRST.<N1-255-09-3> <DA: N1-255-09-1></p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 8/34.</p> <p>DELETE OR DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-09-3></p> |
| 3410 | | Employee Development (Training) | (see below) |
| 3410 | 34 | <p>TRAINING AGREEMENT FILES</p> <p>Agreements between Civil Service Commission (CSC) and NASA pertaining to training, training standards, and all related documents.</p> | <p>DESTROY 3 YEARS AFTER TERMINATION OF AGREEMENT. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-34)</p> |
| 3410 | 35 | <p>COOPERATIVE TRAINING FILES</p> <p>A. <u>GENERAL TRAINING CASE FILES</u> (not covered in Items 1b-d) by trainee showing history of training and all related documentation.</p> <p>B. <u>SECRETARIAL CO-OP FILES</u> (2-year program)</p> <p>Files consist of documentation and materials related to students in the program and are considered training records. Case files may consist of, but are not limited to, copies of the following documentation: SF 52's, transcripts; progress reports from supervisors; and any other documentation related to the individual in the program.</p> <p>C. <u>APPRENTICESHIP PROGRAM</u> (5-year program)</p> <p>Files consist of documentation and materials related to students in the program and are considered training records. Case files consist of, but are not limited to, copies of the following documentation: SF 52's; transcripts; progress reports from supervisors; and any other documentation related to the individual in the program.</p> | <p>DESTROY RECORDS 3 YEARS AFTER TRAINEE CEASES TRAINING. <DA: N1-255-92-10> <DA: N1-255-09-1> (N 15-35)</p> <p>RECORDS MAY BE RETIRED TO FRC WITHIN 1-YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY RECORDS WHEN 3 YEARS OLD (PROGRAM RECORDS WILL THEN BE 5 YEARS OLD). <DA: N1-255-92-10> <DA: N1-255-09-1></p> <p>RECORDS MAY BE RETIRED TO FRC 1 YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY 3 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM. (PROGRAM RECORDS WILL THEN BE 8 YEARS OLD.) <DA: N1-255-92-10> <DA: N1-255-09-1></p> |

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|---------------------|--------------------|---|--|
| | 35 | D. <u>ENGINEERING AND ADMINISTRATIVE CO-OPS (PROFESSIONAL) CASE FILES</u> (5-year program) (LaRC ONLY) Records in this series consist of SF 52's; copies of 171's; transcripts; progress reports; supervisory comments and/or recommendations; and certificates of completion of the program. | RECORDS MAY BE RETIRED TO FRC 1 YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY RECORDS 5 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM (PROGRAM RECORDS WILL THEN BE 10 YEARS OLD). <DA: N1-255-92-10> <DA: N1-255-09-1> |
| 3410 | 36 | COOPERATIVE PROGRAM SUMMARY FILES (LaRC ONLY) Records in this series consist of profile sheets (cards) that contain information on individuals for files that have been destroyed. These records are summary cards of their history and information originally contained in the case files identified as "Secretarial; Apprenticeship Program; and Engineering and Administrative Co-Ops." These records are not the case file records. Records can exist in either paper or electronic format (including but not limited to printouts and data maintained on personal computers). | DESTROY RECORDS WHEN 25 YEARS OLD, REGARDLESS OF MEDIUM IN WHICH MAINTAINED. <DA: N1-255-92-16> <DA: N1-255-09-1> |
| 3410 | 37 | GRADUATE STUDY PROGRAM RECORDS Records in this series consist of case files of individuals who apply to graduate programs and are accepted. Files may contain copies of transcripts, 171's, letters of authorization to take courses, registration, and applications for graduate study. This is considered a working file and includes records in the Professional Co-Op Educational Training Program (CPETP); the Professional Entrance Training Program (PETP); and the Administrative Training Program (ATP). | RETIRE TO FRC 2 YEARS AFTER COMPLETION OR TERMINATION OF STUDY PROGRAM. DESTROY 8 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM. <DA: N1-255-92-11> <DA: N1-255-09-1> |
| 3410 | 38 | TRAINING – REPORT | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 3/33. |
| 3451 | | Incentive Awards | (see below) |
| 3451 | 39 | 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 WHEN 3 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-14) |
| 3451 | 40 | AWARDS AND PROGRAM FILES – EMPLOYEE A. <u>AWARD CASE FILES</u> 1. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to Agency-sponsored cash and noncash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance awards. 2. Correspondence or memoranda pertaining to awards from other government agencies or private organizations. 3. Reports pertaining to the operation of the Incentive Awards Program. Including statistical data and other documentation pertaining to the program. | DESTROY 2 YEARS AFTER APPROVAL OR DISAPPROVAL. [GRS 1-12a(1)] DESTROY WHEN 2 YEARS OLD. [GRS 1-12a(2)] DESTROY WHEN 3 YEARS OLD. [GRS 1-13] |

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|--------------|-------------|--|--|
| | 40 | <p>B. <u>LENGTH OF SERVICE AND SICK LEAVE AWARD FILES</u></p> <p>C. <u>LETTERS OF COMMENDATION AND APPRECIATION</u> Copies of letters recognizing length of service and retirement, and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.</p> <p>D. <u>AGENCY AWARD NOMINATIONS</u> Records consist of lists or indexes of nominees and/or winners to Agency Award Nominations.</p> <p>E. <u>DEPARTMENT LEVEL AWARD FILES</u> Records relating to awards made at the Departmental level or higher, i.e., Secretary's Awards, Presidential.</p> <p>F. <u>BENEFICIAL SUGGESTIONS</u> Suggestions and reports made thereon and related to.</p> <p>G. <u>SPACE FLIGHT AWARENESS PROGRAM AWARDS</u></p> <ol style="list-style-type: none"> 1. Case file (in any format), including recommendations, approved nomination and related correspondence, for each award, such as Snoopy, Launch Honoree, and other Flight Awareness Program awards. 2. Tracking database containing the essence of awards and awardees. | <p>SEE ITEM 27 OF THIS SCHEDULE.</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 1-12c]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 1-12d]</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 15 YEARS OLD. <DA: N1-255-89-4 <DA: N1-255-09-1></p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 1-91)</p> <p>CUTOFF ANNUALLY AT END OF CALENDAR YEAR THE AWARD WAS APPROVED OR DISAPPROVED. DESTROY OR DELETE 5 YEARS AFTER CUTOFF. <DAA-0255-2016-0004></p> <p>DESTROY DATABASE 5 YEARS AFTER DATE OF LAST ENTRY, OR WHEN NO LONGER NEEDED FOR BUSINESS USE, WHICHEVER IS LATER. <DAA-0255-2016-0004></p> |
| 3452 | | Suggestion System | (see below) |
| 3452 | 40.5 | <p>EMPLOYEE SUGGESTIONS – GENERAL</p> <p><u>NOTE:</u> For inputs into, outputs from, and documentation of Suggestion e-systems, see Schedule 2, the following items as appropriate: 15.A and 15.B (inputs), 15.D, 15.E and 15.F (outputs), and 14.D.3 (documentation).</p> <p>Records of suggestions by employees or visitors, regardless of format, for improvement of workplace or work operations. Records include the suggestion and the related documentation for suggestions administered through an established action process of review and approval/disapproval by individual or committee or through a less formal process of suggestions/questions addressed in real-time within a system or by an individual.</p> | DESTROY OR DELETE WHEN 2 YEARS OLD. <N1-255-09-2> |
| 3500 | | Position Classification, Pay, and Allowances | (see below) |
| 3500 | 41 | <p>POSITION DESCRIPTIONS</p> <p>Files describing established positions including information on title, series, grade, duties and responsibilities.</p> | |

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|--------------|-------------|---|--|
| | 41 | A. <u>RECORD COPY</u> B. <u>ALL OTHER OFFICES/COPIES</u> | DESTROY 2 YEARS AFTER POSITION IS ABOLISHED OR DESCRIPTION SUPERSEDED. [GRS 1-7b] (N 15-6) DESTROY WHEN POSITION IS ABOLISHED OR DESCRIPTION SUPERSEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-89-4> |
| 3500 | 42 | CLASSIFICATION RECORDS A. <u>SURVEYS</u> 1. Classification survey reports on various positions prepared by classification specialists, including periodic reports. 2. Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations. B. <u>APPEALS</u> 1. Case files relating to classification appeals, excluding OPM classification certificate. 2. Certificates of classification issued by OPM. | DESTROY WHEN 3 YEARS OLD OR 2 YEARS AFTER REGULAR INSPECTION, WHICHEVER IS SOONER. [GRS 1-7c(1)] (N 15-21) DESTROY WHEN OBSOLETE OR SUPERSEDED. [GRS 1-7c(2)] DESTROY 3 YEARS AFTER CASE IS CLOSED. [GRS 1-7d(1)] DESTROY AFTER AFFECTED POSITION IS ABOLISHED OR SUPERSEDED. [GRS 1-7d(2)] |
| 3500 | 43 | LEVY AND GARNISHMENT FILES Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees. | DESTROY 3 YEARS AFTER GARNISHMENT IS TERMINATED. [GRS 2-18](N 4-17) |
| 3510 | | Position Classification and Job Evaluation | (see below) |
| 3510 | 44 | POSITION IDENTIFICATION STRIPS Strips such as the former Standard Form 7D used to provide summary data on each position occupied. | DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 1-11](N 15-9) |
| 3530 | | Pay Rates and Systems (General) | (see below) |
| 3530 | 45 | PAY TABLES Records and files consisting of "official" record sets of pay tables. | DESTROY UPON DISCONTINUANCE AND DISESTABLISHMENT OF INSTALLATION. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 4-19) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|----------------|--|---|
| 3550 | | Pay Administration (General) | (see below) |
| 3550 | 46 | PAYROLL RECORDS A. <u>ADMINISTRATIVE REPORT FILES</u> Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration. 1. Reports and data used for workload and personnel management purposes. 2. Reports providing fiscal information on agency payroll. 3. Error reports, ticklers, system operation reports. 4. All other reports and data. B. <u>PAYROLL FILES INCLUDING:</u> Payroll Control Files Payroll Change Files | DESTROY WHEN 2 YEARS OLD. [GRS 2-22b] DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-22c] DESTROY WHEN RELATED ACTIONS ARE COMPLETED OR WHEN NO LONGER NEEDED, NOT TO EXCEED 2 YEARS. [GRS 2-22a] DESTROY WHEN 3 YEARS OLD. [GRS 2-22] SEE SCHEDULE 9 FINANCIAL MANAGEMENT RECORDS |
| 3550 | 47 PASR | PAYROLL SYSTEM – NASA 10 PAYS Records in this system include payroll, employee leave, insurance, labor and human resource distribution, and overtime information. | RECORDS ARE RETAINED FOR AUDIT BY THE GENERAL ACCOUNTING OFFICE AND ARE TRANSFERRED TO THE NATIONAL PERSONNEL RECORDS CENTER, 111 WINNEBAGO STREET, ST. LOUIS, MO 63118, ANYWHERE FROM 1 TO 3 YEARS. THOSE TRANSFERRED TO NPRC WILL BE DESTROYED WHEN 10 YEARS OLD BY NPRC. SEE EACH RECORD CATEGORY WITHIN THIS SCHEDULE FOR SPECIFIC INSTRUCTIONS ON EACH RECORD SERIES. [GRS 2] |
| 3600 | | Time and Attendance | (see below) |
| 3600 | 48 | TIME AND ATTENDANCE REPORTS A. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (i.e., OF 1130); flexitime records; leave applications for jury and military duty, authorized premium pay or overtime, maintained at duty post. Records may be in either machine readable or paper form. | |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|--|---|
| | 48 | <p>1. Payroll preparation and processing copies.</p> <p>2. All other copies (including those as maintained by timekeepers). Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by the Agency or a payroll processor (separate company/organ).</p> <p>B. <u>FLEXTIME ATTENDANCE RECORDS</u></p> <p>Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flextime systems.</p> | <p>DESTROY AFTER GAO AUDIT OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-7] (N 4-2)</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-8]</p> <p>SEE DISPOSITION A.2 ABOVE.</p> |
| 3630 | | Absence and Leave | (see below) |
| 3630 | 49 | <p>LEAVE RECORDS</p> <p>A. <u>LEAVE REQUESTS/APPLICATIONS</u></p> <p>Application for leave, SF 71, or equivalent and supporting papers relating to request for and approval of taking leave.</p> <p>1. If timecard or equivalent has been initialed by employee.</p> <p>2. If timecard or equivalent has <u>not</u> been initialed by employee.</p> <p>B. <u>LEAVE DATA FILES</u></p> <p>Record of employee leave, such as SF 1150, prepared upon transfer or separation</p> <p>1. Original copy of SF 1150.</p> <p>2. Creating Agency copy, when maintained.</p> <p>C. <u>DONATED LEAVE PROGRAM</u></p> <p>Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, Agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.</p> | <p>DESTROY AT END OF FOLLOWING PAY PERIOD. [GRS 2-6a] (N 4-3)</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER [GRS 2-6b]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 3/57D</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 3/57B.</p> <p>BEGINNING IN JANUARY 1994, DESTROY CLOSED CASES ONE YEAR AFTER THE END OF THE YEAR IN WHICH THE FILES ARE CLOSED. [GRS 1-37]</p> |
| 3700 | | Personnel Relations and Services | (see below) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------------------|-------------|--|--|
| See AFS 3050, Item 3/2.5 | 50 | EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS | |
| 3700 | 51 | COMMENDATION/COMPLAINT CORRESPONDENCE FILES Anonymous letters, letters of commendation, complaint, criticism, and suggestions and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. | DESTROY WHEN 3 MONTHS OLD. [GRS 14-5] |
| 3710 | | Personnel Relations | (see below) |
| 3710 | 52 | LABOR MANAGEMENT RELATIONS RECORDS A. <u>GENERAL RECORDS/CASE FILES</u> Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups. 1. Office negotiating agreement. 2. Other offices. B. <u>LABOR ARBITRATION</u> (General) and Case Files Correspondence, forms, and background papers relating to labor arbitration cases. C. <u>LABOR RELATION FILES</u> Work Stoppages/Strikes 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. 1. Headquarters 2. Centers | DESTROY 5 YEARS AFTER EXPIRATION AGREEMENT. [GRS 1-28a(1)] (N 15-44) DESTROY WHEN SUPERSEDED OR OBSOLETE. [GRS 1-28a(2)] DESTROY 5 YEARS AFTER FINAL RESOLUTION OF CASE [GRS 1-28b] PERMANENT RETIRE TO FRC WHEN INACTIVE. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-89-4> DESTROY WHEN 5 YEARS OLD <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3711 | | Employee Management Relations | (see below) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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|---------------------|----------------------|---|---|
| 3711 | 53 | INTERVIEW RECORDS Correspondence, reports and other records relating to interviews with employees, including entrance and exit interview, also complaint interviews. | DESTROY 6 MONTHS AFTER TRANSFER OR SEPARATION OF EMPLOYEE. [GRS 1-8] (N 15-7) |
| 3713 | | <u>Nondiscrimination</u> | (see below) |
| 3713 | 53.5 PASR | HARASSMENT REPORT CASE FILES A. Case files associated with allegations of harassing conduct reported to NASA, including reports of harassment, witness statements, reports of fact-finding activities, findings, recommendations, decisions and corrective actions taken, as well as related correspondence and exhibits. B. Preliminary fact-finding notes and background material not included in the official harassment allegation case files. | CUT OFF WHEN HARASSMENT CASE IS CLOSED. DESTROY 4 YEARS AFTER CUTOFF. <N1-255-11-1> CUT OFF WHEN HARASSMENT CASE IS CLOSED. DESTROY 2 YEARS AFTER CUTOFF. <N1-255-11-1> |
| 3771 | | <u>Employee Grievances and Administrative Appeal</u> | (see below) |
| 3771 | 54 | GRIEVANCE, DISCIPLINARY AND ADVERSE ACTION FILES A. <u>ADMINISTRATIVE GRIEVANCE FILES</u> Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. B. <u>APPEAL RECORD FILES</u> Copy of decisions rendered, review decisions, related correspondence, and other documentation, except record copies of official documents affecting personnel actions. C. <u>ADVERSE ACTION FILES AND PERFORMANCE-BASED ACTIONS</u> Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF. | DESTROY 5 YEARS AFTER CASE IS CLOSED. [GRS 1-30a] DESTROY 7 YEARS AFTER CASE IS CLOSED. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-43) DESTROY 5 YEARS AFTER CASE IS CLOSED. [GRS 1-30b] |
| 3800 | | <u>Insurance and Annuities</u> | (see below) |
| 3800 | 55 | INSURANCE DEDUCTION FILES Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions. | DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-15b] (N 4-16) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|---|
| 3800 | 56 | <p>NASA EMPLOYEES BENEFIT ASSOCIATION INSURANCE FILES (NEBA) (DFRF ONLY)</p> <p>Records in this series may include but are not limited to the following NASA Employees Benefit Association (NEBA) general correspondence, material related to insurance claims related to life/travel, correspondence claims, bank statements and quarterly reports, distribution surveys, audit reports, and reports on unliquidated obligations.</p> <p>A. <u>ORIGINAL DOCUMENTATION</u></p> <p>B. <u>ALL OTHER COPIES</u></p> | <p>RETIRE RECORDS/CASE FILES TO FRC ONE YEAR AFTER FISCAL YEAR IN WHICH CLAIM/CASE OR REPORT IS RECEIVED, COMPLETED, OR CLOSED. DESTROY FILES 6 YEARS AND 3 MONTHS AFTER THE END OF THE FISCAL YEAR IN WHICH THE RECORDS WERE CREATED, RECEIVED, OR CLOSED. <DA: N1-255-89-4> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 3810 | | Injury Compensation | (see below) |
| 3810 | 56.5 | <p>INJURY COMPENSATION FILES</p> <p>A. Center or other office's case files for Worker's Compensation Program claims for on-the-job injuries, including copies of medical reports, forms, correspondence, related investigatory records, decisions, and any other material pertinent to the case, whether or not a claim for compensation was made. EXCLUDING copies of any payment records filed in the Employee's Payroll Records, copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.</p> <p>B. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>C. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> | <p>CUT OFF ON TERMINATION OF COMPENSATION OR WHEN DEADLINE FOR FILING A CLAIM HAS PASSED. DESTROY 3 YEARS AFTER CUTOFF. [GRS 1-31]</p> <p>DESTROY/DELETE WITHIN 180 DAYS AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED. [GRS 1-43.a]</p> <p>DESTROY/DELETE WHEN DISSEMINATION, REVISION, OR UPDATING IS COMPLETED. [GRS 1-43.b]</p> |
| 3831 | | Retirement | (see below) |

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|--------------|-------------|--|--|
| 3831 | 57 | <p>EMPLOYEE SEPARATION RECORDS</p> <p>A. <u>SEPARATION PROGRAM MANAGEMENT RECORDS</u></p> <p>Records documenting the general work process to release career, temporary, and political-appointment employees from employment status.</p> <p>Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as sf-2807, sf-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends <ol style="list-style-type: none"> 1. Records not specific to an agency separation initiative. 2. Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. <p>B. <u>INDIVIDUAL EMPLOYEE SEPARATION CASE FILES</u></p> <p>Records not included in separating employee’s Official Personnel Folder (OPF), documenting individual employees’ transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government.</p> <p>Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determination of settlement) • copy of leave record (see “Record of employee leave,” item 49.B of this schedule, for record copy) retained for agency use | <p>TEMPORARY. DESTROY WHEN NO LONGER REQUIRED FOR BUSINESS USE [GRS 2.5-010]</p> <p>TEMPORARY. DESTROY 2 YEARS AFTER DATE OF PROGRAM CLOSURE. [GRS 2.5-011]</p> <p>TEMPORARY. DESTROY 1 YEAR AFTER DATE OF SEPARATION OR TRANSFER. [GRS 2.5-020]</p> |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|--|---|
| | 57 | <p>Exclusion: records required to be filed in employee's OPF are excluded from this item.</p> <p>C. RECORDS DOCUMENTING CAPTURE OF INSTITUTIONAL AND SPECIALIZED KNOWLEDGE</p> <p>Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p> <p>D. INDIVIDUAL EMPLOYEE SEPARATION RECORDS REQUIRED TO BE PLACED IN SEPARATING EMPLOYEE'S OPF</p> <p>As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary | <p>TEMPORARY. DESTROY WHEN NO LONGER REQUIRED FOR BUSINESS USE. [GRS 2.5-030]</p> <p>FILE ON LEFT SIDE (SHORT TERM) OR RIGHT SIDE (LONG TERM) OF THE OFFICIAL PERSONNEL FOLDER (OPF), AS APPROPRIATE. [GRS 2.5-040]</p> |
| 3850 | | Unemployment Compensation | (see below) |
| 3850 | 58 | <p>UNEMPLOYMENT COMPENSATION DATA REQUEST FILES</p> <p>Requests for wage and separation data to be used in connection with unemployment compensation claims, and related papers, including requests for information, notice of refusal of work offer, and related papers.</p> | <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 4-18)</p> |
| 3870 | | Group Life Insurance | (see below) |
| 3870 | 59 | <p>MONETARY BENEFITS FILES</p> <p>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.</p> | <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 15-23)</p> |
| 3900 | | General and Miscellaneous | (see below) |
| 3900 | 60 | <p>MISCELLANEOUS CORRESPONDENCE AND FORMS – PERSONNEL</p> <p>Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.</p> | |

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HUMAN RESOURCES (PERSONNEL) RECORDS

**SCHEDULE 3
(AFS 3000-3999)**

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|---------------------|--------------------|--|--|
| 3900 | 60 | A. <u>CORRESPONDENCE AND FORMS RELATING TO PENDING PERSONNEL ACTIONS</u> B. <u>RETENTION REGISTERS</u> C. <u>ALL OTHER CORRESPONDENCE AND FORMS</u> | DESTROY WHEN ACTION IS COMPLETED. [GRS 1-17a] (N 15-18) ITEM DISCONTINUED. RECORDS COVERED BY ITEM 3/57A. DESTROY WHEN 6 MONTHS OLD. [GRS 1-17c] |
| 3940 | | <u>Charity Drives, Contributions, and Solicitations</u> | (see below) |
| 3940 | 61 | <u>CHARITY DRIVES, CONTRIBUTIONS, AND OTHER ACTIVITIES</u> A. Records of quasi-official nature, memoranda, and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, voluntary activities, and similar papers. B. Records which document and serve as the basis for official actions. | DESTROY IMMEDIATELY, OR WHEN NO LONGER NEEDED FOR REFERENCE, OR UNDER A PREDETERMINED SCHEDULE OR BUSINESS RULE (E.G., IMPLEMENTING THE AUTO-DELETE FEATURE OF "LIVE" ELECTRONIC MAIL SYSTEMS). [GRS 23-7] (N 1-9d) DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 3960 | | <u>United States Savings Bonds</u> | (see below) |
| 3960 | 62 | <u>INDIVIDUAL AUTHORIZED ALLOTMENT(S) FILES</u> A. <u>COMBINED FEDERAL CAMPAIGN AND OTHER ALLOTMENT AUTHORIZATIONS</u> Authorization for individual allotments to the Combined Federal Campaign. B. <u>UNION DUES/SAVINGS</u> Other authorizations, such as union dues and/or savings. C. <u>THRIFT SAVINGS PLAN ELECTION FORM</u> Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan. D. <u>BOND PURCHASE FILES</u> 1. U.S. Savings Bond Authorizations, SF 1192, or equivalent. | DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-15a] (N 4-10) DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER [GRS 2-15b] DESTROY WHEN SUPERSEDED OR AFTER SEPARATION OF EMPLOYEE. [GRS 2-16] DESTROY WHEN SUPERSEDED OR AFTER SEPARATION OF EMPLOYEE. [GRS 2-14a] (N 4-11) |

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HUMAN RESOURCES (PERSONNEL) RECORDS

SCHEDULE 3
(AFS 3000-3999)

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|------------------------|--------------------|---|--|
| | 62 | 2. Bond registration files: issuing Agent's copies of bond registration stubs. 3. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds. | DESTROY 4 MONTHS AFTER DATE OF ISSUANCE OF BOND. [GRS 2-14b] DESTROY 4 MONTHS AFTER DATE OF ISSUANCE OF BOND. [GRS 2-14c] |
| 3981 | | Personnel Authorities | (see below) |
| 3981 | 63 | UTILIZATION OF PERSONNEL AUTHORITIES Office of Personnel Management (OPM) required documentation of the utilization of personnel authorities under OPM delegation agreements. | DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| END OF SCHEDULE | | | |

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NRRS 4: PROPERTY AND SUPPLY RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 4 pertain to NASA property and supply management functions. These records are created and accumulated by organizations that have management control or formulate and prescribe property and supply policies and procedures and by activities and offices applying these procedures. This schedule describes the pertinent records categories and specifies the retention period and disposition for each.

