



Ames Procedural Requirements

APR 1440.1

Effective Date: September 25, 2015

Expiration Date: September 25, 2020

COMPLIANCE IS MANDATORY

Subject: Records Management Program Requirements

Responsible Office: Code ID / Product & Services Development Division

Change Log

Status [Baseline /Revision /Cancelled]	Document Revision	Date of Change	Description
Revision	1	April 8, 2009	Updated to add AS9100 requirements for supplier records and updated roles and responsibilities for Organizations, Records Liaisons, Records Custodians
Revision	2	September 25, 2015	Updates to applicable documents, valid websites, and roles and responsibilities
Revision	3	May 6, 2020	Updated Responsible Office. Transferred responsibilities for the Vital Records Manager and Emergency Preparedness Manager from the cancelled APD 1440.1. Changed “Office of Primary Responsibility” to “Office of Record” to align with NPR 1441.1. Made other administrative corrections and deleted definitions duplicative with NPR 1441.1 or for terms not used in this APR.

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Preface

P.1 PURPOSE

- a. This Ames Research Center Procedural Requirements (APR) directive implements Ames Research Center (ARC) records management requirements and procedures in accordance with NASA Policy Directive (NPD) 1440.6, NASA Records Management, NASA Records Management Program Requirements (NPR) 1441.1, and the NASA Records Retention Schedules (NRRS 1441.1).
- b. This APR establishes the requirements for identifying, collecting, indexing, accessing, filing, storing, maintaining, retrieving, and the disposition NASA/ARC records.
- c. This directive supplements APR 1280.1, ARC Management System Requirements for the identification, collection, and management of quality records.

P.2 APPLICABILITY

- a. This APR is applicable to all NASA/ARC personnel.
- b. This APR is applicable to ARC contractors to the extent specified in their respective contracts.
- c. This APR is applicable to all files and records generated in the conduct of ARC business and to those quality records required to demonstrate conformance to specified requirements and the effective operation of the ARC management systems for quality and environmental management.
- d. This APR is applicable to all personnel and/or organizations that generate, file, store, maintain, disposition, and control NASA-owned records at ARC.
- e. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes an expected outcome, and "are/is" denotes descriptive material.

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 pts. 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.
- m. NPD 1440.6, NASA Records Management.
- l. NPR 1040.1, NASA Continuity of Operations (COOP) Planning Procedural Requirements.

P.4 APPLICABLE DOCUMENTS

- a. Maintenance and Publication Requirements for Systems of Records, 14 CFR § 1212.6.
- b. NPD 1382.17, NASA Privacy Policy.
- c. NPR 1441.1, NASA Records Management Program Requirements.
- d. NPR 1600.1, NASA Security Program Procedural Requirements.
- e. NRRS 1441.1, NASA Records Retention Schedule
- f. APR 1280.1, Ames Management System Requirements.
- g. 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

APR 1440.1, ARC Records Management Program, dated June 8, 2009

/S/

Eugene L. Tu

Director

Internal and external distribution.

CHAPTER 1. Introduction – Records Management Overview

1.1 What Are the Requirements for Records Management?

- a. The maintenance and preservation of government records is required by law and NASA policy. Requirements are stated in 36 CFR Part 1220 and 1222 and NPD 1440.6. The proper identification, management, retention, and disposition of records are mandated.
- b. The 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 can be costly and can result in punitive actions.
 - (1) Legal costs, fines and penalties.
 - (2) Disciplinary actions or loss of job.
 - (3) Loss of a government contract.
 - (4) Prosecution and incarceration.

1.2 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 1.

