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John C. Stennis Space Center
Records Management Program Requirements

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PREFACE

P.1 PURPOSE

a. This Stennis Procedural Requirements (SPR) directive implements Stennis Space Center (SSC) records management requirements and procedures in accordance with National Aeronautics and Space Administration (NASA) Policy Directive (NPD) 1440.6, *NASA Records Management,* and NASA Procedural Requirements (NPR) 1441.1, *NASA Records Retention Schedules* (NRRS) and provides further requirements for implementing the SSC Records Management Program.

b. This SPR establishes the requirements for identifying, collecting, indexing, accessing, filing, storing, maintaining, retrieving, and dispositioning NASA/SSC records.

c. This directive supplements SPR 1280.1, SSC Management System Requirements and SPR 8500.1, Environmental Management System Procedural Requirements for the identification, collection, and management of quality records.

d. This directive also establishes the requirements for the identification, management, and preservation of Vital Records at SSC to ensure the availability of such records for the continuity of operations and resumption of activities in the event of emergency or disaster situations.

P.2 APPLICABILITY

a. This SPR is applicable to all NASA/SSC personnel.

b. This SPR is applicable to SSC contractors to the extent specified in their respective contracts.

c. This SPR is applicable to all files and records generated in the conduct of SSC business and to those quality records required to demonstrate conformance to specified requirements and the effective operation of the SSC management systems for quality and environmental management.

d. This SPR is applicable to all personnel and/or organizations that generate, file, store, maintain, disposition, and control NASA-owned records at SSC.

e. Within this directive, requirements for which compliance is mandatory are identified by the word *shall*. However, contextual information is included to aid in the understanding of requirements. Guidance necessary to support and implement the objectives of this directive is contained in appendixes to this directive.

P.3 AUTHORITY

a. The Freedom of Information Act, as amended, 5 U.S.C. 552.

b. The Privacy Act of 1974, as amended, 5 U.S.C. 552a.

c. The National Aeronautics and Space Act of 1958, as amended, 42 U.S.C 2473 (c)(1).

d. 44 U.S.C. Chapters 29, 31, 33.

e. Paperwork Reduction Act, 44 U.S.C. 3501 et seq.

f. National Archives and Records Administration, Records Management, 36 CFR Parts 1220-1238.

g. Assignment of Emergency Preparedness Responsibilities Executive Order 12656 as amended, Sections 201, 202, 1901, and 2001 (November 18, 1988).

h. Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, Federal Preparedness Circular (FPC) 60, Section 11.

i. Continuity of the Executive Branch of the Federal Government at the Regional Level During National Security Emergencies, Federal Preparedness Circular (FPC) 64, Section 1.

j. Management of Federal Information Resources, OMB Circular A-130.

k. Internal Control Systems, OMB Circular A-123.

l. NPR 1040.1, NASA Continuity of Operations (COOP) Planning Procedural Requirements.

m. NPD 1440.6, NASA Records Management.

P.4 APPLICABLE DOCUMENTS

a. Maintenance and Publication Requirements for Systems of Records, 14 CFR, Chapter V, Part 1212.6.

b. National Archives and Records Administration, Management of Vital Records, 36 CFR 1236.

c. NPD 1382.17, NASA Privacy Policy.

d. NPR 1441.1, NASA Records Retention Schedules.

e. NPR 1600.1, NASA Security Program Procedural Requirements.

f. NPR 9660.1 Vital Records and Emergency Operations.

g. SPR 1280.1, Stennis Management System Requirements.

h. SPR 8500.1, Environmental Management System Procedural Requirements.

i. SCWI-1280-0001, Management System Internal Audits.

j. SPLN 1040-0005, SSC Continuity of Operations Program (COOP) Plan.

k. SPLN-1040-0006, SSC Emergency Management Plan.

l. National Archives and Records Administration (NARA) General Records Schedules (GRS).

P.5 MEASUREMENT/VERIFICATION

Verification and measurement for compliance to this directive will be tracked through:

a. Spot checks and reviews.
b. Periodic Records audits.
c. Management System Audits.

P.6 CANCELLATION

SPR 1440.1, Records Management Program Requirements, Initial Release, March 2007.

Patrick Scheuermann
Director

DISTRIBUTION
Approved for public release via NODIS and TechDoc; distribution is unlimited.

CHAPTER 1 INTRODUCTION – RECORDS MANAGEMENT OVERVIEW

1.1 What Is Records Management?

1.1.1. Records management is the planning, controlling, organizing, training, promoting, and other management activities with respect to the life cycle of records. The life-cycle concept is depicted below in Figure 1.

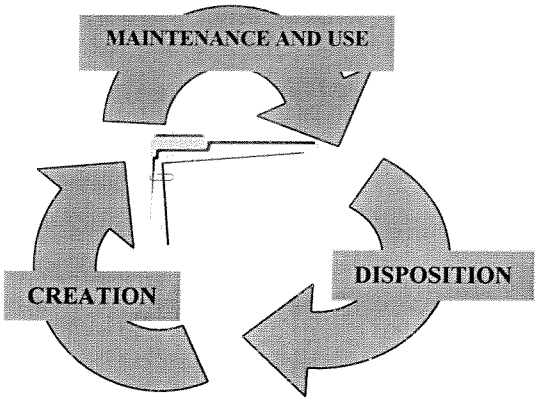

Figure 1 - Records Management Life Cycle

1.2 Do I Have Records?

1.2.1 Everyone generates, handles, uses or keeps records in one form or another every day. All must be managed and disposed in accordance with schedules for their retention and disposition. Records encompass paper, film/video, and electronic documents and data and include the email and documentation housed on personal computers. Consult the appendixes to this directive for records management terminology and guidance in identifying records.

1.3 What and Where are the Retention and Disposition Requirements?

1.3.1. Retention/disposition schedules are established for all types of records based on preservation requirements for administrative, legal, fiscal, and historical purposes.

1.3.2. The schedules for retention and disposition define and categorize records by subjects and types: permanent, temporary and non-records. They provide mandatory instructions for what to do with records when they are no longer needed for current Government business.

1.3.3. NASA requirements are provided in NPR 1441.1, NASA Records Retention Schedules (NRRS). Additional applicable instruction is provided in the General Records Schedule (GRS) of the Federal Government issued by NARA.

1.3.4. The NRRS provides and defines retentions for records within subject areas in ten schedules:

(1) Schedule 1 – Organization and Administrative Records.
(2) Schedule 2 – Legal and Technical Records.
(3) Schedule 3 – Human Resources (Personnel) Records.
(4) Schedule 4 – Property and Supply Records.
(5) Schedule 5 – Industry Relations and Procurement.
(6) Schedule 6 – Transportation.
(7) Schedule 7 – Program Formulation Records.
(8) Schedule 8 – Program Management Records (Note: this schedule includes Project Management and Performance Records for R&D programs).
(9) Schedule 9 – Financial Management and Inspector General Records.
(10) Schedule 10 – Records Common to Most Offices.

1.3.5. In some cases other Federal, state, or local requirements may apply to the retention of records. Consult with the SSC Records and Documentation Management Office (RDMO) regarding these requirements.

1.3.6. The NRRS is available through the SSC portal page under Reference Library/NASA Online Directives Information System (NODIS). NPR 1441.1 is found under the 1000 series documents. The GRS may be accessed through NODIS under *Useful Links*.

1.4 What do I Need to Know?

1.4.1. A basic understanding of records terminology is essential to the performance of records management. Key records terminology and definitions shall be provided in Appendix B of this directive. Terminology and definitions are also provided in the Glossary to NPR 1441.1.

1.4.2. This directive shall provide the responsibilities and requirements for records management. Consult the appendixes for instructional notes, guidance, and "how to" instructions for accomplishing the requirements. Guidance and training is also available through the RDMO.

CHAPTER 2 ROLES AND RESPONSIBILITIES

2.1 Center Director

2.1.1 The Center Director shall be responsible for:

2.1.1.1. Ensuring the implementation of an effective Center records management program.

2.1.1.2 Formal delegation of a Center Records Manager and Vital Records Manager.

2.1.1.3. Ensuring that organizations generating statements of work for contract procurements include appropriate records management requirements to comply with NPD 1440.6 and its authorities in all NASA contracts involving the creation or maintenance of Federal records.

2.2 Office of the Chief Information Officer (CIO)

2.2.1 The Office of the CIO shall be responsible for:

2.2.1.1. The overall direction of the SSC Records Management Program.

2.2.1.2. Designating the SSC Records Manager (SSC RM)/Vital Records Manager to guide and oversee records management functions at SSC.

2.2.1.3. Assuring through the records management function, the provision of technical assistance and procedural advice, as needed, on creating, maintaining, using, archiving and disposing of Federal records, and provision of training for Records Liaisons.

2.2.1.4. Ensuring incorporation of records management and archival functions into the design, development, and implementation of Information Technology (IT) systems.

2.2.1.5. In coordination with the RM, implementing electronic records management.

2.3 SSC Officers and Managers

2.3.1 SSC Officers and Managers shall be responsible for:

2.3.1.1. Promoting records management and appropriate practices within their organizations.

2.3.1.2. Ensuring personnel understand their responsibilities and receive training as appropriate.

2.3.1.3. Ensuring that adequate and appropriate record-keeping systems are established.

2.3.1.4. Instituting effective records management practices to carry out provisions of NASA records management rules.

2.3.1.5. Ensuring that records are identified and managed in accordance with NPR 1441.1 and other applicable regulations.

2.3.1.6. Designating one or more Records Liaisons for their organization and its elements to maintain, administer, and manage the organization's records.

2.3.1.7. Including records management and archival requirements when planning all IT applications, to determine what impact, if any, the application will have on the Center's ability to document its activities and assure that electronic records within IT applications are managed in compliance with retention requirements.

2.3.1.8. Assuring the prevention of the unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.

2.4 SSC Records Manager (SSC RM)

2.4.1 The SSC Records Manager shall be responsible for:

2.4.1.1. Managing the SSC Records Management Program and guiding the overall implementation of records management activities at SSC including the development of SSC policies and procedures.

2.4.1.2. Serving as the point of contact (POC) with Center and Agency management on records management topics including preparing reports, responses, and recommendations for Center and Agency issues.

2.4.1.3. Reporting to the Center and Agency any actions of unlawful alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.

2.4.1.4. Leading the execution of Center-wide initiatives on records management such as organizational records inventorying and the development of electronic records management policies and procedures.

2.4.1.5. Providing or assuring the provision of technical guidance in managing records from creation through disposition and for training of civil servant employees including managers, Records Liaisons, and SSC contractors who create or maintain NASA-owned records.

2.4.1.6. Conducting records management reviews of file indices, filing systems, and records holdings inventories as necessary.

2.4.1.7. Conducting periodic evaluations of records management practices throughout SSC, identifying and documenting issues and discrepancies, and communicating corrective actions.

2.4.1.8. Assuring the disposition of records and reduction of records holdings in accordance with NRRS requirements.

2.4.1.9. Managing the SSC Records Retention facility, known as the Stennis Record Center (SRC), and its contents.

2.4.1.10. Serving as the SSC Vital Records Manager and implementing the Vital Records protection program in coordination with the SSC Emergency Director and in concert with SPLN

1040-0005, SSC Continuity of Operations Program (COOP) Plan and SPLN-1040-0006, SSC Emergency Management Plan.

2.4.1.11. Maintaining an inventory of Vital Records and aiding in the establishment of processes to ensure that copies of current vital records are routinely backed up and/or preserved in prescribed systems or locations for immediate access when an emergency is declared, for use during the emergency, and for resumption of business afterwards.

2.4.1.12. Assisting Records Liaisons in identifying, maintaining, and protecting their organization's Vital Records.

2.4.1.13. Authorizing transfer to or return of records from a Federal Records Center or NARA.

2.4.1.14. Directing and guiding the activities of the RDMO for the conduct of the day-to-day operations and implementation of SSC records management activities.

2.4.1.15. Monitoring and approving records destruction activities.

2.4.1.16. Responding to Freedom of Information Act (FOIA) requests for records and information and authorizing any release of records in conjunction with the FOIA Officer and Chief Counsel.