PROPERTY AND SUPPLY RECORDS

SCHEDULE 4
(AFS 4000-4999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------|-------------|--|--|
| 4000-4999 | | PROPERTY AND SUPPLY | (see below) |
| 4000 | | Property and Supply (General) | (see below) |
| 4000 | 1 | FOUND ON STATION FILES Acceptance receipts and other documents supporting the discovery of property on a NASA installation. | DESTROY 3 YEARS AFTER FINAL ACTION. [GRS 5.4-040] (N 12-23) |
| 4020 | | Property Surveys – Lost, Damaged, and Destroyed | (see below) |
| 4020 | 2 | REPORT OF SURVEY FILES Documents maintained for the purpose of review of circumstances concerning the loss, unserviceability, or destruction of Government property of funds, and for determination of the question of pecuniary or other responsibilities. A. Files involving pecuniary liability. B. Report of survey files and other papers used as evidence for adjustment of inventory records and not otherwise covered in this Schedule. C. All other office/copies | RECORDS MAY BE RETIRED TO FRC 2 YEARS AFTER FINAL ACTION. DESTROY 10 YEARS AFTER DATE OF ACTION. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 17-26) DESTROY 2 YEARS AFTER DATE OF SURVEY ACTION OR DATE OF POSTING MEDIUM. [GRS 3-9c] DESTROY WHEN OBSOLETE OR SUPERSEDED, OR 3 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 4100 | | Inventory Management (General) | (see below) |
| 4100 | 3 | FACILITY, SPACE, VEHICLE, EQUIPMENT, STOCK, AND SUPPLY ADMINISTRATIVE AND OPERATIONAL RECORDS Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vehicles, equipment, stocks, and supplies. Includes: <ul style="list-style-type: none"> • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence Exclusion: If records pertain to export control items, the records should be disposed of in accordance with NRRS 2/7.5, EXPORT CONTROL PROGRAM RECORDS. | TEMPORARY. DESTROY WHEN 3 YEARS OLD OR 3 YEARS AFTER SUPERSEDED, AS APPROPRIATE. [GRS 5.4-010] <DAA-GRS-2016-0011-0001> |

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PROPERTY AND SUPPLY RECORDS

SCHEDULE 4
(AFS 4000-4999)

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|---------------------|--------------------|---|--|
| 4100 | 4 | CAPITALIZED EQUIPMENT REGISTER Register showing serial or inventory number of all capitalized equipment currently used or in storage at the Centers. | DESTROY ON DISCONTINUANCE OF INSTALLATION <DA: N1-255-89-4> <DA: N1-255-09-1> (N 18-7) |
| 4120 | | Management of Stores Stock | (see below) |
| 4120 | 5 | COST ACCOUNTING FOR STORES, INVENTORY, AND MATERIALS Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency. Includes: <ul style="list-style-type: none"> • Invoices or equivalent papers used for inventory accounting purposes • Inventory accounting returns and reports • Working files used in accumulating inventory accounting data • Plant account cards and ledgers, other than those pertaining to structures • Cost accounting reports and data • Depreciation list/cost • Contractor cost report re contractor-held-government-owned materials and parts | TEMPORARY. DESTROY WHEN 3 YEARS OLD. [GRS 1.1-040] |
| 4130 | | Physical Inventory | (see below) |
| 4130 | 6 | MECHANIZED PROPERTY AND SUPPLY RECORDS (TRANSACTION REGISTER) | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 4/5. |
| 4200 | | Equipment Management (General) | (see below) |
| 4200 | 7 | SPACE AND MAINTENANCE – GENERAL CLOSED SERIES – These records are no longer maintained by NASA. A. Report(s) from Centers to Headquarters concerning maintenance, repair, and operations. B. Reports consolidated by Headquarters from reports described in Item 9a of this Schedule. C. Correspondence Files Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation and related papers. | |
| 4210 | | Property Accountability and Controls | (see below) |
| 4210 | 7.5 | PERSONAL PROPERTY ACCOUNTABILITY RECORDS Records that document management and accountability of individual pieces of equipment, including their descriptions, acquisition costs, and assigned custodial responsibility. Exclusion: If records pertain to export controlled items, the records should be disposed of in accordance with NRRS 2/7.5, EXPORT CONTROL PROGRAM RECORDS. | RETAIN FOR DURATION OF EQUIPMENT LIFECYCLE, DESTROY UPON DISPOSAL ACTION. [GRS 5.4-040] |

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PROPERTY AND SUPPLY RECORDS

SCHEDULE 4
(AFS 4000-4999)

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|--------------|-------------|---|---|
| 4210 | 8 | <p>PROPERTY FILES</p> <p>Exclusion: If records pertain to export controlled items, the records should be disposed of in accordance with NRRS 2/7.5, EXPORT CONTROL PROGRAM RECORDS.</p> <p>A. <u>PROPERTY PASS</u></p> <p>Property pass documents, authorizing removal of property from any NASA Centers. This includes hand receipts for materials loaned or issued for use and are to be returned.</p> <p>B. <u>LOAN AGREEMENT FILES</u></p> <p>All documentation supporting loans of NASA personal property, including agreements, correspondence, and related documents. Loan agreements are between NASA Centers, organizations within a NASA Center, or between NASA and outside organizations.</p> <p>C. <u>PROPERTY SHIPPING RECORDS</u></p> <p>Documents reflecting the movement of items to/from NASA Centers by a commercial shipper or contractor. Records are normally maintained in the NASA Center Shipping/Receiving organization.</p> | <p>DESTROY 3 MONTHS AFTER EXPIRATION OR REVOCATION. [GRS 18-12]</p> <p>TEMPORARY. DESTROY 3 YEARS AFTER THE END OF THE FISCAL YEAR IN WHICH THE PROPERTY WAS RETURNED. [GRS 5.4-040]</p> <p>DESTROY WHEN 3 YEARS OLD OR 2 YEARS AFTER COMPLETION OF SHIPPING, WHICHEVER IS LATER. [GRS 5.4-040]</p> |
| 4320 | | Disposal of Surplus and Personal Property | (see below) |
| 4320 | 9 | <p>EXCESS PERSONAL PROPERTY AND EQUIPMENT RECORDS</p> <p>Records created in the process of disposing of excess, surplus, or exchange/sale-eligible personal property or artifacts by reutilization, transfer, donation, sale, recycling, abandonment and/or destruction.</p> <p>Includes:</p> <ul style="list-style-type: none"> • excess property inventories and lists • lists and other records identifying approved receivers of excess property • receipts of transfer, donation, or sale • destruction certificates | DESTROY 5 YEARS AFTER DISPOSAL OF ASSET. [GRS 5.4-040] |
| 4320 | 9.5 | <p>ADMINISTRATIVE PROPERTY TRACKING</p> <p>Data maintained in an electronic information system that reflects the essence of personal property records generated over the lifecycle of NASA property.</p> | DESTROY 25 YEARS AFTER LAST SYSTEM ENTRY, OR WHEN NO LONGER REQUIRED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. [GRS 5.4-040] |
| 4360 | | Reporting of Excess Surplus Property | (see below) |
| 4360 | 10 | <p>EXCESS PROPERTY</p> <p>Copies of reports to GSA, correspondence and related papers regarding excess personal property.</p> | DESTROY WHEN 3 YEARS OLD. [GRS 5.4-040] |

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PROPERTY AND SUPPLY RECORDS

SCHEDULE 4
(AFS 4000-4999)

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|--------------|-------------|--|--|
| 4360 | 11 | <p>PLANT CLEARANCE FILES – CONTRACTOR EXCESS PROPERTY</p> <p>These files document the reporting, processing, and disposition of Government furnished property/equipment provided to contractors that has become excess to their needs. These case files can consist of documentation on the excess personal property turned in to the Center Plant Clearance Officer by cost-type onsite contractors.</p> <p>Exclusion: If records pertain to export controlled items, the records should be disposed of in accordance with NRRS 2/7.5, EXPORT CONTROL PROGRAM RECORDS.</p> | <p>DESTROY 3 YEARS AFTER YEAR IN WHICH CASE IS CLOSED. <DA: N1-255-90-7> <DA: N1-255-09-1></p> |
| 4500 | | Storage Distribution | (see below) |
| 4500 | 12 | <p>CONTROLLED MATERIAL FILES</p> <p>A. Reports on allotments, unused balances, and related matters.</p> <ol style="list-style-type: none"> 1. Office of primary responsibility. 2. All other offices/copies. <p>B. Documents, ledgers, and similar documents used to control and account for controlled materials.</p> <ol style="list-style-type: none"> 1. Office of primary responsibility 2. All other offices/copies <p>C. Allotment case files used to control and account for controlled materials.</p> | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 17-15)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 17-17)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1></p> <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 17-10)</p> |
| 4500 | 13 | <p>ALLOCATION FILES - CLOSED SERIES</p> <p>Documents reflecting the distribution of controlled materials from DOD to NASA Headquarters, and further allocations within NASA to allocating agencies. Included are documents indicating material requirements, allocation decisions, tentative allocations, requests for allocation concurrence, allocations, and similar data.</p> | |

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PROPERTY AND SUPPLY RECORDS

SCHEDULE 4
(AFS 4000-4999)

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|--------------|-------------|---|--|
| 4500 | 14 | PRIORITY RATING CASE FILES - CLOSED SERIES Documents used in establishing the priority use of controlled materials by contractors. | |
| 4500 | 15 | DEFENSE MATERIAL SYSTEM INSTRUCTION FILES - CLOSED SERIES Documents providing direction and guidance for the NASA program designed to control materials designated as critical by the Defense Materials System. Included are basic directives, procedures, coordination actions, studies, interpretations, and documents containing factoring data embodied in weight information, engineering estimates, and bills of materials. | |
| | | | |
| | | END OF SCHEDULE | |

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NRRS 5: INDUSTRIAL RELATIONS, PROCUREMENT, GRANTS AND COOPERATIVE AGREEMENT RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 result from the award, management and administration of NASA procurement, grants and cooperative agreements. They are created and accumulated by organizations that have management control or that perform acquisition activities. The schedule describes the resultant records categories and specifies the retention period and disposition instruction for each.

Agency procurement records document the acquisition of physical goods, capital assets, contracted personnel services, and research and other programs, through contracts, grants and cooperative agreements. They also document the Agency's management and administration of its procurement functions, including the reporting on procurement activities, and related matters which are a part of daily procurement operations.

The basic procurement case files reflect a considerable range of acquisition methods, and processes – from simple, small purchases to complicated, prime contractor and subcontractor operations. All Agency acquisitions have official transaction/case files, which contain a minimum core of specified information (either documents or other forms of electronically stored information/data). The information flowing into the transaction case file differs in detail; but, in addition to the purchase instrument, it includes specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence.

Other copies of these documents/ESI, used for expediting and other administrative purposes, are maintained throughout the inspection, shipping function, and other units of the Agency procurement organization and are not considered a part of the official file. Other files related to procurement document the acquisition of real property (by purchase, condemnation, donation, exchange or otherwise) these records are included under Schedule 8 of this NRRS.

All of these documents, along with their associated financial payment or collection information make up the complete Agency official case record. However, this NRRS provides the description, disposition authority and disposition instruction for the financial transaction records associated with acquisitions, grants, and cooperative agreements in Schedule 9 of this NRRS.

INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|--------------|-------------|---|---|
| 5000-5999 | | PROCUREMENT/SMALL BUSINESS/INDUSTRIAL RELATIONS | (see below) |
| 5100 | | Procurement (Contracts) - General | (see below) |
| 5100 | 1 | <p>TRANSACTION RECORDS RELATED TO PROCURING GOODS AND SERVICES</p> <p>Records created in the course of the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel series to be used by the Federal Government.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> • contracts; requisition; purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • memoranda of agreement (copy maintained as part of procurement file) • solicitations/requests for bids, quotations or proposals for contracts (including cancelled solicitations) • proposals, quotations, bids (accepted, rejected, unopened) for contracts (see 5/1/f for bids that are unsolicited and the subject of no further agency action). • contingent fee justifications • legal and financial instruments such as bond and surety records • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices (copy maintained as part of procurement file) • leases • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • competency certificates • investigative reports concerning feasibility of unsolicited proposal(s) <p>A. <u>PROCUREMENT OR PURCHASE ORGANIZATION COPY</u> (i.e. Official record held in the office of record)</p> <ol style="list-style-type: none"> 1. Transactions dated on or after July 3, 1995 2. Transactions dated earlier than July 3, 1995. | <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|---------------------|--------------------|--|---|
| | 1 | <p>3. Selected case (by the AA 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.)</p> <p>B. <u>OBLIGATION COPY</u></p> <p>C. <u>DATA SUBMITTED TO THE FEDERAL PROCUREMENT DATA SYSTEM (FPDS)</u></p> <p>D. <u>HEADQUARTERS FILES PERTAINING TO CONTRACTS AND AMENDMENTS AWARDED BY CENTERS</u></p> <p>E. <u>UNIQUE PROCUREMENT FILES</u></p> <p>1. Unique procurement files located in regional FRC's that are appraised as having permanent value by the National Archives</p> <p>2. Selected case (by the AA 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.</p> <p>F. <u>BIDS AND PROPOSALS NEITHER SOLICITED NOR ACCEPTED.</u></p> <p>Bids and proposals that are both unsolicited and the subject of no further agency action.</p> <p>G. <u>ALL OTHER OFFICES/COPIES OF ANY RECORDS DESCRIBED ABOVE</u></p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1/E2.</p> <p>RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>ITEM DISCONTINUED. THESE RECORDS ARE FOUND IN CONTRACT AND GRANT CASE FILES.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES AT TIME OF NARA APPRAISAL OR WHEN 10 YEARS OLD. <DA: N1-255-94-2></p> <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER FINAL PAYMENT. <DA: N1-255-94-2></p> <p>DESTROY WHEN NO LONGER REQUIRED FOR BUSINESS USE. [GRS 1.1-012]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 1.1-011]</p> |
| 5100 | 2 | <p>PROCUREMENT CONTROL FILES</p> <p>Indexes, registers, logs, or other records relating to control of assigning numbers, or identifying projects, applications, contracts, and grants.</p> | <p>DESTROY WHEN NO LONGER NEEDED. [GRS 4.1-010] (N 17-2)</p> |
| 5100 | 3 | <p>STATUS REPORTS ON PRIME AND SUBCONTRACT AWARDS</p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> |

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|---------------------|--------------------|--|---|
| 5100 | 4 | <p>VENDOR AND BIDDER INFORMATION</p> <p>Documentation of approved, suspended, and debarred vendors and bidders.</p> <p>Exclusion: General Services Administration (GSA) maintains the official government-wide System for Award Management (SAM.gov) that contains vendor information (i.e., Bidders' lists) and also a database of debarments, suspensions, and other exclusionary actions. This retention schedule is ONLY for any bidders' lists maintained outside of and separate from the GSA system.</p> <p>A. <u>APPROVED</u></p> <p>Records of all approved vendors and bidders.</p> <p>B. <u>DEBARRED AND SUSPENDED</u></p> <p>1. Records of suspension and debarments for violation of the Drug-free Workplace Act.</p> <p>2. Records of all other suspensions and debarments.</p> | <p>DESTROY 3 YEARS AFTER REMOVAL FROM APPROVED STATUS. [GRS 1.1-071]</p> <p>DESTROY 5 YEARS AFTER REMOVAL FROM APPROVED STATUS. [GRS 1.1-070 (N 17-7)]</p> <p>DESTROY 3 YEARS AFTER REMOVAL FROM APPROVED STATUS. [GRS 1.1-071]</p> |
| 5100 | 5 | <p>GENERAL PROCUREMENT CORRESPONDENCE</p> <p>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.</p> <p>A. <u>HEADQUARTERS</u></p> <p>B. <u>CENTERS AND ALL OTHER OFFICES/COPIES</u></p> | <p>RETAIN UNTIL REFERENCE VALUE CEASES; THEN DESTROY. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-48)</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 3-2]</p> |
| 5101 | | Federal Acquisition Regulations (FAR) Systems | (see below) |
| 5101 | 6 | CONTRACT LEGAL ADVICE | |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|--------------|-------------|---|---|
| | 6 | Documents pertaining to pre-award contract advice concerning patent, copyright, and technical data matters. | RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE. DESTROY WITH RELATED CONTRACT OR WHEN 25 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-7) |
| 5104 | | Administrative Matters | (see below) |
| 5104 | 7 | BASIC AGREEMENT FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5104 | 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-8) |
| 5104 | 9 | SURVEYS OF EVALUATIONS | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5105 | | Publicizing Contract Actions | (see below) |
| 5105 | 10 | 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-11) |
| 5109 | | Contractor Qualifications | (see below) |
| 5109 | 11 | COMPETENCY CERTIFICATES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5112 | | Acquisition of Commercial Items | (see below) |
| 5112 | 12 | CONTRACT DEVIATION FILES A. HEADQUARTERS B. CONTRACTING OFFICE C. ALL OTHER OFFICES/COPIES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1G. |
| 5115 | | Contracting by Negotiation | (see below) |
| 5115 | 13 | SOURCE EVALUATION BOARD (SEB) FILES | |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | 13 | <p>A. <u>ESTABLISHMENT OF BOARD INCLUDING RECORDS CREATED</u></p> <p>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.</p> <p>B. <u>ACTIONS OF THE ADMINISTRATOR (OR HIS DESIGNEE)</u></p> <p>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).</p> <p>NOTE: These files are separate from the Board's files set forth above in A.</p> | <p>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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-39)</p> <p>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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-21)</p> |
| 5115 | 14 | <p>SOLICITED AND UNSOLICITED BIDS AND PROPOSALS FILES (INCLUDING SUCCESSFUL/UNSUCCESSFUL AND REJECTED BIDS)</p> <p>A. SUCCESSFUL BIDS/PROPOSALS</p> <p>B. UNSUCCESSFUL BIDS/PROPOSALS - SOLICITED & UNSOLICITED</p> <p>C. CANCELLED SOLICITATIONS</p> <p>D. LISTS/CARDS OF BIDDERS</p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/4.</p> |
| 5119 | | Small Business Programs | (see below) |
| 5119 | 15 | <p>QUALIFICATION LISTS</p> <p>Lists of businesses determined to be qualified to participate in the small business program and related documents.</p> | <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-33)</p> |
| 5119 | 16 | <p>SMALL BUSINESS RECORDS</p> <p>A. <u>REPORTS</u></p> <p>Reports received by small business advisors from NASA procurement offices and from contractors regarding the small business procurement program.</p> | <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-32)</p> |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|---------------------|--------------------|--|---|
| | 16 | <p>B. <u>INFORMATION FILES</u></p> <p>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.</p> <p>C. <u>PROGRAM SURVEY FILES</u></p> <p>Documents relating to surveys to analyze the effectiveness of the small business program.</p> <p>D. <u>QUALIFICATION FILES</u></p> <p>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.</p> | <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-28)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-29)</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-30)</p> |
| 5127 | | Patents, Data, and Copyrights | (see below) |
| 5127 | 17 | <p>LICENSING OF NASA-OWNED INVENTIONS (DOMESTIC AND FOREIGN)</p> <p>A. <u>LICENSE GRANTS</u></p> <p>B. <u>INQUIRIES</u> about commercial rights and licensing program.</p> | <p>RECORDS MAY BE RETIRED TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 25 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-10)</p> <p>DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 5127 | 18 | <p>PATENTS (ALSO SEE SCHEDULE 2)</p> <p>A. <u>INFRINGEMENT</u></p> <p>Infringement case files, including correspondence of a general nature regarding patent infringement.</p> <p>B. <u>LICENSES RECEIVED ON PATENTS OR PATENT APPLICATIONS</u> HEADQUARTERS ONLY - (Office of General Counsel)</p> | <p>RETIRE TO FRC 2 YEARS AFTER SETTLEMENT OF CASE. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-11)</p> <p>RETIRE TO FRC 2 YEARS AFTER LICENSE IS NO LONGER ACTIVE. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-12)</p> |
| | | Taxes | (see below) |
| 5129 | 19 | TAX EXEMPTION FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5131 | | Contract Cost Principles and Procedures | (see below) |

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INDUSTRY RELATIONS AND PROCUREMENT

**SCHEDULE 5
(AFS 5000-5999)**

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|---------------------|--------------------|--|---|
| 5131 | 20 | CONTRACTORS' PAYROLL Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certificates, anti-kickback affidavits, and other related papers. | DESTROY 3 YEARS AFTER COMPLETION OF CONTRACT OR CONCLUSION OF CONTRACT BEING SUBJECT TO AN ENFORCEMENT ACTION. [GRS 1.1-050] (N 17-41) |
| 5131 | 21 | COST AND PRICE ANALYSIS FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5133 | | Protests, Disputes, and Appeals | (see below) |
| 5133 | 22 | CONTRACT APPEALS CASE FILES Records of contract appeals arising under the Contract Dispute Act. Includes: <ul style="list-style-type: none"> • notice of appeal • acknowledgement of notice • correspondence • copies of contract, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers | DESTROY 1 YEAR AFTER FINAL RESOLUTION. [GRS 1.1-060] (N 17-6) |
| 5135 | | Research and Development Contracting | (see below) |
| | 23 | 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 24-15) |
| 5137 | | Service Contracting | |
| | 24 | INTERSERVICE INSPECTION FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5142 | | Contract Administration and Audit Services | (see below) |
| 5142 | 25 | CONTRACTOR MONTHLY MANAGEMENT AND OPERATIONS REPORTS | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5149 | | Termination of Contracts | (see below) |
| 5149 | 26 | CONTRACT TERMINATION REPORT FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 5/1A. |
| 5200 | | Contractor Labor Relations | (see below) |
| 5200 | 27 | CONTRACTOR LABOR RELATIONS - EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS (INDUSTRY) A. <u>COMPLIANCE RECORDS</u> Documents relating to the compliance with nondiscrimination in employment contract clauses. | |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|---------------------|--------------------|--|--|
| | 27 | 1. Compliance Review files consisting of reviews, background papers, complaints, special visits, and correspondence relating to contractor employment practices. 2. EEO Compliance Reports. B. <u>CONTRACTOR EEO REPORTS</u> Contract compliance reviews of contractors and affirmative action plans of contractors and equal employment opportunity (EEO-1) reports. C. <u>EEO CLEARANCE PAPERS</u> Memoranda or other documentation from EEO clearing or approving a contractor for compliance with nondiscrimination contract clauses. | DESTROY WHEN 7 YEARS OLD. [GRS 1-25d(1)] (N 17-37) DESTROY WHEN 3 YEARS OLD. [GRS 1-25d(2)] DESTROY WHEN 7 YEARS OLD. [GRS 1-25d(1)] (N 17-46) DESTROY WITH RELATED CONTRACT. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 5300 | | Reliability and Quality Assurance | (see below) |
| 5300 | 28 | UNSATISFACTORY CONDITION REPORTS 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-7) |
| 5300 | 29 | EVALUATION FILES 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-1) |
| 5300 | 30 | R&QA AUDITS, SURVEYS, AND REPORTS A. Documents related to R&QA audits, special studies, status reports, etc., including related correspondence (filed by contract). B. All other or in-house SR&QA Audits, Surveys, and Report files performed. 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. | RETIRE TO FRC 2 YEARS AFTER CONTRACT FINAL PAYMENT. DESTROY 5 YEARS AFTER FINAL PAYMENT. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-11) CLOSE FILE AT END OF SURVEY/AUDIT AT END OF FISCAL YEAR. DESTROY WHEN 9 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY ORIGINAL QSR'S WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|---------------------|--------------------|--|---|
| | 30 | 2. Copies of items in 1. above. | DESTROY WHEN 6 MONTHS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 5300 | 31 | INSPECTION AND PROOF REPORT(S) 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. 1. Paper. Recordkeeping copy. 2. Electronic media. (magnetic tapes, OD, CD ROM.) 3. Photographs. B. Copies of contracts, purchase orders, and related papers pertaining to Government Source Inspection requirements and Procurement Surveillance findings. C. Copies of construction contracts and purchase orders relating to non-significant files, including drawings and quality requirements/inspections. NOTE: The records identified in this item are not necessary for final payment or closure of the contract file. D. Copies of incidental documents in task files such as shop notes and inspection request, etc. relating to Inspection and Proof Reports not covered in A, B, and C above. | DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT. <DA: N1-255-99-2> <DA: N1-255-09-1> (N 20-6) DESTROY/RECYCLE 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT. <DA: N1-255-99-2> <DA: N1-255-09-1> DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT. <DA: N1255-99-2> <DA: N1-255-09-1> DISPOSE OF IN ACCORDANCE WITH ITEM 1 OF THIS SCHEDULE. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY WHEN 4 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY OR DELETE WHEN NO LONGER NEEDED OR WHEN 1 YEAR OLD, WHICHEVER IS SOONER. <DA: N1-255-99-2> |
| 5310 | | General Provisions | (see below) |
| 5310 | 32 | MANUFACTURING CONTROL FILES 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-8) |
| 5310 | 33 | TECHNICAL FILES | |

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INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

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|--------------|-------------|---|---|
| | 33 | Technical records/files on R&QA contracts issued by office. | RETIRE TO FRC WHEN 1 YEAR OLD. DESTROY WHEN 4 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-4) |
| 5320 | | Reliability Policies and Programs | (see below) |
| 5320 | 34 | PARTS PROGRAM MANAGEMENT FILES Parts program management, including Red Flag Reports, discrete and microelectronics parts, and parts data systems. | RETIRE TO FRC 1 YEAR AFTER COMPLETION OF PROJECT. DESTROY WHEN 4 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-3) |
| 5330 | | Quality Policies and Programs | (see below) |
| 5330 | 35 | MANUFACTURING QUALITY CONTROL FILES Documents maintained for detection, prevention, and control of manufacturing defects. A. <u>INSPECTION AND RESOLUTION RECORDS</u> 1. Documents such as in-process inspection sheets, rework records, reports reflecting frequency distribution of manufacturing defects, and related papers. 2. Documents related to third-party audits and certification of manufactured components. | DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 20-5) DESTROY 3 YEARS AFTER CERTIFICATION DATE. <DA: N1-255-00-5> <DA: N1-255-09-1> |
| 5500 | | Patent Waiver | (see below) |
| 5500 | 36 | 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. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 13-19) |
| 5800 | | Grants and Cooperative Agreements | (see below) |
| 5800 | 37 | GRANTS AND COOPERATIVE AGREEMENTS PROGRAM Note: If an organization believes certain program management, case files, and/or the final product or deliverable of a grant or cooperative agreement warrants permanent retention, contact the center records manager to propose a records schedule to cover those records. (See Schedule 9 for records related to financial transactions stemming from activities of agency grant and cooperative agreement programs.) | |

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|--------------|-------------|---|--|
| | 37 | <p>A. <u>GRANT AND COOPERATIVE AGREEMENT CASE FILES</u></p> <p>Official record of applicant case files held in the office of record. Case files containing records relating to the individual grant or cooperative agreements. Records include but are not limited to:</p> <ul style="list-style-type: none"> • proposals, applications, forms, and budget documents • evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • state plans/certifications/assertions, if any (including any submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding) • final architectural and infrastructure drawings for facilities grants • amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like <p>1. SUCCESSFUL GRANT AND COOPERATIVE AGREEMENT APPLICATIONS</p> <p>Case files of the records listed in description above.</p> <p>2. UNSUCCESSFUL GRANT AND COOPERATIVE AGREEMENT APPLICATIONS</p> <p>Records consist of solicited/unsolicited bids/proposals including applications, correspondence, external and internal peer reviews, and other records relating to unsuccessful (rejected or withdrawn) applications.</p> <p>3. ALL OTHER COPIES</p> <p>B. <u>GRANT AND COOPERATIVE AGREEMENT PROGRAM MANAGEMENT RECORDS</u></p> <p>1. 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.</p> <p>(Note: Policies/Procedures that are part of the Formal Directives System are covered in Schedule 1/72.)</p> | <p>DESTROY 10 YEARS AFTER FINAL ACTION IS TAKEN ON FILE. [GRS 1.2-020]</p> <p>DESTROY 3 YEARS AFTER FINAL ACTION IS TAKEN ON FILES. [GRS 1.2-021]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 1 2-022]</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE < DA: N1-255-94-2></p> |

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|--------------|-------------|--|--|
| | 37 | <p>2. Records related to the coordination, implementation, execution, monitoring, and cooperative agreement programs</p> <p>C. <u>FINAL GRANT AND COOPERATIVE AGREEMENT PRODUCTS OR DELIVERABLES</u></p> <p>The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a report, study, or publication; conference paper and/or presentation; book, journal article, or monograph; training material, educational aid, or curriculum content; plan, process, or analysis; database or dataset; final architectural models; audio, video, or still photography; website content or other Internet component; documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building; an instrument, device, or prototype); software or computer code.</p> <p>Note: Not all grants and cooperative agreements result in tangible products or deliverable. Some deliver series, assistance, training, or other intangible, though still measurable, outcomes.</p> | <p>DESTROY 3 YEARS AFTER FINAL ACTION IS TAKEN ON THE FILE. [GRS 1.2-010]</p> <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 1.2-030]</p> |
| 5800 | 38 | <p>FACILITIES GRANTS</p> <p>A. <u>DRAWINGS AND SPECIFICATIONS</u> (Routine)</p> <p>1. Headquarters</p> <p>2. Centers and all other offices/copies.</p> <p>B. <u>PRELIMINARY/PRESENTATION DRAWINGS AND MODELS</u></p> <p>1. Records that relate to the mission of the Agency.</p> <p>(a) Drawings.</p> <p>(b) Architectural models.</p> | <p>RETIRE TO FRC 1 YEAR AFTER FINAL PAYMENT. DESTROY 10 YEARS AFTER FINAL PAYMENT. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-38)</p> <p>DESTROY WHEN NO LONGER NEEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>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. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|---|
| 5800 | 38 | <p>2. Non-significant records for temporary structures and buildings or of buildings not critical to the mission of the Agency.</p> <p>(a) Drawings</p> <p>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.</p> <p>(b) Architectural models prepared for illustrative or presentation purposes.</p> <p>C. <u>CONSTRUCTION FILES OF FEDERAL STRUCTURES</u></p> <p>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.</p> <p>2. Space Assignment Plans consisting of outlines of floor plans indicating occupancy of a building.</p> <p>D. <u>ENGINEERING DRAWINGS OF ROUTINE MINOR PARTS</u></p> <p>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.</p> <p>E. <u>DRAWINGS REFLECTING MINOR MODIFICATIONS</u></p> <p>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.</p> <p>F. <u>PAINT PLANS AND SAMPLES</u></p> <p>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.</p> | <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE. [GRS 17-3 and GRS 17-4]</p> <p>DESTROY WHEN THE FINAL WORKING/ AS-BUILT DRAWINGS HAVE BEEN PRODUCED. [GRS 17-5]</p> <p>DESTROY WHEN THE FINAL WORKING/ AS-BUILT DRAWINGS HAVE BEEN PRODUCED. [GRS 17-5]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE. [GRS 17-6]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE. [GRS 17-8]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE. [GRS 17-9]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE [RS 17-10]</p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

INDUSTRY RELATIONS AND PROCUREMENT

SCHEDULE 5
(AFS 5000-5999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|---|
| | 38 | NOTE: 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 Center Records Manager. | |
| 5900 | | Contractor Financial Management and Reporting | (see below) |
| 5900 | 39 | 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. Exclusion: Item Pricing Files kept as part of the procurement/contract case file are maintained as part of NRRS 5/1/A. This item is ONLY for item pricing files that are NOT maintained as part of the procurement/contract case file. | DESTROY WHEN SUPERSEDED, OBSOLETE, NO LONGER NEEDED FOR REFERENCE, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 17-34) |
| | | | |
| | | END OF SCHEDULE | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

NRRS 6: TRANSPORTATION RECORDS

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

The records described in this schedule pertain to the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, vouchers, and similar records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some of these records used to support payments become a part of the accountable officers' accounts, or are accounting posting media. Their disposition and description may be covered by NASA Records Retention Schedule 9.