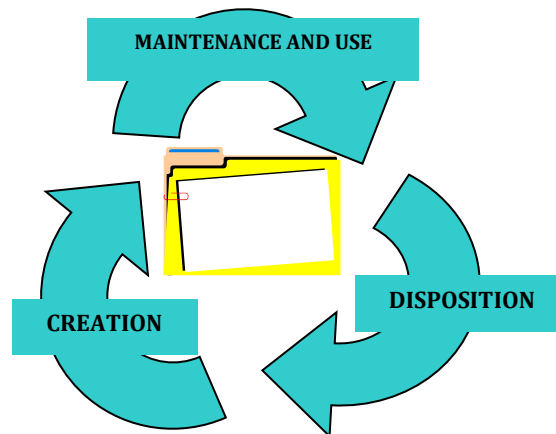


Figure 1 - Records Management Life Cycle

1.3 What Is a Record?

- 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 the evidence of the 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:
- (1) Administrative value – they document how the Agency has carried out its mission.
 - (2) Fiscal value – they document how the Agency has utilized its financial resources.
 - (3) Legal value – they protect the rights of the Agency and/or individuals.
 - (4) 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.
 - (5) Research and historical value – they provide the raw materials for research of Agency, technological and cultural history and preserve the legacy for the future.

1.4 Do I Have Records?

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.

1.5 What and where are the Retention and Disposition Requirements?

- a. Retention/disposition schedules are established for all types of records based on preservation requirements for administrative, legal, fiscal, and historical purposes.
- b. 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.
- c. NASA requirements are provided in the NASA Records Retention Schedules (NRRS). Additional applicable instruction is provided in the General Records Schedule (GRS) of the Federal Government issued by NARA.
- d. 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.
- e. In some cases, other Federal, state, or local requirements may apply to the retention of records. Consult with the ARC Records Manager or your Directorate Records Liaison Officer regarding these requirements.
- f. The NRRS is available through the NASA Online Directives Information System Home page <http://nodis3.gsfc.nasa.gov> page under NASA Directives. NPR 1441.1 is found under the 1000 series documents and has the link to the NRRS.

1.6 What do I Need to Know?

- a. A basic understanding of records terminology is essential to the performance of records management. Key records terminology and definitions are provided in Appendix B of this directive. Terminology and definitions are also provided in the Glossary to NPR 1441.1.
- b. Following chapters of this directive provide the responsibilities and requirements for records management. Consult the appendixes for instructional notes, guidance, and “how to” instructions for accomplishing the requirements.
- c. Records Management Training modules have also been developed to assist in the guidance and training of NASA employees and contractors. The training is available on SATERN <https://saterninfo.nasa.gov/>
- d. A Records Management Website is also available for use at: <http://js.arc.nasa.gov/js/arm/index.html>

CHAPTER 2. ROLES AND RESPONSIBILITIES

2.1 Center Director

The Center Director is responsible for:

- a. Ensuring the implementation of an effective Center records management program.
- b. Formal delegation of a Center Records Manager and Vital Records Manager.
- c. 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 CIO

The Office of the CIO is responsible for:

- a. 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 custodians.
- b. Ensuring incorporation of records management and archival functions into the design, development, and implementation of Information Technology (IT) systems.
- c. Implementing electronic records management

2.3 Organizational Directors and Line Managers

ARC Organizational Directors and Managers are responsible for:

- a. Promoting records management and appropriate practices within their organizations.
- b. Ensuring personnel understand their responsibilities and receive training as appropriate.
- c. Ensuring that adequate and appropriate record-keeping systems are established.
- d. Instituting effective records management practices to carry out the provisions of NASA records management rules.
- e. Ensuring that records are identified and managed in accordance with NPR 1441.1 and other applicable regulations.
- f. Designating one or more Records Liaisons and/or Custodians for their organization and its elements to maintain, administer, and manage the organization's records.
- g. 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.
- h. Assuring the prevention of the unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.

2.4 ARC Records Manager (RM)

The ARC Records Manager is responsible for:

- a. Managing and promulgating the ARC Records Management Program and guiding the overall implementation of records management activities at ARC including the development of ARC policies and procedures.
- b. 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.
- c. Reporting to the Center and Agency any actions of unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.
- d. 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.
- e. 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 custodians, and ARC contractors who create or maintain NASA-owned records.
- f. Conducting records management reviews of file indices, filing systems, and records holdings inventories as necessary.
- g. Conducting periodic evaluations of records management practices throughout the Center, identifying and documenting issues and discrepancies, and communicating corrective actions.
- h. Assuring the disposition of records and reduction of records holdings in accordance with NRRS requirements.
- i. Managing the ARC Records Storage/Archival facility and its contents.
- j. Coordinating with individuals clearing the Center to ensure that all records in the responsibility, possession, or custody of the individual, whether in file cabinets, servers, etc., are transferred to their supervisor or the individual taking over their function.
- k. Authorizing the transfer to or return of records from the Federal Records Center or NARA.
- l. Monitoring and approving records destruction activities.
- m. 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.
- n. Assuring the identification and marking of Privacy Act and other Sensitive But Unclassified (SBU) records and providing for the protection of such records from inappropriate disclosure or release.
- o. Disseminate records management information to the Records Liaison Officers.