2.4.1.17. Assuring the protection of properly identified and marked Privacy Act and other Sensitive But Unclassified (SBU) records and providing for the protection of such records from inappropriate disclosure or release.

2.5 Records and Documentation Management Office (RDMO)

2.5.1 The SSC RDMO operates under the direction of the SSC RM. The RDMO shall be responsible for:

2.5.1.1. Assisting and supporting the SSC RM in the implementation and administration of the overall SSC Records Management Program.

2.5.1.2. Conducting day-to-day SSC records management operations.

2.5.1.3. Providing help-desk support and records management training/guidance for SSC personnel and organizations.

2.5.1.4. Managing the SSC Records Retention Facility, known as the Stennis Records Center (SRC), and associated records transfer and disposal functions.

2.5.1.5. Providing recommendations for and aiding the development and implementation of SSC records management processes and systems.

2.5.1.6. Conducting surveys, inspections, and investigations and preparing reports and responses for and on behalf of the SSC RM.

2.5.1.7. Maintaining the records of the Records Management program and maintaining a Master Records Index (MRI) of RDMO holdings.

2.5.1.8 Coordinating with clearance process to ensure that all MRI records are transferred to their supervisor or the individual taking over their function.

2.6 Contractors

2.6.1 To the extent of the terms provided in their respective contractual documents and as may be further applicable in this directive, Contactors shall be responsible for:

2.6.1.1. Complying with NASA records management policy and procedural requirements stated in NPD 1440.6, NPR 1441.1, and this directive.

2.6.1.2. Implementing internal records management practices that meet organizational needs and are compatible with the NPD, NPR, and of this directive including: (1) designating, and assuring training for, Records Liaisons as appropriate, (2) designating official file stations or areas where appropriate, (3) identifying Vital Records, if applicable, and (4) assuring that all personnel are informed of their records management responsibilities.

2.6.1.3. Segregating and managing separately Contractor records from NASA-owned, Contractor-held records.

2.6.1.4. Preparing and maintaining MRI(s) of all NASA-owned records, including Vital Records and submitting updates at a minimum on an annual basis to the SSC RM and by publication in the SSC Technical Documentation System (TechDoc).

2.6.1.5. Designating Records Liaisons for their organizational elements with responsibility for managing the records of that element and preparing and maintaining an MRI.

2.6.1.6. Managing and transferring inactive or non-current NASA-owned records to SSC storage/archival throughout the term of the contract or a project period and at the end of the contract period or specific project.

2.6.1.7. Ensuring and providing for the formal transfer of active NASA-owned records to NASA custody or to another contractor at SSC's direction at completion of the contractual agreement.

2.6.1.8. Preparing a Records and Documentation Management Plan or plans, if required by the contract, that outlines how the contractor will manage and control its and NASA's records and documentation and how information will be disseminated to personnel.

2.7 Offices of Primary Responsibility (OPR)/Offices of Record – Organizations and Departments

2.7.1 Organizations creating and holding records shall be responsible for:

2.7.1.1. Implementing internal records management practices that meet organizational and function needs and are compatible with the NPD, NPR, and of this directive.

2.7.1.2. Identifying and capturing all records in all forms, formats, and media created and maintained by the organization and establishing appropriate filing and record-keeping systems for such that meet the needs of the organization and are compatible with the NPD, NPR, and of this directive.

2.7.1.3. Retiring and archiving inactive records at intervals prescribed by the NRRS and at the completion of projects. Specific requirements and guidance regarding the preservation and retention of Program and Project records are provided in Schedule 8, Items 101 through 113.

2.7.1.4. Maintaining MRI(s) for their organization and updating at least annually.

2.7.1.5. Assuring all organization personnel are aware of records management requirements and ensuring training as needed.

2.7.1.6. Segregating records and non-records and permanent and temporary records in filing systems and marking and labeling all records and systems with the correct retention and disposition information in accordance with the NRRS, NPR 1441.1.

2.7.1.7. Reviewing formal Requests for Records Destruction from the SSC RM and providing approval for destruction of those records that have reached the end of their required retention.

2.7.1.8. Identifying, appropriately marking, and protecting Privacy Act Records and Privacy Act Systems of Records (PASR) in accordance with NPD 1382.17, NASA Privacy Policy.

2.7.1.9. Considering the potential historical or technological significance of records and exercising particular attention to disposition of these records when programs and projects are completed or program/project offices are discontinued. Specific Requirements and guidance regarding the preservation and retention of Program and Project records are provided in Schedule 8, Items 101 through 113.

2.7.1.10. Providing copies of records significant to the cultural or technological history of SSC to the SSC History Office. Note: The originals of these records should be handled in accordance with the NRRS.

2.8 Records Liaisons

2.8.1 Records Liaisons shall be responsible for:

2.8.1.1. Identifying organizational records, establishing record-keeping or filing systems appropriate to the needs of the organization and compatible with the NPD, NPR, and of this directive, and marking and labeling all records and systems with the correct retention information.

2.8.1.2. Segregating records and non-records and permanent and temporary records in filing systems and marking and labeling all records and systems with the correct retention and disposition information in accordance with the NRRS, NPR 1441.1.

2.8.1.3. Preparing and maintaining the MRI(s) including the identification of electronic records and Vital Records and publishing in TechDoc.

2.8.1.4. Revising MRIs as changes occur and/or ensuring their update on an annual basis by December 31.

2.8.1.5. Retiring, archiving, or disposing inactive or non-current records from file systems at intervals prescribed by the NRRS and at the completion of projects.

2.8.1.6. Managing the organization's records and promulgating correct records management practices within the organization.

2.8.1.7. Serving as the POC for their organization for records management functions and coordinating with the SSC RM to ensure the proper creation, maintenance, and disposition of all records generated within their respective organizations.

2.8.1.8. Coordinating with the SSC RM to identify and ensure preservation of their organization's Vital Records, including any in the possession of contractors.

2.8.1.9. Conducting annual reviews of Vital Records and ensuring copies of active/current materials are regularly stored for preservation in the event of an incident.

2.8.1.10. Coordinating with any distributed contacts or sub-custodians responsible for sub-sets of records for the preparation of the MRI and providing oversight for the management of the records involved. Distributed contacts and sub-custodians bear the same responsibility as the Liaison in ensuring the proper management of records.

2.8.1.11. Ensuring the identification and marking of Privacy Act records and SBU records.

2.9 Individual SSC Personnel

2.9.1 SSC Personnel shall be responsible for:

2.9.1.1. Understanding their basic records management requirements and properly managing the records in their possession.

2.9.1.2. Understanding the difference between a record and non-record and knowing how or where to submit and file records.

2.9.1.3. Ensuring that all non-records are properly disposed of and record materials (including electronic files) are transferred to their supervisor or the individual taking over the function upon their transfer, retirement, or termination.

2.10 Procurement Management Activities

2.10.1 SSC Office of Procurement

2.10.1.1 The SSC Office of Procurement shall be responsible for:

a. Providing procurement advice on records management questions relative to contracts and solicitations.

b. Coordinating requirements in solicitations and contracts, including appropriate data requirements, with the requirements' organization and the RM to ensure appropriate records management is included in appropriate procurements.

c. Coordinating with the SSC RM the proper close out and turn-over of records upon completion of contract.

2.10.2 Requirements Organizations

2.10.2.1. Organizations that create Statements of Work (SOW), requirements, specifications, etc. for solicitations and contracts are responsible for including appropriate and specific language concerning records management requirements in all contracted endeavors that involve creation or maintenance of NASA records.

2.10.2.2. Statements of records management requirements should ensure proper management of NASA records in accordance with NPD 1440.6 and NPR 1441.1. The requirements may be inserted via wording or Contract Article. An example of specific provisions is provided in the sample paragraph provided in Figure 2 below. Other specifics may be appropriate; specific requirements should be assessed for each endeavor.

> "NASA-owned/contractor-held records shall be managed by the Contractor in accordance with NPD 1440.6, NASA Records Management Program, NPR 1441.1, NASA Records Retention Schedules, and SPR 1440.1, SSC Records Management Program Requirements. The Contractor shall maintain records separately from non-records and records having permanent value separately from records having temporary value. NASA-owned records shall be segregated from the Contractor's records. The Contractor shall dispose of records and non-records in accordance with NPR 1441.1, NASA Records Retention Schedules. Active or current NASA-owned records shall be turned over to NASA at the completion of the contract for the continuity of NASA business. Inactive or non-current records shall be transferred to the Stennis Records Center for management of disposition."

Figure 2 - Sample Records Management Requirements Statement

2.11 SSC Privacy Officer/Export Control Officer

2.11.1 The SSC Privacy Officer/Export Control Officer shall be responsible for:

2.11.1.1. Administering and coordinating SSC's implementation of Privacy Act requirements contained in 14 CFR Chapter V, Part 1212.6, Maintenance and Publication Requirements for Systems of Records and NPD 1382.17, NASA Privacy Policy.

2.11.1.2. Coordinating with the SSC RM for the identification of Privacy records and systems containing such records protected by the Privacy Act and ensuring their protection from inappropriate disclosure or release.

2.11.1.3. Administering and coordinating SSC's implementation of regulations regarding the control and release of all SBU information (including all Export Controlled information) as required by NPR 1600.1, *NASA Security Program Procedural Requirements*.

2.12 SSC Office of Chief Counsel

2.12.1 The SSC Office of Chief Counsel shall be responsible for:

2.12.1.1. Providing legal advice on records management questions.

2.12.1.2. Reviewing formal Requests for Records Destruction from the SSC RM, and providing approval for destruction of those records that have reached the end of their required retention.

2.13 SSC History Office

2.13.1 The SSC History Office shall be responsible for:

2.13.1.1. Ensuring that only copies or duplicates of original records are contained and maintained within the History Office collection and that any and all original records received and/or maintained by the History Office are managed in accordance with schedules of the NRRS.

2.13.1.2. Providing guidance on the potential historical value and disposition of unusual accumulations of documentary materials, personal files of officials, or specialized collections of NASA or non-NASA records that could be of significance to establishing and retaining the history of NASA programs and projects.

2.14 SSC Emergency Director

2.14.1 The SSC Emergency Director shall be responsible for:

2.14.1.1. Coordinating with the SSC RM to identify and maintain an inventory of those Vital Records that must be preserved for use during an emergency situation and those required for resumption of business.

2.14.1.2. Securing in shelters or arranging access to protected resources for those Vital Records required by the Emergency Relocation Group for conduct of activities during an emergency.

2.15 SSC Management System Representative (SSC MSR)

2.15.1 The SSC MSR shall be responsible for implementing the SSC Management System for quality and for providing guidance and training to SSC personnel relative to Quality Records

requirements for the maintenance of the system and certification by the International Standards Organization (ISO).

CHAPTER 3 RECORDS MANAGEMENT REQUIREMENTS

3.1 General Practice

3.1.1. SSC generally utilizes decentralized filing methodologies. To the greatest extent possible, uniform, economical, and efficient practices shall be used to maintain records.

3.1.2. Record-keeping or filing systems shall be established appropriate to the functional and operational needs of the organization and compatible with the NPD, NPR, and this directive. Guidance on the establishment of filing systems and filing methodologies is provided in the appendixes to this directive.

3.1.3. Records and filing systems shall be stored in a suitable environment to prevent damage, deterioration and loss.

3.1.4. Records and non-records shall be arranged and grouped functionally to provide for rapid filing, ready reference, and prompt disposition.

3.1.5. Records shall be separated from non-records, permanent from temporary, and personal papers and contractor-owned records from NASA records. Guidance on identifying categorizing records is provided under definitions and other appendixes to this directive.

3.1.6. All records in all forms and all media formats shall be identified and managed in accordance with the NRRS.

3.1.7. The same policies and procedures and retention requirements that apply to paper records shall be also applied to electronic records.

3.1.8. All records shall be labeled to indicate the type of record and its retention and disposition requirements.

3.1.9. Labeling or marking shall include the following information:
(1) Applicable AFS number from the NRRS.
(2) Title or description of the records.
(3) Specific NRRS schedule or other applicable citation covering the records.
(4) Disposition (minimum records retention) requirement.
(5) If the record is a Vital Record.