Movement of Goods

The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other information which documents the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

Movement of Personnel

These records include copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. These records are covered under Schedule 9.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided for under NASA Schedule 2 and NASA Schedule 10, Records Common to Most Offices.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-----------|------|---|--|
| 6000-6999 | | TRANSPORTATION | (see below) |
| 6000 | | Transportation (General) | |
| 6051 | | Preparation of Government Bills of Lading | (see below) |
| 6051 | 1 | <p>PREPAID BILLS OF LADING</p> <p>A. <u>INBOUND SHIPMENTS</u></p> <p>Documents relating to inbound shipments where freight charges are prepaid by the shipper, Included are receiving documents, commercial bills of lading, freight bills, transit privilege bills of lading cross-reference sheets, similar documents, and related correspondence.</p> <p>B. <u>OUTBOUND SALVAGE</u></p> <p>Documents relating to outbound shipments of salvage or rejected material to consignees who assume necessary freight charges for shipment.</p> <p>C. <u>ALL OTHER COPIES</u></p> | <p>DESTROY WHEN 2 YEARS OLD <DA: N1-255-89-4> (N 22-8)</p> <p>DESTROY WHEN 1 YEAR OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-7)</p> <p>DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 2 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 6100 | | Commercial Freight Services | (see below) |
| 6100 | 2 | <p>FREIGHT FILES (SHIPPING)</p> <p>Records relating to freight consisting of export certificates, transit certificates, demurrage card record books, shipping documents pertinent to freight classification, memorandum copies of Government/commercial bills of lading, shortage and demurrage reports, original vouchers and support documents covering charges of settled fiscal accounts, including registers and other control documents, and all supporting documents, including records relating to the shipment of household goods.</p> <p>A. Issuing office copies of Government or commercial bills of lading commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations and supporting documents.</p> <p>B. Records covering payment for freight/transportation charges for interstate transportation and international transportation by freight forwarders of unaccompanied baggage or privately owned vehicles shipped separate from household goods; the charges for which are published in tariffs lawfully on file with the Interstate Commerce Commission (ICC) or based on tenders or quotations, pursuant to Section 22 of the Interstate Commerce Act offering a reduction from the published ICC tariffs, EXCLUDING those covered by item 2D of this schedule.</p> | <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-------------|------|---|--|
| | 2 | <p>C. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by Item 2D of this schedule.</p> <p>D. Records covering payment for commercial freight/transportation charges for services for which: 1) Notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved; 2) deduction or collection action has been taken; 3) voucher contains inbound transit shipment(s); 4) parent voucher has print of paid supplemental bill associated; 5) voucher has become involved in litigation; or, 6) any other condition that requires the voucher to be retained beyond the 3- or 6-year disposal period, such as detection of an overcharge/undercharge.</p> <p>E. Obligation copy of commercial passenger transportation vouchers.</p> <p>F. Unused ticket redemption forms, such as SF 1170.</p> <p>G. All other offices/copies.</p> | <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010]</p> <p>DESTROY WHEN 1 YEAR OLD <DA: N1-255-89-4> <DA: N1-255-09-1></p> |
| 6110 | | Freight Rates, Charges and Classification | (see below) |
| 6110 | 3 | <p>CARRIER RATE TENDER FILES</p> <p>Documents relating to solicited or unsolicited tenders or reduced rates and/or tariffs submitted by commercial carriers for the transportation of freight.</p> | <p>DESTROY 1 YEAR AFTER RATES OR TARIFFS BECOME SUPERSEDED OR RESCINDED <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-10)</p> |
| 6120 | | Freight Traffic Negotiations | (see below) |
| 6120 | 4 | <p>FREIGHT RATE NEGOTIATION FILES</p> <p>Documents relating to negotiations with carriers or carrier's associations on transportation rates, freight classifications, and similar matters.</p> | <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN NO LONGER REQUIRED FOR CURRENT OPERATIONS OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-11)</p> |
| 6200 | | Traffic Management Programs | (see below) |
| 6200 | 5 | <p>TRAFFIC MANAGEMENT FEASIBILITY STUDIES</p> <p>Reports, publications, proposals, and all other documents relating to studies of various transportation modes and methods.</p> | <p>DESTROY WHEN STUDY BECOMES OBSOLETE, SUPERSEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-89-4> <DA: N1-255-09-1></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-------------|-----------|--|---|
| 6220 | | Loss and Damage in Transit | (see below) |
| 6220 | 6 | LOST, 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. Included are records of schedules of valuables shipped, correspondence reports, and other records relating to the administration of the Government Losses in Shipment Act. | DESTROY WHEN 6 YEARS OLD. [GRS 9-2] |
| 6330 | | Explosives and Other Dangerous Articles | (see below) |
| 6330 | 7 | SHIPMENT OF HAZARDOUS/RADIOACTIVE MATERIALS Shipping forms and all related records concerning the shipment of hazardous/toxic wastes and radioactive materials. | RETIRE RECORDS TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 13 YEARS OLD. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 21-10) |
| 6330 | 8 | MOTOR CARRIERS' EXPLOSIVE OPERATING AUTHORITY 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. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-12) |
| 6340 | | Oversize and Overweight Cargo | (see below) |
| 6340 | 9 | SIZE AND WEIGHT LIMITS-HIGHWAY Documents relating to individual state requirements regarding size and weight of vehicles permitted to travel state highways. | DESTROY 1 YEAR AFTER REQUIREMENTS ARE SUPERSEDED OR RESCINDED. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-13) |
| 6620 | | NASA Transportability | (see below) |
| 6620 | 10 | HIGHWAY MOVEMENT PERMITS Documents relating to permits obtained from pertinent state and local authorities for vehicular movements exceeding legal weight or dimension limitation, movement of hazardous waste/radioactive materials, or other legal requirements. Included are permits; documents reflecting such data as type of equipment, gross weight, axle or truck loads, height, width, and length; origin and destination of movement; nature of cargo; similar documents and related correspondence. | DESTROY 3 YEARS AFTER COMPLETION OF MOVE * ALSO SEE ITEMS 7, 8, AND 9 OF THIS SCHEDULE. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 22-15) |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-------------|-----------|---|---|
| 6700 | | Motor Vehicle Operation and Management | (see below) |
| 6700 | 11 | <p>MOTOR VEHICLE RECORDS – OPERATION AND MANAGEMENT</p> <p>A. <u>CORRESPONDENCE</u></p> <p>Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.</p> <p>B. <u>PARKING PERMIT CONTROL FILES</u></p> <p>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.</p> <p>C. <u>GASOLINE FILES</u></p> <p>Documents relating to the issuance of gasoline, including issue forms and reports.</p> <p>D. <u>VEHICLE REPORT FILES</u></p> <p>1. Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data, and SF 82-D, Agency Report of Sedan Data.</p> <p>2. Records relating to motor vehicle accidents including SF 91, Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.</p> <p>E. <u>VEHICLE RELEASE/REGISTRATION & DRIVER RECORDS</u> - CLOSED SERIES.</p> <p>F. <u>OPERATOR RECORDS</u> - CLOSED SERIES</p> | <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 6/11.I.</p> <p>DESTROY UPON TRANSFER OR SEPARATION OF PERMIT HOLDER OR WHEN PERMIT IS SUPERSEDED OR REVOKED, WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 12-25)</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 6/11.I.</p> <p>ITEM DISCONTINUED. RECORDS COVERED BY ITEM 6/11.I.</p> <p>DESTROY 6 YEARS AFTER CASE IS CLOSED. [GRS 10-5]</p> |
| 6710 | | | |
| 6720 | | | |
| 6730 | | | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-------|------|---|---|
| 6740 | 11 | G. <u>TRIP TICKETS</u> Trip ticket files, includes daily trip tickets. | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 6/11.I. |
| | | H. <u>DAILY UTILIZATION RECORDS</u> Documents completed by dispatcher and operator to provide information relative to the daily use of vehicle(s). | DESTROY AFTER REQUIRED TRANSFER OF INFORMATION TO OTHER RECORDS, UNLESS REQUIRED FOR ACCIDENT INVESTIGATION (SEE ITEM 11D(2)) OR TAX PURPOSES, OTHERWISE, DESTROY WHEN 3 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> (N 14-10) |
| | | I. <u>OPERATION AND MAINTENANCE FILES</u> Records documenting inspection, maintenance, service, and repair activities relating to motor vehicles and vessels. Includes: <ul style="list-style-type: none"> • Work orders, service and repair requisitions, and logs • Descriptions of provided service and repair, and related papers | TEMPORARY. DESTROY WHEN 3 YEARS OLD, OR UNTIL NO LONGER NEEDED FOR NASA BUSINESS USE, WHICHEVER IS LATER. [GRS 5.4-090] |
| | | J. <u>CAR SEAL BOOK FILES</u> - CLOSED SERIES | |
| | | K. <u>VEHICLE COST FILES</u> Motor vehicle ledger and worksheets providing cost and expense data. | DESTROY 3 YEARS AFTER DISCONTINUANCE OF LEDGER OR DATE OF WORKSHEET. [GRS 10-3] |
| 6752 | | L. <u>VIOLATION CASE FILES</u> Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations | DESTROY WHEN 2 YEARS OLD [GRS 18-14b] |
| 6770 | | M. <u>LEASED VEHICLES</u> Case files on vehicles leased from GSA, including agency's copy of GSA Form 1152, statements regarding service to vehicle by other than GSA, service and inspection work orders, and motor vehicle use records. <ol style="list-style-type: none"> 1. GSA Form 1152 | ITEM DISCONTINUED. RECORDS COVERED BY ITEM 6/11. |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

TRANSPORTATION

SCHEDULE 6
(AFS 6000-6999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE DESCRIPTION OR RECORD SERIES | RETENTION <Authority> |
|-------------|-------------------|--|--|
| | | 2. All other records related to leased vehicles. N. <u>ALL OTHER OFFICES/RECORDS</u> Records maintained by office other than the office of primary responsibility for operation, management, and control over agency vehicles and motor vehicle records. | DESTROY WHEN NO LONGER NEEDED, OR WHEN 1 YEAR OLD WHICHEVER IS SOONER. <DA: N1-255-89-4> <DA: N1-255-09-1> |
| 6730 | | Vehicle Operations and Control | (see below) |
| 6730 | 12 PASR | GOVERNMENT MOTOR VEHICLE OPERATORS PERMIT RECORDS-NASA 10 GMVP Records in this system consist of NASA employees, contractor employees other Federal and state government employees, their names, home address Social Security Numbers, physical description of individual, physical condition of individual, parking permit numbers, and traffic record. | MAINTAIN RECORDS FOR A PERIOD OF 3 YEARS AFTER PERMIT EXPIRES OR UNTIL PERMIT HOLDER LEAVES THE AGENCY OR REQUESTS CANCELLATION, WHATEVER IS SOONER. [GRS 10-7] |
| | | END OF SCHEDULE | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

NRRS 7: PROGRAM FORMULATION RECORDS
[SEE NOTE₂]

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 7 pertain to the management, planning, and administration of a Research & Development (R&D) program and to groups of projects and laboratory type organizations at Centers. Records in this category are created and accumulated by organizations that have overall management responsibility for programs or multiple-project activities. This schedule provides pertinent record categories and specifies the retention and dispositions for each.

Files relate to overall program administration and reflect planning, budgeting, scheduling, coordination, and management of the program. Files accumulated by offices of project managers who are responsible for the direct administration of the technical aspects of the program/system, should file these as part of the R&D Project Case File which is set forth in Schedule 8 - "Program Management." (SEE NOTE₁)

The Program Office, normally at NASA Headquarters, is responsible for maintaining the administrative case file relating to a particular program/project, and for insuring the ongoing consolidation of essential documentation of the program. This activity includes records from time of inception, management of the program throughout its life, to program completion. Official records created during project/program management through to completion of the project are filed in the official R&D Project Case File located in Schedule 8.

NOTE₁: PROJECT MANAGEMENT and PERFORMANCE RECORDS of an R&D Program are described in Schedule 8 which covers records created and accumulated by project organizations that have direct management control over in-house and/or contractor project activities. These files include individual basic research, applied research, and engineering development projects and as such are designated as either the project/program manager's files or the principal investigator's files and are considered a "PERMANENT" record series.

NOTE₂: There are no General Records Schedules (GRS) that cover R&D records. Therefore, if a category or series of records is not listed in this Schedule or Schedule 8, disposition is not authorized. Contact your Center's Records Manager or the NASA Records Officer for instructions.

Program Formulation Records

SCHEDULE 7
(AFS 7000-7999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------|-------------|---|--|
| 7000-7999 | | PROGRAM FORMULATION | (see below) |
| 7000 | | Program Formulation General | (see below) |
| 7000 | 1 | R&D CORRESPONDENCE FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7000 | 2 | R&D PROJECT CONTROL FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7000 | 3 | R&D SOURCE DATA FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7020 | | Long-range Planning | (see below) |
| 7020 | 4 | R&D LONG RANGE PLANNING FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7100 | | Research and Development Planning and Approval | (see below) |
| 7100 | 5 | R&D PROJECT FILES – PLANNING AND APPROVAL | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7100 | 6 | R&D PROGRAM MANAGER CONTROL FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7100 | 7 | <p>EARTH OBSERVATIONS COMMERCIAL APPLICATIONS PROGRAM (EOCAP) (SSC ONLY)</p> <p>Stennis Space Center (SSC) on behalf of NASA Office of Commercial Programs, an applications program, EOCAP, designed to develop commercial interest for NASA-developed Remote sensing technology. Proposals are received at NASA Headquarters as a part of a NASA Research Announcement (NRA). Selected proposals (projects) are transferred to SSC for general program management. Proposal files consist of the proposal (as received), funding documentation, deliverables, and schedules. Files are kept in the following format/organization:</p> <p>A. <u>EOCAP I PROPOSALS</u></p> <ol style="list-style-type: none"> 1. Selected proposals, scores, evaluations, recommendations, and funding information. 2. Proposals not selected. <p>B. <u>EOCAP I CONTRACTS</u></p> <p>Records include materials generated during proposal selection, Item A.</p> | <p>FUNDED PROPOSAL FILES WILL BE INCORPORATED INTO EOCAP I CONTRACT FILES. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY WHEN 1 YEAR OLD. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY CONTRACT FILE 3 YEARS AFTER COMPLETION OF PHASE I. (THIS INCLUDES RECORDS INCORPORATED FROM A. ABOVE.) <DA: N1-255-94-3> <DA: N1-255-09-1></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

Program Formulation Records

SCHEDULE 7
(AFS 7000-7999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | 7 | <p>C. <u>EOCAP I REPORTS</u></p> <p>Records consist of both quarterly and annual reports.</p> <p>D. <u>EOCAP I ADMINISTRATION/REVIEWS</u></p> <p>Records consist of administrative correspondence and communications; including program reviews and other related activities.</p> <p>E. <u>EOCAP II RECORDS</u></p> <p>EOCAP II records follow the same procedures and disposition instructions as EOCAP I <u>except</u> for EOCAP II proposals that are incorporated into the contract file for follow-on work to EOCAP I contracts, unless they are a separate contract.</p> | <p>DESTROY REPORTS 3 YEARS AFTER COMPLETION OF PHASE I <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY 3 YEARS AFTER COMPLETION OF PHASE I <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>SEE ABOVE ITEMS FOR DISPOSITION INSTRUCTIONS; PHASES CHANGE TO REFLECT NEW PROGRAM, I.E, DESTROY CONTRACTS 3 YEARS AFTER COMPLETION OF PHASE II <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 7100 | 8 | NASA RESEARCH ANNOUNCEMENTS (NRA) | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7100 | 9 | R&D PEER REVIEW AND EVALUATIONS | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7120 | | Project Planning and Approval | (see below) |
| 7120 | 10 | PROJECT APPROVAL DOCUMENTS (PAD) | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7120 | 11 | MANAGEMENT PROJECT FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7121 | | Phased Project Planning and Approval | (see below) |
| 7121 | 12 | R&D SPECIFICATION FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7122 | | Other Project Planning and Approval | (see below) |
| 7122 | 13 | PUBLIC REACTIONS TO ESTABLISHMENT OF MAJOR PROJECTS | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7150 | | Project Scheduling and Implementation | (see below) |
| 7150 | 14 | RESEARCH AND TECHNOLOGY OBJECTIVES AND PLANS (RTOP) | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7150 | 15 | R&D CENTER TEST SCHEDULING | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7170 | | Human Research | (see below) |
| 7170 | 16 PASR | HUMAN EXPERIMENTAL AND RESEARCH DATA RECORDS – NASA 10 HERD | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7230 | | Institutional Planning – Center Development | (see below) |
| 7230 | 17 | INSTITUTIONAL OPERATING PLAN (IOP) | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7300 | | Facility Planning and Approval | |
| 7320 | | Facility Design Standards, Criteria, and Procedures | (see below) |
| 7320 | 18 | DRAWINGS – R&D FACILITIES FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |

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|---------------------|--------------------|--|--|
| 7400 | | Approval and Management of Financial Reports for Contracts and Grants, Allotments, and Resources / Apportionment Files | (see below) |
| 7400 | 19 | <p>FINANCIAL REPORTS - CONTRACTS AND GRANTS</p> <p>Consolidated Agencywide reports of financial and statistical data covering NASA contracts and grants.</p> <p>A. <u>HEADQUARTERS</u>: OPR Copy</p> <p>1. June issue:</p> <p>2. All other issues:</p> <p>B. <u>ALL OTHER COPIES/OFFICES</u>.</p> | <p>RETIRE TO FRC 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THEY PERTAIN. DESTROY 10 YEARS AFTER FISCAL YEAR TO WHICH THEY PERTAIN. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 7-9)</p> <p>DESTROY 2 YEARS AFTER THE FISCAL YEAR TO WHICH THEY PERTAIN. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY AS SOON AS ACTIVE REFERENCE VALUE CEASES OR WHEN 2 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 7400 | 20 | <p>ALLOTMENT OF FUNDS (504s)</p> <p>Allotment of funds and memoranda concerning decisions on funding levels and changes.</p> <p>A. <u>HEADQUARTERS</u></p> <p>B. <u>CENTER</u></p> | <p>* PERMANENT *</p> <p>RETIRE TO FRC WHEN 3 YEARS OLD FOR ANNUAL ACCOUNTS AND 5 YEARS FOR NO YEAR APPROPRIATIONS. TRANSFER TO THE NATIONAL ARCHIVES WHEN 10 YEARS OLD. <DA: N1-255-94-3> (N 7-3)</p> <p>DESTROY ANNUAL ACCOUNTS WHEN 3 YEARS OLD AND NO YEAR ACCOUNTS WHEN 5 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 7400 | 21 | <p>BUDGET AND PROGRAMMING RESOURCES/APPORTIONMENT FILES</p> <p>A. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. Excluding files relating to Agency policy and procedure maintained in formally organized budget offices.</p> | <p>DESTROY WHEN 2 YEARS OLD. [GRS 5-1] (N 7-8)</p> |

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|--------------|-------------|---|--|
| | 21 | <p>B. Recurring reports of scientific research and development activities</p> <p>1. Headquarters.</p> <p>2. All other copies/offices.</p> <p>C. Special Studies.</p> <p>1. Headquarters.</p> <p>2. All other copies/offices.</p> <p>D. Apportionment and reapportionment schedules and memoranda schedules proposing obligations, transfers, etc., under each appropriation.</p> <p>1. Headquarters.</p> <p>2. All other copies/offices.</p> <p>E. Budget report files consisting of periodic reports on the status of appropriation accounts and apportionment.</p> <p>1. Annual report (end of fiscal year).</p> <p>2. All other copies/offices.</p> <p>F. Background working papers, cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.</p> | <p>RETIRE 1 COPY OF EACH REPORT TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 8 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>* PERMANENT * RETIRE 1 COPY OF EACH REPORT TO FRC WHEN STUDY BECOMES INACTIVE. TRANSFER TO THE NATIONAL ARCHIVES WHEN 15 YEARS OLD. <N1-255-94-3></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR. [GRS 5-4] (N 7-2)</p> <p>DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR. [GRS 5-4]</p> <p>DESTROY WHEN 5 YEARS OLD. [GRS 5-3a]</p> <p>DESTROY 3 YEARS AFTER THE END OF THE FISCAL YEAR. [GRS 5-3b]</p> <p>DESTROY 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR COVERED BY THE BUDGET. [GRS 5-2] (N 7-6)</p> |

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|--------------|-------------|---|---|
| | 21 | G. Budget estimates and justification files. 1. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data. 2. Working copies, background materials, all other office/copies. | * PERMANENT * RETIRE TO FRC BY FISCAL YEAR WHEN NO LONGER NEEDED FOR ACTIVE REFERENCE OR WHEN 10 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD. <DA: N1-255-94-3> (N 7-1) SEE ITEM F. OF THIS SCHEDULE. <DA: N1-255-94-3> |
| 7600 | | Program Operating Plans | (see below) |
| 7600 | 22 | PROGRAM/PROJECT OPERATING PLAN (POP) | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7620 | | Research and Program Management | (see below) |
| 7620 | 23 | PROGRAM/PROJECT NAME FILES | ITEM DISCONTINUED. RECORDS COVERED BY ITEMS 8/101– 8/117. |
| 7800 | | Resources Authority Allocation System | |
| 7830 | | Research and Development (R&D) | (see below) |
| 7830 | 24 | RESOURCES AUTHORITY WARRANTS (506s) Agency authorizations to utilize a stated amount of resources available to program and administrative offices (funds and/or personnel complement) for the execution of approved NASA Projects and activities (includes 506s original and sub-authorities). A <u>HEADQUARTERS</u> (OPR) 1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy) 2. NO YEAR ACCOUNTS (Recordkeeping Copy) NOTE: Close Account if (1) the Head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no disbursement has been made against the appropriation for 2 consecutive fiscal years. B. <u>CENTERS</u> (OPR) | CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT CLOSES. DESTROY 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. <DA: N1-255-96-3> <DA: N1-255-09-1> (N 7-5) RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. <DA: N1-255-96-3> <DA: N1-255-09-1> |

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|--------------|-------------|---|---|
| | 24 | 1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy) 2. NO YEAR ACCOUNTS (Recordkeeping Copy) NOTE: Close Account if (1) the Head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no disbursement has been made against the appropriation for 2 consecutive fiscal years. | CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT CLOSES. DESTROY 3 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. <DA: N1-255-96-3> <DA: N1-255-09-1> RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 3 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. <DA: N1-255-96-3> <DA: N1-255-09-1> |
| 7900 | | Aircraft Operations and Management | (see below) |
| 7900 | 25 | AIRCRAFT FILES A. <u>AIRBORNE DATA ACQUISITION</u> These are files that are maintained at the Aircraft Management Office, Headquarters and at Centers. Typically files include information with respect to aircraft operations, cost, scheduling and tasking, usually relating to remote sensing research. NOTE: These files DO NOT include maintenance records that are maintained under a separate contract. 1. General correspondence. 2. Financial reports. 3. Flight schedules. 4. Job orders. B. <u>MAINTENANCE RECORDS (CURRENT/HISTORICAL)</u> | DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY 2 YEARS AFTER THE FISCAL YEAR OF THE REPORT. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY 1 YEAR AFTER THE FLIGHT SEASON. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY 2 YEARS AFTER EXPIRATION. <DA: N1-255-94-3> <DA: N1-255-09-1> |

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|--------------|-------------|--|--|
| | 25 | <p>Records in this series include maintenance records for various aircraft located at NASA facilities. These records also may include some blueprints and sketches of parts used on the various aircraft that are in the inventory.</p> <p>C. <u>PLATFORM AIRCRAFT - OPERATIONAL</u> (ARC ONLY)</p> <ol style="list-style-type: none"> 1. Transferred Aircraft Records (hard copies and electronic copies). 2. Aircraft no longer in inventory (non-current/inactive) (hard copies and electronic copies). 3. Current/active aircraft maintained in agency inventory. OPR: Code OMM, Medium Altitude Missions Office within the Sciences and Applications Aircraft Division. 4. CAD System | <p>RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR AFTER CLOSE OF FILE OR WHEN NO LONGER NEEDED. RECORDS WILL BE KEPT ON-SITE AS LONG AS AIRCRAFT IS IN AGENCY INVENTORY. IF AIRCRAFT IS TRANSFERRED TO ANOTHER AGENCY, TRANSFER RECORDS WITH AIRCRAFT. IF AIRCRAFT IS OTHERWISE DISPOSED OF OR DESTROYED, RECORDS WILL EITHER BE DESTROYED AT THAT TIME, WHEN NO LONGER NEEDED, OR WHEN 1 YEAR OLD, WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>TRANSFER ASSOCIATED RECORDS WITH THE AIRCRAFT WHEN IT LEAVES AGENCY INVENTORY. THIS INCLUDES TRANSFER OR DONATION TO A MUSEUM OR OTHER SUCH INSTITUTION. <DA: N1-255-94-3></p> <p>DESTROY RECORDS ASSOCIATED WITH THE SPECIFIC AIRCRAFT WHEN IT IS DESTROYED, DISMANTLED, OR CANNIBALIZED AND NO LONGER ON THE AGENCY INVENTORY, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>RETAIN ORIGINAL ON-SITE AT ARC WITH AIRCRAFT. EITHER TRANSFER RECORDS WITH ASSOCIATED PLANE OR DESTROY WHEN PLANE IS NO LONGER MAINTAINED IN THE INVENTORY, AS APPROPRIATE. (SEE ITEM B. ABOVE). <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>RECORDS MAY BE DELETED WHEN 5 YEARS OLD OR WHEN AIRCRAFT LEAVES THE AGENCY INVENTORY, WHICHEVER IS SOONER. <DA: N1-255-94-3></p> |

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|---------------------|--------------------|---|---|
| | 25 | <p>5. All other offices/copies.</p> <p>D. <u>CONFIGURATION MANAGEMENT FILES - VARIOUS AIRCRAFT</u></p> <p>Records in this series include documentation of inactive aircraft that are maintained by the Aircraft documentation office. These files may include, but are not limited to, Status Reports, Configuration Change Requests, System Test Reports and Discrepancy Reports.</p> | <p>DESTROY WHEN OBSOLETE, OR WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> <p>RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR. DESTROY WHEN OBSOLETE OR WHEN NO LONGER NEEDED FOR REFERENCE. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 7910 | | Aircraft Operations Management | Contact Center Records Mgr. |
| 7910 | 26 | <p>AIRCRAFT MAINTENANCE AND OPERATION RECORDS</p> <p>A. ROUTINE AIRCRAFT OPERATIONS</p> <p>Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.</p> <p>B. LOGISTICAL SUPPORT FOR FLIGHT OPERATIONS</p> <p>Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.</p> <p>C. GENERAL AIRCRAFT MAINTENANCE AND MODIFICATIONS RECORDS</p> <p>Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of material, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer.</p> | <p>DESTROY WHEN 2 YEARS OLD. [GRS 10-9]</p> <p>DESTROY WHEN 6 YEARS OLD OR WHEN SUPERSEDED, WHICHEVER IS LATER. [GRS 10-10]</p> |

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|-----------------|-------------|---|---|
| 7910 | 26 | <p>Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.</p> <ol style="list-style-type: none"> 1. Recordkeeping copies of maintenance manuals for unique or customized aircraft. 2. All other records. <p>D. INDIVIDUAL AIRCRAFT MAINTENANCE AND AIRFRAME MODIFICATIONS RECORD</p> <p>Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.</p> <p>E. RECORDS REQUIRED FOR ACCIDENT/INCIDENT REPORTS</p> <p>Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.</p> | <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS AFTER THEY BECOME SUPERSEDED OR OBSOLETE. [GRS 10-11a]</p> <p>DESTROY WHEN 6 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER. [GRS 10-11B]</p> <p>DESTROY 6 YEARS AFTER AIRCRAFT DISPOSAL OR CLEARANCE OF RELATED EQUIPMENT FROM THE PROGRAM. [GRS 10-12]</p> <p>KEEP FOR THE DURATION OF INVESTIGATION AND THEN DESTROY 1 YEAR AFTER COMPLETION OF INVESTIGATION AND PREPARATION OF REQUIRED REPORTS. [GRS 10-13]</p> |
| END OF SCHEDULE | | | |

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NRRS 8: PROGRAM MANAGEMENT RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other 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 8 pertain to the management and operation of NASA construction of facilities, architectural, and engineering design records. These records relate to the functions that create, control, formulate and prescribe real or personal property or facilities management policies and procedures used by activities and offices applying these procedures. Records also included in this series/schedule are Research & Development (R&D) records that pertain to the management, operation, and performance of an R&D Project. Such records are created and accumulated by project organizations that have direct management control of in-house and/or contractor project activities. Project files relate to basic and applied research, and engineering development projects. The Project Office, normally at the laboratory or division level at a field installation, is responsible for maintaining the official files, and is designated as the Office of Primary Responsibility (OPR). This office is responsible for maintaining the files relating to a particular project and for insuring the ongoing collection and consolidation of essential documentation for the project. When more than one laboratory at an installation or more than one installation works on a project, the lead project manager should establish procedures to insure that all files relating to the project are collected at a single designated location for retirement and transfer.