2.5 Contractors

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

- a. Complying with NASA records management policy and procedural requirements stated in NPD 1440.6, NPR 1441.1, and this directive.
- b. 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 Custodians 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.
- c. Segregating and managing separately Contractor records from NASA-owned, Contractor-held records.
 - d. Preparing and maintaining Organizational Records Series Inventory (ORSIs) of all NASA-owned records, including Vital Records and submitting updates at a minimum on an annual basis to the Records Manager.
 - e. Designating Records Custodians for their organizational elements with responsibility for managing the records of that element and preparing and maintaining an ORSI.
 - f. Managing and transferring inactive or non-current NASA-owned records to ARC storage/archival throughout the term of the contract or a project period and at the end of the contract period or specific project.
 - g. Ensuring and providing for the formal transfer of active NASA-owned records to NASA custody or to another contractor at ARC's direction at completion of the contractual agreement.
 - h. 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.

2.6 Offices of Record – Organizations and Departments

Organizations creating and holding records are responsible for:

- a. Implementing internal records management practices that meet organizational and function needs and are compatible with the NPD 1440.6, NPR 1441.1, and of this directive.
- b. 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.
- c. 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 117.
- d. Maintaining ORSI(s) for their organization and updating by the annual records call.
- e. Assuring all organization personnel are aware of records management requirements and ensuring training as needed.
- f. 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 1441.1 and NPR 1441.1.
- g. Reviewing formal Requests for Records Destruction from the Records Manager, and providing approval for destruction of those records that have reached the end of their required retention.

- h. Identifying, appropriately marking, and protecting Privacy Act Records and Privacy Act Systems of Records (PASR) in accordance with NPD 1382.17, NASA Privacy Policy.
- i. 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.
- j. Providing copies of records significant to the cultural or technological history of ARC to the ARC History Office.

Note: The originals of these records should be handled in accordance with the NRRS.

2.7 Records Liaison Officer(s)

- a. Serving as the POC for their organization(s) for records management functions and coordinating with the ARC Records Manager to ensure the proper creation, maintenance, and disposition of all records generated within their respective organizations.
- b. Coordinating with the ARC Records Manager to identify and ensure preservation of their organization's Records, including any in the possession of contractors.
- c. Conducting annual reviews of Records and ensuring copies of active/current materials are regularly stored for preservation in the event of an incident.
- d. Coordinating with any distributed contacts or sub-custodians responsible for sub-sets of records for the preparation of the ORSI and providing oversight for the management of the records involved. Distributed contacts and sub-custodians bear the same responsibility as the Custodian in ensuring the proper management of records.
- e. Ensuring the identification and marking of Privacy Act records and SBU records.
- f. Disseminate records management information regularly to Management and Records Custodians within the organization.

2.8 Records Custodians

Records Custodians are responsible for:

- a. 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.
- b. 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 1441.1 and NPR 1441.1.
- c. Preparing and maintaining the ORSI(s) including the identification of electronic records and Vital Records.
- d. Revising ORSIs as changes occur and/or ensuring their update on an annual basis.

- e. Retiring, archiving, or disposing inactive or non-current records from file systems at intervals prescribed by the NRRS and at the completion of projects.
- f. Managing the organization's records and promulgating correct records management practices within the organization.

2.9 Individual Personnel

Personnel are responsible for:

- a. Understanding their basic records management requirements and properly managing the records in their possession.
- b. Understanding the difference between a record and non-record and knowing how or where to submit and file records.
- c. 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 Acquisition Management Activities

2.10.1 Acquisition Division

The Acquisition Division is 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 requirements are included in appropriate procurements.
- c. Coordinating with the RM the proper close out and turn-over of records upon completion of contracts.

2.10.2 Requirements of Organizations

- a. 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.
- b. 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.