3.1.10. The design and development of all IT systems and applications shall address and incorporate records management requirements.

3.1.11. All organizations shall designate a Records Liaison or Liaisons to be responsible for the overall identification and management of the organization's records.

3.1.12. All organizations shall keep and maintain records in their official file sets on their records management activities. Examples of records to be retained include:

(1) Copies of each MRI and each revision.
(2) Copies of transfers to the Stennis Records Center.
(3) Records of records transfers to new or other organizations.
(4) Records showing disposition of records and/or destructions.
(5) Copies of organizational file plans and office filing system instructions.

3.2 Master Records Index (MRI)

3.2.1. All organizations shall develop and maintain MRI(s) identifying all NASA records in all mediums and formats created, held, or managed by the organization.

3.2.2. Records/files found in operating offices for which there are no approved disposition standards (see definition of *Unscheduled Records*) shall be included in the MRI, annotated as "Permanent Pending Retention," and reported to the SSC RM or RDMO for coordination of an appropriate disposition through the NASA Records Officer.

3.2.3. MRIs shall be maintained and updated as changes occur and/or at a minimum reviewed/revalidated and updated at least annually.

3.2.4. MRIs shall be published in TechDoc by each organization.

3.2.5. MRIs shall include the following information:

(1) The name of the Office of Primary Responsibility (organization)
(2) Office/Organizational Identification Code
(3) Name and phone number of the Records Liaison
(4) The date of MRI preparation or review/update
(5) A listing of all organizational records by:
- AFS Number/Records Subject Area.
- Records Title/Description that clearly indicates the records medium (e.g., paper, electronic, video, etc.).
- Identification if the records are Vital Records.
- Location where the records are held (building/room number, or name of electronic system, etc.).
- Name of POC responsible for records if not the designated named Records Liaison.
- The disposition/retention period specified by the NRRS or other applicable citation schedule.
- The disposition schedule citation for the records (e.g., NRRS Schedule, GRS, or other applicable citation).
- Identification of any specific document or documents requiring these records to be kept as part of a process or procedure. (Note: this is a SSC Management System requirement to aid in the identification of "quality records").

Note: Consult the appendixes of this directive for a sample MRI template and instructions for preparing and maintaining a MRI.

3.3 Retiring, Disposing, and Destroying Records

3.3.1. Records shall be retired and/or purged from active filing systems when no longer current, inactive, when no longer needed, and when projects are completed. Retirement and purging intervals are prescribed by the NRRS. See the appendixes to this directive for SSC instructions and the process for retiring records to the SRC.

3.3.2. No records shall be destroyed without an approved disposition schedule and all destructions shall be in accordance with requirements specified in the NRRS or as defined in this directive. Consult with the SSC RM and/or the RDMO for information and guidance on disposal of records. The SSC RM and/or RDMO can provide guidance if disposal/destruction of records is permissible by an organization. Disposal and destruction of certain records by an organization is permitted by the NRRS.

3.3.3. Major bulk records destruction efforts of records shall be conducted only by and through the auspices of the SSC RM.

3.3.4. Records shall be disposed of in accordance with NPR 1441.1. There are three general categories for determining disposition (reference definitions and guidance in the appendixes):

(a) Temporary Records that are approved by NARA for disposal, either immediately or after a specified retention period.

(b) Permanent Records that are appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed by NASA or SSC for administrative, legal, or fiscal purposes.

(c) Non-records that are materials which are retained for reference and informational purposes only and may be disposed when reference value ceases.

3.4 Records and Changes in Organizations

3.4.1. Organizations shall coordinate with the SSC RM when major changes in organization occur to ensure proper transition of records to a new organization and/or the proper disposition of the existing records within the original OPR. The unauthorized destruction of records is prohibited and the movement and/or changes in records custodianship must be accounted for.

3.4.2. Any disposition of defunct organization records shall be in accordance with the NRRS and coordinated through the SSC RM and/or the RDMO.

3.4.3. New organizations shall identify and appoint a Records Liaison and notify the SSC RM of the appointee's name and location.

3.4.4. New MRIs shall be created for the new organization reflecting only those records now in its responsibility.

3.5 Management of Quality Records

3.5.1. Originators of records shall ensure that Quality Records are clearly identified and traceable to either the product or service involved, in accordance with the procedures of this directive and the NRRS.

3.5.2. Records should be classified as Quality Records only if they fall within the criteria provided.

3.5.3. Originators of Quality Records shall ensure that the organizational Records Liaison is informed for inclusion in the establishment of records filing systems and identification on the MRI.

3.5.4. Records shall be identified and collected as Quality Records in accordance with requirements of the ISO 9001 and AS 9100 Standards. These are the minimum Quality Records types identified by the standards and are the minimum records required for maintenance of certification. Consult with the SSC MSR for the current listing of record types and for additional information about Quality Records.

CHAPTER 4 VITAL RECORDS MANAGEMENT PROGRAM REQUIREMENTS

4.1 About Vital Records

4.1.1. The SSC Records Manager shall maintain a Vital Records Program and determine necessary protection and preservation measures.

4.1.2 Regulatory requirements governing Vital Records shall be found in 36 CFR 1236, National Archives and Records Administration, Management of Vital Records.

4.1.3 Vital Records shall be those records considered essential to the continuity of business in the event of an emergency or disaster. Vital Records are essentially "one-of-a-kind" records that are necessary to survival or reconstruction of Center operations or facilities or to enable uninterrupted operation during an emergency.

4.1.4. Vital Records shall fall into two categories: Emergency Operating Records and Legal and Financial Rights Records. Appendixes of this directive provide additional information for the identification of Vital Records.

4.1.5. The identification, preservation, and protection of Vital Records shall require special measures in addition to the normal requirements for records management and retention and shall be required as part of SSC COOP and Emergency plans.

4.1.6. Risk assessments regarding the protection and preservation of Vital Records for all types of emergencies and events shall be required to determine their ultimate protection and preservation requirements and whether the level of risk warrants the preservation of backup copies of records in alternate safe off-site locations or secure moveable media. Risk assessments shall be required for all types of potential incidents and emergency situations. The economical and feasible protection of Vital Records must be based on the level of risk perceived and derived from analysis.

4.2 Vital Records Program Implementation

4.2.1. Risk assessments are required for all types of potential incidents and emergency situations Risk assessments and evaluations shall be an on-going effort in the identification of records in all locations and the risk hazard potential for the location. Not all records require preservation and protection in the same manner. It may not be feasible in all cases to provide for the immediate removal/movement of records to safe locations when an incident occurs or in an impending situation such as a hurricane. In almost all cases the best method of protection will be to provide for continuing duplicate back up of records in alternate locations or media.

4.2.2. Many factors must be considered in determining the best practices for protecting records and ensuring their availability in emergency situations and resumption of business afterwards.

4.2.3. The SSC Vital Records program shall be coordinated with, and as a part of, COOP and Emergency management planning activities. Contact the SSC Emergency Director and/or SSC

RM for necessary guidance and instruction. Templates for conducting inventories and performance of risk assessments will be provided by the RDMO.

4.2.4. All organizations shall conduct an inventory to identify records vital to their mission essential operations and/or to the resumption of their business in the event of an emergency.

4.2.5. Vital Records inventories shall include the frequency with which the records are to be cycled (updated).

4.2.6. Completed inventories of Vital Records shall be retained by the SSC RM as official government records in accordance with NRRS, Schedule 1/75C (AFS 1440).

4.2.7. Vital Records management for financial records shall be coordinated with and conducted in accordance with requirements prescribed for emergency operations in NPR 9660.1, Vital Records and Emergency Operations.

4.2.8. The process for identifying and protecting Vital Records is depicted in Figure 3 below.

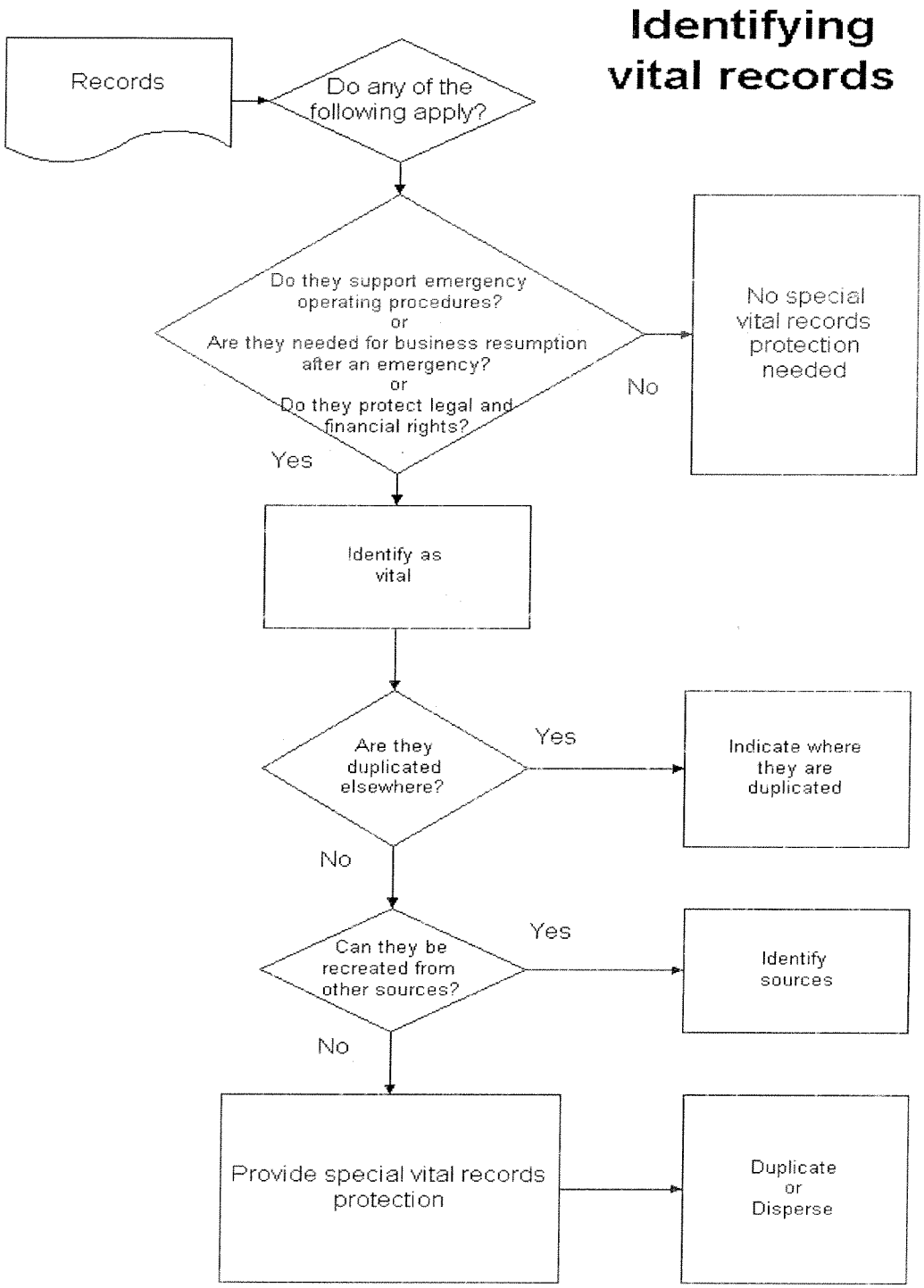

Figure 3 - Vital Records Process Flow

APPENDIX A – ACRONYMS

ACI	Administratively Controlled Information
AFS	Agency File Scheme
ANSI	American National Standards Institute
ARMA	American Records Management Association
CFR	Code of Federal Regulations
CIO	Chief Information Officer
COOP	Continuity of Operations Program
FOIA	Freedom of Information Act
FPC	Federal Preparedness Circular
FRC	Federal Records Center
GRS	General Records Schedule (NARA)
ISO	International Standards Organization
IT	Information Technology
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
OPR	Office of Primary Responsibility
PASR	Privacy Act System of Records
POC	Point of Contact
MEI	Mission Essential Infrastructure
MRI	Master Records Index
MSR	Management System Representative
NASA	National Aeronautics and Space Administration
NARA	National Archives and Records Administration
NODIS	NASA Online Directives System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements (directive)
NRRS	NASA Records Retention Schedules (NPR 1441.1)
OMB	Office of Management and Budget
POC	Point of Contact
R&D	Research and Development
RDMO	Records and Documentation Management Office
RFP	Request for Proposal
RM	Records Manager or Records Management
SBU	Sensitive But Unclassified
SCWI	Stennis Common Work Instruction
SOW	Statement of Work
SPD	Stennis Policy Directive
SPLN	Stennis Plan
SPR	Stennis Procedural Requirements (directive)
SRC	Stennis Records Center
SSC	John C. Stennis Space Center
SSLP	Stennis System Level Procedure
TechDoc	SSC Technical Documentation System
U.S.C.	United States Statutory Code

APPENDIX B – RECORDS MANAGEMENT TERMINOLOGY AND DEFINITIONS

B.1 ACTIVE RECORDS - Records referred to on a frequent basis, i.e., daily, or weekly. Records that are maintained in office files for immediate access, use, and reference. Also considered current records, which are necessary for conducting business of an office or function.