INSTRUCTIONS FOR DESIGN AND CONSTRUCTION FILES:

General Definitions and Guidelines to use with Design and Construction Files: Generally, drawings pertaining to the design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings, which are used during the construction process, have a continuing value during the life of the structure, especially for repair and maintenance projects. The original construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained or owned by the Federal Government.

DEFINITIONS:

Preliminary Drawings: Drawings and sketches that are conceptual in nature. These drawings are usually freehand studies that show the basic design of the structure, include the arrangement of rooms, general appearance of elevations and floor plans, as well as other details under consideration.

Models: Three dimensional, reduced-scale models which are prepared for illustrative or presentation purposes.

Intermediate and Pre-final Drawings: Drawings which are created and reviewed in preparation of the final working drawings.

"As Built" Drawings: Annotated copies of final working drawings or additional drawings which show changes in the initial construction from the original design.

Shop Drawings: Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be assembled in their shops. These drawings which include plans for architectural embellishments and interior design such as tile and marble work, special cabinet work, elevators, or heating systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future repair and preservation projects.

Repair and Alteration Drawings: Original drawings which depict repairs and alterations to the building as it was originally constructed.

Contract Drawings: Copies of the original workings on which contract negotiations are based.

Standard Drawings: Final drawings for standard details and other documents created in their preparation.

Space Assignment Plan(s): Drawings which depict outline floor plans used for space assignments.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|------------------|-------------|--|--|
| 8000-8999 | | PROGRAM MANAGEMENT | (see below) |
| 8000 | | Program Management – General | (see below) |
| 8000 | 1 | DEFENSE INDUSTRIAL PLANT EQUIPMENT CENTER (DIPEC) LOAN Listings of tools or test equipment on loan from DIPEC to NASA contractor or NASA Center. | DESTROY 1 YEAR AFTER COMPLETION OF LOAN. <N1-255-94-3> <DA: N1-255-09-1> (N 17-47) |
| 8000 | 2 | TOOL DRAWING FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8000 | 3 | DATA FILES ON ORGANIC MATERIALS USED IN CONSTRUCTION OF PLANETARY SPACECRAFT | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8000 | 4 | R&D CORRESPONDENCE FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8000 | 5 | R&D PROJECT FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| | 6 | RESERVED | |
| 8000 | 7 | CLOSED SERIES | |
| 8030 | | Flight Experiments and Tasks | (see below) |
| 8030 | 8 | SPACE FLIGHT EXPERIMENT/INVESTIGATIONS REDUCED DATA | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8040 | | Configuration Control | (see below) |
| 8040 | 9 | CONFIGURATION CONTROL BOARD (CCB) RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8040 | 10 | CONFIGURATION MANAGEMENT FILES – SPACE SHUTTLE | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8060 | | Systems Design | (see below) |
| 8060 | 11 | DESIGN AND ENGINEERING DRAWINGS FOR FABRICATION OF DISPLAY MODELS AND EXHIBITS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8070 | | Technical Standards and Specifications | (see below) |
| 8070 | 12 | STANDARDS AND SPECIFICATION FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8100 | | Advanced Studies | |
| 8100 | 13 | ADVANCED MANNED AND UNMANNED MISSION STUDIES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8100 | 14 | SUMMARY PROGRESS REPORTS (R&D) | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8100 | 15 | PIONEER SPACECRAFT RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8120 | | Conduct of Studies | (see below) |
| 8120 | 16 | PROJECT CONTROL FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |

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| 8200 | | Supporting Research and Technology (SRT) | (see below) |
| 8200 | 17 | R&D EXPERIMENTAL PROJECTS DATA FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8200 | 18 | ATMOSPHERIC SCIENCE DATA (KSC ONLY) | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8200 | 19 | PLANETARY GEOSCIENCE PROGRAM RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8200 | 20 | TECHNICAL ENGINEERING PUBLICATIONS FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8200 | 21 | LABORATORY NOTEBOOKS (R&D) | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8400 | | Tracking and Data Acquisition -- General | (see below) |
| 8400 | 22 | TRACKING AND DATA ACQUISITION – PROJECT MINITRACK ANALOG CHARTS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8410 | | Tracking Stations | (see below) |
| 8410 | 23 | GROUND NETWORK PROGRAM FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8500 | | Environmental Management (General) | (see below) |
| 8500 | 23.5 | <p>ENVIRONMENTAL MANAGEMENT RECORDS</p> <p>A. GENERAL ACTIVITIES.</p> <p>Records documenting general activities in monitoring the environment, conducting operations in an environmentally acceptable manner, and complying with federal, state and/local environmental protection statutes, regulations, and Executive Orders including, but not limited to, NEPA, NHPA, RCRA, CWA, CAA, ESA, and EPCRA, and not linked to an incident or proposed or existing specific project, program, or incident.</p> <ol style="list-style-type: none"> 1. Significant correspondence and supporting documents. 2. General/routine correspondence 3. Baseline documents produced internally or received from external sources (<i>e.g.</i>, life-cycle assessments, Initial Baseline Tank Integrity Testing Reports, Environmental Resource Documents, noise measurements, <i>etc.</i>) <ol style="list-style-type: none"> (a) Documents periodically updated | <p>CUT OFF ANNUALLY. DESTROY 10 YEARS AFTER CUTOFF OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY 3 YEARS AFTER CUTOFF. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY 3 YEARS AFTER CUTOFF. SEE ALSO NOTE 3. <N1-255-10-5></p> |

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|---------------------|--------------------|--|--|
| | 23.5 | <p>(b) Documents not periodically updated</p> <p>4. Recurrent and periodic reports (e.g., daily and monthly), such as SARA 313.</p> <p>5. Annual, final and summary reports, such as SARA 311/312.</p> <p>6. Chemical inventory</p> <p>7. Material safety data sheets (MSDs)</p> <p>8. Asbestos and radioactive and hazardous material inspection, monitoring, and corrective actions.</p> <p>9. Waste manifests.</p> <p>10. Plans and procedures (e.g. Spill Prevention, Control & Countermeasure Plan; etc.)</p> <p>11. Permits and application packets.</p> | <p>CUT OFF ANNUALLY. DESTROY 3 YEARS AFTER CUT OFF OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY 3 YEARS AFTER CUTOFF. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY AFTER 25 YEARS OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>DESTROY AFTER SECOND PERIODIC UPDATE OF MASTER LIST. SEE ALSO NOTE 3 <N1-255-10-5></p> <p>DESTROY 75 YEARS AFTER EITHER MATERIAL IS NO LONGER USED AT THE INSTALLATION OR THE MSDS IS SUPERSEDED, WHICHEVER COMES FIRST. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY WITH CONCURRENCE OF CENTER OR NASA COUNSEL'S OFFICE 75 YEARS AFTER CUTOFF OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY WITH CONCURRENCE OF CENTER OR NASA COUNSEL'S OFFICE 75 YEARS AFTER CUTOFF OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>DESTROY 5 YEARS AFTER ISSUANCE OF A NEW PLAN OR PROCEDURE. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>DESTROY AFTER SECOND REISSUANCE OF PERMIT OR 10 YEARS AFTER PERMIT EXPIRES OR IS CANCELLED. SEE ALSO NOTE 3. <N1-255-10-5></p> |

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|---------------------|--------------------|--|---|
| | 23.5 | <p>12. Agreements with Federal, state and local environmental agencies that are not permits but impose obligations upon NASA (e.g., Memoranda of Agreement).</p> <p>13. Environmental Management System records (e.g., Environmental Functional Review reports).</p> <p>(a) Documents periodically updated.</p> <p>(b) Documents not periodically updated.</p> <p>B. SPECIFIC PROGRAMS, PROJECTS AND INCIDENTS Records that document planning and carrying out of specific projects and programs to monitor or protect the environment and/or comply with Federal, state and/or local environmental protection statutes, regulations, and Executive Orders including, but not limited to, NHPA, NEPA, CERCLA, RCRA, CWA, CAA, and ESA. Included are both projects and incident responses initiated by the HQ or installation environmental office/function and environmental evaluation and planning, implementation, and monitoring of the environmental impact of projects and programs sponsored by other NASA entities.</p> <p>1. Records vital to understanding project/incident start to finish. Excludes records described in B.2, B.3 and B.4. See examples in Note 1.</p> <p>(a) Programs, projects, and incidents whose impact on the environment is such that some knowledge about them will always be of value.</p> | <p>DESTROY WITH CONCURRENCE OF CENTER OR NASA COUNSEL'S OFFICE 5 YEARS AFTER AGREEMENT EXPIRES OR IS CANCELED OR SUPERSEDED, OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>DESTROY 3 YEARS AFTER SUPERSEDED OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>CUT OFF ANNUALLY. DESTROY 3 YEARS AFTER CUT OFF OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <N1-255-10-5></p> <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES 7 YEARS AFTER PROGRAM, PROJECT, OR INCIDENT CLOSES. SEE ALSO NOTES 3 AND 4. <N1-255-10-5></p> |

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|--|---|---|---|--|---|
| | 23.5 | <p>(b) Projects and incidents with long-term environmental impact, such as hazardous waste disposal.</p> <p>(c) Routine and recurrent projects and incidents (e.g., Record of Environmental Consideration associated with a Categorical Exclusion, records related to minor spills of hazardous materials or waste).</p> <p>2. Waste manifests. (If waste manifest is not part of a specific program, project or incident, but rather part of on-going environmental monitoring, use item A.9 instead of this item.)</p> <p>(a) Programs, projects, and incidents as described in item B.1.a</p> <p>(b) Projects and incidents as described in items B.1.b and B.1.c</p> <p>3. Permits and application packets.</p> <p>4. Agreements with Federal, state and local environmental agencies that are not permits but impose obligations upon NASA (e.g., Memoranda of Agreement).</p> <p>5. Records not vital to long-term understanding of the program/project/incident start to finish. Records include, but are not limited to administrative records. See examples in Note 2.</p> <p>C. Copies of any records covered in Items 1 and 2 above.</p> | <p>DESTROY 75 YEARS AFTER PROGRAM, PROJECT OR INCIDENT CLOSES, OR WHEN THE OFFICE OF GENERAL COUNSEL DETERMINES RECORDS ARE NO LONGER NEEDED, WHICHEVER IS LATER. SEE ALSO NOTES 3 AND 4. <N1-255-10-5></p> <p>DESTROY WHEN 10 YEARS OLD. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WITH RECORDS IN ITEM B.1.a.</p> <p>APPLY RETENTION OF ITEM A.9 <N1-255-10-5></p> <p>APPLY RETENTION OF ITEM A.11. <N1-255-10-5></p> <p>APPLY RETENTION OF ITEM A.12. <N1-255-10-5></p> <p>DESTROY WHEN 10 YEARS OLD. SEE ALSO NOTE 3. <N1-255-10-5></p> <p>DESTROY WHEN NO LONGER NEEDED. <N1-255-10-5></p> | | |
| <p>Note 1 <i>Examples of records</i></p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> Significant correspondence Applications Permits Summary (e.g. quarterly, annual) and final reports Analytical reports Statement of Work (SOW) Record of Decision (ROD) </td> <td style="width: 50%; vertical-align: top;"> Environmental Assessment (EA) Permit Environmental Impact Statement (EIS) Environmental impact assessments Finding of No Significant Impact (FONSI) Determination of historic significance and supporting documentation </td> </tr> </table> | | | | Significant correspondence Applications Permits Summary (e.g. quarterly, annual) and final reports Analytical reports Statement of Work (SOW) Record of Decision (ROD) | Environmental Assessment (EA) Permit Environmental Impact Statement (EIS) Environmental impact assessments Finding of No Significant Impact (FONSI) Determination of historic significance and supporting documentation |
| Significant correspondence Applications Permits Summary (e.g. quarterly, annual) and final reports Analytical reports Statement of Work (SOW) Record of Decision (ROD) | Environmental Assessment (EA) Permit Environmental Impact Statement (EIS) Environmental impact assessments Finding of No Significant Impact (FONSI) Determination of historic significance and supporting documentation | | | | |

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|---|--|--|---|------------------------|------------|-------------------------------|----------|--|--|
| <p><i>Note 2 Examples of records</i></p> <table border="0"> <tr> <td>General correspondence</td> <td>Work Plans</td> </tr> <tr> <td>Studies summarized in reports</td> <td>Raw data</td> </tr> <tr> <td>Recurrent reports (such as daily or monthly)</td> <td>EA or EIS Administrative Record packet</td> </tr> </table> | | | | General correspondence | Work Plans | Studies summarized in reports | Raw data | Recurrent reports (such as daily or monthly) | EA or EIS Administrative Record packet |
| General correspondence | Work Plans | | | | | | | | |
| Studies summarized in reports | Raw data | | | | | | | | |
| Recurrent reports (such as daily or monthly) | EA or EIS Administrative Record packet | | | | | | | | |
| <p><i>Note 3</i> Retention period under any of these items may be lengthened to comply with state or local statutes and regulations.</p> | | | | | | | | | |
| <p><i>Note 4</i> For facilities projects and programs, the close of the project or program occurs at the transfer or disposal of the facility. For missions and flight programs and projects, the close of the program or project occurs when the activity no longer has the potential for measurable environmental effect on the Earth or its atmosphere. For incidents (primarily remediation activities), the close of the incident occurs when active remediation and any required monitoring have been completed and final approvals from regulators have been obtained.</p> | | | | | | | | | |
| 8510 | | External Activities | | | | | | | |
| 8600 | | Operations | (see below) | | | | | | |
| 8600 | 24 | OPERATING BRIEFING FILES (R&D) | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8600 | 25 | <p>A. <u>VIDEO RECORDINGS</u></p> <p>JOHNSON SPACE CENTER -- (JSC ONLY)</p> <ol style="list-style-type: none"> 1. Space Flight Imagery 2. Test and Training Activities <p>(a) Videos in this series can include, but are not limited to, shuttle support, crew training, Wet-F (facility) training, etc.</p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117.</p> <p>RELEASE AND REUSE VIDEOTAPES 30 DAYS AFTER SPECIFIC ACTIVITY OR FILMING. <DA: NI-255-94-3></p> | | | | | | |
| 8600 | 26 | FLIGHT READINESS FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8600 | 27 | FLIGHT EXECUTION RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8600 | 27.5 | CREW RECOMMENDATION FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8610 | | Operations | (see below) | | | | | | |
| 8610 | 28 | CONTRACTOR PERFORMANCE EVALUATION REPORT FILES R&D PROJECT NASA/DOD | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8610 | 29 | OPERATIONS PROGRAM PROGRESS REPORT FILES – R&D | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8621 | | Mission Failure and Investigations and Reports | (see below) | | | | | | |
| 8621 | 30 | STS 51-L DATA REPOSITORY RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8640 | | Flight Operations | (see below) | | | | | | |
| 8640 | 31 | AUDIO TAPES – MANNED FLIGHTS/GROUND CONTROL | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. | | | | | | |
| 8650 | 32 | AIRCRAFT CREW MEMBERS QUALIFICATIONS AND PERFORMANCE RECORDS - NASA 10 ACMQ | | | | | | | |

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|--------------|-------------------|--|---|
| | 32 PASR | Records in this system are of crew members of NASA aircraft which consist of (1) records of qualifications, experience, and currency, e.g., flight hours (day, night, and instrument), types of approaches and landings, crew positions, type aircraft, flight check ratings and related examination results, training performed and medical records; (2) flight itineraries and passenger manifests; and (3) biographical information. A. Records on all crew members other than Astronauts. B. These and other related records of Astronauts. | RETAIN RECORDS IN AGENCY SPACE. DESTROY 5 YEARS AFTER CREW MEMBER SEPARATES FROM AGENCY. <DA: N1-255-94-3> <DA: N1-255-09-1> SEE ITEM 34 OF THIS SCHEDULE. |
| 8650 | 33 PASR | KENNEDY SPACE CENTER (KSC) SHUTTLE TRAINING CERTIFICATION SYSTEM (YC 04) – NASA 76 STCS Records contained in this system are of KSC Civil Service, KSC contractor, and DOD personnel who have received systems, skills, or safety training in support of KSC or Space Shuttle Operations. Records consist of training attendance and certifications, including certifications of physical ability to perform hazardous tasks. | OUTDATED RECORDS ARE DESTROYED. CURRENT RECORDS ARE MAINTAINED UNTIL 3 YEARS AFTER TRAINEE IS SEPARATED FROM NASA. <DA: N1-255-94-3> <DA: N1-255-09-1> |
| 8650 | 34 PASR | JOHNSON SPACE CENTER (JSC) ASTRONAUT TRAINING RECORDS Records in this system are of astronaut training which consists of (1) T-38 and other flying records of qualification, experience, and currency; e.g., flight hours (day, night, and instrument), types of approaches and landings, crew positions, type of aircraft, flight check ratings and related examination results, training performed and medical records; (2) astronaut candidate records; (3) simulator training records; and (4) any records pertaining to overall astronaut training for space flights. | * PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES 5 YEARS AFTER COMPLETION OF TRAINING PROGRAM, i.e., EACH SEPARATE TRAINING PROGRAM SUCH AS T-38, SIMULATOR, OR OVERALL TRAINING FOR A SPECIFIC MISSION. <DA: N1-255-94-3> |
| 8650 | | Astronauts | (see below) |
| 8650 | 35 | ASTRONAUT SELECTION DATABASE (ELECTRONIC) Records in this system include identifying information for the individuals in employment applications and resumes and records of specialized training, honors and awards. The system also contains relevant human resource correspondence, records of an individual's qualifications for participation in a specialized program, evaluations of candidates, and final NASA determinations of candidates' qualification for the program. | *PERMANENT* TRANSFER TO NARA WITHIN 7 YEARS AFTER CLASS SELECTION. DAA-255-13-0001 |
| 8680 | | Payloads-Management and Operations | (see below) |
| 8680 | 36 | PAYLOAD PROCESSING DOCUMENTATION (KSC ONLY) | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8700 | | Safety and Mission Assurance | (see below) |

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| 8700 | 36.5 | <p>SAFETY AND MISSION ASSURANCE</p> <p>A. SAFETY, RELIABILITY & QUALITY ASSURANCE (JSC ONLY)</p> <p>B. PROBLEM REPORTING AND CORRECTIVE ACTION (PRACA) REPORTS (JSC ONLY)</p> <p>C. <u>QUALITY ASSURANCE SURVEILLANCE RECORDS</u></p> <p>1. Documents other than audit documents, regardless of format, related to quality systems audits of NASA installations.</p> <p>2. Quality system audit findings, regardless of format, that document non-conforming flight hardware.</p> <p>3. Documents, regardless of format, related to Quality assurance inspection stamps, including stamp audits, and stamp issuance records for NASA and support contractor inspections and designated verification.</p> <p>(a) Stamp audit documents.</p> <p>(b) Stamp issuance documents.</p> <p>i. NASA Civil Service and designated verification personnel. Cutoff date is date of document.</p> <p>ii. NASA Support Contractor personnel. Cutoff date is date of document.</p> <p>Note: for other Quality Assurance records related to NASA programs and projects, see Schedule 8/101 and Schedule 8/103.</p> | <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117</p> <p>ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117</p> <p>CUTOFF AT THE END OF FISCAL OR CALENDAR YEAR. DESTROY 3 YEARS AFTER CUTOFF OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES, WHICHEVER IS LATER. <DAA-255-2016-0003></p> <p>PERMANENT. SEE SCHEDULE 8/101. <DAA-255-2016-0003></p> <p>DESTROY WHEN 10 YEARS OLD. <DA: N1-255-01-1></p> <p>KEEP FOR AT LEAST 3 YEARS, THEN DESTROY 1 YEAR ATER EXPIRATION OF STAMP SERIES OR LOT. <DA: N1-255-01-1> <DA: N1-255-09-1></p> <p>KEEP FOR AT LEAST 3 YEARS, THEN DESTROY UPON CHANGE OF CONTRACT. <DA: N1-255-01-1> <DA: N1-255-09-1></p> |
| See AFS 8715, Item 8/40.5 | 37 | OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) CITATION FILES | |
| | 38 | RADIOACTIVE MATERIALS INSPECTION AND TEST FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/23.5 |
| 8700 | 39 | RADIATION MONITORING AND DISPOSAL FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/23.5 |
| 8700 | 40 | RADIOACTIVE MATERIALS LICENSE FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/23.5 |
| 8715 | | Occupational Safety and Health Program Application (OSHA) | (see below) |

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PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--|-------------|---|--|
| 8715 Formerly AFS 8720, Item 8/37 in NPR 1441.1C | 40.5 | OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) CITATION FILES Files consist of original letters of Citation & Notification of Penalty from the U.S. Department of Labor; Results of investigations; Modification Abatement Plan Requests; and Final Abatement Plan Documentation. | RETIRE TO FRC 5 YEARS AFTER DATE OF ABATEMENT/RESOLUTION. DESTROY 10 YEARS AFTER DATE OF ABATEMENT/RESOLUTION. <DA: N1-255-94-3> <DA: N1-255-09-1> |
| 8720 | | Reliability, Availability, and Maintainability Policy | (see below) |
| 8720 | 41 | HEALTH AND MEDICAL CASE HISTORIES OF ASBESTOS WORKERS Health and medical case histories and physical examination records, including X-ray films, for all asbestos workers (employees exposed to airborne concentration of asbestos fibers). | RETIRE WITH INDIVIDUAL EMPLOYEE HEALTH CASE FILES AS LISTED IN SCHEDULE 1, EMPLOYEE HEALTH RECORDS, OF THIS NPR. [GRS 1-21] (N 11-4d) |
| 8730 | | Quality Management | (see below) |
| 8730 | 41.5 | CALIBRATION AND METROLOGY RECORDS Records created and received in any and all media that detail calibration and metrology products and services used in the course of Agency operations. Documents relating to design, inspection, testing, and servicing of equipment and materials used to meet calibration and/or metrology requirements. Reference NASA Directive for Metrology and Calibration. Record cut off is the date the piece of equipment is excessed or no longer in NASA inventory, unless otherwise noted. A. Calibration records of equipment used as inspection, measuring, or test equipment on Programs/Projects, Research and Development activities and internally to the Calibration & Metrology Facility as Calibration Standards. 1. Office of Record shall be the on-Center Calibration & Metrology Services Facility or the on-Center Government-owned metrology database. If no on-Center Calibration & Metrology Services Facility or Government-owned database exists, the Office of Record shall be the person to whom the equipment is assigned. 2. Copies held by Program and Project Offices 3. All Other Copies (reference copies) B. Documents used to demonstrate compliance with NASA Directive for Metrology and Calibration. Examples of records/documents may include, but are not limited to, internal and external audits, interval analysis, and calibration quality checks. | DESTROY 5 TO 10 YEARS AFTER THE EQUIPMENT IS EXCESSED OR NO LONGER IN NASA INVENTORY. <DA:N1-255-08-1> RETAIN PER RETENTION SCHEDULE FOR PROGRAM/PROJECT CASE FILE. SEE SCHEDULE 8, ITEMS 8/103, 8/107. <DA:N1-255-08-1> DESTROY WHEN NO LONGER NEEDED. <DA:N1-255-08-1> CUT OFF UPON AUDIT, ANALYSIS OR QUALITY CHECK. DELETE 5 YEARS AFTER CUT-OFF. <DA:N1-255-08-1 |

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|--------------|-------------|--|--|
| 8800 | | Real Property and Facilities | (see below) |
| 8800 | 42 | ASBESTOS RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/23.5 |
| 8800 | 43 | ENVIRONMENTAL RECORDS | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/23.5 |
| 8800 | 44 | WIND TUNNEL FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8800 | 45 | FACILITIES PROJECT CASE FILES | ITEM DISCONTINUED. RECORDS NOW COVERED BY ITEM 8/101 OR 8/117. |
| 8800 | 46 | PLANT ACCOUNTING FILES Plant account cards and ledgers pertaining to structures. Files of units responsible for plant, cost, and stores accounting operations. | DESTROY WHEN 3 YEARS OLD. [GRS 8-1 (88)] (N 5-1) |
| 8810 | | Land and Improvements | (see below) |
| 8810 | 47 | AGENCY SPACE FILES Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration. A. Building plan files and related agency records utilized in space planning, assignment, and adjustment. B. Building space utilization report; annual reports of space utilization of all buildings, including numbers of people, areas, and purposes for which used (NASA Form 1400). C. Installation or facility records consisting of institutional housing requirements; quarterly real property inventory; and real property summary reports. D. Installation real property inventories, trailer reports, and rental of real property reports submitted by program offices and/or installations E. Correspondence with and reports to staff agencies relating to agency space holdings and requirements. 1. Agency reports to the General Services Administration, including SF 81, Request for Space, and related documents, concerning space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers. 2. Copies in subordinate reporting units and related work papers. | DESTROY 2 YEARS AFTER TERMINATION OF ASSIGNMENT, OR WHEN LEASE IS CANCELLED, OR WHEN PLANS ARE SUPERSEDED OR [GRS 11-2a] (N 18-3) DESTROY 2 YEARS AFTER DATE OF SUBMISSION TO HEADQUARTERS. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY 2 YEARS AFTER DISPOSAL OF INSTALLATION OR FACILITY. <DA: N1-255-94-3> <DA: N1-255-09-1> RETAIN CURRENT AND PREVIOUS FISCAL YEAR REPORTS. DESTROY ALL OTHERS. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY WHEN 2 YEARS OLD. [GRS 11-2b] DESTROY WHEN 1 YEAR OLD. [GRS 11-2b] |

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| <u>AES #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|--|
| 8810 | 48 | <p>REAL PROPERTY FILES</p> <p>A. <u>CONSTRUCTION FILES</u></p> <p>These records, regardless of format or media, are related to construction projects, but exclude final facility configuration files covered under Item 53.B</p> <p>1. STUDIES</p> <p>Studies relating to real property together with background papers showing inception, scope, and accomplishments. Intermediate and pre-final, and space plans of Federal structures and engineering projects. Cutoff date is date of record.</p> <p>(a) Selected studies that are considered unique in character.</p> <p>(b) Routine studies of temporary nature.</p> <p>2. ACTUAL CONSTRUCTION</p> <p>Construction office files consisting of documents relating to project requests, including approval, establishing funds, schedules of accomplishments, progress, payments, and the finalization, intermediate, and prefinal, final working, "as built," shop, repair and alteration, contract, and standard drawings, project specifications, with associated documents relating to their preparation of Federal structures and engineering projects.</p> <p>NOTE: The sub-items below need to be separated by disposition before transfer to the FRC.</p> <p>(a) Records of new construction and architecturally, historically, and technologically significant facilities such as the Vehicle Assembly Building (VAB); Pads A & B; Space Station Facility; etc.</p> | <p>MAY RETIRE TO FRC WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED FOR REFERENCE, WHICHEVER IS SOONER. DESTROY WHEN 30 YEARS OLD. <DA: N1-255-00-1> <DA: N1-255-09-1> (N 18-4)</p> <p>RETAIN FOR 3 YEARS, THEN DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>*PERMANENT* RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. TRANSFER TO THE NATIONAL ARCHIVES 8 YEARS AFTER COMPLETION OR FINAL PAYMENT. <DA: N1-255-00-1></p> |