2.11 Privacy Officer/Export Control Officer

The ARC Privacy Officer/Export Control Officer is responsible for:

- a. Administering and coordinating ARC'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.
- b. Coordinating with the ARC Records Manager 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.
- c. Administering and coordinating ARC'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.

"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 Management Program, NRRS 1441.1, NASA Records Retention Schedules, and APR 1440.1, ARC 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 Management Program Requirements and NRRS 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 ARC Records Archive for management of disposition."

Figure 2 - Sample Records Management Requirements Statement

2.12 Office of Chief Counsel

The Office of Chief Counsel is responsible for:

- a. Providing legal advice on records management questions.
- b. Reviewing formal Requests for Records Destruction from the Records Manager, and providing approval for destruction of those records that have reached the end of their required retention.

2.13 History Office

The History Office is responsible for:

- a. 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 the schedules of the NRRS.
- b. 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 Management System Representative (MSR)

The MSR is responsible for implementing the ARC Management System for quality and for providing guidance and training to ARC personnel relative to Quality Records requirements for the maintenance of the Ames Management System and AS9100 Compliance.

2.15 Vital Records Manager

The Vital Records Manager is responsible for:

- (1) Coordinate with the Center Records Manager to develop and implement a workable plan to permit the Center to function under emergency conditions that encompasses the preservation of the organization's vital records, including those records in the possession of contractors.
- (2) Recommend to the CRM whether records (or duplicate copies) shall be stored in a "safe haven", placed into the "emergency operating site", or remain in the functional areas(s).
- (3) Prepare and furnish a complete inventory list of vital records to the CRM.
- (4) Conduct periodic reviews, at least annually, of the organization's vital records to ensure that records and related materials are current and complete in accordance with the organization's vital records plan.

2.16 Emergency Preparedness Manager

The Emergency Preparedness Manager is responsible for:

- (1) Assist the Vital Records Manager in preparing the Ames Vital Records Plan and in the selection of the vital records storage sites.
- (2) Provide advice and assistance, as required, to ensure the effectiveness of the Ames Vital Records Program.
- (3) Provide guidance on the physical security and disposition of classified material.

CHAPTER 3. RECORDS MANAGEMENT REQUIREMENTS

3.1 General Practice

- a. ARC generally utilizes decentralized filing methodologies. To the greatest extent possible, uniform, economical, and efficient practices shall be used to maintain records.
- b. 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.
- c. Records and filing systems shall be stored in a suitable environment to prevent damage, deterioration and loss.
- d. Records and non-records shall be arranged and grouped functionally to provide for rapid filing, ready reference, and prompt disposition.
- e. 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 appendices to this directive.
- f. All records in all forms and all media formats shall be identified and managed in accordance with the NRRS.
- g. The same policies and procedures and retention requirements that apply to paper records shall be also applied to electronic records.
- h. All records shall be labeled to indicate the type of record and its retention and disposition requirements.
- i. 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.
- j. The design and development of all IT systems and applications shall address and incorporate records management requirements.
- k. All organizations shall designate a Records Liaison Officer and Custodian(s) to be responsible for the overall identification and management of the organization's records.
- l. 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 ORSI and each revision.
 - (2) Copies of records transfers to archive storage.
 - (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 Organizational Records Series Inventory (ORSI)

- a. All organizations shall develop and maintain ORSI(s) identifying all NASA records in all mediums and formats created, held, or managed by the organization.
- b. Records/files found in operating offices for which there are no approved disposition standards (see definition of *Unscheduled Records*) shall be included in the ORSI, annotated as “Unscheduled,” and reported to the Records Manager for coordination of an appropriate disposition through the NASA Records Officer.
- c. ORSIs shall be maintained and updated as changes occur and/or at a minimum reviewed/revalidated and updated annually.
- d. ORSIs 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 Custodian
 - (4) The date of ORSI preparation or review/update
 - (5) A listing of all organizational records by:
 - (a) AFS Number/Records Subject Area.
 - (b) Records Title/Description that clearly indicates the records medium (e.g., paper, electronic, video, etc.).
 - (c) Identification if the records are Vital Records.
 - (d) Location where the records are held (building/room number, or name of electronic system, etc.).
 - (e) Name of POC responsible for records if not the designated named Records Custodian.
 - (f) The disposition/retention period specified by the NRRS or other applicable citation schedule.
 - (g) The disposition schedule citation for the records (e.g., NRRS Schedule, GRS, or other applicable citation).
 - (h) Identification of any specific document or documents requiring these records to be kept as part of a process or procedure. (Note: this is an ARC Management System requirement to aid in the identification of “AMS records”).