B.2 ADMINISTRATIVE RECORD - A record that is related to budget, personnel, supply, and similar administrative or facilitative operations common to all organizations. It is distinguished from an operational record that relates to an organization's specific functions.

B.3 AGENCY FILE SCHEME (AFS) - A list of subject area identification codes contained in NPR 1441.1 intended for use in filing and identifying retentions for NASA-owned records.

B. 4 ARCHIVAL QUALITY - The ability of a recording medium to permanently retain its original characteristics and to resist deterioration for a lengthy, specified time.

B.5 CASE FILE - A folder or other file unit containing materials relating to a specific action, transaction, event, person, place, project, or other subject. A case file may cover one or many subjects that relate to the case; for example, a contract file contains records on a specific contract, such as the application, correspondence, addenda, reports, and processing documents. Other types of case files include official personnel folders, surveys, and studies.

B.6 CATALOG - A set of entries arranged in a definite order that describes and indexes a collection of records. Each entry has sufficient details to identify and describe each item. Also may contain record location information. The SSC MRI is a type of catalog.

B.7 CERTIFICATE OF DESTRUCTION - A formal written assertion that records have in fact been destroyed. SSC obtains a Certificate of Destruction for all formal records destruction activities conducted by SSC.

B.8 CONTRACTOR RECORDS/CONTRACTOR-OWNED RECORDS - As opposed to NASA-owned records, Contractor Records are those that solely belong to the contractor and are related to the conduct of the contractor's internal company or corporate policies and business management. Federal Acquisition Regulation Clauses (FAR) clauses may be incorporated into contracts that stipulate that certain records must be kept by the contractor for certain periods of retention for inspection and audit purposes but they are not subject to management under the NASA NRRS as NASA-owned records.

B.9 CORRESPONDENCE - Records arranged and filed according to their general informational content. Consists mainly of general correspondence but may also include forms, reports, and other material that relate to programs and functions not to a specific case or a particular person or organization. See *General Correspondence.*

B.10 CUT-OFF/CUT-OFF DATE - An event or date triggering a change in the status of records, from active to inactive, and the beginning of their retention period. A completion of a contract or closing of a legal case may be an example of a cut-off event. The end of the fiscal and calendar year are examples of cut-off dates. Cut-off dates are critical to archiving purposes. They indicate the beginning of when to calculate the retention period. See also *File Break.*

B.11 CYCLE - The periodic removal of obsolete copies of Vital Records and their replacement with copies of current Vital Records. This may occur daily, weekly, quarterly, annually or at other designated intervals.

B.12 DECENTRALIZED FILE - As opposed to Centralized filing where all records go to a single filing location, records located and maintained in one or more locations which may or may not be in or near the unit (or person) immediately responsible for the functions in which they are used. For the most part SSC tends to utilize decentralized filing.

B.13 DESTRUCTION NOTICE - A notification (memo, form, list, etc.) of the scheduled destruction of records. May also request approval for the scheduled destruction.

B.14 DESTRUCTION SUSPENSION (FREEZE) - A hold placed on scheduled destruction of records that may be relevant to foreseeable or pending litigation, governmental investigation, audit, or special organizational requirements. When NASA issues a *FREEZE* on destruction of records related to certain litigation, all pending destructions must be reviewed and authorized.

B.15 DISASTER/EMERGENCY SITUATIONS - Disaster or emergency means an unexpected occurrence inflicting distress or widespread destruction and having adverse effects on Agency or Center operations. An emergency is a situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally of short duration, for example, an interruption of normal Agency operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes. A disaster, on the other hand, means an unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on agency operations. Disaster and emergency planning must include the protection and preservation of Vital Records and address overall risk factors regarding the protection of all records. See *Vital Records, Emergency Operating Records* and *Legal and Financial Rights Records.*

B.16 DISPOSITION - Actions taken with regard to noncurrent or inactive records. The actions include retirement to a records center for temporary storage, transfer to NARA, donation to an eligible depository, reproduction on microfilm, and destruction. Disposition may include two or more of these actions, such as retirement after 1 year to a records center, with retention for five years and destroy when 6 years old.

B.17 DOCUMENT -

(1) Recorded information regardless of medium or characteristics. The term is frequently used interchangeably with the word *record.*
(2) A single record item (letter, memorandum, form, or report) consisting of one or more pages.

B.18 ELECTRONIC FILING - Capturing and storing document images on an electronic system. Through indexing of key words or other identifying elements, the documents can be retrieved electronically. The SSC e-mail system, Technical Documentation System (TechDoc), shared drives, and personal computers are types of electronic filing systems.

B.19 ELECTRONIC RECORD - Any information that is recorded by or in a format that only a computer can process and that satisfies the definition of a Federal record in 36 CFR.

B.20 EMERGENCY OPERATING RECORDS-

(1) A type of Vital Records whose preservation and protection must be assured in disaster or emergency situations. They are essential to the continued functioning or reconstitution of an organization both during and after an emergency or disaster situation. The preservation and protection of Vital Records must be included in the Continuity of Operations Plan (COOP) and Emergency Management/Preparedness plans for the Center. See *Vital Records.*
(2) Emergency Operating Records include emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records that will be needed to continue the most critical operations, as well as the related policy or procedural records that will assist the staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Because of the SSC mission, many facilities records may be considered vital.

B.21 EVIDENTIAL VALUE - The value of those records of an organization that are necessary to provide legal, authentic, and adequate documentation of its structure, functions, operations, and performance.

B.22 FEDERAL RECORDS CENTER - A storage and servicing facility operated by the National Archives and Records Administration (NARA) for Federal records pending disposal or transfer to the National Archives.

B.23 FILE BREAK - Termination of compilations of records in a file at regular periodic intervals to facilitate continuous disposal, retirement, or transfer of the file/record series, i.e., monthly, yearly, 5 year blocks. See also *Cut Off.*

B.24 FILE CLASSIFICATION SYSTEM - A logical and systematic arrangement for classifying records into subject groups or categories based on some definite scheme of natural relationships representing numbers, letters, or key words for identification.

B.25 FILE MAINTENANCE/MANAGEMENT -

(1) The activity of keeping a file up-to-date by adding, changing, or deleting information.
(2) The creating, retrieving, and updating of records within a file, including housekeeping activities on the contents. Might include reviewing the classification system and analyzing the filing equipment to determine the most efficient economical equipment.

B.26 FILE PLAN - A logical order of documents or files or an arrangement or scheme by which all documents may be stored, retrieved, and re-filed.

B.27 FILING SYSTEM - The systematic indexing and arrangement of records based on procedures, supplies (guides and folders), and housing.

B.28 GENERAL RECORDS SCHEDULES (GRS) - A comprehensive listing of records common to several or all Federal agencies, issued by NARA, governing the disposition of specified recurring series of records. These standards are mandatory for Federal Agencies.

> **Instructional Note**: NASA has instructed the use of the GRS for items that might not be identified in NPR 1441.1, *NASA Records Retention Schedules* (NRRS). If the GRS does not address the records in question, then potentially a new item for the NPR 1441.1 might need to be developed to address disposition. The retention period for any records in question is to be treated as *Permanent* until a records retention schedule for the records is developed.

B.29 HISTORICAL VALUE - Records that are retained permanently for purposes of enduring value and not necessarily for business purposes.

B.30 HOLDINGS - The overall volume and type of records stored in an office, organization, records center or other repository.

B.31 INACTIVE RECORDS - Records that are no longer required or which are referred to so infrequently in the conduct of current business that they may be removed from the office and either retired to an FRC or destroyed depending on the approved disposition. Also referred to as *Noncurrent Records.*

B.32 INDEX/INDEXING -

(1) A systematic guide that allows access to specific items contained within a larger body of information.
(2) The placing or listing of items in an order that follows a particular system.

B.33 INVENTORY/RECORDS INVENTORY –

(1) A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records. The dissecting of each record to capture all pertinent information about the record to be used in its appraisal.
(2) A systematic listing of all records series in an office or an agency generally including the location of each series, physical characteristics, and description of content.
(3) SSC uses the *Master Records Index (MRI)* for this purpose. The MRI is maintained and reviewed at a minimum on an annual basis and provides a listing of all of an organization's records holdings (both paper and electronic). This MRI is a very useful tool in managing and auditing records and helping the proper disposition of records.
(4) The systematic identification of Vital Records. Inventories of Vital Records identify not only the normal retention requirements and locations of records but also where backup copies of active records are stored and preserved for use in emergency or disaster situations.

B.34 LABEL - A device by which the contents of a file folder, file drawer, guide, or shelf are identified. A shelf label may be identified as a *range finder* because the full range of records on the shelf is clearly identified. Note: Labels on SSC records and records system must include information on the retention requirements (schedule, specific item number, and retention description) in addition to other classifying or content information.

B.35 LEGAL AND FINANCIAL RIGHTS RECORDS -

(1) A type of Vital Records whose preservation and protection must be assured in disaster or emergency situations. The preservation and protection of Vital Records must be included in the Continuity of Operations Plan (COOP) and Emergency Management Plan for the Center. See *Vital Records* and *Emergency Operating Records.*
(2) Legal and Financial Rights Records, also known as Rights and Interests Records, are that type of Vital Records essential to protect the legal and financial rights of the Government and to the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. Contract Records may also be included.

B.36 LEGAL VALUE - Value inherent in records that provide legal proof of business transactions. Also, the value of records in demonstrating compliance with legal, statutory, and regulatory requirements.

B.37 LIFE CYCLE (RECORD) - The span of time of a record from its creation or receipt, through its useful life to its final disposition or retention as a historical record.

B.38 LINEAR FOOT - Measurement of files within a drawer across the top of the files perpendicular to file folders (twelve inches). Usually does not equal a cubic foot; with letter size files, a linear foot equals approximately ¾ cubic foot.

B.39 LONG TERM RETENTION - Length of time that records are to be kept. Long-term refers to a period of retention which can be anytime from 3 months to 10 years to 60 years or more.

> **Instructional Note:** Do not confuse "Long Term" with "Permanent." Long Term may be even longer than 60 years but ultimately the records will be destroyed so technically they are still "Temporary" records. Records classified as "Permanent" will never be destroyed and must ultimately be sent to the National Archives in Washington. See definitions for *Temporary* and *Permanent*.

B.40 MASTER RECORDS INDEX -

(1) An inventory of records holdings prepared and maintained at a minimum on an annual basis of each SSC organization's records holdings. The MRI identifies the organization or functional unit (OPR), the responsible Records Liaison, the type of records (paper or electronic) the location of each series, physical characteristics, description of content, and retention requirements. See also *Inventory*.
(2) Preparation and maintenance of the MRI is a requirement for SSC organizations including contractors to the extent specified in their contractual documents.

B.41 NASA-OWNED/CONTRACTOR-HELD RECORDS - Records resulting from specific transactions for, or on behalf of official NASA/SSC functions or requirements made or received by NASA contractors. These records are necessary to the continuity of NASA/SSC business, and are segregated and managed separately from Contractor-owned records. They are maintained, managed, and dispositioned as NASA records regardless of the performing contractor.