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|--------------|-------------|--|--|
| | 48 | <p>(b) Routine office/lab buildings/facilities.</p> <p>3. PHOTOS/VIDEO</p> <p>Construction photos taken during the construction process consisting of in-progress, interim, and final shots of a facility AND NOT included in the official numbered installation photo collection.</p> <p>(a) Imagery of architecturally, historically, and technologically significant facilities.</p> <p>(b) Routine office/lab buildings/facilities.</p> <p>B. <u>INSTALLATION RECORDS – LEASES, DRAWINGS, ETC.</u></p> <p>1. Records consist 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; industrial facilities data; and real property disposal documents.</p> <p>2. 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.</p> <p>3. NASA Base Operations Contractor Project Control Board Files</p> | <p>RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. DESTROY WITHIN ONE YEAR AFTER DEMOLITION OF STRUCTURE. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>*PERMANENT* FILE WITH THE ACTUAL CONSTRUCTION CASE FILE. RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. TRANSFER TO THE NATIONAL ARCHIVES 8 YEARS AFTER COMPLETION OR FINAL PAYMENT. <DA: N1-255-00-1></p> <p>RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. DESTROY WITHIN ONE YEAR AFTER DEMOLITION OF STRUCTURE. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>*PERMANENT* MAY RETIRE TO FRC 2 YEARS AFTER DISPOSAL OF INSTALLATION. TRANSFER TO THE NATIONAL ARCHIVES 25 YEARS AFTER DISPOSAL OF INSTALLATION. <DA: N1-255-00-1> (N 18-2)</p> <p>*PERMANENT* MAY RETIRE TO FRC 2 YEARS AFTER DISPOSAL OF PROPERTY. TRANSFER TO THE NATIONAL ARCHIVES 25 YEARS AFTER DISPOSAL OF PROPERTY. <DA: N1-255-00-1> (N 18-12)</p> |

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PROGRAM MANAGEMENT RECORDS

**SCHEDULE 8
(AFS 8000-8999)**

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|--------------|-------------|--|--|
| | 48 | <p>(a) Approved, disapproved and cancelled Approved Work Order Numbers held by the contractor for NASA. Records in this group include but are not limited to copies of proposed Task Orders and Board Minutes.</p> <p>(b) All other copies of records described in (a) above held in NASA Offices. Cutoff date is date of record.</p> <p>4. Work Authorization Packages For New or Modified Facilities Record copy of individual files, controlled by Work Authorization Package (WAP), pertaining to changes in configuration of physical structures, new or modified, and unique work activities on assigned facilities, systems and equipment within the contractual cost/scope limits provided to the Base Operations Contract. (Series includes both NASA-held and Contractor-held Government owned records.) Cutoff date for file is date of WAP document in file.</p> <p>These records, regardless of format or media, are related to administration of the projects, but exclude final facility configuration files covered under Item 53.B</p> <p>(a) Approved WAPs.</p> <p>(b) Disapproved and cancelled WAPs.</p> <p>C. <u>REPORTS – REAL PROPERTY</u></p> <p>Records 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. Cutoff date is date of report.</p> <p>D. <u>MASTER PLANS</u></p> <p>1. Installation files (one copy of each revision should be maintained in the historical files for facilities management).</p> | <p>DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT OF THE CONTRACT. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>RETAIN FOR 3 YEARS, THEN DESTROY WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>MAY RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE. DESTROY WHEN 20 YEARS OLD. [HISTORY OFFICE MAY RETAIN INDEFINITELY FOR REFERENCE.] <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>*PERMANENT* RETIRE TO FRC UPON DISCONTINUANCE OF INSTALLATION OR FACILITY. TRANSFER TO THE NATIONAL ARCHIVES 25 YEARS AFTER DISCONTINUANCE OF</p> |

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|--------------|-------------|--|---|
| | 48 | <p>2. NASA Headquarters copy. Cutoff date is date of record.</p> <p>E. <u>TITLE PAPERS</u></p> <p>Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), including any payment or voucher records.</p> <p>1. Papers for property acquired prior to January 1, 1921.</p> <p>2. Papers for property acquired after December 31, 1920, other than abstract or certificate of title.</p> <p>3. Abstract or certificate of title</p> <p>4. Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.</p> | <p>INSTALLATION OR FACILITY. <DA: N1-255-00-1></p> <p>RETAIN FOR 3 YEARS, THEN DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-00-1> <DA: N1-255-09-1></p> <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT. <DA: N1-255-94-3> (N 18-1)</p> <p>DESTROY 10 YEARS AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT OF CONDITIONS, RESTRICTIONS, MORTGAGES, OR OTHER LIENS. [GRS 3-1a]</p> <p>TRANSFER TO PURCHASER AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT OF CONDITIONS, RESTRICTIONS, MORTGAGES, OR OTHER LIENS. [GRS 3-1b]</p> <p>TRANSFER TO NEW CUSTODIAN UPON COMPLETION OF SALE, TRADE, OR DONATION PROCEEDINGS, OR ACCEPTANCE OF PURCHASE MONEY MORTGAGE. [GRS 4-4]</p> |

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|---------------------|------------------------------|---|--|
| | 48 | NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. NASA must schedule these series by submitting a SF 115 to the National Archives. | |
| 8814 | | Housing and Personnel Quarters | (see below) |
| 8814 | 49 | HOUSE APPLICATION FILES A. Applications for, and certificates of eligibility for housing of essential employees, and all related documents. B. Forms requesting agency assistance in housing matters, such as rental or purchase. | DESTROY 5 YEARS AFTER THE ISSUANCE OF EACH CERTIFICATE. <DA: N1-255-94-3> <DA: N1-255-09-1> (N 15-31) DESTROY WHEN 1 YEAR OLD. [GRS 1-25e] |
| 8814 | 50 PASR | WALLOPS FLIGHT FACILITY BASE HOUSING TENANT RECORDS - NASA 53 BHTR CLOSED SERIES | DESTROY WHEN 30 YEARS OLD UNLESS AUTHORIZED BY ANOTHER SERIES IDENTIFIED WITHIN THESE SCHEDULES. <DA: N1-255-94-3> <DA: N1-255-09-1> |
| 8814 | 51 PASR | WHITE SANDS TEST FACILITY FEDERAL HOUSING ADMINISTRATION (FHA) 809 HOUSING PROGRAM - NASA 73 FHAP Records in this system consist of WSTF Civil Service and contractor personnel who have applied for FHA 809 housing. Records contain personal data (i.e., name, address, home phone, age, etc.), realtor, mortgage, and employment data. | CERTIFICATES ARE HELD FOR 5 YEARS AFTER ISSUANCE AND THEN DESTROYED. INDEX CARDS ARE RETAINED IN AGENCY SPACE UNTIL 50 YEARS OLD AND THEN DESTROYED. <DA: N1-255-94-3> <DA: N1-255-09-1> |
| 8820 | | Construction of Facilities (C of F) | (see below) |
| 8820 | 52 | SHOP PLANNING AND LAYOUT FILES Documents, regardless of format or media, reflecting the layout, location, and comparable data relative to manufacturing space, machinery, and equipment. | DESTROY WHEN SUPERSEDED OBSOLETE, OR WHEN 10 YEARS OLD WHICHEVER IS LATER. <DA: N1-255-94-3> <DA: N1-255-09-1> (N 20-10) |
| 8820 | 53 | FEDERAL STRUCTURES DESIGN FILES A. <u>PRELIMINARY, INTERMEDIATE, AND WORKING DESIGN FILES</u> Non-final drawings and models of Federal structures and engineering projects, regardless of format or media of the records. | HANDLE AS PERMANENT PENDING RETENTION APPROVAL. |

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|---------------------|--------------------|---|--|
| 8820 | 53 | <p>1. Preliminary design documents, drawings and models of architecturally, historically, or technologically significant facilities that are listed or considered eligible for the individual listing in the National Register of Historic Places.</p> <p>a. Records consist of 30% Design Package documents, including floor plans, architectural renderings, building elevations, structural systems, assumptions, conceptual drawings, etc.</p> <p>Exception: If they are easily segregable, exclude records of electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC). Disposition per item "b" below.</p> <p>b. Records of electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC), if segregable from the 30% Design Package.</p> <p>2. All draft, preliminary, intermediate, working, and contract negotiation design documents and models of all other non-historical or non-critical facilities to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Records include all 30%, 60%, and 90% Design Packages and related documents pertaining to facility construction.</p> <p><u>B. FINAL DESIGN RECORDS OF ACTIVE/ON-GOING FACILITIES</u></p> <p>Files, regardless of format or media, consist of all As-Built drawings, specifications, calculations, equipment submittals, engineering reports and requirements that document final facility configuration.</p> <p>1. Final As-Built drawings/specifications and calculations of final facility configuration after initial construction including and significant design changes to a facility's appearance or function for architecturally, historically, or technologically significant facilities listed, or eligible for individual listing in the National Register of Historic Places.</p> <p>Exception: If they are easily segregable, exclude records of electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC). Disposition per item 53.B.2 below.</p> <p>2. All other final design records. All other final and As-Built drawings, designs, plans or other design records of facilities not critical to agency mission, or for significant facilities that are not included in B.1 above.</p> | <p>PERMANENT. TRANSFER TO THE NATIONAL ARCHIVES WITH FINAL DESIGN RECORDS UPON FACILITY DISPOSAL <DAA-0255-2015-0001> (N 18-10)</p> <p>TEMPORARY. DESTROY WHEN SUPERSEDED, WHEN PROJECT TERMINATES, OR WHEN NO LONGER NEEDED FOR BUSINESS SPURPOSES. [GRS 5.4-050]</p> <p>TEMPORARY. DESTROY WHEN SUPERSEDED, WHEN PROJECT TERMINATES, OR WHEN NO LONGER NEEDED FOR BUSINESS PURPOSES. [GRS 5.4-050]</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> <p>PERMANENT. TRANSFER TO THE NATIONAL ARCHIVES UPON FACILITY DISPOSAL. <DAA-0255-2015-0001></p> <p>TEMPORARY. DESTROY WHEN SUPERSEDED, OR TRANSFER TO NEW OWNER, OR DESTROY UPON FACILITY DISPOSAL. {GRS 5.4-051}</p> |

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|---------------------|--------------------|--|---|
| | | 3. Voided drawings These files consist of original voided drawings (obsolete, cancelled, replaced or modified) that have been replaced by redrawn or revised sheets for facilities, systems, and equipment. | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 53A.2 ABOVE. |
| 8820 | 54 | CLOSED SERIES | |
| 8820 | 55 | C of F PROJECTS FINAL REPORTS | ITEM DISCONTINUED. REPORTS COVERED BY ITEM 8/53.B. CANCELLED OR TERMINATED PROJECTS COVERED BY ITEM 8/53.A.3 |
| 8830 | | Maintenance, Repair, and Operation of Facilities | (see below) |
| 8830 | 56 | REPAIR AND UTILITY FILES A. <u>REPAIR AND UTILITY WORK ORDERS</u> Requests for repairs and orders, including correspondence, drawings, worksheets, standing work orders, and all related materials, regardless of format or media. 1. Office of primary responsibility. 2. All other offices/copies (EXCLUDING fiscal). B. <u>MAINTENANCE RECORDS</u> Documents, regardless of format or media, showing maintenance performed and required on systems and plants, including Preventive Maintenance Instructions (PMI) and Preventive Maintenance Action Requests (PMAR). C. <u>UTILITY OPERATING LOG</u> Logs, in all formats or media, showing operations of utilities including temperature, humidity, pressure, and other such readings. | DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1> (N 18-16) DESTROY ON COMPLETION OF WORK. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY WHEN 3 YEARS OLD. <DA: N1-255-94-3> <DA: N1-255-09-1> DESTROY WHEN 3 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER. <DA: N1-255-94-3> <DA: N1-255-09-1> (N 18-15) |
| 8834 | | Structure and Equipment | (see below) |
| 8834 | 56.5 | A. <u>LIFTING EQUIPMENT</u> Records concerning design, inspection, and testing, and servicing of lifting devices (cranes, hoists, etc.) and lifting equipment (load-lifting hardware and attached lifting equipment). | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|---|---|
| | | <ol style="list-style-type: none"> 1. Design records for review and approval of configuration changes such as certification packages, acceptance, inspection, and test records, including associated nonconformance and corrective actions. 2. Periodic inspection and test records of ad hoc and required period inspection and testing activities, including associated nonconformance and corrective actions. 3. Servicing records documenting maintenance and adjustment activities performed on lifting equipment. 4. Equipment operator inspection records, such as checklists of pre-operation inspections completed by lifting equipment operators before daily use of the equipment. | <p>RETAIN FOR THE LIFE OF THE EQUIPMENT. DESTROY 1 YEAR AFTER EQUIPMENT DISPOSAL <DAA-255-12-0002></p> <p>RETAIN RECORDS OF 2 INSPECTION CYCLES; DESTROY RECORDS WHEN SECOND SUBSEQUENT CYCLE IS COMPLETED OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <DAA-255-12-0002></p> <p>DESTROY WHEN 5 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <DAA-255-12-0002></p> <p>DESTROY WHEN 3 MONTHS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. <DAA-255-12-0002></p> |
| 8900 | | Program Medical Support | (see below) |
| 8900 | 57 | <p>ASTRONAUT MEDICAL REPORTS/RECORDS</p> <p>Health and medical case histories, and physical and environmental records, biomedical data pertaining to NASA astronauts, including space flight (mission) data, i.e., astronaut medical testing results, flight and ground-based data collected from astronauts and civilians including procedures, correspondence, log books, strip charts, etc.</p> <p>NOTE: Medical records for the astronauts are kept all together, ground medical/routine as well as space flight medical This information is maintained by astronaut name in one complete medical history case file.</p> | <p>* PERMANENT *</p> <p>RETIRE RECORDS TO FRC WHEN ASTRONAUT IS SEPARATED FROM THE PROGRAM/AGENCY. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD. <DA: N1-255-94-3> (N 11-4c)</p> |
| 8900 | 58 | <p>MEDICAL RECORDS - TEST SUBJECTS</p> <p>Records in this series consist of medical records of test subjects under contract to NASA which include documentation of physical exams, diagnosis, treatment, and tests given in order for the individual to participate as a "test" subject in R&D Project medical tests.</p> | <p>DESTROY 75 YEARS AFTER BIRTH DATE (DOB), OR 60 YEARS AFTER DATE OF EARLIEST DOCUMENT IN THE FOLDER IF DOB CANNOT BE ASCERTAINED, OR 30 YEARS AFTER CONTRACT HAS BEEN COMPLETED/TERMINATED WHICHEVER IS LATER. <DA: N1-255-94-3> <DA: N1-255-09-1></p> |
| 8910 | | Care and Use of Animals | Contact Center Records Mgr. |
| | 59-100 | RESERVED | |
| | 101-117 | PROGRAM AND PROJECT RECORDS | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|--|--|
| | | <p>What items 101-117 cover. These items designate appropriate retention of NASA program and project records produced through compliance with NPD/NPR 7120 series directives, or other authorized project management requirements documents. It provides for permanent retention of substantive and historically significant records and temporary retention of other records until the Agency no longer needs them. The terms “program” and “project” are defined in the current versions of NPD 7120.4 and NPR 7120.5. This schedule applies to all activities performed as part of programs/projects whether designated “tasks,” “work packages,” or other terminology.</p> <p>What items 101-117 do not cover. Records generated by some supporting activities such as procurement, financial management, property and supplies, personnel administration, and legal and patent issues are covered by other NASA records schedules. Program/project records within electronic systems (e-systems) are covered by this schedule. However, inputs, outputs, and system documentation for program/project e-systems are not covered. (See Note 5 for further information.) Questions about which schedules apply to specific records should be addressed to the Center Records Manager.</p> <p>Office(s) of Record. As used in these items, Office of Record refers to that office holding the official record copy of a specific record when multiple copies are used across offices, projects and centers. This is generally the office that creates and maintains the record, although other specific offices may be designated, when appropriate, to hold official program/project records. In some cases there may be more than one official copy of a record when it has separate independent functions in different organizations.</p> <p>Media. Items 101-117 cover records in any and all media, in any and all formats including Web content, and produced using any and all tools. Records may include, but are not limited to, word processing documents, presentation materials, statistical data, test data, spreadsheets, databases, e-messages (this includes e-mail), photographic materials, audio materials, film and video materials, drawings, and artwork.</p> <p>How to use the Notes. After determination of the type of program/project the records relate to, use the notes to assist with further retention selection. Notes 1, 2, and 3 list documents perceived to have permanent, long-term temporary, or short-term temporary value, respectively. These lists are intended to be inclusive rather than exclusive. They are to assist in selection, not to preempt selection. Program/project staff must exercise case-by-case judgment to ensure that permanent records are identified and retained while other records are destroyed appropriately. In cases of doubt about what item to apply, users of this schedule should contact their Center Records Manager.</p> | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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| Item | If the records pertain to | and consist of | which are | then the records are |
|------|--|---|--------------------------|--|
| 101 | <p>programs/projects relating to both manned and unmanned space flight, aerospace technology research, and basic or applied scientific research AND meeting one or more of the following criteria: are "first of a kind," establish precedents, produce major contributions to scientific or engineering knowledge, integrate proven technology into new products, or are/have been subject of widespread media attention or Congressional scrutiny.</p> | <p>records essential for understanding the history of a program/project from inception to completion defined by the stages in program/project's life. Note 1 contains a list of eight stages and potential records that might be created in each.</p> | held at office of record | <p>PERMANENT. CUT OFF RECORDS AT CLOSE OF PROGRAM/PROJECT OR IN 3-YEAR BLOCKS FOR LONG TERM PROGRAMS/PROJECTS. TRANSFER TO NATIONAL ARCHIVES 7 YEARS AFTER CUTOFF. SPECIAL MEDIA RECORDS WILL BE TRANSFERRED IN ACCORDANCE WITH 36 CFR § 1235.44-50 (ELECTRONIC RECORDS), 36 CFR § 1237.28 (AUDIOVISUAL RECORDS), 36 CFR § 1235.42 (CARTOGRAPHIC AND ARCHITECTURAL RECORDS), AND/OR CURRENT TRANSFER INSTRUCTIONS SPECIFIC TO INDIVIDUAL FORMATS. <N1-255-04-3></p> |
| 102 | | | all other copies | <p>TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <N1-255-04-3></p> |
| 103 | | <p>records not required for documenting the history of the program/project as described in item 101, but which have operational value to the Agency. Note 2 contains examples that might be created in each program/project stage.</p> | held at office of record | <p>TEMPORARY. CUT OFF RECORDS AT CLOSE OF PROGRAM/PROJECT OR IN 5-YEAR BLOCKS. DESTROY/DELETE BETWEEN 0 AND 30 YEARS AFTER CUTOFF. SEE NOTE 4. <N1-255-10-4></p> |
| 104 | | | all other copies | <p>TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <N1-255-04-3></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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| Item | If the records pertain to | and consist of | which are | then the records are |
|-------------|---|---|--------------------------|--|
| 105 | | all other routine records that are not considered to be essential for on-going operations of the program/project. Note 3 contains a list of records that may be included. | held at office of record | TEMPORARY. DESTROY/DELETE WHEN BETWEEN 0 AND 15 YEARS OLD. DO NOT RETAIN LONGER THAN LIFE OF PROGRAM/PROJECT PLUS 5 YEARS. SEE NOTE 4. <N1-255-04-3> |
| 106 | | | all other copies | TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <N1-255-04-3> |
| 107 | programs/projects that do not meet the criteria stated in Item 101. | records of programs/projects that have operational value to the Agency. Notes 1 and 2 contain listings of records that may be included. | held at office of record | TEMPORARY. DESTROY/DELETE BETWEEN 0 AND 30 YEARS AFTER PROGRAM/PROJECT TERMINATION. SEE NOTE 4. <N1-255-04-3> |
| 108 | | | all other copies | TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <N1-255-04-3> |
| 109 | | all other routine records that are not considered to be essential for on-going operations of the program/project. Note 3 contains a list of records that may be included. | held at office of record | TEMPORARY. DESTROY/DELETE WHEN BETWEEN 0 AND 15 YEARS OLD. DO NOT RETAIN LONGER THAN LIFE OF PROGRAM/PROJECT PLUS 5 YEARS. SEE NOTE 4. <N1-255-04-3> |
| 110 | | | all other copies | TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <N1-255-04-3> |
| 111 | ITEM DISCONTINUED | | | RECORDS COVERED BY GRS 20, ITEM 2. |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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| Item | If the records pertain to | and consist of | which are | then the records are | |
|-------------|--|---|---|---|---|
| 112 | ITEM DISCONTINUED | | | BY DEFINITION, THESE ARE "ALL OTHER COPIES." | |
| 113 | ITEM DISCONTINUED | | | ITEM DISCONTINUED. BY DEFINITION, THESE ARE "ALL OTHER COPIES." | |
| 114 | Program/project records that clearly apply to (or cover) more than one program or project. Such records might include, but are not limited to, technical standards/multi-program/project common use documentation, certain test stand data, etc. | records which, if of an individual program/project, would be described by item 101. | held at office of record | PERMANENT. CUT OFF RECORDS AT CLOSE OF LAST APPLICABLE PROGRAM/PROJECT OR AT ANY TIME IN 3-YEAR BLOCKS. TRANSFER TO NATIONAL ARCHIVES 7 YEARS AFTER CUTOFF. SPECIAL MEDIA RECORDS WILL BE TRANSFERRED IN ACCORDANCE WITH 36 CFR § 1235.44-50 (ELECTRONIC RECORDS), 36 CFR § 1237.28 (AUDIOVISUAL RECORDS), 36 CFR § 1235.42 (CARTOGRAPHIC AND ARCHITECTURAL RECORDS), AND/OR CURRENT TRANSFER INSTRUCTIONS SPECIFIC TO INDIVIDUAL FORMATS. <DA: N1-255-10-4> | |
| 115 | | | all other copies. | TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <DA: N1-255-10-4> | |
| 116 | | | records which, if of an individual program/project, would be described by items 103 or 107. | held at office of record | TEMPORARY. DESTROY/DELETE BETWEEN 0 AND 30 YEARS AFTER TERMINATION OF LAST APPLICABLE PROGRAM/PROJECT. <DA: N1-255-10-4> |
| 117 | | | | all other copies. | TEMPORARY. DESTROY/DELETE WHEN NO LONGER NEEDED. <DA: N1-255-10-4> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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Note 1. Records covered by Items 101, 102, 107 and 108 potentially created in the stages of a project/program's life are those essential for future studies of a program or project. This list is neither all-inclusive nor all-exclusive; it must be applied based on value judgments by those familiar with a program/project's development and accomplishments. Included are:

Records created at multiple stages.

- * Agendas, minutes and briefing materials of substantive meetings
- * Budget and actual cost data (final figures)
- * Configuration management control documentation including Class I change requests and dispositions (e.g., changes that impact form, fit or function)
- * Correspondence, memos, e-messages, photographs, and presentation materials of a substantive nature
- * Directives
- * Hazard, risk and safety analyses/assessments
- * Independent and non-advocate reviews and assessments
- * Material from major milestone and peer reviews including, but not limited to: concept, preliminary design, critical design, design certification, mission readiness, configuration, program/project requirements, and system requirements.
- * Mission success criteria
- * Newsletters and bulletins
- * Partnering agreements
- * Press releases
- * Products of collaborative tools used to track or facilitate progress
- * Program/project plans, including annual Program Operating Plans
- * Public relations materials
- * Requirements documents including: baseline system, data, software, interface, integration, testing, design, operations, performance, science and acceptance
- * Specifications, drawings and associated lists used for hardware manufacture/fabrication, and related finding aids
- * Testing and Operations Plans (i.e.: verification, integration, handling, transportation, storage, support systems, facilities, logistics, qualification, quality, reliability, acceptance, and science)

Formulation. Records defining scope, objectives, technical performance requirements, cost, and schedules of program/project prior to initial formal approval, including:

- * Announcements of opportunity (including research opportunity)
- * Art work and drawings produced to illustrate concepts or designs
- * Concept/configuration options and decision packages
- * Concept definition documents
- * Estimates of budget and schedule options
- * Infrastructure and program/project needs assessment
- * Mission needs statement, and other mission needs documents
- * Preliminary configuration layouts
- * Preliminary operations plans

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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- * Procurement/acquisition plan
- * Program/project formulation authorizations
- * Requests for proposals
- * Statements about analysis of program/project value
- * Studies of available technology, conceptual options, feasibility trades, and sensitivity
- * Technology availability/readiness assessments

Approval. Records documenting program/project as initially approved, and subsequent changes resulting from iterative process of defining concepts and requirements, including:

- * Approval status tracking and control files
- * Authorization/approval documents
- * Commitment agreements
- * Evaluation reviews
- * Intra-NASA center and external memoranda of understanding or agreement

Design development. Records containing comprehensive information about design and development process, requirements, products, performance, and review, including:

- * Design and development plan
- * Design concept verification studies and reports
- * Operating plan
- * Verification of design concept studies and reports

Manufacture, fabrication and assembly. Records that provide significant documentation of the construction, final assembly, and acceptance of as-flown hardware or as-operated ground-based experiments and any major changes to the original approved design, including:

- * Acceptance and end item review materials / packages for hardware eligible for museum display
- * Configuration inspection reviews
- * Manufacturing plans

Pre-launch system integration and verification. Records that provide significant documentation of the process used to verify that a spacecraft is ready for launch, or a ground-based experiment is ready for operation, including:

- * Certification reports
- * Flight readiness review materials
- * Operations plans for testing, integration, calibration, interface, and reliability
- * Requirements documents for testing and verification
- * Test and operations plans: verification, integration, handling, transportation, storage, support systems, facilities, logistics, qualification, and quality/reliability
- * Test readiness review materials
- * Verification plans

Implementation and operations. Records that provide significant documentation about how a mission/experiment was conducted, including:

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- * Anomaly reports
- * Engineering and operations manuals
- * Engineering data necessary to establish operation of technical sub-systems
- * Final versions of specifications, drawings, associated lists and related finding aids used for manufacturing/fabrication
- * Flight crew and mission controller reports or notes, audio tapes and imagery
- * Flight data files and timelines
- * Flight procedures manuals
- * Imagery in any format of mission operations
- * In-flight or on-orbit anomaly investigation reports and flight notes
- * Standards

Observational data. Records containing physical sciences observational data created by both space- and earth-based platforms that are unique and cannot be extrapolated from other data sets or observations at a reasonable cost, including:

- * Copies of definitive data sets
- * Copies of processed data and metadata, their analyses, proposals for analysis, and related finding aids
- * Instrument operations
- * Laboratory notebooks and logbooks
- * Proceedings
- * Studies and reports

Evaluation and termination. Records documenting results of program/project, specific manned or unmanned flight or experiment upon completion, including:

- * Analyses of mission results
- * Final mission or experiment reports
- * Lessons learned studies
- * Mission/experiment reports (preliminary and final)
- * Mission failure or accident investigation records
- * Publications and conference proceedings
- * Restart notes
- * Substantive notes of scientists and other personnel not incorporated in other records
- * Summaries of accomplishments and problems
- * Termination notifications and related justifications

Note 2. Records covered by Items 103, 104, 107 and 108 potentially created in the stages of a project/program's life are those essential for continuing operations and technology transfer. This list is neither all-inclusive nor all-exclusive; it must be applied based on value judgments by those familiar with a program/project's development and accomplishments. Included are: Records created at multiple stages.