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

3.3 Retiring, Disposing, and Destroying Records

- a. 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 ARC instructions and the process for retiring records to National Archives and Records Administration (NARA).
- b. 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 ARC Records Manager or the Organizations’ Records Liaison Officer for

information and guidance on disposal of records. Disposal and destruction of certain records by an organization is permitted by the NRRS.

c. Major bulk records destruction efforts of archived records shall be conducted only by and through the auspices of the ARC Records Manager.

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

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

(2) 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 ARC for administrative, legal, or fiscal purposes.

(3) 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

a. Organizations shall coordinate with the Records Manager and the Organizations Records Liaison Officer 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 Office of Record. The unauthorized destruction of records is prohibited and the movement and/or changes in records custodianship must be accounted for.

b. Any disposition of records shall be in accordance with the NRRS and coordinated through the Records Manager and/or the Records Liaison Officer.

c. New organizations shall identify and appoint a Records Custodian and notify the Records Manager of the appointee's name and location.

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

e. Organizations shall notify the Records Manager when designated Records Custodians are changed and ensure that ORSIs are updated to reflect the change in responsibility and show those records now within its care.

3.5 Guidance for Determining Retention of E-mail

3.5.1 E-mail messages are records when they are both created or received by a NASA employee/contractor, and meet the definition of a record.

a. Actions generated via e-mail

b. Modifications to contracts

c. Employee performance plans

d. Engineering drawings and

e. Configuration Control Board decisions

3.5.2 These activities are considered official Agency business and must be added to the NASA's official files by printing them out and filing them in accordance with NASA Records Retention

Schedules (NRRS). This should be done as soon as possible after the message is sent or received. The message or attachment should then be deleted from e-mail. However, information contained in these records be retained in electronic form other than e-mail, if the electronic format is scheduled and provides an approval disposal authority.

3.5.3 Non-record emails are:

- a. Announcements of meetings
- b. Routine exchanges of information
- c. Lack informational value
- d. No evidence of agency function or activities, and
- e. When duplicated from an existing or subsequent record and not considered unique

These messages should be deleted as soon as their purpose has been served.

3.5.4 Working files, such as preliminary drafts, rough notes and other similar materials shall be maintained for purposes of adequate and proper documentation if:

- (1) They were circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow-up or to communicate with agency staff about agency business; and
- (2) They contain unique information, such as substantive annotations or comments included therein, that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, responsibilities.

3.5.5 Record status of copies

The determination as to whether a particular document is a record does not depend upon whether it contains unique information. Multiple copies of the same document and documents containing duplicative information, including messages created or received on electronic mail systems, each have record status depending on how they are used to transact agency business.

3.6 Records Transferred Between Centers

- a. Organizations shall coordinate with the Records Custodian and the Organizations Records Liaison Officer when an employee is transferring NASA Installations and the records supporting their function need to be transferred.
- b. Organizations shall prepare the NF 1786, Inter-or-Intra Agency Transfer of NASA Records Agreement form prior to transfer or shipment of any records to the gaining installation.
- c. Records Custodian shall adjust the Organizational Records Series Inventory to reflect the transfer of records to the gaining NASA installation.

3.7 Records Managed in Support of the Ames Management System (AMS)

- a. Originators of records shall ensure that AMS Records are clearly identified and traceable to either the product or service involved. When working with supplier records, records shall be established and maintained to provide evidence of conformity of purchased product or service is required. Records shall be legible, easily identifiable and retrievable. See definition of AMS Record in the appendix.

- b. AMS Records shall be maintained and managed in accordance with the procedures of this directive and the NRRS.
- c. Originators of AMS Records shall ensure that the organizational Records Custodian is informed for inclusion in the establishment of records filing systems and identification on the ORSI.
- d. The following records shall be identified and collected as AMS Records in accordance with requirements of the Ames Management System and AS 9100 Standards. These are the minimum AMS Records types identified by the standards and are the minimum records required for compliance. AMS requirements may also apply to other records. Consult with the Ames Management System Representative (MSR) for additional information about Management System requirements on AMS Records.