B.42 NATIONAL ARCHIVES - The repository for records that the Archivist of the United States has determined to have sufficient historical or other value to warrant their continued preservation by the Federal Government.

B.43 NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) - Federal agency responsible for recordkeeping functions of the United States government.

B.44 NONCURRENT RECORDS - Records no longer required to conduct agency business and, therefore, ready for final disposition. See also *Inactive Records*.

B.45 NONRECORD MATERIAL - Material such as extra copies of documents and correspondence that are kept only for convenience or reference, stocks of publications and

processed documents, personal records, reference items, and library or museum material intended solely for reference or exhibition. Also see *Records*.

B.46 NON-TEXTUAL RECORDS - Electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records.

B.47 OFFICE OF PRIMARY RESPONSIBILITY (OPR)/OFFICE OF RECORD -

(1) An office designated as the official custodian of records for a specified program, activity, or transaction of an organization.
(2) Under functional or decentralized filing plans, the Office of Record or OPR is usually the office which created the record or initiated the action on an incoming record, unless otherwise designated.
(3) Under centralized filing, the central file(s) are designated or become the OPR.

B.48 OFFICIAL FILES - An accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence, the original or action copies of reports, completed forms, maps, photographs, and other similar documents.

B.49 OFFICIAL RECORD - Significant, vital, or important records of continuing value to be protected, managed, and retained according to established retention schedules. Often, but not necessarily an original.

B.50 OFF-SITE STORAGE - A potentially secure location, remote from the primary location, at which inactive or Vital Records are stored. The Federal Records Center (FRC) is an off-site storage facility where records are maintained prior to their disposition or transfer to NARA. Other locations may be chosen for the cycled preservation of active vital records to provide for their availability during and resumption of activities after an emergency or disaster.

B.51 ON-SITE STORAGE -

(1) Storage of inactive (usually) records on the premises of the organization. The Stennis Records Center is an example of an on-site storage facility.
(2) Storage location for vital records that is sufficiently protected to ensure their preservation in the event of a disaster.

B.52 OPERATIONAL RECORD - A record documenting those activities of an organization that are directed towards the substantive purpose for which the organization was created. A record that assists an organization in performing its primary function.

B.53 ORGANIZATION - A term used generically to describe an SSC Organization, Program/Project, Directorate, Laboratory, Division, Branch, or Team level.

B.54 ORIGINATOR - A person within an organization that creates a record or Quality Record. The originator or creator of a record is responsible for ensuring its proper identification and filing within the OPR.

B.55 PERIODIC TRANSFER - The removal of records from current files to semi-active and inactive storage locations on a regular basis. See also *Cut Off.*

B.56 PERMANENT RECORDS - In U.S. Government usage, records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them; and/or, because they contain significant information on persons, things, problems, programs, projects, and conditions with which the agency dealt. These records are valuable or unique in that they document the history of the Agency and generally record primary missions, functions, responsibilities and significant experiences or accomplishments of the Agency. Permanent records are never destroyed.

> **Instructional Note:** The NPR and/or GRS identify those records that are classified as Permanent. For new sets of records not previously classified, a determination (a formal process) must be made as to the required retention and disposition. The classification of permanent cannot just be arbitrarily made. Certain rules must be followed.

B.57 PERSONAL PAPERS - Papers relating solely to an individual's personal affairs. They are nonofficial; they must be kept separate from official government records and clearly designated as such. This includes materials used as part of personal professional activities but not related to the person's official functions or performance of government work. Note: papers created in the course of government business used as personal working or reference materials DO NOT belong to the individual but are government records. See guidance *What is a Record.*

B.58 PHYSICAL INVENTORY - The act of taking a records survey to identify records holdings and document particulars about the records.

B.59 PRIVACY ACT (1974) - Act passed by U.S. Congress recognizing that the privacy of an individual must be protected through control of the collection, maintenance, use and dissemination of information by Federal agencies.

B.60 PRIVACY RECORDS/PRIVACY ACT SYSTEMS OF RECORDS (PASR) -

(1) Records or systems of records that contain personal information about an individual.

(2) Privacy Act Systems of Records are collections that contain information retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.
(3) Privacy Act records must be identified and protected in accordance with the Privacy Act of 1974, and NPD 1382.17, NASA Privacy Policy.
(4) Privacy Act Systems of Records are identified by a PASR annotation in the NRRS.

B.61 PRIVILEGED RECORD - A document with restricted access. See also *SBU* and *Privacy Records*.

B.62 PROJECT FILE - Various records that pertain to a set of activities or pursuits designated as a project by the organization and therefore filed as a records series instead of individually. See also *Case File*.

B.63 PURGE - To remove information from a file that has no further value, usually according to a records retention schedule. This process may be done to both active and inactive records.

B.64 QUALITY RECORDS -

(1) Quality Records are a subset of records that provide objective evidence of the extent to which the requirements for quality are fulfilled or provide evidence of the effectiveness of quality management system elements.
(2) Quality records are not unique records to NASA records management requirements; but rather, Quality Records is simply the term used to uniquely identify those specific records that are required to be kept also by the ISO 9001 Standard for fulfillment of the requirements of a quality management program. Such records are a part of the NASA records retention schedules and are managed in accordance with the NRRS.

B.65 RECORD/RECORDS -

(1) All books, papers, maps, photographs, negatives, machine-readable materials, diskettes, microfilm, audio tapes, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved, or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and or processed documents are not included.
(2) Machine-readable materials include, but are not limited to, optical disk, magnetic tape, sound recordings, microforms, and any other such recording medium regardless of how produced.

(3) For clarification, all documentation and papers created or received in the course of conducting government business are records – some may be the formal records required to maintained by the OPR others may be copies of the same records maintained in other places for other requirements. Either it is a record that must be retained and managed for some reason for some period of time or it is not a record. See definition of *Nonrecord.*

B.66 RECORD COPY - The official copy of a record that is retained for legal, operational, or historical purposes, sometimes the original.

B.67 RECORD SERIES - A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.

B.68 RECORDS APPRAISAL - The process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement, and their relationship to other records.

B.69 RECORDS LIAISON)/SSC RECORDS LIAISON

(1) Individual responsible for coordinating records management activities within a department and acting as liaison between the department and the records manager/administrator.
(2) A person delegated formal and official responsibility for the identification, collection, management and disposition of a SSC organization's records.
(3) The SSC Records Liaison interfaces with sub-custodians and also serves as the organizational point-of-contact (POC) for the management of Vital Records.

B.70 RECORDS DESTRUCTION -

(1) The disposal of records of no further value and at the end of their retention period by incineration, maceration, pulping, or shredding.
(2) The definitive obliteration of a record beyond any possible reconstitution.

B.71 RECORDS DISPOSITION - The action taken after records have reached the end of their retention period in active use and/or inactive storage where they may be transferred to an archive for further retention or be destroyed.

B.72 RECORDS MANAGER (SSC RM) - Stennis Space Center Records Manager/Vital Records Manager is the individual appointed by the Center Director and delegated the responsibility to oversee the records management program.

B.73 RECORDS RETENTION SCHEDULES -

(1) A legal document governing, on a continuing basis, the mandatory disposition of recurring/non-recurring record series of an organization or agency. Also known as a records schedule, records control schedule, records disposition schedule, retention schedule, or schedules. NASA's schedules are formally called NASA Records Retention Schedules (NRRS) and are found in NPR 1441.1.
(2) A Records Retention Schedule is an official Agency action document listing the records series created by the agency. A schedule indicates whether each series of records is permanent or temporary and includes retention periods.
(3) A comprehensive list of records series titles, indicating for each series the length of time it is to be maintained. May include retention in active office areas, inactive storage areas, and when and if such series may be destroyed or formally transferred to another entity such as an archive for historical preservation.

B.74 RECORDS SURVEY - A detailed review that gathers basic information about the quantity, type, function, location, and arrangement of an organization's records and usually completed prior to, but may be part of, a detailed inventory. Used to plan records management activities.

B.75 RESTRICTED ACCESS - A limitation on the access to and use of records. Restrictions may be imposed by law, the organization, or donors of the records to a collection. See also *Privileged Record*, *SBU* and *Privacy Records.*

B.76 RETENTION PERIOD -

(1) The period of time that inactive records must be kept after cutoff or break, prior to their destruction.
(2) The time period records must be kept according to operational, legal, regulatory, and fiscal requirements.

B.77 RETIREMENT - The shipment of semi-current and noncurrent records to a records center or some other authorized depository (e.g. the local "SSC records archive") for storage until the expiration of their retention period.

B.78 RIGHTS AND INTERESTS RECORDS - A type of Vital Records. See *Legal and Financial Rights Records* and *Vital Records.*

B.79 SECURITY CLASSIFICATION - A classification placed on records limiting their accessibility to those having specific authority to retrieve or use them. NASA records should be handled in accordance with instructions provided in NPR 1620.1. See also *Restricted Access* and *SBU.*

B.80 SENSITIVE BUT UNCLASSIFIED (SBU) - Certain official information and material that is not national security information (and, therefore, cannot be classified), but nonetheless should be protected against disclosure (e.g., proprietary, export-controlled, internal predecisional, investigatory, sensitive travel).

B.81 SERIES - File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. See also *Record Series*.

B.82 TEMPORARY RECORDS - Records approved by NARA or by an authorized agency records schedule for disposal, either immediately or after a specified period of time. Also called disposable records or nonpermanent records. Note: Though some records may have extremely long retentions, they are still temporary and will ultimately be destroyed as opposed to Permanent Records which will never be destroyed.

B.83 TRANSFER - The movement of records out of filing cabinets and office space into the legal custody of NARA (or a Federal Records Center - FRC) or other authorized depository (e.g., local SSC Records Archive).

B.84 TRANSITORY RECORDS -

(1) A general term for those types of records that lose their value within a short period of time (approximately three months) and that should be separated during filing from records requiring longer retention or until the purpose for which it was created has been accomplished and the record can be destroyed.
(2) Routine correspondence, documents, or records with short-term value. The retention period is limited to the interval required for completion of the action covered by the communication.

B.85 TRANSMITTAL LIST - A document that lists the records being transferred from one area to another such as from active (office) storage to inactive (archival) storage. The document may also transfer legal responsibility for the records as well as physical. SSC uses the RESTID system for transmittal of records.

B.86 UNIFORM FILE CLASSIFICATION - Classification system used to establish common titles and preserve a set order of records. The NASA Agency File Scheme (AFS) is a uniform file classification system.

B.87 UNSCHEDULED RECORDS -

(1) A record in which final disposition is not yet approved by the National Archives and Records Administration (NARA); i.e., the records have not been identified and scheduled in the General

Records Schedules (GRS) or the NASA Records Retention Schedules (NRRS). Unscheduled records are **treated and maintained as permanent records until NARA approves a new schedule**. Unscheduled records are identifiable in the NRRS by the notation "Contact Center Records Manager.

(2) Unscheduled records are exempt from disclosure by statute. If determined by a designated NASA official to be especially sensitive, unscheduled records shall be afforded physical protection sufficient to safeguard them from unauthorized disclosure.

B.88 VITAL RECORDS -

(1) Records essential for maintaining the continuity of Federal Government activities during a national emergency. These records consist of two categories: (1) emergency operating records, which outline the essential functions of the Government for the duration of emergency conditions, and (2) rights and interests records, which are required for the preservation of the rights and interests of individual citizens and the Government (See NPD 1440.6, NASA Records Management.).

(2) Vital Records are the essential Agency or Center records that are needed to meet critical operational responsibilities under national security emergencies or other emergency or disaster conditions (Emergency Operating Records) or to protect the legal and financial rights of the Government or those affected by Government Activities (Legal and Financial Rights Records).

(3) Vital Records must be identified and copies preserved in secure locations to ensure continuity and/or resumption of operations in the event of a disaster or other emergency.