- * Configuration management control documentation including change requests and dispositions other than those listed in Note 1
- * Correspondence, memos, and e-messages related to any records described in Note 2

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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- * Interface control documents
- * Minutes of all Program Control Boards
- * Open action tracking files not included in major milestone review documentation
- * Periodic reports, status reviews and presentations whose substance is captured in major milestone reviews
(see Note 1, Records created at multiple stages)
- * Problem reporting and corrective action reports
- * Quality assurance audit reports
- * Specifications and drawings of superseded systems with no historic interest, and related finding aids
- * Waivers
- * Work instructions and work authorization documents

Formulation, including:

- * Audits
- * Concept verification testing data
- * Environmental impact studies
- * Technical evaluations of proposals
- * Technology readiness demonstration results

Approval, including:

- * Configuration audits
- * Failure modes analyses
- * Preliminary budget and cost estimates and studies
- * Preliminary design documents
- * Safety analysis reports
- * Work breakdown documents

Design development, including:

- * Contract End Item (CEI) specifications redundant to the specifications in Note 1, Design development
- * Design performance analyses
- * Design reviews whose substance is captured in major milestone reviews (Note 1, records created at various stages)
- * Design verification testing data
- * Test data developed for verification studies

Manufacture, fabrication and assembly. Records not included in Note 1 that are useful for identification, correction, and/or investigation of performance problems or mishaps, but not needed after hardware is no longer in NASA inventory, including:

- * Acceptance data packages including test procedures and results for hardware not suitable for museum display
- * Audits
- * Engineering test and evaluation data
- * Final contract deliverable technical data requirements (complete set)
- * Hardware vendor lists
- * Material and parts lists

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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- * Qualification of flight hardware, test plans, and results
- * Quality and reliability test plans and results
- * System acceptance review documents

Pre-launch system integration and verification. Records not included in Note 1 that are useful for identification, correction, and/or investigation of performance problems or mishaps, but not needed after hardware is no longer in NASA inventory, including processing documents for spacecraft, payloads, or experiments such as:

- * Discrepancy reports
- * Engineering support requests
- * Field engineering changes
- * Flight certifications
- * Modification instruction packages
- * Operations readiness review materials
- * Payload processing and integration
- * Pre-flight or pre-experiment test and verification data
- * Pre-ship review materials
- * Safety and mission assurance documents
- * Safety reviews
- * Test and assembly procedures
- * Test preparation sheets
- * Verification/validation of flight/test software

Implementation and operations. Records not included in Note 1 that are useful for identification, correction, and/or investigation of performance problems or mishaps, but not needed after hardware is no longer in NASA inventory, including:

- * Commands
- * Launch operations data
- * Principal investigators' user guides

Observational data. Records that do not meet the criteria for observational data described in Note 1, in particular data generated by engineering tests to verify theories, design concepts, etc., including:

- * Derived data sets
- * Engineering data necessary to establish operation of instruments
- * Raw experimental, observational, or engineering data (Exception: raw data determined by NASA management to have continuing value may be retained beyond 30 years until reference use ceases.)

Note 3. Records covered by Items 105, 106, 109 and 110 potentially created in the stages of a project/program's life have only limited short-term value. They include but are not limited to:

- * Action items from technical interchange meetings or management reviews not considered major milestones
- * Budget and actual cost data (working files; for final figures see Note 1)
- * Copies of presentation material maintained for personal reference containing no substantive notes
- * Internal center memoranda of understanding or agreement
- * Products of collaborative tools relating to administrative matters

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

PROGRAM MANAGEMENT RECORDS

SCHEDULE 8
(AFS 8000-8999)

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- * Routine correspondence, e-messages, agendas, minutes
- * Small purchase justifications and related documents not maintained in official procurement files
- * Trip reports

Note 4. Retention period for records relating to environmental protection, OSHA or other regulatory requirements should be lengthened as required by applicable state legislation.

Note 5. Reference schedule 2 for description and retention of inputs/outputs to, or documentation for program/project e-systems. For inputs in any format, use schedule 2, items 15B1, 15B2 and 15B3, as appropriate. For outputs in any format (e.g., summarized, extracted, and/or downloaded e-files and printed copies), use schedule 2 items 15D, 15E, 15F, or GRS 10/12, as appropriate.

| | | | |
|------------------------|--|--|--|
| END OF SCHEDULE | | | |
|------------------------|--|--|--|

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NRRS 9: FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

This records schedule is one of a series of schedules, approved by the Archivist of the United States, which furnishes authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers or other offices.

This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

FINANCIAL MANAGEMENT

The records described in Schedule 9 pertain to the management and operation of NASA accountable officer's accounts, including records under the cognizance of the General Accounting Office (GAO). These records relate to documentation concerned with accounting for availability and status of public funds. There are several types of accountable officers' returns and related records, 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 is responsible for providing documentation to GAO since he accomplishes the actual payment of public monies to proper Federal creditors; and, (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of the Treasury. Since July 1949, disbursements have been made for most Agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the Agency or held in Agency space if site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all Agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents are retained in Agency space for GAO auditors.

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 Congress.

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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 Center 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.

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|------------------|-------------|--|---|
| 9000-9799 | | FINANCIAL MANAGEMENT | (see below) |
| 9000 | | Principles and General Policies | (see below) |
| 9000 | 1 | <p>ACCOUNTABLE OFFICERS' RETURNS</p> <p>NOTE: Accounts and supporting documents pertaining to 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."</p> <p>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.</p> <p>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 <u>except</u> 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.</p> <p>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.</p> <p>SF 215 Deposit Ticket SF 224 Statement of Transactions SF 1012 Travel Voucher</p> | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1 1-010] (N 2-1) |

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|--------------|-------------|--|--|
| | 1 | <p>SF 1034 Public Voucher for Purchases and Services Other Than Personal</p> <p>SF 1036 Statement of Certificate and Award</p> <p>SF 1038 Advance of Funds Application and Account</p> <p>SF 1047 Public Voucher for Refunds</p> <p>SF 1069 Voucher for Allowance at Foreign Posts of Duty</p> <p>SF 1080 Voucher for Transfer Between Appropriations and/or Funds</p> <p>SF 1081 Voucher and Schedule of Withdrawals and Credits</p> <p>SF 1096 Schedule of Voucher Deductions</p> <p>SF 1097 Voucher and Schedule to Effect Correction of Errors</p> <p>SF 1098 Schedule of Canceled Checks</p> <p>SF 1113 Public Voucher for Transportation Charges</p> <p>SF 1129 Reimbursement Voucher</p> <p>SF 1143 Advertising Order</p> <p>SF 1145 Voucher for Payment Under Federal Tort Claims Act</p> <p>SF 1154 Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee</p> <p>SF 1156 Public Voucher for Fees and Mileage</p> <p>SF 1164 Claim for Reimbursement for Expenditures on Official Business</p> <p>SF 1166 Voucher and Schedule of Payments</p> <p>SF 1185 Schedule of Undeliverable Checks for Credit to Government Agencies</p> <p>SF 1218 Statement of Accountability (Foreign Service Account)</p> <p>SF 1219 Statement of Accountability</p> <p>SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts</p> <p>SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)</p> <p>OF 1114 Bill of Collection</p> <p>OF 1114A Official Receipt</p> <p>OF 1114B Collection Voucher</p> <p>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.</p> | <p>DESTROY WHEN BUSINESS USE CEASES. [GRS 1 1-011]</p> |
| 9000 | 2 | <p>AGENCY BUDGET REQUEST FILES</p> <p>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</p> | |

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|---------------------|--------------------|---|---|
| | 2 | <p>finding aids or documentation associated with this submission, i.e., OMB, Presidents Budget, Justification Support - Congressional Budget Support, etc.</p> <p>A. Original record set maintained at NASA Headquarters by Code B (This set starts October 1, 1958 and continues to Present)</p> <p>B. Center working materials/background files and documentation developed by other organizational units and as submitted to the Comptroller's Office.</p> <p>C. All other offices/copies.</p> | <p>* PERMANENT * TRANSFER TO THE NATIONAL ARCHIVES WHEN 35 YEARS OLD. <DA: N1-255-94-2></p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 30 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>DESTROY WHEN SUPERSEDED, NO LONGER NEEDED, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9000 | 3 | <p>NASA ACCOUNTING AND FINANCIAL INFORMATION SYSTEMS (NAFIS)</p> <p>This is an agencywide 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 Centers.</p> <p>A. <u>OFFICE OF PRIMARY RESPONSIBILITY</u></p> <p>B. <u>CENTERS</u></p> <p>C. <u>ALL OTHER OFFICES/COPIES</u></p> | <p>DELETE/DESTROY WHEN OBSOLETE OR SUPERSEDED OR WHEN 5 YEARS OLD. <DA: N1-255-94-2></p> <p>USE DISPOSITION IN A. ABOVE. <DA: N1-255-94-2></p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9000 | 4 | <p>R&D PROGRAM/PROJECT STATUS REPORTS (PSR) COST/SCHEDULES</p> <p>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.</p> <p>A. <u>CENTERS</u> (Level 2 Manager)</p> | <p>RETIRE TO FRC 1 YEAR AFTER COMPLETION OF THE PROJECT. DESTROY 10 YEARS AFTER COMPLETION OF PROJECT. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 24-3)</p> |

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|---------------------|--------------------|--|---|
| | 4 | B. <u>SECRETARIAT OFFICE</u> (NASA Headquarters; Comptroller's Office) C. <u>ALL OTHER OFFICES/COPIES</u> | * PERMANENT * RETIRE TO FRC WHEN 4 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD. <DA: N1-255-94-2> DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD WHICHEVER IS LATER. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 9050 | | Cash Management – Administrative Control of Appropriations and Funds | (see below) |
| 9050 | 5 | FUND FILES A. <u>GENERAL</u> 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. B. <u>SPECIAL</u> 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. | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 2-5, N 1-41) 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. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 9050 | 6 | NASA EXCHANGE - PERSONNEL, PAYROLL, AND FINANCIAL RECORDS A. <u>GENERAL</u> Records in this series consists of register receipts, bank deposit slips, register tapes, cancelled checks, bank statements, ledgers, etc. B. <u>CORRESPONDENCE FILES - GENERAL</u> 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. C. <u>STOCK FILES / GOODS RECEIVED</u> 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. | RETAIN ON-SITE AT RESPECTIVE INSTALLATION. DESTROY WHEN 5 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> RETAIN ON-SITE. DESTROY WHEN 4 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY WHEN 2 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> |

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|--------------|-------------|--|---|
| 9070 | | Government Charge Card Program | SEE SCHEDULE 5, ITEM 1.A.1(B) |
| 9090 | | Reimbursable Agreements | (see below) |
| 9090 | 7 | REIMBURSABLE AGREEMENTS – FINANCIAL A. <u>GUIDELINES APPLICABLE TO REIMBURSABLE AGREEMENTS</u> Reports, correspondence, working files and other documentation required on file to support reimbursable activities. B. <u>BENEFITOR FILES</u> Includes original authorities for reimbursable funding for resident agencies. C. <u>OCCUPANCY (SSC ONLY)</u> 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). D. <u>WORK PERFORMANCE AGREEMENTS (JSC ONLY)</u> 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. 2. All other offices/copies. E. <u>ALL OTHER OFFICES/COPIES OF THE ABOVE RECORDS OTHER THAN THE OPR</u> | RETAIN ON-SITE UNTIL REFERENCE VALUE CEASES; THEN DESTROY. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT. <DA: N1-255-94-2> <DA: N1-255-09-1> 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. <DA: N1-255-94-2> <DA: N1-255-09-1> TRANSFER TO FRC WHEN 10 YEARS OLD. DESTROY WHEN 20 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 9095 | | Working Capital Funds | |

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|--------------|-------------|--|--|
| 9100 | | Financial Management and Budgeting Systems | (see below) |
| 9100 | 8 | <p>APPORTIONMENT SCHEDULES - AGENCYWIDE CODING STRUCTURE ALSO SEE SCHEDULE 7</p> <p>A. Apportionment and reapportionment schedules proposing quarterly obligations under each authorized appropriation. Research and Development; Space Flight and Data Communications; Construction of Facilities; Research and Program Management; and, the Inspector General.</p> <p>1. HEADQUARTERS (CODE B ONLY)</p> <p>(These are records sent to OMB and Treasury which show the division of funding by project/program.)</p> <p>2. CENTERS</p> <p>B. Periodic reports on the status of accounts/apportionments. <i>(THIS IS THE SAME AS ITEM 21e, SCHEDULE 7)</i></p> <p>1. Annual report (end of fiscal year).</p> <p>2. All other copies/reports.</p> | <p>RETIRE TO FRC 3 YEARS AFTER FISCAL YEAR, 5 YEARS FOR NO YEAR APPROPRIATIONS. DESTROY WHEN NO LONGER NEEDED OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 7-2)</p> <p>DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR. [GRS 5-4]</p> <p>DESTROY WHEN 5 YEARS OLD. [GRS 5-3a]</p> <p>DESTROY 3 YEARS AFTER END OF THE FISCAL YEAR IN WHICH CREATED. [GRS 5-3b]</p> |
| 9200 | | Accounting | (see below) |
| 9200 | 9 | <p>ACCOUNTING RECORDS</p> <p>A. <u>EXPENDITURES ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES</u></p> <p>Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.</p> <p>B. <u>COST ACCOUNTING REPORTS</u></p> <p>Copies in units receiving reports; in reporting units; and related working papers.</p> | <p>DESTROY WHEN 2 YEARS OLD. [GRS 7-1]</p> <p>DESTROY WHEN 3 YEARS OLD, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 1.1-040] (N 5-5)</p> |

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|---------------------|--------------------|--|--|
| | 9 | <p>C. <u>COST REPORT DATA FILES</u></p> <p>Ledgers, forms, and electronic records used to accumulate data for use in cost reports.</p> <ol style="list-style-type: none"> 1. Ledgers and forms. 2. Automated records. <ol style="list-style-type: none"> (a) Detail cards. (b) Summary cards. (c) Tabulations. <p>D. <u>COST REDUCTION</u></p> <p>Reports, correspondence, working papers, and other supporting documentation required to be on file.</p> <ol style="list-style-type: none"> 1. Headquarters. 3. Centers | <p>DESTROY WHEN 3 YEARS OLD. [GRS 1.1-040] (N 5-6)</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>ITEM RESCINDED BY GRS TRANSMITTAL 23, SEPTEMBER 12, 2014.</p> <p>RETIRE TO FRC 4 YEARS AFTER CLOSE OF FISCAL YEAR IN WHICH RECORDS WERE CREATED. DESTROY 6 YEARS AFTER SUBJECT FISCAL YEAR. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 1-18)</p> <p>RETIRE TO FRC 3 YEARS AFTER CLOSE OF FISCAL YEAR IN WHICH RECORDS WERE CREATED. DESTROY 5 YEARS AFTER SUBJECT FISCAL YEAR. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9210 | | Accounting Principles | (see below) |
| 9210 | 10 | <p>SIGNATURE AUTHORITY FILES</p> <p>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.</p> | <p>DESTROY UPON SEPARATION, TRANSFER, OR TERMINATION OF AUTHORIZED EMPLOYEE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9220 | | General Ledger Accounting | (see below) |
| 9220 | 11 | GENERAL LEDGER – ACCOUNTING | |

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|--------------|-------------|---|--|
| | | <p>A. <u>GENERAL ACCOUNTING LEDGERS</u> Ledgers showing debit and credit entries, and reflecting expenditures in summary (balanced receipts).</p> <p>B. <u>TRIAL BALANCE LEDGERS</u> 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 Center.</p> <p>1. ORIGINAL RECORDS (CODE B ONLY)</p> <p>(a) Annual September Report.</p> <p>(b) Monthly reports (other than September).</p> <p>2. All other offices/copies of the above reports (including copies maintained at NASA Centers).</p> | <p>DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1 1-010] (N 3-1)</p> <p>RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 3-6)</p> <p>RETIRE TO FRC 2 YEARS AFTER FISCAL YEAR INVOLVED. DESTROY 10 YEARS AFTER SUBJECT FISCAL YEAR. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>DESTROY AS SOON AS ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9230 | | Allotment Accounting | (see below) |
| 9230 | 12 | ALLOTMENT/APPROPRIATION FILES Records showing status of obligations and allotments under each authorized appropriations. | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1 1-010] (N 3-2) |
| 9250 | | Property Accounting | (see below) |

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|--------------|-------------|---|---|
| 9250 | 12.5 | <p>PROPERTY, PLANT AND EQUIPMENT (PP&E) AND OTHER ASSET ACCOUNTING Includes Capital Asset Financial Records</p> <p>Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:</p> <ul style="list-style-type: none"> • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers <p>May include copies of original records covered under other schedule items, such as General Accounting Ledgers (Schedule 9, item 11.A – GRS 7-2), Expenditure Accounting Posting and Control Files (Schedule 9, item 13.A – GRS 7-4a), Freight Files (Schedule 6, items 2.B and 2.C – GRS 9-1a), and records documenting acquisition of real property (Schedule 8, item 48.E.2 – GRS 3-1b).</p> <p>Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), and not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> | <p>DESTROY 10 YEARS AFTER ASSET IS DISPOSED OF AND/OR REMOVED FROM AGENCY'S FINANCIAL STATEMENT. <DAA-0255-2012-0003> [GRS 1.1-030 (10 years permitted by GRS flexibility)]</p> |
| 9280 | | Expenditure Accounting | (see below) |
| 9280 | 13 | <p>EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES</p> <p>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.</p> | |

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|---------------------|--------------------|---|--|
| 9280 | 13 | A. <u>ORIGINAL RECORDS</u> B. <u>ALL OTHER COPIES</u> | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 1.1-010] (N 3-3) DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 1.1-010] (N 3-3) |
| 9300 | | Financial Reports | (see below) |
| 9300 | 14 | FINANCIAL STATUS REPORTS A. <u>MONTHLY CONSOLIDATED - AGENCYWIDE</u> 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: (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 Center. (b) Monthly issues of all other volumes of the report printed. 2. All other copies of the reports in Program Offices, NASA Centers, or other offices. B. <u>CONTRACTS AND GRANTS REPORTS - STATUS</u> SEE ALSO ITEM 19, SCHEDULE 7 Records in this category consist of a consolidated agencywide report of financial and statistical data covering NASA contracts, grants, and intra-Governmental purchase requests. | RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY WHEN 10 YEARS OLD. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 3-4) RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY 5 YEARS AFTER SUBJECT FISCAL YEAR. <DA: N1-255-94-2> <DA: N1-255-09-1> DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1> |

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|--------------|-------------|--|---|
| | 14 | <p>1. HEADQUARTERS - OFFICIAL RECORD:</p> <p>(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.</p> <p>(b) Issues of formats listed in (a) above, other than September.</p> <p>2. All other copies of the reports in Program Offices, NASA Centers, or other offices.</p> | <p>RETIRE TO FRC 1 YEAR AFTER CLOSE OF FISCAL YEAR TO WHICH RECORDS PERTAIN. DESTROY 10 YEARS AFTER SUBJECT FISCAL YEAR. <DA: N1-255-94-2> <DA: N1-255-09-1> (N 3-5, N 7-9)</p> <p>DESTROY MONTHLY ISSUES AFTER 90 DAYS; OTHER ISSUES AFTER THE CURRENT REPORT IS PRODUCED. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1></p> |
| 9400 | 14.1 | <p>RECORDS SUPPORTING COMPILATION OF AGENCY FINANCIAL STATEMENTS AND RELATED AUDIT, AND ALL RECORDS OF ALL OTHER REPORTS</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers | <p>DESTROY 2 YEARS AFTER COMPLETION OF AUDIT OR CLOSURE OF FINANCIAL STATEMENT /ACCOUNTING TREATMENT/ISSUE. [GRS 1.1-020]</p> |
| 9410 | | Planning, Programming, Budgeting, and Execution - General | (see below) |
| 9410 | 14.2 | <p>BUDGET FORMULATION AND EXECUTION – GENERAL</p> <p>A. <u>BUDGET CORRESPONDENCE FILES</u></p> <p>Correspondence files in formally organized budget offices pertaining to routine administration internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.</p> <p>B. <u>BUDGET BACKGROUND RECORDS</u></p> <p>Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.</p> | <p>DESTROY WHEN 2 YEARS OLD. [GRS 5-1]</p> <p>DESTROY 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR COVERED BY THE BUDGET. [GRS 5-2]</p> |
| 9421 | | Budget Call Instructions and Guidelines | (see below) |

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|--------------|-------------|---|--|
| 9421 | 14.3 | BUDGET CALL INSTRUCTIONS AND GUIDELINES A. <u>CORRESPONDENCE FILES IN FORMALLY ORGANIZED BUDGET OFFICES</u> Pertaining to routine administration, internal procedures (budget call instructions and guidelines), and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices. | DESTROY WHEN 2 YEARS OLD. [GRS 5-1] |
| 9600 | | Fiscal Operations | (see below) |
| 9600 | 15 | 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 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 1.1-010] (N 2-3, N 2-4) DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION, BUT LONGER RETENTION IS AUTHORIZED IF REQUIRED FOR BUSINESS USE. [GRS 1.1-010] DESTROY 2 YEARS AFTER DATE OF SETTLEMENT. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 9610 | | Accounts Receivable | |
| 9615 | | Accounts Payable | |
| 9620 | | Payroll, Leave, and Allowance | (see below) |
| 9620 | 16 | TAX FILES A. <u>REPORTS OF WITHHELD TAXES</u> Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes, and state equivalents, maintained by agency or payroll processor. B. <u>EXEMPTION FILES</u> Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms. C. <u>RETURN FILES</u> | DESTROY WHEN 4 YEARS OLD. [GRS 2-13c] (N 4-14) DESTROY 4 YEARS AFTER FORM IS SUPERSEDED OR OBSOLETE OR UPON SEPARATION OF EMPLOYEE. [GRS 2-13a] (N 4-12) DESTROY WHEN 4 YEARS OLD. [GRS 2-13b] (N 4-13) |

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|--------------|-------------|---|--|
| | 16 | Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by Agency or payroll processor. | |
| 9620 | 17 | <p>PAYROLL RECORDS</p> <p>A. <u>INDIVIDUAL ACCOUNTS</u></p> <p>Individual earning and service cards, such as Optional Form 1127 or equivalent. Includes payrolls when individual earning or pay cards are not prepared.</p> <p>NOTE: 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 <u>NOT</u> in or filed adjacent to the OPF, Destroy 56 years after the date of the last entry on the card.</p> <p>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.</p> <p>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</p> <p>B. <u>NON-CURRENT PAYROLL FILES</u></p> <p>Copy of non-current payroll data as maintained by payroll service bureaus in either microform or machine readable form.</p> <p>C. <u>CORRESPONDENCE FILES</u></p> <p>General correspondence files maintained by payroll units pertaining to payroll preparation and processing.</p> <p>D. <u>CONTROL FILES</u></p> <p>Registers, such as SF 1125, or its equivalent, payroll control registers.</p> <p>E. <u>PAYROLL FILES</u></p> <p>Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.</p> <p>1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.</p> | <p>UPDATE ELEMENTS AND/OR ENTIRE RECORD AS REQUIRED. [GRS 2-1a] (N 4-1)</p> <p>TRANSFER TO NATIONAL PERSONNEL RECORDS CENTER. DESTROY WHEN 56 YEARS OLD. [GRS 2-1b]</p> <p>DESTROY 15 YEARS AFTER CLOSE OF PAY YEAR IN WHICH GENERATED. [GRS 2-2]</p> <p>DESTROY WHEN 2 YEARS OLD. [GRS 2-24]</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-23a] (N 4-7)</p> <p>DESTROY WHEN FEDERAL RECORD CENTER RECEIVES SECOND SUBSEQUENT PAYROLL OR CHECKLIST COVERING THE SAME PAYROLL UNIT. [GRS 2-1,2] (N 4-6)</p> |

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|--------------|-------------|--|---|
| | | 2. All other copies. (a) If earning record card is maintained. (b) If earning record card is NOT maintained. F. <u>CHANGE FILES</u> Payroll change slips, exclusive of those of the OPF, such as SF 1126. 1. Copy subject to GAO audit. 2. Disbursing officer copy used in preparing checks. 3. All copies. | DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2] TRANSFER TO NPRC, ST. LOUIS, MISSOURI, WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD. [GRS 2] DESTROY WHEN RELATED PAY RECORDS ARE AUDITED BY GAO OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. [GRS 2-23a] (N 4-8) DESTROY AFTER PREPARATION OF CHECKS. [GRS 2-23] DESTROY 1 MONTH AFTER END OF RELATED PAY PERIOD. [GRS 2-23b] |
| 9630 | | Voucher Examination and Payment | (see below) |
| 9630 | 18 | ACCOUNTING ADMINISTRATIVE FILES Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. A. <u>FILES USED FOR WORKLOAD AND PERSONNEL MANAGEMENT PURPOSES</u> B. <u>ALL OTHER FILES</u> | DESTROY WHEN 2 YEARS OLD. [GRS 6-5a] (N 2-6) DESTROY WHEN 3 YEARS OLD. [GRS 6-5b] |
| 9630 | 19 | NONCOMMERCIAL REIMBURSABLE TRAVEL/PASSENGER FILES 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. <u>TRAVEL ADMINISTRATIVE OFFICE FILES</u> | DESTROY 6 YEARS AFTER FINAL PAYMENT OR CANCELLATION. [GRS 1.1-010] (N 22-1, N 22-2) |

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|--------------|-------------|--|---|
| | | B. <u>OBLIGATION COPIES</u> | DESTROY WHEN BUSINESS USE CEASES. [GRS 1.1-011] |
| | | C. <u>ALL OTHER OFFICE/COPIES</u> | DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| | | D. <u>UNUSED TICKET REDEMPTION FORMS</u> , such as SF 1170, or other miscellaneous travel documentation. | DESTROY 3 YEARS AFTER THE YEAR IN WHICH THE TRANSACTION IS COMPLETED. [GRS 9-1e] |
| 9700 | | NASA Travel Regulations | |
| 9730 | | Transportation and Related Expenses | (see below) |
| 9730 | 20 | TRAVEL AND TRANSPORTATION FILES – GENERAL | |
| | | 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] |
| | | B. Accountability records documenting the issue or receipt of accountable documents. | DESTROY 1 YEAR AFTER ALL ENTRIES ARE CLEARED. [GRS 9-4b] |
| | | 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. <DA: N1-255-94-2> <DA: N1-255-09-1> |
| 9730 | 21 | PASSPORTS ISSUANCE/CONTROL FILES | |
| | | NOTE: OFFICIAL PASSPORTS SHOULD BE RETURNED TO THE DEPARTMENT OF STATE UPON EXPIRATION OR UPON THE SEPARATION OF THE EMPLOYEE. | |
| | | A. <u>APPLICATION FILES</u> 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] |
| | | B. <u>ANNUAL REPORTS CONCERNING OFFICIAL PASSPORTS</u> Reports to the Department of State concerning the number of official passports issued and related matters. | DESTROY WHEN 1 YEAR OLD. [GRS 9-5b] |

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|--------------|----------------|---|--|
| 9810 | 23 PASR | <p>INSPECTOR GENERAL INVESTIGATIONS CASE FILES - NASA 10 IGIC</p> <p>Case files developed, regardless of format, 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.</p> <p>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.</p> <p>Cases relate to agency personnel and programs and operations administered or financed by the Agency, including contractors and others 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.</p> <p>Note: A file is not closed until all judicial and administrative avenues and considerations have been finally exhausted.</p> <p>A. <u>GENERAL INVESTIGATIVE FILES</u></p> <p>Files containing general information or allegations which are of an investigative nature but do not relate to a specific investigation. Examples include "Zero" files, investigative outreach records, and other administrative matters surrounding the investigations program.</p> <p>B. <u>INTERNAL OIG INVESTIGATIONS</u></p> <p>Case files developed during internal investigations of OIG employees.</p> <p>C. <u>INVESTIGATIVE CASE FILES</u></p> <p>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.</p> <p>D. <u>SIGNIFICANT CASE FILES</u></p> <p>Cases that attract national media attention, result in a Congressional investigation, or result in substantive change in Agency policy or procedures are non-exclusive instances of significant cases. Significant cases will be selected by the NASA Office of Inspector General Assistant Inspector</p> | <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 10 YEARS AFTER CASE IS CLOSED OR AFTER THE EMPLOYEE'S SEPARATION, WHICHEVER IS LONGER. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 10 YEARS AFTER FILE IS CLOSED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |

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|--------------|-------------|---|---|
| | 23 | <p>General for Investigations.</p> <ol style="list-style-type: none"> 1. Official case file – records created during the investigation and used to develop the final report. 2. 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. | <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER FILE IS CLOSED. <DA: N1-255-00-3></p> <p>DESTROY 10 YEARS AFTER FILE IS CLOSED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |
| 9820 | | General Polices and Responsibilities | (see below) |
| 9820 | 24 | <p>POLICY AND PROCEDURE FILES - HQ ONLY</p> <p>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 NPR 1200.1, Management Control, Audit Liaison, and Audit Follow-up.</p> <ol style="list-style-type: none"> A. <u>RECORD COPY</u> One record copy of each if not included in the Agency's permanent set of master directives files or the record set of publications. B. <u>WORKING PAPERS AND BACKGROUND MATERIALS</u> C. <u>ALL OTHER OFFICES/COPIES</u> | <p>* PERMANENT * CLOSE SET OF DIRECTIVES OR PUBLICATIONS WHEN SUPERSEDED OR OBSOLETE. TRANSFER TO THE NATIONAL ARCHIVES IN 5 YEAR BLOCKS WHEN 10 YEARS OLD. <DA: N1-255-00-3></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |
| 9890 | | Inspections and Assessments Files | (see below) |
| 9890 | 24.5 | <p>INSPECTIONS AND ASSESSMENTS FILES</p> <p>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.</p> <ol style="list-style-type: none"> A. <u>OFFICE CONDUCTING REVIEW</u> | <p>CLOSE FILE AT END OF FISCAL YEAR AFTER CLOSE OF CASE. DESTROY 10 YEARS AFTER CLOSE OF CASE. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|--------------|-------------|--|---|
| | 24.5 | <p>B. <u>ORGANIZATION BEING REVIEWED</u></p> <p>C. <u>ALL OTHER OFFICE COPIES</u></p> <p>D. <u>SIGNIFICANT CASE FILES</u></p> <p>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.</p> <ol style="list-style-type: none"> 1. Official case file – records created during evaluations and used to develop the final report. Documents are maintained in official case folders. 2. 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. | <p>CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>CLOSE FILE AFTER CLOSURE OF ALL RECOMMENDATIONS. DESTROY 3 YEARS AFTER CLOSE OF FILE. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>*PERMANENT* TRANSFER TO THE NATIONAL ARCHIVES 10 YEARS AFTER FILE IS CLOSED. <DA: N1-255-00-3></p> <p>DESTROY 10 YEARS AFTER FILE IS CLOSED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |
| 9900 | | Audit Program | |
| 9910 | | NASA Audit Program | (see below) |
| 9910 | 25 | <p>AUDIT FILES</p> <p>A. <u>DEFENSE MATERIALS SYSTEM (DMS) AUDITS</u></p> <p>Audit reports and related papers pertaining to the DMS.</p> <ol style="list-style-type: none"> 1. Office of Primary Responsibility. 2. All other offices/copies. <p>B. <u>INTERNAL IG</u></p> <p>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.</p> | <p>DESTROY WHEN 5 YEARS OLD. <DA: N1-255-00-3> <DA: N1-255-09-1> (N 6-2, N 17-16)</p> <p>DESTROY WHEN 3 YEARS OLD. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

**FINANCIAL MANAGEMENT AND
INSPECTOR GENERAL RECORDS**

**SCHEDULE 9
(AFS 9000-9999)**

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS for the current version of NRRS 1441.1

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|-------------------------|--------------------|---|--|
| | 25 | <ol style="list-style-type: none"> 1. Office conducting review. 2. Organization being audited. (Record cutoff date is date of audit report.) 3. All other offices/copies. | <p>CLOSE FILE AT END OF FISCAL YEAR AFTER CLOSE OF CASE. DESTROY 8 YEARS AFTER CLOSE OF CASE. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>KEEP FOR 3 YEARS. DESTROY AFTER 8 YEARS OR WHEN NO LONGER NEEDED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 3 YEARS AFTER DATE OF AUDIT REPORT. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |
| 9910 See AFS 9800 | 26 | SEMIANNUAL REPORT TO CONGRESS | |
| 9910 See AFS 9800 | 27 | INDEXES TO CASE FILES | |
| 9920 | | Audit Standards | (see below) |
| 9920 | 28 | <p>GAO AUDITS</p> <p>A. <u>NASA</u></p> <p>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 NPR 1200.1, Management Control, Audit Liaison, and Audit Follow-up.</p> <ol style="list-style-type: none"> 1. Headquarters liaison office for GAO audits. 2. Organization audited or organization controlling audited NASA Contracts. (Record cutoff date is date of audit report.) <p>B. <u>CONTRACTORS</u></p> <p>Case files on GAO audits of NASA contractors.</p> <ol style="list-style-type: none"> 1. Cognizant procurement office. | <p>RETIRE TO FRC 2 YEARS AFTER DATE OF AUDIT REPORT. DESTROY 8 YEARS AFTER SUBJECT DATE. <DA: N1-255-00-3> <DA: N1-255-09-1> (N 6-1)</p> <p>KEEP FOR 3 YEARS. DESTROY AFTER 8 YEARS OR WHEN NO LONGER NEEDED. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY WITH RELATED CONTRACT FILE. <DA: N1-255-00-3> <DA: N1-255-09-1> (N 6-3)</p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

**FINANCIAL MANAGEMENT AND
INSPECTOR GENERAL RECORDS**

**SCHEDULE 9
(AFS 9000-9999)**

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS for the current version of NRRS 1441.1

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION <Authority></u> |
|------------------------|-------------|--|--|
| | | 2. All other offices/copies. | DESTROY 3 YEARS AFTER AUDIT. <DA: N1-255-00-3> <DA: N1-255-09-1> |
| 9960 | | Audits of Contractors and Grantees | (see below) |
| 9960 | 29 | <p>AUDITS OF CONTRACTORS</p> <p>A. <u>NASA</u></p> <p>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 NPR 1200.1, Management Control, Audit Liaison, and Audit Follow-up.</p> <p>1. Office performing the review. Recordkeeping Copy.</p> <p>2. Cognizant procurement office.</p> <p>3. Other NASA Audit offices.</p> <p>4. All other offices/copies.</p> <p>B. <u>OTHER AUDITS OF NASA CONTRACTORS</u></p> <p>Includes Defense Contract Audit Agency (DCAA) and HHS audit reports, correspondence, and all related papers.</p> <p>1. Cognizant regional audit office. Recordkeeping Copy.</p> <p>2. Cognizant procurement office.</p> <p>3. All other offices/copies.</p> | <p>RETIRE TO FRC 2 YEARS AFTER DATE OF FINAL AUDIT REPORT. DESTROY 8 YEARS AFTER SUBJECT DATE. <DA: N1-255-00-3> <DA: N1-255-09-1> (N 6-4)</p> <p>DESTROY WITH RELATED CONTRACT FILE. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 3 YEARS AFTER DATE OF FINAL AUDIT REPORT. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 1 YEAR AFTER DATE OF FINAL AUDIT REPORT. <DA: N1-255-00-3> <DA: N1-255-09-1></p> <p>DESTROY 3 YEARS AFTER DATE OF AUDIT REPORT. <DA: N1-255-00-3> <DA: N1-255-09-1> (N 6-5)</p> <p>DESTROY WITH RELATED CONTRACT FILE. <DA: N1-255-94-2> <DA: N1-255-09-1></p> <p>DESTROY 1 YEAR AFTER DATE OF AUDIT REPORT. <DA: N1-255-00-3> <DA: N1-255-09-1></p> |
| END OF SCHEDULE | | | |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

NRRS 10: DOCUMENTS COMMON TO MOST OFFICES

This schedule furnishes authoritative instructions approved by NARA for the retention, retirement, or destruction of documentation often considered non-record material that is commonly held by NASA Centers or other offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The item descriptions in Schedule 10 pertain to material considered disposable and that is created and/or held by most, if not all, offices within NASA. Record series within this schedule are considered to be the unofficial or non-record copy, while Schedules 1 through 9 cover all official record material.

RECORDS COMMON TO MOST OFFICES

SCHEDULE 10

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|--|---|
| 1000 | 1 | READING / CHRON FILES | SEE SCHEDULE 1 |
| 1000 | 2 | ROUGH DRAFTS, WORKING NOTES Notes, records from which reports, staff papers, and other documents have been prepared and approved. | DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-09-1> |
| 1000 | 3 | STENOGRAPHIC NOTEBOOKS Notebooks from which notes have been transcribed. | DESTROY WHEN NOTES HAVE BEEN TRANSCRIBED OR NO LONGER NEEDED WHICHEVER IS SOONER. <DA: N1-255-09-1> |
| 1000 | 4 | CORRESPONDENCE A. Correspondence making routine arrangements for speeches, meetings, etc. B. Correspondence forwarding publications, acknowledging letters or publications, etc. C. Correspondence regarding the progress or status of completed studies or reports. | DESTROY WHEN TWO YEARS OLD. [GRS 23-1] ITEM DISCONTINUED. RECORDS COVERED BY NRRS 1/55. DESTROY WHEN TWO YEARS OLD. [GRS 23-1] |
| 1000 | 5 | INFORMATION COPIES Copies of telegrams, dispatches, instructions, letters, memorandums, correspondence and other documents which are not a part of the official subject or case file. | DESTROY WHEN NO LONGER NEEDED OR WHEN ONE YEAR OLD WHICHEVER IS SOONER <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1> |
| 1000 | 6 | LETTERS – GENERAL A. Transmittal letters without attachments. B. Letters and notes of simple acknowledgement, and expressions of appreciation for cooperation and assistance. | ITEM DISCONTINUED. RECORDS COVERED BY NRRS 1/55. DESTROY WHEN ONE YEAR OLD. <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1> |
| 1000 | 7 | OFFICE WORKING FILES – DUPLICATE COPIES A. <u>CORRESPONDENCE</u> 1. Internal memoranda regarding details of office management, forwarding of checks, arrangements for leave, for travel, general cooperation, itineraries. | DESTROY WHEN ONE YEAR OLD. <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

RECORDS COMMON TO MOST OFFICES

SCHEDULE 10

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|--------------|-------------|---|--|
| | 7 | <p>2. Correspondence and notices regarding changes or corrections in directories.</p> <p>3. Correspondence regarding plans for conferences and meetings, invitations to attend and acceptances or regrets, notices, arrangements for space and facilities, arrangements for chairperson, or speakers, EXCLUDING the record copy of final approved agenda or programs, minutes, transcripts or proceedings, speeches delivered, and comments made at or after the meetings or conferences.</p> <p>B. <u>REQUESTS</u></p> <p>1. Requests for information and replies involving no administrative action, no new decisions by NASA, and no original development of special data.</p> <p>2. Requests for duplicating, for photography, for the preparation of graphics or charts, for stenographic services.</p> | <p>DESTROY IMMEDIATELY, OR WHEN NO LONGER NEEDED FOR REFERENCE, OR UNDER A PREDETERMINED SCHEDULE OR BUSINESS RULE (E.G., IMPLEMENTING THE AUTO-DELETE FEATURE OF "LIVE" ELECTRONIC MAIL SYSTEMS). [GRS 23-7]</p> <p>DESTROY WHEN ONE YEAR OLD. ALSO SEE SCHEDULE 1. <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1></p> <p>ITEM DISCONTINUED. RECORDS COVERED BY NRRS 1/55.</p> <p>DESTROY WHEN ONE YEAR OLD. OFFICE OF PRIMARY RESPONSIBILITY (OPR) SEE SCHEDULE 2. <DA: N1-255-09-1></p> |
| 1000 | 8 | <p>OBSOLETE MAILING LISTS</p> <p>Obsolete mailing lists, notices of corrections to mailing lists, correspondence and memoranda regarding changes or corrections to mailing or distribution lists.</p> | <p>DESTROY AFTER APPROPRIATE REVISION OF MAILING LIST OR AFTER 3 MONTHS, WHICHEVER IS SOONER. [GRS 13-4/a]</p> |
| 1000 | 9 | <p>OBSOLETE FORMS</p> <p>Obsolete blank forms.</p> | <p>DESTROY IMMEDIATELY. <DA: N1-255-09-1></p> |
| 1000 | 10 | <p>INFORMATION ONLY COPIES</p> <p>Issuances, notices, reports, releases, tabulations, and publications of other agencies or private industry submitted or received for general information purposes only.</p> | <p>DESTROY WHEN ONE YEAR OLD. <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1></p> |
| 3000 | 11 | <p>VOLUNTARY ACTIVITIES / CHARITIES</p> <p>Records pertaining to charity drives and other voluntary activities not part of the regularly assigned functions of the Agency.</p> | <p>DESTROY WHEN ONE YEAR OLD. ALSO SEE SCHEDULE 3. <DA: N1-255-09-1></p> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

RECORDS COMMON TO MOST OFFICES

SCHEDULE 10

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u> <u>DESCRIPTION OF RECORD SERIES</u> | <u>RETENTION</u> <u><Authority></u> |
|---------------------|--------------------|---|---|
| 3000 | 12 | FILE COPY OF TIME AND ATTENDANCE REPORTS Timekeeper copies, in each office, of individual time and attendance reports. | SEE SCHEDULE 3. |
| | 13 | REFERENCE DATA Minor items of reference data sent to Centers solely for their information and not requiring any specific administrative action. | DESTROY WHEN ONE YEAR OLD. <DA: N1-255-94-1, Schedule 1/78/D> <DA: N1-255-09-1> |
| | 14 | EXCESS OFFICE SUPPLIES Excess, unused, office supplies and forms which are not needed in the operation of the office. | RETURN TO STOCK. |
| | 15 | PUBLICATIONS AND OTHER PRINTED MATERIALS NOTE: The office of origin or office of primary responsibility, of any published material should maintain one complete set– including obsolete and superseded items. Telephone Directories– obsolete/superseded Manual issuances – obsolete/superseded Commercial and industrial catalogues and price lists– obsolete/superseded. Publications from other Government agencies which are not in current use, i.e., old Government Organization Manuals, etc. Extra or stock copies of documents no longer needed for distribution purposes. Formal NASA Reports, extras (TNs, TMs, TRs, SPs, CPs, CRs, etc.) NASA Contractor Reports Contractor Progress Reports ➤ Over 2 years old. Technical magazines, periodicals. Congressional Directories/Records – obsolete copies. Federal Registers -- obsolete copies. Appropriation Hearings - duplicate copies. | DESTROY IMMEDIATELY. OPR SEE SCHEDULE 1. <DA: N1-255-09-1> DESTROY IMMEDIATELY. OPR SEE SCHEDULE 1. <DA: N1-255-09-1> DESTROY IMMEDIATELY. <DA: N1-255-09-1> DESTROY IMMEDIATELY. <DA: N1-255-09-1> DESTROY OR RETURN TO STOCK. <DA: N1-255-09-1> SEND TO CENTER LIBRARY SEE SCHEDULE 5. DESTROY IMMEDIATELY. DESTROY WHEN NO LONGER NEEDED. <DA: N1-255-09-1> DESTROY IMMEDIATELY. <DA: N1-255-09-1> DESTROY IMMEDIATELY. <DA: N1-255-09-1> DESTROY IMMEDIATELY OR SEND TO INSTALLATION HISTORIAN. <DA: N1-255-09-1> |

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

RECORDS COMMON TO MOST OFFICES

SCHEDULE 10

This document is updated frequently; therefore printed copies may be obsolete. Refer to NASA Online Directives Information system (NODIS) for the current version of NRRS 1441.1.

| | | | |
|--|--|------------------------|--|
| | | END OF SCHEDULE | |
|--|--|------------------------|--|

NOTES: Wherever the retention disposition authority cites a GRS schedule or NARA Disposition Authority (DA) number (e.g., N1-255-091), the records are considered media-neutral signifying the retention is applicable to the described records regardless of their format. Only AFS numbers with defined subjects are used. – RETENTION – For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.

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APPENDIX B. This table cross references newly issued GRS items with NRRS items

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| New GRS | | | Old GRS | | | NRRS | | | | | |
| GRS No. | Item No. | Retention | GRS No. | Item No. | Retention | | Item No. | Retention Difference | Records Described | Comments | |
| 1.1 | 010 | 6 years after final payment or cancellation | 3 | 3a1a | 6 years, 3 months | 5 | 1.A.1.a | -3 months | Procurement transactions over \$2,000 | NRRS 5/1.A was replaced in its entirety with GRS 1.1-010. | |
| | | | 3 | 3a1b | 3 years | 5 | 1.A.1.b | + 3 years | Procurement transactions under \$2,000 | | |
| | | | 3 | 3a2a | 6 years, 3 months | 5 | 1.A.2.a | -3 months | Procurement transactions over \$2,000 (prior to July 3, 1995) | | |
| | | | 3 | 3a2b | 3 years | 5 | 1.A.2.b | + 3 years | Procurement transactions under \$2,000 (prior to July 3, 1995) | | |
| | | | N/A | N/A | N/A | 5 | 1.B | same | Obligation copy | | NRRS 5/1.B is now mapped to NRRS 5/1.A |
| | | | 3 | 3d | 5 years | 5 | 1.C | + 2 years | Data submitted to the FPDS | | NRRS 5/1.C is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 1.D | same | HQs files, contract and amendments awarded by Centers | | NRRS 5/1.D is now mapped to NRRS 5/1.A |
| | | | 3 | 5a | with related contract (see item 3) | 5 | 14.A | Either -3 mo, or +3 yrs, depending on whether small purchase or not. | Successful bids/proposals | | NRRS 5/14.A is now mapped to NRRS 5/1.A |
| | | | 3 | 5b1 | 1 year after award or payment | 5 | 14.B1 | varies | Unsuccessful bids/proposals relating to simplified acquisitions | | NRRS 5/14.B is now mapped to NRRS 5/1.A |
| | | | 3 | 5b2a | when related contract is | 5 | 14.B2.a | varies | Unsuccessful bids/proposals above simplified acquisition level | | NRRS 5/14.B is now mapped in its entirety to NRRS 5/1.A |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|--|--|---------|------|--|------|-------------|-----------|---|--|
| | | | | | complete d | | | | and filed separately from contract file | |
| | | | 3 | 5b2b | with related contract (see item 3) | 5 | 14.B2 .b | varies | Unsuccessful bids/proposals above simplified acquisition level and filed with contract case file | |
| | | | N/A | N/A | N/A | 5 | 14.B3 .a | Same | Investigative reports | |
| | | | N/A | N/A | N/A | 5 | 14.B3 .b | +1 year | Investigative reports | |
| | | | 3 | 5c1 | 5 years | 5 | 14.C. 1 | + 2 years | Cancelled solicitations | NRRS 5/14.C is now mapped in its entirety to NRRS 5/1.A |
| | | | 3 | 5c2 | return to bidder | 5 | 14.C. 2 | + 6 years | Cancelled solicitations - unopened bids | |
| | | | N/A | N/A | N/A | 5 | 2 | + 4 years | Control files | NRRS 5/2 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 3 | varies | Status report on prime and subcontract awards | NRRS 5/3 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 7 | varies | Basic agreement files | NRRS 5/7 is now mapped in its entirety to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 9 | same | Surveys of evaluation | NRRS 5/9 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 11 | same | Competency certificates | NRRS 5/11 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 12.A | same | Deviation files | NRRS 5/12.A and B is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 12.B | same | Deviation files | |
| | | | 3 | 6a | 3 years | 1 | 81.A | + 3 years | Requisitions on the public printer, printing procurement unit copy | Retention only updated |
| | | | 3 | 12 | 3 years | 5 | 19 | +3 years | Tax exemption files | NRRS 5/19 is now mapped to NRRS 5/1.A |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|--|--|---------|-----|-----------------------------------|------|-------|-----------|--|---|
| | | | N/A | N/A | N/A | 5 | 21 | same | Cost and price analysis | NRRS 5/21 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 24 | same | Interservice inspection files | NRRS 5/24 is now mapped to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 25.A | varies | Contractor monthly management and operations | NRRS 5/25 is now mapped in its entirety to NRRS 5/1.A |
| | | | N/A | N/A | N/A | 5 | 25.B | +4 | | |
| | | | N/A | N/A | N/A | 5 | 26 | varies | Contract termination report files | NRRS 5/26 is now mapped to NRRS 5/1.A |
| | | | 3 | 6b | 3 years | 1 | 81.B | + 3 years | Requisitions on the public printer, accounting copy | Retention only updated |
| | | | 3 | 7 | 1 year | 1 | 98 | + 5 years | Nonpersonal requisition files | Retention only updated |
| | | | 3 | 10 | 3 years | 2 | 19.G | + 3 years | Toll slips/statements (communication related) | Retention only updated |
| | | | 4 | 3a | 6 years | 4 | 9.B.1 | same | Surplus property case files, over \$25,000 | Retention only updated |
| | | | 4 | 3b | 3 years | 4 | 9.B.2 | + 3 years | Surplus property case files, under \$25,000 | Retention only updated |
| | | | 6 | 1a | 6 years, 3 months | 9 | 1.A | -3 months | Accountable officer returns | |
| | | | 6 | 3a | 2 years | 9 | 15.A | + 4 years | Certificates of settlement files - closed, supplemental, final balance settlements | |
| | | | 6 | 3b | Receipt of subsequent certificate | 9 | 15.B | varies | Certificates of settlement files - period settlements | |
| | | | 6 | 4 | 3 years | 9 | 5.A | + 3 years | Fund Files - general | |
| | | | 6 | 7 | 3 years or GAO audit | | | | Gasoline sales tickets | |

Unless otherwise indicated in the comments column below, only the disposition instructions for impacted NRRS items have been updated.

| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------------|---------|----|--------------------------|------|-------|-----------|--|---------------------------------|
| | | | 6 | 8 | 3 years or GAO audit | | | | Telephone toll tickets | |
| | | | 7 | 2 | 6 years, 3 months | 9 | 11.A | -3 months | General accounting ledgers | |
| | | | 7 | 3 | 6 years, 3 months | 9 | 12 | -3 months | Allotment/appropriation files | |
| | | | 7 | 4a | 3 years | 9 | 13.A | + 3 years | Expenditure accounting posting and control files - originals | |
| | | | 7 | 4b | 2 years | 9 | 13.B | + 4 years | Expenditure accounting posting and control files - all other copies | |
| | | | 9 | 1a | 6 years | 6 | 2.B/C | same | Records covering payment for freight/transportation charges | |
| | | | 9 | 1b | 10 years | 6 | 2.D | - 4 years | Records covering payment for freight/transportation charges, with special issues (see item detail) | |
| | | | 9 | 1c | 6 years | 6 | 2.A | same | Issuing office copies of Government or commercial bills of lading | |
| | | | 9 | 1d | When funds are obligated | 6 | 2.E | varies | obligation copies of commercial passenger transportation vouchers | |
| | | | 9 | 1e | 3 years | 6 | 2.F | + 3 years | used ticket redemption forms | |
| | | | 9 | 3a | 6 years | 9 | 19.A | same | Travel administrative office files | |
| 1.1 | 011 | when business | 3 | 3c | upon termination | 5 | 1.F | varies | Procurement files - all other | NRRS 5/1.F is now mapped in its |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|--|-----------------|-----|--------------------------|------|-----------------|-------------|---|---|
| | | use ceases | | | on | | | | offices/copies | entirety to NRRS 5/1.G |
| | | | N/A | N/A | N/A | 5 | 12.C | varies | Copies of contract deviation files | NRRS 5/12.C is now mapped to NRRS 5/1.G |
| | | | 6 | 1b | 1 year | 9 | 1.B | varies | Accountable officer returns - memorandum copies | |
| | | | 9 | 3b | When funds are obligated | 9 | 19.B | varies | Noncommercial reimbursable travel/passenger files - obligation copies | |
| | | | 12 | 2d1 | 1 year | 2 | 19.F.1 | varies | Communication account files - reference copies | |
| 1.1 | 012 | business use ceases | new item | | | | new item | | Bids and proposals neither solicited nor accepted. Must meet both criteria. | NRRS 5.1.F was newly added with GRS 1.1-012. Former 5/1.F is now mapped to NRRS 5/1.G |
| 1.1 | 020 | 2 years after completion of audit or closure of financial statement/accounting treatment/issue | new item | | | 9 | 14.1 | same as GRS | Records supporting compilation of agency financial statements and related audit, and all records of all other reports | |
| 1.1 | 030 | 2 years after asset is disposed of and/or removed from agency's financial statement | new item | | | 9 | 12.5 | same as GRS | Property, plant and equipment (PP&E) and other asset accounting | |
| 1.1 | 040 | 3 years | 8 | 2 | 3 years | 4 | 5.A | same | Stores records - invoice files | NRRS 4/5 was replaced in its entirety with GRS 1.1-040 |
| | | | 8 | 3 | 3 years | 4 | 5.C | same | Stores records - accounting files | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|--|-----------------|-----|------------------------|------|--------|----------|--|--|
| | | | 8 | 4 | 2 years | 4 | 5.B | + 1 year | Stores records - accounting work papers | |
| | | | N/A | N/A | N/A | 4 | 6.A | +1 year | Mechanized transaction register | NRRS 4/6 is now mapped in its entirety to NRRS 4/5 |
| | | | N/A | N/A | N/A | 4 | 6.B | varies | | |
| | | | 8 | 5 | 3 years | | | same | Plant accounting files | |
| | | | 8 | 6a | 3 years | 9 | 9.B | same | Cost accounting reports | |
| | | | 8 | 6b | 3 years | 9 | 9.B | same | Cost accounting reports | |
| | | | 8 | 7a | 3 years | 9 | 9.C.1 | same | Cost report data files | |
| 1.1 | 050 | 3 years after completion of contract | 3 | 11 | 3 years | 5 | 20 | same | Contractors payroll | Retention only updated |
| 1.1 | 060 | 1 year after final resolution | 3 | 15b | 1 year | 5 | 22 | varies | Bid and award protest files | NRRS 5/22 replaced in its entirety with GRS 1.1-060 |
| 1.1 | 070 | 5 years after removal | N/A | N/A | N/A | 5 | 4.B | varies | Bidders' Lists | NRRS 5/4 was replaced in its entirety with GRS 1.1-070 and 071 |
| 1.1 | 071 | 3 years after removal | 3 | 5d | Superseded or obsolete | 5 | 4.A | +3 years | Bidders' Lists | |
| | | | N/A | N/A | N/A | 5 | 14.D | +3 years | Bidders' Lists | NRRS 5/14.D is now mapped to NRRS 5/4 |
| 1.2 | 010 | 3 years after final action is taken on file | 3 | 14 | 2 years | 5 | 37.B.2 | +1 year | Grants program - routine correspondence/subject files | NRRS5/37.B.2 was replaced in its entirety with GRS 1.2-010 |
| 1.2 | 020 | 10 years after final action is taken on file | new item | | | 5 | 37.A1 | +4 years | Grant and cooperative agreement case files - successful applications | NRRS5/37.A.1 was replaced in its entirety with GRS 1.2-010 |
| 1.2 | 021 | 3 years after final action is taken on | 3 | 13 | 3 years | 5 | 37.A.2 | same | Grant and cooperative agreement case files - | NRRS5/37.A.2 was replaced in its entirety with GRS 1.2-021 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---|----------|------|------------------------|------|--------|--------|--|--|
| | | file | | | | | | | unsuccessful applications | |
| 1.2 | 022 | when business use ceases | new item | | | 5 | 37.A.3 | same | Grant and cooperative agreement files - all other copies | NRRS 5/37.A.3 was newly added with GRS 1.2-022 |
| 1.2 | 030 | when business use ceases | new item | | | 5 | 37.C | same | Final grant and cooperative agreement products/deliverables | NRRS 5/37.C was replaced in its entirety with GRS 1.2-022 |
| 2.5 | 010 | When no longer required for business use. | 1 | 17b2 | Superseded or obsolete | 3 | 60.B.2 | None | Registers from which NO reduction-in-force actions have been taken and related records. | NRRS 3.60.B.2 is now mapped to NRRS 3/57.A.2 |
| | | | 2 | 28 | Upon OPM acceptance | 3 | 57.A | Varies | Reports, registers, or other control documents, and other records relating to retirement | NRRS 3.57.A was replaced in its entirety with GRS 2.5-010 and 011 (Per GRS – records not related to agency separation initiative) |
| 2.5 | 011 | 2 years | 1 | 17b1 | 2 years | 3 | 60.B.1 | None | Registers and related records from which reduction-in-force actions have been taken | NRRS 3.60.B.1 is now mapped to NRRS 3/57.A.1 |
| | | | 2 | 28 | Upon OPM acceptance | 3 | 57.A | varies | Reports, registers, control documents, and other records relating to retirement | NRRS 3.57.A was replaced in its entirety with GRS 2.5-010 and 011 (Per GRS - records not related to agency separation initiative) |
| 2.5 | 020 | 1 year after separation | 1 | 39 | 1 year | 3 | 57.B | None | (Retirement) Assistance Files | NRRS 3.57.B was replaced in its entirety with GRS 2.5-020 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|-----------------------------|---------|-----|---------------------------|------|----------|-----------|---|--|
| | | | 2 | 9b | 3 years | 3 | 49.B.2 | - 2 years | Leave Data Files: Creating Agency copy, when maintained. | |
| 2.5 | 030 | No longer needed | N/A | N/A | N/A | N/A | N/A | N/A | Records documenting capture of institutional and specialized knowledge of departing employees | NRRS 3.57.C was newly added with GRS 2.5-030 |
| 2.5 | 040 | N/A Filing instruction ONLY | N/A | N/A | N/A | | new item | | Separation records required in OPF | NRRS 3.57.D was newly added with GRS 2.5-040 |
| | | | 2 | 9a | File on Right side of OPF | 3 | 49.B.1 | N/A | Leave Data files: Original copy of SF 1150. | NRRS 3/49.B is now mapped to NRRS 3/57.D. |
| 2.8 | 010 | 6 years | 25 | 1a | 3 years | 1 | 133.A.1 | + 3 years | Ethics Program Files: Records related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes | NRRS 1/133.A was replaced in its entirety with GRS 2.8-010 |
| | | | 25 | 1b | 6 years | 1 | 133.A.2 | none | Ethics Program Files: All other records | General Ethics Program Records |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------|---------|----|---------|------|---------|-----------|---|---|
| | | | 25 | 9 | 6 years | 1 | 133.F | none | Ethics Program Procedures Files: Procedures and related supporting records on the administration of ethics programs | NRRS 1.133.F is now mapped to NRRS 1.133.A |
| 2.8 | 020 | 6 years | 25 | 4 | 6 years | 1 | 133.D | none | Referrals and Notifications of Ethics Violations | NRRS 1/133.D was replaced in its entirety with GRS 2.8-020 |
| 2.8 | 030 | 3 years | 25 | 5a | 3 years | 1 | 133.I.1 | none | Non-Federally Funded Travel Files: Semi-Annual Reimbursable Travel Reports | NRRS 1/133.I.1 was replaced in its entirety with GRS 2.8-030 Reports of payment -Agency Reports |
| 2.8 | 031 | 1 year | 25 | 5b | 1 year | 1 | 133.I.2 | none | Non-Federally Funded Travel Files: Travel Report Background Material | NRRS 1/133.I.2 was replaced in its entirety with GRS 2.8-031 Reports of payment - Supporting documentation |
| 2.8 | 040 | 3 years | 25 | 7a | 3 years | 1 | 133.G.1 | none | Annual Agency Ethics Program Questionnaire Files: Annual Report to OGE | NRRS 1/133.G was replaced in its entirety with GRS 2.8-040 |
| 2.8 | 050 | 6 years | 25 | 6a | 6 years | 1 | 133.E.1 | - 4 years | OGE program review reports, agency 60-day response letters, other follow-up records sent to OGE on the resolution of program deficiencies | NRRS 1/133.E was replaced in its entirety with GRS 2.8-050 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------------------------------|---------|-----|----------|------|-------------|-----------|--|--|
| | | | 25 | 6b | 1 year | 1 | 133.E .2 | + 5 years | All other records produced during OGE Ethics program reviews | |
| | | | | | | 1 | 133.E .3 | + 5 years | Agency Ethics Program Review Files | |
| 2.8 | 060 | 1 year | 25 | 2a1 | 1 year | 1 | 134.A .1 | None | SF 258 Reports | NRRS 1/134.A.1 was replaced in its entirety with GRS 2.8-060 |
| 2.8 | 061 | 6 years | 25 | 2a2 | 6 years | 1 | 134.A .2 | None | All other SF 258 records | NRRS 1/134.A.2 was replaced in its entirety with GRS 2.8-061 |
| 2.8 | 062 | 7 years or with related report | N/A | N/A | New Item | N/A | N/A | 7 years | Periodic transaction reports - OGE 278-T forms & related records | NRRS 1/134.A.3 was newly added with GRS 2.8-062 |
| 2.8 | 063 | when requested report destroyed | N/A | N/A | New Item | N/A | N/A | N/A | Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records | NRRS 1/134.A.4 was newly added with GRS 2.8-063 |
| 2.8 | 070 | 1 year | 25 | 2b1 | 1 year | 1 | 134.B .1 | none | OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. | NRRS 1/134.B.1 was replaced in its entirety with GRS 2.8-070 |
| 2.8 | 071 | 6 years | 25 | 2b2 | 6 years | 1 | 134.B .2 | none | All other reports | NRRS 1/134.B.2 was replaced in its entirety with GRS 2.8-071 and 072 |
| 2.8 | 072 | 6 years | 25 | 2b2 | 6 years | 1 | 134.B .2 | none | OGE Optional Form 450-A reports. | |
| 2.8 | 080 | 1 year | 25 | 2c1 | 1 year | 1 | 134.C .1 | none | Additional financial disclosure reports. Nominee | NRRS 1/134.C.1 was replaced in its entirety with GRS 2.8-080 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---|---------|-----|------------------|------|----------|------|--|--|
| | | | | | | | | | Alternative Financial Disclosures Reports for individuals not subsequently confirmed by Senate | |
| 2.8 | 081 | 6 years | 25 | 2c2 | 6 years | 1 | 134.C .2 | None | Alternative Financial DisclosuresAll other alternative or additional financial disclosure reports. | NRRS 1/134.C21 was replaced in its entirety with GRS 2.8-081 |
| 2.8 | 090 | with related report or 6 years | N/A | N/A | New Item | N/A | N/A | N/A | Financial disclosure supporting documentation | NRRS 1/134.D was newly added with GRS 2.8-090 |
| 2.8 | 100 | 6 years | 25 | 3 | 6 years | 1 | 133.C | none | Ethics Agreements, Recusals, and Waivers for employees who do not file financial disclosure reports | NRRS 1/133.C was replaced in its entirety with GRS 2.8-100 |
| 2.8 | 110 | When last financial disclosure report destroyed | 25 | 3 | 6 years | 1 | 133.C | none | Ethics Program Files: Ethics Agreements, Recusals, and Waivers for employees who file financial disclosure reports | |
| 4.1 | 010 | When no longer needed | 20 | 9 | No longer needed | 2 | 15.I | none | Computer/electronic media general: electronic indexes or finding aids | Tracking and Control Record |

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| New GRS | | | Old GRS | | | NRRS | | | | | | | |
|---------|--|--|---------|-----|---|------|------|------------------------|--|------------------|---------|------------------------------------|---|
| | | | 21 | 29 | With related a/v records | 1 | 86.F | varies | Graphic arts - Visual media : Finding aids for visual media/graphic arts | Disposition Only | | | |
| | | | | | | 2 | 22.A | varies | Film Control: Logs/Forms/Charge Out Cards | Disposition Only | | | |
| | | | 23 | 8 | 2 years | 1 | 25 | varies | Routine Control Files | Disposition Only | | | |
| | | | | | | 1 | 78.C | varies | General Office Files: Tracking and control records | | | | |
| | | | | | | 5 | 2 | varies | Procurement Control Files | | | | |
| | | | 23 | 9 | With related records | 1 | 77.A | varies | Finding Aids - used only to provide access to records authorized for destruction by the GRS or an approved item in this schedule | Disposition Only | | | |
| | | | | | | 24 | 4b | Superseded or obsolete | 2 | | 27.D. 2 | none | Tape library records incl. lists of holdings and control logs |
| | | | 4.1 | 020 | No sooner than 6 years, longer retention authorized | 16 | 2a1 | 2 years | N/A | N/A | N/A | Records management program records | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|--|--|---------|-----|---------|------|----------|-----------|---|---|
| | | | 16 | 2a2 | 6 years | 1 | 75.A.1.c | none | Records dispositions, all copies not owned by Agency Records Officer/ Center Records Managers | NRRS 1/75.A.1.c is now mapped to NRRS 1/75.C. |
| | | | 16 | 2b | 2 years | 1 | 75.A.2 | + 4 years | Records Management Files: Routine correspondence, memoranda, etc. | NRRS 1/75.A.2 is now mapped to NRRS 1/75.C. |
| | | | 16 | 7 | 6 years | 1 | 75.C | none | Correspondence, reports, authorizations, and other records that relate to the management of agency records | |
| | | | | | | 1 | 75.D | none | Local instructions on records management, including surveys, inventories, studies, feeder reports, and general correspondence | NRRS 1/75.D is now mapped to NRRS 1/75.C. |
| | | | 16 | 10a | 1 year | 1 | 76.A | varies | Logs documenting the inspection of permanent microform records | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|-------------------------------|---------|-----|----------|------|------|-----------|---|---|
| | | | 16 | 10b | 2 years | 1 | 76.B | + 4 years | Logs and other records documenting the inspection of temporary microform records | |
| | | | | | | 1 | 76.C | + 4 years | Reports made to the National Archives and Records Administration on the results of microform inspection | |
| 4.1 | 030 | 3 years | 16 | 7 | 6 years | 1 | 75.C | - 3 years | Correspondence, reports, authorizations, and other records that relate to the management of agency records | NRRS 1/75.5A was newly added with GRS 4.1-030 Vital or essential records program records |
| | | | | | | 1 | 75.D | - 3 years | Local instructions on records management , including surveys, inventories, studies, feeder reports, and general correspondence | NRRS 1/75.5A was newly added with GRS 4.1-030 |
| 4.1 | 031 | When superseded by next cycle | N/A | N/A | New Item | N/A | N/A | N/A | Copies of Vital records. | NRRS 1/75.5B was newly added with GRS 4.1-031 |
| 4.1 | 040 | 3 years | 16 | 3a | 5 years | 1 | 74.A | - 2 years | Forms management files: Master files copy of each form, including facsimiles and | NRRS 1/74 was replaced in its entirety with GRS 4.1-040 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|-----------|-----|---------|---------|-----------------------|------------------------|------|--------|------------|---|---|
| | | | | | | | | | revisions | |
| | | | 16 | 3b | Superseded or obsolete | 1 | 74.B | varies | Forms management files: functional files, background materials, etc. | |
| Rescinded | | | 16 | 4a | 3 years | 1 | 75.B.1 | N/A | Records holdings files, offices that prepare reports | |
| Rescinded | | | 16 | 4b | 1 year | 1 | 75.B.2 | N/A | Records holding files, held by other offices | |
| 4.2 | 010 | 90 days | 14 | 1 | 3 months | 1 | 55 | 0 - 3 days | Information request files | NRRS 1/55 was replaced in its entirety with GRS 4.2-010 |
| | | | | | | 10 | 6.A | 0 - 3 days | Letters - General: Transmittal letters without attachments | NRRS 10/6.A is now mapped to NRRS 1.55 |
| | | | 23 | 7 (first bullet only) | When no longer | 1 | 38.5 | varies | Transitory bulletins and notices. | Updated records description and disposition |
| | | | | | | 1 | 78.G | varies | Transitory Files: Routine requests only changes to 90 days. | Disposition updated for NRRS 1/78.G.1 only |
| | | | | | | 10 | 4.B | varies | Correspondence forwarding publications, acknowledging letters or publications, etc. | NRRS 10/4.B is now mapped to NRRS 1/55 |
| | | | | | | 10 | 7.B.1 | varies | Requests for information and replies involving no administrative action, no new decisions by NASA, and no | NRRS 10/7.B.1 is now mapped to NRRS 1/55 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------|---------|--------|---|------|----------|-----------------|---|---|
| | | | | | | | | | original development of special data | |
| 4.2 | 020 | 6 years | 14 | 11a1 | 2 years | 1 | 49.A.1 | up to 4 years | FOIA: Granting access to all requested files. | NRRS 1/49.A is now mapped to NRRS 1/42 in its entirety |
| | | | 14 | 11a2 a | 2 years | 1 | 49.A.2.a | up to 4 years | FOIA: Denying requests - NOT appealed | |
| | | | 14 | 11a2 b | 6 years or 3 years with related records | 1 | 49.A.2.b | none/ + 3 years | FOIA: Denying requests - Appealed | |
| | | | 14 | 11a3 a | 6 years | 1 | 49.A.3.a | none | Denying access to all or part of the records requested - NOT appealed | |
| | | | 14 | 11a3 b | 6 years or 3 years with related records | 1 | 49.A.3.b | none/ + 3 years | Denying access to all or part of the records requested - appealed | |
| | | | 14 | 12a | 6 years or 3 years | 1 | 52.A | none/ + 3 years | FOIA Appeals files: correspondence and supporting records | NRRS 1/52.A is now mapped to NRRS 1/42 |
| | | | 14 | 21a1 | 2 years | 1 | 42.A.1 | 4 years | Privacy Act: Granting access to all requested files | NRRS 1/42.A was replaced in its entirety with GRS 4.2-020 |
| | | | 14 | 21a2 a | 2 years | 1 | 42.A.2.a | + 4 years | Privacy Act: Denying requests - NOT appealed | |
| | | | 14 | 21a2 b | 4 years or 3 years with related | 1 | 42.A.2.b | varies | Privacy Act: Denying requests - Appealed | |

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| New GRS | | | Old GRS | | | NRRS | | | |
|-----------|--|--|---------|--|---|------|--------------|----------|---|
| | | | | | records | | | | |
| | | | 14 | 21a3 a | 5 years | 1 | 42.A. 3.a | + 1 year | Privacy Act request files: denying access to all or part - NOT appealed |
| | | | 14 | 21a3 b | 4 years or 3 years with related records | 1 | 42.A. 3.b | varies | Privacy Act request files: denying access to all or part - appealed |
| | | | 14 | 31a1, 31a2 a, 31a2 b, 31a3 a, 31a3 b, 31c, 32a | various | | | | Mandatory review for declassification request files |
| Rescinded | | | 14 | 11b | approved agency disposition instructions or with related FOIA request | 1 | 49.B | N/A | FOIA requests files: Official file copy of requested records |
| Rescinded | | | 14 | 12b | approved agency disposition instructions or with related FOIA request | 1 | 52.B | N/A | FOIA appeals files: Official file copy of requested records |
| Rescinded | | | 14 | 21b | approved agency disposition instructions or with | 1 | 42.B | N/A | Privacy Act requests files: Official file copy of requested records |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|------------------------|---------|-----|-----------------------------|------|----------|----------|--|--|
| | | | | | related Privacy Act request | | | | | |
| 4.2 | 030 | 2 years | 14 | 34 | 2 years | | | | Mandatory review for declassification reports and administrative files | Covered under NRRS 1/111.B |
| | | | 14 | 35 | 2 years | | | | | |
| | | | 18 | 2 | 2 years | 1 | 111.B .2 | none | Classified documents - receipt and issuance docs | NRRS 1/111.B was replaced in its entirety with GRS 4.2-030 |
| | | | 18 | 3 | 2 years | 1 | 111.B .3 | none | Classified documents - destruction certificates | |
| | | | 18 | 4 | 2 years | 1 | 111.B .1 | none | Classified documents - Forms, ledgers, or registers used to show identity, internal routing, and final disposition | |
| | | | 18 | 6 | 2 years | 1 | 110 | none | Classified documents - Access request files | |
| 4.2 | 031 | Superseded or obsolete | 18 | 7a | Superseded by new form | 1 | 109.A | none | Container files - Classified document security | NRRS 1/109.A is now mapped to NRRS 1/111.B.2 |
| 4.2 | 032 | 90 days | 18 | 7b | 3 months | N/A | N/A | N/A | Classified document container security files | NRRS 1/111.B.3 was newly added with GRS 4.2-032 |
| 4.2 | 040 | 5 years | 14 | 13a | 5 years | 1 | 53.A | - 1 year | FOIA control files: registers or listings | NRRS 1/53.A is now mapped to NRRS 1/111.A |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------------------------------|---------|-----|--|------|----------|--------------|--|---|
| | | | 14 | 13b | 5 years | 1 | 53.B | - 1 year | FOIA control files: all other files/copies | NRRS 1/53.B is now mapped to NRRS 1/111.A |
| | | | 14 | 24a | 5 years | 1 | 45.A | none | Privacy Act control files: Registers or listings | NRRS 1/45.A was replaced in its entirety with GRS 4.2-050 |
| | | | 14 | 24b | 5 years | 1 | 45.B | none | Privacy Act control files: All other office/copies | NRRS 1/45.B was replaced in its entirety with GRS 4.2-050 |
| | | | 14 | 33a | 5 years | | | | Mandatory review for declassification of control files - registers or listings | Covered under NRRS 1/111.A |
| | | | 14 | 33b | 5 years | | | | Mandatory review for declassification of control files - other files | Covered under NRRS 1/111.A |
| | | | 18 | 5a | 5 years | 1 | 111.A .1 | none | Top Secret documents: registers maintained at control points | NRRS 1/111.A was replaced in its entirety with GRS 4.2-040 |
| | | | 18 | 5b | when related document is downgraded, transferred, or destroyed | 1 | 111.A .2 | varies | Top Secret documents: Forms accompanying documents | |
| 4.2 | 050 | 5 years or with related records | 14 | 23 | 5 years | 1 | 44 | varies /none | Privacy Act accounting and disclosure files | NRRS 1/44 is now mapped to NRRS 1/45. NRRS 1/45 was replaced in its entirety with GRS |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---------------------------------|---------|-----|---------------------------------|------|------|---------|---|---|
| | | | | | | | | | | 4.2-050 |
| 4.2 | 060 | 6 years or with related records | 14 | 36a | 6 years or with related records | N/A | N/A | N/A | Erroneous release files of privileged info... | NRRS 1/44 was replaced in its entirety with GRS 4.2-060 and 061 |
| 4.2 | 061 | 6 years | 14 | 36b | 6 years | N/A | N/A | N/A | Erroneous release files | |
| 4.2 | 070 | 2 years | 14 | 14 | 2 years | 1 | 50.B | none | FOIA reports: recurring reports excluding annual report | NRRS 1/50 was replaced in its entirety with GRS 4.2-070 |
| | | | 14 | 25 | 2 years | 1 | 46.B | none | Privacy Act reports files: all other reports/copies | NRRS 1/46.B is now mapped to NRRS 1/50 |
| | | | N/A | N/A | N/A | | | | | Agency reports on Mandatory Declassification Review |
| 4.2 | 080 | 5 years | 27 | 4 | 5 years | 2 | 26.D | none | CIO: Legal and regulatory compliance records | |
| 4.2 | 081 | 2 years | N/A | N/A | New Item | N/A | N/A | 2 years | New item: Legal and regulatory compliance reporting records - reports by individual system owners to the Senior Agency Official for | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|--------------------------|---------|-----|---|------|------|----------|--|---|
| | | | | | | | | | Privacy (SAOP) | |
| 4.2 | 090 | 4 years | 14 | 22a | 4 years or with related records | 1 | 43.A | none | Privacy Act Amendment Case Files: requests agreed to by agency | NRRS 1/43 was replaced in its entirety with GRS 4.2-090 |
| | | | 14 | 22b | 4 years or 3 years with related records | 1 | 43.B | + 1 year | Privacy Act Amendment Case Files: requests rejected by agency | |
| | | | 14 | 22c | 3 years or with related records | 1 | 43.C | + 1 year | Privacy Act Amendment Case Files: appealed requests | |
| 4.2 | 100 | 30 years | N/A | N/A | New Item | N/A | N/A | 30 years | New item: Automatic and systematic declassification review program records | NRRS 1/112.A was replaced in its entirety with GRS 4.2-100 |
| 4.2 | 110 | 5 years | N/A | N/A | New Item | N/A | N/A | 5 years | New Item: Fundamental classification guidance review files | NRRS 1/112.B was replaced in its entirety with GRS 4.2-110 |
| 4.2 | 120 | Apply disposition of OPF | 18 | 25b | Apply disposition of OPF | N/A | N/A | N/A | Classified Information Nondisclosure Agreements: maintained in OPF | NRRS 1/102.A was newly added with GRS 4.2-120. NRRS 1/102 was replaced in its entirety with GRS 4.2-120 and 121 |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|---|----------|-----|----------|------|----------|------------|---|---|
| | | | | | | | | | | |
| 4.2 | 121 | 50 years | 18 | 25a | 70 years | 1 | 102 | - 20 years | Classified Information Nondisclosure Agreements: Not in OPF | NRRS 1/102 was replaced in its entirety with GRS 4.2-120 and 121 |
| 4.2 | 130 | 90 days | New Item | | | N/A | New Item | | New item: Personally identifiable information extracts | NRRS 1/44.5 was newly added with GRS 4.2-130 |
| 4.2 | 140 | Business use ceases | New Item | | | N/A | New Item | | New Item: Personally identifiable information extract logs | NRRS 1/44.6 was newly added with GRS 4.2-140 |
| 4.2 | 150 | 2 years or after system ceases | New Item | | | | New Item | | Privacy Act System of Records (SORNs) | NRRS 1/44.8 was newly added with GRS 4.2-150 |
| 4.2 | 160 | 3 years | New Item | | | | New Item | | Privacy Threshold Analyses and Initial Privacy Assessments | NRRS 1/44.7.A was newly added with GRS 4.2-160 |
| 4.2 | 161 | 3 years after superseded , system ceases or website not available | New Item | | | | New Item | | Privacy Impact Assessments | NRRS 1/44.7.B was newly added with GRS 4.2-161 |
| 4.4 | 010 | 3 years old or 3 years after superseded or obsolete | N/A | N/A | N/A | N/A | N/A | N/A | New Item: Library administrative records | NRRS 2/10 was replaced in its entirety with GRS 4.4-010, 020, and 030 |
| 4.4 | 020 | Business use ceases | N/A | N/A | N/A | N/A | N/A | N/A | New Item: Library operations records | |
| 4.4 | 030 | 5 years after completion | N/A | N/A | N/A | N/A | N/A | N/A | New Item: Inter Library-Loan (ILL) requests | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|--|---------|-----|---------|------|-----------|---------------------|--|--|
| 5.4 | 010 | 3 years | 4 | 3.A | 2 years | 4 | 3.A | +1 year | Facility, space, vehicle, equipment, stock and supply administrative and operational records | NRRS 4.3 was replaced in its entirety with 5.4-010 |
| | | | 4 | 3.B | 2 years | 4 | 3.B | +1 year | | |
| 5.4 | 040 | 3 years | N/A | N/A | N/A | 4 | 1 | +2 years | Found on Station files | |
| | | | N/A | N/A | N/A | 4 | 7.5 | N/A | New Item: Personal property accountability records | NRRS 4/7.5 was newly added with GRS 5.4-040 |
| | | | N/A | N/A | N/A | 4 | 8.B | -3 years | Loan agreement files | |
| | | | N/A | N/A | N/A | 4 | 8.C | varies | Property shipping records | |
| | | | N/A | N/A | N/A | 4 | 9 | varies | Surplus property files | NRRS 4/9 was replaced in its entirety with 5.4-040 |
| | | | N/A | N/A | N/A | 4 | 9.5 | N/A | New Item: Administrative property tracking | NRRS 4/9.5 was newly added with GRS 5.4-040 |
| | | | 4 | 2 | | 4 | 10 | same | Excess personal property and equipment records | |
| 5.4 | 050 | Superseded or obsolete or project terminates | N/A | N/A | N/A | 8 | 53.A. 1.b | Handle as permanent | Preliminary, intermediate and working design files | |
| | | | N/A | N/A | N/A | 8 | 53.A. 2 | Handle as permanent | Preliminary, intermediate and working design files | |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|-----------|-----|--|---------|-----|---|------|--------|---------------------|---|--|
| 5.4 | 051 | Superseded or transferred to new owner | N/A | N/A | N/A | 8 | 53.B.2 | Handle as permanent | Final design records of active/on-going facilities | Previously unscheduled |
| 5.4 | 090 | 3 years | 10 | 2a | 3 months | 6 | 11.I.1 | 3 months | Operation and maintenance files | |
| | | | 10 | 2b | 1 year | 6 | 11.I.2 | 1 year | Operation and maintenance files | |
| 6.2 | 010 | Permanent | 26 | 2a | Permanent | 1 | 20.A | none | Records for Commissions, Committees, Boards, etc. established under FACA: Files documenting establishment, membership, policy, organization, etc. | NRRS 1/20.A was replaced in its entirety with GRS 6.2-010 |
| | | | 26 | 2c1 | termination of commission or no longer needed | 1 | 20.C.1 | varies | Electronic version of FACA website. | (Substantive Committee Records Only) |
| Rescinded | | | 26 | 2c2 | On termination of commission or when no longer needed | 1 | 20.C.2 | N/A | FACA web site design, management, and technical operation records | |
| 6.2 | 020 | Permanent | 26 | 2a | Permanent | 1 | 20.A | none | Records of FACA Commissions, Committees, Boards: Files documenting the Commission's establishment, membership, policy, organization, deliberations, | NRRS 1/20.A, Audio Visual records, is now mapped to NRRS 1/20.B NRRS 1/20.B was replaced in its entirety with GRS 6.2-020 (Substantive |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|---------|-----|--|---------|-----|---|------|--------|--------|---|---|
| | | | | | | | | | findings, and recommendations | Audiovisual Records) |
| 6.2 | 030 | Termination of committee | N/A | N/A | N/A | N/A | N/A | N/A | New item: FACA Committees whose only purpose is Grant proposal review | NRRS 1/20.C was replaced in its entirety with GRS 6.2-030 |
| 6.2 | 040 | 6 years | 26 | 4 | 6 years | 1 | 20.E | none | Records of FACA Commissions, Committees, Boards: committee management records | NRRS 1/20.E is now mapped to NRRS 1/20.D NRRS 1/20.D was rescinded and replaced in its entirety with GRS 6.2-040 (Per GRS Committee Accountability Records) |
| 6.2 | 050 | Superseded or obsolete, no longer needed, termination of committee | 26 | 2b | 3 years | 1 | 20.B | varies | Records of FACA Commissions, Committees, Boards: day-to-day commission activities, no unique/historical information | NRRS 1/20.B is now mapped to NRRS 1/20.E NRRS 1/20.E was replaced in its entirety with GRS 6.2-050 |
| | | | 26 | 2c1 | termination of commission or no longer needed | 1 | 20.C.1 | none | Records of FACA Commissions, Committees, Boards: electronic version of website | NRRS 1/20.C.1 is now mapped to NRRS 1/20.E (ONLY records of NON-SUBSTANTIVE Committees) |
| | | | 26 | 2c3 | termination of commission or no longer needed | 1 | 20.C.3 | none | Records of FACA Commissions, Committees, Boards: website records, electronic version of paper duplicate records | NRRS 1/20.C.2 is now mapped to NRRS 1/20.E |

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| New GRS | | | Old GRS | | | NRRS | | | | |
|-----------|-----|---------|---------|---|---------|------|------|-----------|---|---|
| | | | 26 | 4 | 6 years | 1 | 20.E | varies | Records of FACA Commissions, Committees, Boards: committee management records | NRRS 1/20.E was replaced in its entirety with GRS 6.2-050 (Non-Substantive Committee Records) |
| Rescinded | | | 26 | 3 | 3 years | 1 | 20.D | N/A | Committee Records Not Maintained by the Sponsor or Secretariat | |
| 6.2 | 060 | 3 years | 26 | 4 | 6 years | 1 | 20.E | - 3 years | Records of FACA Commissions, Committees, Boards: committee management records | NRRS 1/20.E is now mapped to NRRS 1/20.F NRRS 1/20.F was replaced in its entirety with GRS 6.2-060 (Committee Management Records) |