Records from Management Reviews

- (1) Appropriate records of education, training, skills, and experience
- (2) Records needed to provide evidence that the realization processes and resulting product/service meet requirements)
- (3) Records of the results of the product requirements review and any necessary actions from the same
- (4) Records of design and development inputs relating to product requirements
- (5) Records of results of design and development reviews and any necessary actions from the same
- (6) Records of results of design and development verification and any necessary actions from the same
- (7) Records of results of design and development validation and any necessary actions from the same
- (8) Records of results of design and development changes and any necessary actions from the same
- (9) Records of the results of supplier evaluations and any necessary actions from the same
- (10) Records of the validation of processes for production and service provision, as applicable
- (11) Records of unique product identification where traceability is a requirement
- (12) Records of any customer property that is lost, damaged, or otherwise found to be unsuitable for use
- (13) Records of the results of calibration and verification of monitoring and measuring devices
- (14) Records of Internal Audits
- (15) Records of evidence that products/services conform to acceptance criteria, and the person authorizing the release of products/services
- (16) Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained
- (17) Records of corrective actions taken
- (18) Records of preventive actions taken

3.8 Records Management Process Flow

The basic records management process is depicted in Figure 3 following.

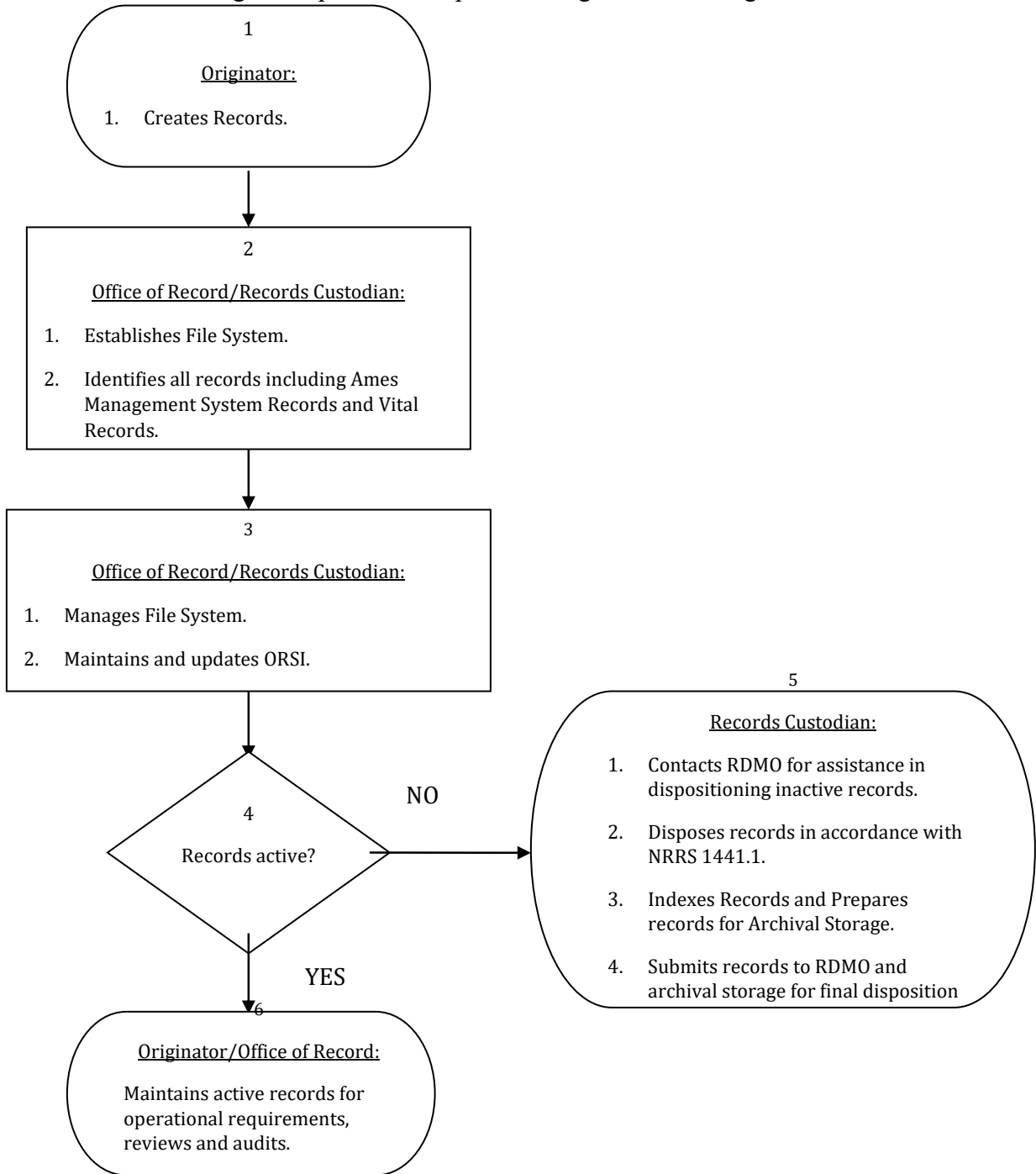


Figure 3 - Basic Records Management Process Flow Chart

APPENDIX A – ACRONYMS

AFS	Agency File Scheme
APR	Ames Procedural Requirements (directive)
ARC	Ames Research Center
CFR	Code of Federal Regulations
CIO	Chief Information Officer
FOIA	Freedom of Information Act
FRC	Federal Records Center
GRS	General Records Schedule (NARA)
IT	Information Technology
MSR	Management System Representative
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
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
ORSI	Organizational Records Series Inventory
PASR	Privacy Act System of Records
RFP	Request for Proposal
RLO	Records Liaison Officer
RM	Records Manager or Records Management
SBU	Sensitive But Unclassified
SOW	Statement of Work

APPENDIX B – DEFINITIONS

Note: Many definitions are provided by NPR 1441.1.

ADMINISTRATIVELY CONTROLLED INFORMATION (ACI) - Term no longer used but still referenced in some documentation. See *Sensitive But Unclassified (SBU)*.

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.

AMES MANAGEMENT SYSTEM RECORDS -

(1) AMS 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) AMS records are not unique records to NASA records management requirements; but rather, AMS 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.