APPENDIX C – MASTER RECORDS INDEX PREPARATION AND MAINTENANCE

C.1 How to Prepare and Maintain/Update Master Records Index (MRI)

a. The master template for preparation of MRIs is maintained by the SSC Records and Documentation Office (RDMO). Refer to SMRI-1440-0000 in TechDoc to find this template. A sample template including instruction is provided in Table 1.C.

b MRIs must contain a complete listing of all NASA records created, received, or maintained by the responsible organization. This includes hard copy records as well as electronic records maintained in electronic systems or applications. Records should be marked Vital if they are considered as such. See separate instruction regarding the identification of vital records. MRI listings should only contain active records of that specific organization.

c. MRIs should be updated as changes occur or at a minimum on an annual basis.

d Completed Organizational MRIs are published in TechDoc as *MS Word®* documents.

e. MRIs are numbered SMRI-1440-xxxx based on your department organizational number or code and are listed by organization. For some organizations there will be a lower case letter as part of the number to indicate a sub-organizational unit.

f. To publish, maintain and update your MRI, a TechDoc account is required to enter/replace your updated MRI. You must have TechDoc training to enter documents in TechDoc.

g. You do not have to have an account to view or obtain a copy of the document to update it. Use the following steps to retrieve a copy of your MRI.

1. Go to SSC Intranet Home Page, Reference Library; Policies & Procedures. Click: **NASA/SSC Technical Documentation System (Search for a Document).** The search engine will appear.
2. Click on: **SSCTDSTENNIS - All SSC TechDoc Systems for NASA and Contractors.** The search and query page will appear.
3. By the "Text" field, use the pull down menu and select "Document Type" for your query. Document Type will appear in the field. Note that it has an * beside it. That indicates that a selection is necessary for your query.
4. Click on the Magnifying Glass next to the "Search Text" box. A pop up menu will appear. Select MRI - Master Records Index from the list. It should fill in the box.
5. Click the "Search" button at the bottom of the screen. A complete list of all the SSC organizational MRIs will appear.
6. Scroll through the list to find your specific organization. At this point you can choose to simply view your document or proceed to get other information and obtain a copy.

7. To quickly see your MRI, click the document "Revision" number or letter. A pdf version of your MRI will appear. You can only view this document; you cannot save it or make changes.

8. To get other information and a copy of your MRI, logging into TechDoc may be required. Click on the "Document Number." An information page about your document will appear. Click "Document Number" again. Another information page will appear at the bottom of which will appear information about the "Generation," Revision," "Creation Date," and "Document Files." You will see: "doc" and "pdf."

9. Select "doc" for the most recent entry. The *MS Word®* version of your document will appear. You cannot make changes to the document here. You must save it to your computer using "Save As." Save the document with a name useful to you and make your changes/updates as needed.

h. Prepare/Update your MRI identifying each record series of your organization and providing the information required for each. Check each field carefully for correctness (organization, office code, Records Liaison, phone, records description, NRRS schedule and retention, etc.). Double check retention periods assigned and the schedule used to ensure accuracy. If you cannot find a retention schedule for a particular record set in the NRRS, mark the record as "Unscheduled" and notify the Records Manager so retention can be determined. If your organization has moved you must update the location where your records are kept. As appropriate add any records sets you have added to your file system. Note: You must update the "Date Prepared or Updated" field on the MRI template each time you revise or revalidate your MRI and resubmit it to TechDoc. If reorganization has occurred, new MRIs must be prepared reflecting the correct information.

i. Reserve and replace the old document in TechDoc with your revised document and revision letter per TechDoc instructions; OR submit your document to your area TechDoc person for entry for you. Ensure that TechDoc Keywords are updated to reflect the next or correct annual review date when the document is uploaded to TechDoc.

C.2 Sample MRI Template

Table 1.C - Sample Master Records Index

MASTER RECORDS INDEX				
Office of Primary Responsibility (Office of Record): Org Name/Directorate/Dept/Unit *(Enter Name of Org. (NASA or Contractor) / Directorate / Department / Unit etc. to identify the organization generating, maintaining or holding NASA/SSC records.)*	**Office Code** *(Enter organizational or unit/crew code owning and managing the records: e.g., RA40, 7200, etc.)*	**Records Liaison/Custodian** *(Enter the name and phone number of the officially designated Records Custodian for the records)*	**Ext.**	**Date of Preparation or Update** **x/x/xxxx** *(Enter date of preparation or update of the MRI. This date must be updated each time the MRI is reviewed or changed. The date must be updated upon annual review regardless of whether any changes are made.)*

INSTRUCTIONS: Enter information in white areas; do not change information in gray areas. List all records created, maintained, and controlled within the organization both hard copy and electronic. See definitions of Electronic and Vital Records. Include Agency Files Scheme (AFS) number, Title or Description of Record Series, Location, Contact (if not custodian) Disposition (Minimum Records Retention), and Authority (Schedule) per NPR 1441.1 or other regulatory authority. If Quality Record, cite the document requiring the record. Update as changes occur and/or annually by December 31st. Call the SSC Records and Documentation Management Office x8-3671 with questions or for assistance.

AFS No. *(from NPR 1441.1)*	**Description of Records Series** *(Primary title from NPR 1441.1 plus short description sufficient to fully define and identify the particular records and to ensure correct association of disposition reqts.)*	**Vital Record?** *(Yes if Vital- See definitions)*	**Records Location** *(Bldg & Room or Name of Electronic System)*	**Contact** *(POC [sub-custodian] responsible for records if other than the officially designated custodian named above)*	**Disposition** *(Minimum retention from NPR 1441.1 schedule or other authority or regulation: e.g., NARA GRS, CFR, State)*	**NPR 1441.1 Schedule or other Citation** *(e.g., Sch. 1, Item 78.H.1 or GRS 23-10(a))*	**Quality Record Ref. Doc. Reqt.** *(Cite the SSC Documents or Instructions requiring the record be kept.)*

DEFINITIONS:

Electronic Records:
Records encompass paper, film/video, and electronic documents and data and include the email and documentation housed on personal computers and Information Technology (IT) applications/systems. The same policies and procedures and retention requirements that apply to paper records shall be also applied to electronic records.

Any information recorded by or in a format that only a computer can process and that satisfies the definition of a Federal record in 36 CFR.

Note: Records should be classified as Vital Records only if they fall within the criteria described above and are absolutely essential to continuity or resumption of business. While inconvenient and time consuming, many records can be reconstructed and/or business operations can be resumed without them. Some records will be vital for purposes of performing the most basic and essential functions during an emergency situation, others will be vital for the full resumption of activities. Caution should be exercised in designating records as vital in a vital records inventory. Records Management studies suggest that only from 1 to 7 percent of records actually may be vital records. Only those records series or electronic information systems (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be so designated. Difficult and judicious decisions are required.

APPENDIX D – RECORDS STORAGE AND RETRIEVAL GUIDANCE

The SSC Records Storage Tracking Inventory Database (RESTID) system is the tool used to submit and process requests for storage and retrieval of records via the Stennis Records Center (SRC). Step-by step instructions and training materials on using the RESTID system are available via the SSC TechDoc System.

APPENDIX E – GUIDANCE — WHAT IS A RECORD?

E.1 What is a Record? A NASA Record? Do I Have Official Agency Records?

a. The statutory definition of Federal records as contained in 44 U.S.C. Section 3301 and defined in NPR 1441.1 is:

> "…"records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included."

b. Records are evidence of performance and fulfillment of our mission and work objectives. A record is any document or data item that furnishes objective evidence of tasks required, activities performed, or results achieved. NASA cannot effectively carry out its mission without records.

c. Records are recorded information, regardless of media or format, in the custody and control of NASA or its contractors, and made or acquired by NASA or its contractors as part of official duties and in the conduct of government business.

d. Records can take many forms, belong to the government not to individuals, and have value because they contain evidence or information.

e. Records are valuable to NASA and the Government for:

- Administrative value – they document how the Agency has carried out its mission.
- Fiscal value – they document how the Agency has utilized its financial resources.
- Legal value – they protect the rights of the Agency and/or individuals.
- Evidential and Informational value – they show that *something happened* and *what it was.* The value of the record is derived from the information it contains on persons, places, events, etc. and not necessarily on the originating agency itself.
- Research and historical value – they provide the raw materials for research of Agency, technological and cultural history and preserve the legacy for the future.

f. Every employee is responsible for determining if the documentary materials they have are official Agency records, non-records, or personal papers. Distinctions between these three types of documentary materials are important because each type needs to be properly managed. According to Federal law and Agency policy, official records must be maintained, retired, and

destroyed based on the retention periods specified in approved records disposition schedules (Federal requirements; State requirements; NASA Records Retention Schedules, NPR 1441.1).

g. Use the following questions and answers to help identify and distinguish official records from other types of documentary material you may have. By answering yes or no to the series of questions, you will be guided to the most likely classification for the item in question. If, after using this tool, you are still unsure of the record status of the material contact your organization's Records Liaison or the SSC RDMO at (228) 688-3671 (e-mail: SSC-RDOMSX@mail.nasa.gov).

Table 2.E - What Is A Record? Q& A

	DOCUMENTARY MATERIALS -- DO ANY OF THE FOLLOWING APPLY?	**ANSWER YES**	**ANSWER NO**
1	ADEQUACY OF DOCUMENTATION – a) Does the material document/facilitate: • Agency action (ensure continuity & consistency)? • Formulation of policies and decisions? • Board, committee or staff meeting notes? b) Does the material protect government and individual rights and interests (financial, legal, and other)? c) Does the material provide information required by Congress?	Proceed to 2 or Go to 6.	Go to 5.
2	VALUE – a) Does the material have administrative/fiscal/legal value? b) Does the material have historical, informational, or evidential value? c) Does the material have programmatic value?	Proceed to 3 or Go to 6.	Go to 5.
3	PRESERVATION ISSUES – a) Is/Was the material filed, stored, or otherwise systematically maintained by the Agency? b) Is the material historically significant?	Proceed to 4 or Go to 6.	Go to 5.
4	PURPOSE – a) Is/Was the material mandated by statute or regulation? b) Does the material support a NASA financial/legal claim or obligation? c) Is the material required to operate NASA programs or provide program support functions? d) Is/Was material created or received in the conduct of Agency business?	Go to 6.	Go to 5.
5	Does the material consist of non-official or private information that pertains solely to an individual's own affairs and does not relate to, or have an effect upon, the conduct of Agency business?	Go to 10.	Go to 11.
6	Are you/your organization the custodian (i.e., creator or sponsor) of the document?	Go to 7.	Go to 4.
7	Did you comment or take action on the document?	Go to 8.	Go to 10.
8	Is retention of this version of the item necessary to support a decision trail of your comment or action? *(Note: if comment/action regarding the item is officially summarized or documented elsewhere, copy is a Non-Record.)*	Go to 9.	Go to 10. *Non-Record*
9	OFFICIAL RECORDS: a) Any documentation related to NASA's administrative and programmatic activities. Examples of records include:	Retain in official file system &	Unsure? Start Over or Contact

	DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?	ANSWER YES	ANSWER NO
	• Decision Papers • Memoranda • Letters • Imagery (still & motion) • Data Files • Design Records • Flight and Test Files • Reports • Originals of Publications, etc. b) Supporting materials sufficient to document and/or explain the document trail/decision making process for administrative, legal, authorization, programmatic, and historical purposes. May include drafts, annotations, reports, raw data, meeting minutes, emails, faxes, etc. *(Note: Official records may be originals or copies of original records.)*	archive when no longer active. Manage in accordance with applicable records retention schedule. (See Federal, State, or NPR 1441.1 requirements). Official files/records must be labeled with correct retention schedule and disposition information.	Records Liaison or RMO for assistance.
10	NON-RECORD MATERIAL: • Materials that do not contribute to an understanding of Agency operations or decision-making process. • Materials that have no substantial programmatic value. • Convenience or reference copies of official record documents retained elsewhere. • Information/Reference copies of records sent to individuals or offices interested in, but not acting on, a matter. • Technical reference documents needed for general information, but not part of the office's records.	Segregate from Record Material. Label, retain, & dispose in accordance with applicable schedule (i.e., when no longer needed or reference value ceases).	Unsure? Start Over or Contact Records Liaison or RMO for assistance.
11	PERSONAL PAPERS: • Diaries and journals not prepared for transacting government business. • Papers accumulated by an official before assuming a NASA office. • Privately purchased books and publications that do not relate to Agency business. • Records related to private, personal matters kept at the office for convenience. • Presentations or papers of a professional nature not representing agency opinion or policy.	Label personal property as such and segregate from NASA record & non-record materials.	