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

BUILT-IN DISPERSAL - A method of protecting vital records whereby the records management system calls for the availability of a copy at another location due to regular distribution of the Vital Record.

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 ARC MRI is a type of catalog.

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

CLASSIFYING - In relation to filing methodologies, the act of analyzing and determining the subject content of a document, and then selecting the subject category under which it will be filed.

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.

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*.

CUBIC FOOT - A measurement of volume of records and archive capacity.

- Typical archive box (15" x 11 7/8" x 9 5/8") equals *1 cubic foot* of records.
- One letter-size file drawer equals *1.5 cubic feet* of records.
- One legal-size file drawer equals *2 cubic feet* of records.
- One letter size lateral file drawer (39 inches) equals *2.5 cubic feet* of records.
- One legal size lateral file drawer (39 inches) equals *3 cubic feet* of records.
- One letter size open shelf cabinet (4 ft.) equals *2.3 cubic feet* of records.
- One legal size open shelf cabinet (4 ft.) equals *3 cubic feet* of records.

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*.

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.

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 ARC tends to utilize decentralized filing.

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*.

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.

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 ARC e-mail system, Technical Documentation System(s) (i.e. TechDoc, Documentum, Sharepoint, Windchill etc.), shared drives, and personal computers are types of electronic filing systems.

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 ARC mission, many facilities records may be considered vital.

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.

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*.

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.

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.

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

GENERAL CORRESPONDENCE - A file consisting of correspondence accumulated by organizations as a result of their routine operations. Records consist of arrangement of correspondence, memoranda, and messages on a number of different subjects as distinguished from a case file that contains correspondence about specific transactions or projects.

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

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

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*.

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.

KEYWORD - A word or phrase taken from the title or text of a document characterizing its content and facilitating its retrieval.

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 ARC 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.