E.2 What is Nonrecord Material?

Not all that is on paper or disk is a record. Appearances can be deceiving. Non-record material is often valuable for other reasons, but not as a *record*. Examples of non-records include:

- ***Extra copies of documents preserved only for convenience or reference (such as reading files or copies made for circulation within an office);***

  Note: There will only be one record copy of any incoming document, but there *may* be more than one record copy of an outgoing document depending on whether it needs to be recorded in more than one file.

- ***Drafts, worksheets, and notes that do not represent significant steps in the preparation of record copies of documents;***

  Preliminary drafts of correspondence not circulated for comment, worksheets, and notes used in writing the final report or correspondence. Background notes may be important to your research, but are not, by definition, records. Once the finished product is complete, your notes and earlier drafts can be tossed.

- ***Transcribed shorthand notes and stenographic materials of all types;***

  The most "finished" draft is record copy. Once transcribed, shorthand notes can be tossed.

- ***Stocks of publications and processed documents preserved for supply purposes;***

  Only one copy of a publication is the record copy. All others are useful for reference purposes but are not the official record.

- ***Materials preserved solely for purposes of exhibition in libraries or museums;***

  Three-dimensional artifacts may be a lot more interesting than two-dimensional paper and computer disks, but they are not records. Lincoln's draft of his "Gettysburg Address" is a record; a marble bust of Lincoln is not.

- ***Personal papers;***

  Personal papers are nonofficial - that is, private-papers relating solely to an individual's personal affairs. They must be kept separate from official records and clearly designated as such. This is important in electronic records: one should not mix official files and personal files on the same floppy disk or in the same sector of main-frame storage. Unlike records, they may be destroyed or removed at the owner's discretion. Ideally, personal papers should not be kept in the office, but somehow they always are. Examples are:

  - Fire insurance policy and photographs of the contents of one's home, kept off-site (i.e. in the office) for security purposes.
  - One's diary, perhaps also kept off-site for security purposes - although security of a different nature.
  - Text of an address given at a professional meeting but not given as a representative of the office where one works.

- Material kept concerning personal membership in and works with a professional society or committee may be records but are not *government* records.

➢ ***Technical reference materials;***

Technical reference material is vital. It can be so important for what it contains that it is often mistaken for a record. Technical reference can be separated from record material by asking: *Was this produced by this office and is this office responsible for keeping the information in it?* If no, the material is probably technical reference. Examples include:

- Supply catalogs from government and commercial sources.
- "How-to" manuals and style manuals proscribed by the agency.
- Telephone and other directories.
- Computer hardware and software manuals.
- Periodicals published by your agency and received by your office.

E.3 What is Records Management

Records management is the planning, controlling, organizing, training, promoting, and other management activities with respect to the life cycle of records. The life-cycle concept is depicted below in Figure E.3.

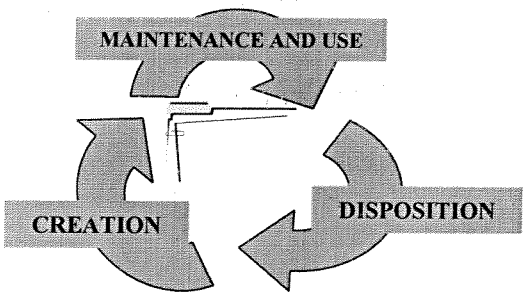

Figure E.3 - Records Management Life Cycle

E.4 What are the Requirements for Records Management?

a. Maintenance and preservation of government records is required by law and NASA policy. Requirements are stated in Section 36 of the Code of Federal Regulations (CFR) Part 1220 and 1222 and NPD 1440.6, NASA Records Management. The proper identification, management, retention, and disposition of records are mandated.

b. Unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation is prohibited. Further, the law requires that all employees must be made aware of the provisions of the law and that any unlawful actions must be reported.

c. Records and their management are subject to review, audit, and investigation by NASA, Federal or other legal authorities.

d. Ignoring the requirements stated in 36 CFR Part 1220 and 1222 and NPD 1440.6, NASA Records Management can be costly and can result in punitive actions.

- Legal costs, fines and penalties.
- Disciplinary actions or loss of job.
- Loss of a government contract.
- Prosecution and incarceration.

E.5 Records Management Process Flow

The basic records management process is depicted in Figure E.

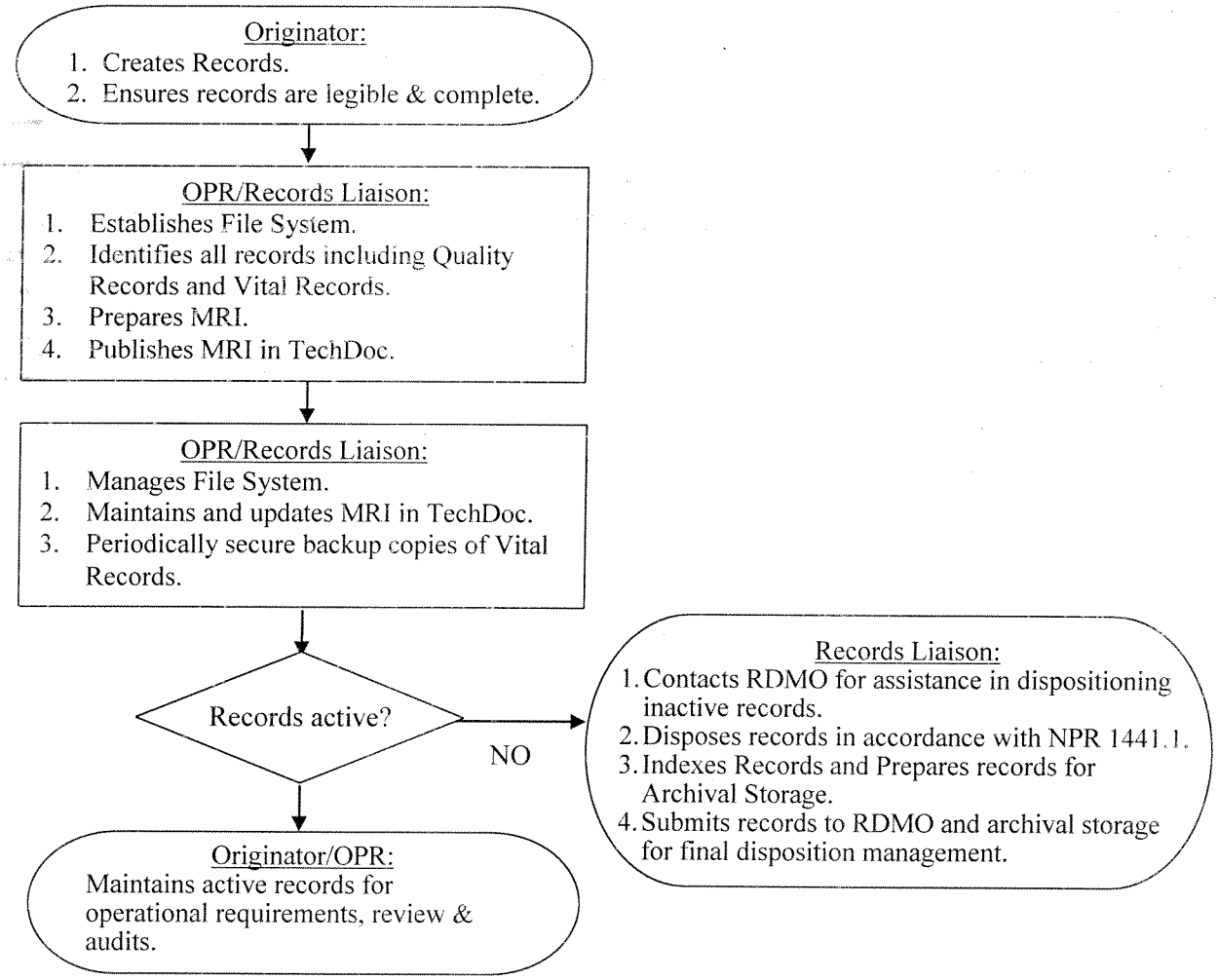

Figure E.5 - Basic Records Management Process Flow Chart

APPENDIX F – FILES MANAGEMENT GUIDANCE

The guidance provided here should be supplemented, as needed, by training. Training and direct hands-on support is available through the SSC Records and Documentation Management Office (RDMO). This guidance should, however, provide the basic information needed by SSC Records Liaisons, support personnel, and others to establish appropriate record keeping systems and manage the records created and maintained by the various SSC organizations and functions.

F.1 Training and Reference Materials

Numerous references are available in the public on filing systems and the management of records. The materials listed below have been referenced for the development of information provided in the SSC training program as well as this guidance. Other very useful references and information can be obtained on the web pages for the National Archives and Records Administration (NARA) at www.archives.gov and the American Records Management Association (ARMA) at www.arma.org.

- ARMA International Guideline For Records and Information Management – Subject Filing, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-29-9.
- ANSI/ARMA 1-1997 Standard For Records and Information Management – Alphabetic Filing Rules, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-58-2.
- ARMA International Guideline For Records and Information Management – Filing Procedures, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-33-7.
- ARMA International Guideline For Records and Information Management – Numeric Filing, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-32-9.
- ARMA International Guideline For Records and Information Management – Vital Records, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-14-0.
- ARMA International – Glossary of Records and Information Management Terms, Second Edition, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-92-2.
- ARMA International – Guideline for Managing E-mail, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-91-4.
- Active Filing for Business Records, Ann Bennick, Ed.D., CRM, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-85-X.
- Information and Records Management, Document-Based Information Systems; Mary F. Robek, CRM; Gerald F. Brown, CRM; and David O. Stephens, CRM, CMC. Fourth Edition, Glencoe, McGraw Hill, ISBN 0-02-801793-5.

APPENDIX G – VITAL RECORDS INVENTORY LIST REVIEW SAMPLES

The following list is provided for example purposes only of the types of records that might be considered as Vital for inclusion in a Vital Records Inventory. This list is not all inclusive.

General (Administration and Management):

- Emergency Plans & Procedures.

Legal and Technical:

- Contracts.
- List of Warranted Contracting Officers.
- Agreements.
- IT Systems Documentation, Licenses, Support Contacts.

Budget and Fiscal:

- List of Authorized Financial Certifying Officials.
- Payroll information.

Personnel:

- Personnel Manuals and Policies.
- Personnel Service Records.
- Employee Retirement and Insurance.
- Alphabetical employee listings by organization.
- Personnel contact information.

Industrial:

- List of maps and documents of SSC real property.
- Real Property Records.
- Site building and system drawings.
- Propulsion Test Hardware & component documentation and certifications.

Security:

- Personnel Security Clearance Files.
- Identification/Badging Control Files.
- Reports on Investigations on Claims, Misconduct, or Fraud.

Engineering and Technical:

- R&D Engineering Drawings.
- SSME Records.
- R&D Program/Project Data.

APPENDIX H – GUIDANCE — RECORDS/VITAL RECORDS DISASTER PREPAREDNESS, MITIGATION, AND RECOVERY

H.1 Introductory Note

When implementing a Vital Records program, a key thing to remember is that you cannot save all the records. However, by performing certain important steps you can:

- Protect some records against disaster.
- Lessen the damage caused by a disaster.
- Identify those records which merit restoration if they are damaged.

The following guidance and steps are provided to assist in identifying and preserving records and aid in recovery following emergency and disaster events.

H.2 Identifying Vital Records

Identifying Vital Records is one of the most critical tasks for records management personnel. It needs to be done immediately so that arrangements for can be made for the protection the records prior to a disaster or emergency situation.

The general guidance listed in the steps below may be helpful in identifying the records that may be necessary to continue business during an emergency and resume functions after a disaster.

Step 1: Identify key functions or responsibilities of your office or organization based on the following criteria:

- Operational - Any functions vital to operation & continuation of your office or SSC as a whole.
- Legal - Any functions which provide proof of SSC's legal stand on an issue or contain information about its personnel or persons/entities doing business with the government.
- Emergency - Any functions which are needed during an emergency, i.e., telecommunications.
- Fiscal - Any functions which support SSC's financial standings, i.e. accounts receivable or general ledgers.

Note: Your organization's existing MRI and the organization's functional mission statement and organizational chart may prove very valuable in the identification of critical or key functions.

Step 2: Once critical responsibilities and functions are identified, ask and use the following questions and key considerations to help you identify your Vital Records.

- What function will your organization or office be unable to do if records are destroyed (i.e., can the work be carried out or continued if a record is gone)?
- How critical is the inability to perform the function?
- What will be the consequences to NASA/Stennis if the records are lost?
- Will client or employee suffer loss of rights or be severely inconvenienced if records are lost?
- If records have to be reconstructed, what will the cost be in terms of time, money and labor?

- Will information in the records have to be reconstructed or retrieved in hours, days, or weeks?
- Can these records be replaced from another source?
- Are the records on paper, computer, disc, microfilm?
- Are the records duplicated somewhere in a different format?
- Is the format easily accessible after an emergency?
- Uniqueness of the record – is it one-of-a-kind?
- Relationship of one record to another – are records critical to each other?
- Is the type of information needed during and following an emergency?

H.3 Risk Assessment

Once Vital Records are identified, risk assessments are required in order to determine the proper protection methods for the Vital Records. Risk assessments identify the potential hazards a record faces as well as how the records can be damaged by those hazards. Hazards can range from a natural disaster to spilled coffee, computer crashes, to unlawful access.

A risk assessment consists of four steps: 1) identifying the risks an office may encounter; 2) determining the level of impact a risk will have; 3) calculating the probability of a given risk happening; and 4) calculating the overall risk factor.

Step 1: Identify the five or six most important risks to a particular office or function. Not all areas are likely to face the same risks, although fire and water damage are most common. For example, an office that deals in research may have an added risk of sabotage, whereas an office dealing strictly with technology and computers would have a far greater risk of losing information in a power outage. The following table depicts three categories of disasters.

Table 3.H - Records Risk Assessment/Categories of Disasters

Natural Disasters	Technical Disasters	Human Disasters
Flooding	Power Failure	Data entry error
Fire	HVAC Failure	Improper handling of sensitive data
Earthquake	Malfunction/Failure of CPU	Unauthorized access
Wind/Tornado Damage	Failure of system software	Malicious damage or destruction of data
Snow/Ice Storm	Failure of application software	Robbery/theft/burglary
Volcanic Eruption	Electromagnetic interference	Bomb Threats
Epidemic	Explosion	Strikes/picketing
Vermin/Insects	Telecommunications failure	Civil disorder
Hurricane	Loss of physical access to resources	Chemical spill
Tsunami/Tidal Wave	Gas leaks	Vandalism
	Communications failure	Sabotage
		Hazardous material
		War

Step 2: Determine level of impact each disaster might have on the OPR and its ability to continue or resume operations. Use the following rating scale to put a numerical value to the

level of impact. For example if the perceived risk to operations is an interruption of only 3 hours, then the impact Rating would be given a 1.

Table 4.H - Risk Assessment Impact Rating Scale

0 = No interruption in operations
1 = Interruption up to 8 hours
2 = Interruption for 8 - 48 hours
3 = >48 hours of interruption – cessation/relocation necessary

Step 3: Assess probability of a disaster actually happening. Use the probability rating scale below to determine a probability.

Table 5.H - Disaster Probability Rating Scale

High = 10 points
Medium = 5 points
Low = 1 point

At SSC the probability of flooding or hurricanes are very probable (10 probability points) whereas the likelihood of an earthquake is very low (1 probability point).

Step 4: Determine risk factor by multiplying the Impact Rating times the Probability Rating to give a risk factor value as shown in the example below. The resulting sum will be the Risk Factor which can be used to help determine the best methods of protection. If fire and water damage have high risk factors, SSC can look into the best protection methods from that sort of damage. If explosions are a high risk factor for your office, protection methods will be based on that factor and offsite storage would probably be best. Questions regarding risk factor or the risk assessment process overall should be addressed to the SSC RM or the RDMO.

Impact Rating		Probability Rating		Risk Factor
(3)	**X**	(10)	=	(30)

For uncertainties regarding the disasters or risks that might affect an area or office, the following questions may assist in the identification of potential risks.

Climate
- Is the area subject to extremes or sudden changes in temperature or humidity?
- Which materials would be affected by changes?
- How soon after failure of your heating or cooling system will the climate in the area exceed recommended environmental conditions?

Topography
- Is building situated by a lake/canal/river/ocean? Is that body of water tidal?
- Is there a basement? Is it below water level or water table level?

Extreme Weather
- Is the area subject to hurricanes, tornados, extreme wind/rain/lightning? What sort of damage could occur in the office?
- What extreme weather elements are most likely to affect your office?

Building Structure	• What are the building's structural materials? • Does the building have a flat roof, skylights, roof access doors, or internal roof drains? • Are water/sewer pipes running through records storage areas?
Hazardous Materials	• Are hazardous materials such as gas cylinders, solvents, paints, etc. stored in the building or adjacent areas nearby? • Have potential hazards such as, poisonous/flammable/reactive chemicals, etc. been removed from the area?

H.4 Protecting Vital Records and Disaster Preparedness

After your Vital Records have been identified, and risks determined, a protection and preservation method must be identified that best suits the risks, record format and need for access. The protection method will be based on several factors, including:

- Cost and effectiveness of protection.
- Equipment necessary to enforce the protection method.
- How vital the record is.
- Format of the record.
- Access and retrieval needs.
- Type of hazard the record faces, as determined through a risk assessment.

Vital Records should be stored in a format that will last as long as the records are needed. If a Vital Record is in a format only readable by specific equipment (e.g., microfilm reader, computers), procedures for accessing/obtaining the equipment must be arranged. For example, if a Vital Record is in electronic format, then the hardware or software used to create the record also needs to be protected or arrangements made to obtain compatible equipment.

The main protection method for Vital Records is typically through Duplication or Dispersal of records. This entails the physical duplication of information and the transfer/dispersal of these duplicates to a protected storage location, either on or off site.

Benefits of duplication/dispersal are:

- The minimal chance that the primary copy and all distributed copies will be destroyed.
- It is cost efficient.
- It is easy to do and can usually be done in the normal course of business.

Drawbacks to duplication/dispersal are:

- The volume (e.g., number of pages or number of copies needed) of the record, may cause this method to become burdensome over time.

- Distribution of additional copies of information on paper is a poor records management practice. In cases where several offices have the same record, the copy maintained by the OPR is the official copy for primary retention purposes.

There are two ways of achieving duplication/dispersal:

- Natural/built in: The information is routinely distributed or backed up to designated or alternate locations in the normal course of business. This is the least expensive form of protection since it often occurs in the normal course of business, usually without offices being consciously aware of it.
- Reproduction: Represents the decision to duplicate or transfer the record onto a different format specifically for its protection. Scanning or magnetic media are common forms of reproduction.

H.5 Storing Vital Records

Determining where and how to store vital records is crucial after determining the methods of protection. The location selected may need to be accessible within seconds to 24 or more hours after a disaster. Vital Records can be stored on-site, off-site, or in specialized equipment. Consult NARA records management guidance on vital records at http:// www.archives.gov/records-mgmt/vital-records/index.html for further information.

H.5.1 Storage On-Site

On-site storage means storing Vital Records at your workplace, storing them in fire-resistant vaults, safes, or file cabinets. The drawback to choosing on-site storage is that if a major disaster strikes the entire building or damages it beyond repair; you have little chance of retrieving your Vital Records.

Precautions must be taken to protect your Vital Records from a disaster from spreading to the storage area. This could range from installing fire doors and walls, to following basic best practices to protect the records.

The following concerns should be addressed regarding on-site storage of your Vital Records:

- Are there potential fire, water or sewer or other hazards. Any corrections or repairs should be addressed immediately (leaking overhead pipes may cause a disaster). Records should never be stored directly under any type of pipes.
- Staff members should know the location of the vital records and access to materials should be restricted to authorized personnel.
- Records should be managed in accordance with the NRRS and inactive records should be transferred on a regular basis to the SRC.

Note: Basements or ground floor areas should be used for storage as a last resort since they are most susceptible to water and sewer damage.

H.5.2 Pros & Cons on Use of Specialized Storage Equipment

On-site storage may involve the use of specialized equipment, such as vaults, fire-resistant cabinets and/or fire-resistant safes. While this equipment may provide some initial protection against fire damage, it may not be immune to water damage. Fire-resistant equipment is often used as a last resort when there is very little office space, no storage areas available to hold duplicated Vital Records, or duplication is not cost effective based on the level of risk.

Disadvantages of specialized equipment include:

- The possibility of spontaneous combustion when a drawer is opened after a fire, the result of oxygen being released back into the drawer's atmosphere.
- Inadequate protection from extreme temperatures. If the fire is hot enough, the paper records will burn in the drawer.
- The high cost of specialized equipment.
- The susceptibility of specialized equipment to water damage.
- Materials used in construction will make specialized equipment heavy and burdensome, which can be a hazard after a fire because of increased weight from water gain.
- The weight load of the equipment may be too heavy for some floors in older buildings.

If specialized equipment is going to be used it should be designed specifically for the type of record medium it contains and used exclusively for Vital Records.

Satisfactory fire-resistant cabinets/vaults are rated according to the maximum number of hours they can be exposed to fire and maximum temperature while still protecting the contents. However, keep in mind that "hours of protection" decrease as the temperature of a fire increases.

H.5.3 Storage Off-Site

Off-site storage means a facility other than an agency's normal place of business where records are kept until eligible for final disposition. Vital records may be kept at off-site storage to ensure that they are not damaged or destroyed should an emergency occur in an agency's normal place of business. For SSC purposes, copies of certain records will be put on CD and/or DVD for immediate removal to on off-site emergency location in the event of a disaster or impending emergency requiring evacuation of SSC (Please note that the data on these CD's and/or DVD's must be migrated every three to five years.). This location (Hot site) will be used during the immediate course of the emergency for emergency operations. Other records will be routinely backed up and sent to an off-site location from which the records can be accessed or retrieved for immediate needs or the resumption of business following the disaster (Cold site).

- Hot site - An area identified prior to an emergency/disaster as the operation center or meeting place from which SSC will continue operations during the term of the emergency.

In general practice, hot sites usually contain everything an office has identified as critical for operation, ready for immediate use. This method of protection can be costly and is best used by offices which will require computer systems to be up and running immediately after a disaster or by offices with the responsibility for organizing and running recovery procedures (i.e., police, physical plant, computing and communications).

- Cold site - A cold site is an area identified as a back-up location in case the original office is unusable after a disaster. It differs from a hot-site in that there is no requirement for unique equipment or supplies which are necessary at a hot site during an emergency.

  Again, in general practice, and although it is much less costly, re-establishing operations from a cold site may involve more time and effort. If the cold-site is used to store Vital Records, the cost of duplicating and delivering the Vital Records to the site must be considered in a cost analysis.

H.5.4 Environmental Considerations for Storage of Vital Records – Best Practices

Certain environmental considerations must be made for storing Vital Records. Best practices are available on NARA's website (www.archives.gov) and searching for "Preservation". These best practices will help ensure that records will be in relatively good condition when they are needed. Few areas will be able to meet all conditions but the objective is to get as close as possible to optimum temperature and humidity levels.

H.6 Disaster Recovery

There is always a chance that records will be damaged in some way after an emergency. Information is provided here for stabilizing and recovering damaged records. Some steps can be taken immediately; others should wait until the SRC Recovery Team can provide assistance with recovery.

Coordination of recovery efforts should be conducted both before and after a disaster strikes. Records Management should be contacted as soon as possible after an emergency in which records are damaged regardless of the extent or severity of the damage.

H.6.1 Records Recovery Processes Guidance

More detailed guidance on the recovery process is provided via the RDMO. Many actions should be implemented by knowledgeable professionals. However, the "do's" and "don'ts" of this information are important in mounting a records recovery effort that will allow the recovery of the most records possible. Contact the SSC Records Manager for more information on records recovery processes.