LATERAL/SIDE ACCESS STORAGE CONTAINER

Storage units in which file access is horizontal (from the side). These include the Carrousel and Shelf File systems.

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.

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.

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.

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 $\frac{3}{4}$ cubic foot.

NASA-OWNED/CONTRACTOR-HELD RECORDS - Records resulting from specific transactions for, or on behalf of official NASA/ARC functions or requirements made or received by NASA contractors. These records are necessary to the continuity of NASA/ARC 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.

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

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

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.

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.

ORGANIZATIONAL RECORDS SERIES INVENTORY -

(1) An inventory of records holdings prepared and maintained at a minimum on an annual basis of each ARC organization's records holdings. The ORSI identifies the organization or functional unit (Office of Record), the responsible Records Custodian, 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 ORSI is a requirement for ARC organizations including contractors to the extent specified in their contractual documents.

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 Office of Record.

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*.

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 1978, as amended and NPD 1382.17, NASA Privacy Policy.

(4) Privacy Act Systems of Records are identified by a PASR annotation in the NRRS.

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.

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

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.

RECORDS MANAGER (ARC RM) – Ames Research Center Records Manager is the individual formally appointed by the Center Director and delegated the responsibility to oversee the records management program.

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.

RETRIEVAL - The process of locating and withdrawing a record from a filing system or records storage facility.

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

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 *SBU*.

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 pre-decisional, investigatory, sensitive travel).

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.

VITAL RECORDS -

(1) Records essential for maintaining the continuity of Federal Government activities during a national emergency. These records consist of two categories:

(a) emergency operating records, which outline the essential functions of the Government for the duration of emergency conditions, and

(b) 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 – ORGANIZATION RECORD SERIES INVENTORY PREPARATION AND MAINTENANCE GUIDANCE

C.1 How to Prepare and Maintain/Update Organizational Series Inventory (ORSI)

- a. The master template for preparation of ORSIs is maintained by the ARC Records and the Organization' Records Liaison Officer. A sample template including instruction is provided in Table 1.C.
- b. ORSIs 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 as Vital if they are considered as such. See separate instruction regarding the identification of vital records. ORSIs listings should only contain the active records of that specific organization.
- c. ORSIs should be updated as changes occur or at a minimum on an annual basis.
- d. Prepare/Update your ORSI identifying each record series of your organization and providing the information required for each. Check each information field carefully for correctness (organization, office code, custodian name, phone, records description, NRRS schedule and retention, etc.). Double check retention periods assigned and the schedule used to ensure information is accurate. If you cannot find retention for a particular record set in the NRRS, mark the record as "Unscheduled" and notify the Records Manager so that 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.

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 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.

Vital Records: 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).

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.

Disaster or emergency means an unexpected occurrence inflicting distress or widespread destruction and having adverse effects on Agency or Center operations.

Emergency Operating Records: Are that type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical operations, as well as related policy or procedural records that assist the staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Because of the ARC mission, many facilities records may be considered Vital.

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.

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 ARCHIVAL INSTRUCTIONS

ARC-289, Records Transmittal and Receipt, Instructional Guide

Purpose:

This guide provides step-by-step instructions to ARC personnel in filling out and submitting the automated ARC-289 form to the Records Manager for archival of records.

Steps in transferring records to the Federal records center:

1. Box and prepare records for archival. Completely fill the proper records storage box, which is available ARC AIB store (stock # 8115-00-117-8249). All records in the box must be of the **same** type (i.e., all records in a box **must** have the same retention).
2. Once you are ready to transfer the records to the official NASA archive, fill out ARC-289, which is available on the **Electronic Forms Page** and can be accessed through the internal home page or the following URL: <https://nef.nasa.gov/> Select **ARC-289** and fill in all required information. The information you provide on the form should directly correlate to the information you maintain on your organization Organizational Records Series Inventory (ORSI).
3. Pull-down menus are provided for your convenience.
4. Directions and explanations of each blank are given on page two of the form.
5. All information must be provided before the form can be submitted. You do not fill in the FRC Use Only field; the Records Manager files this.
7. Once the form is completely and properly filled out submit form to Records Manager.
 - (a) The RM then receives the form, where the information on the form is reviewed for accuracy. Information may be corrected if changes are determined necessary.
 - (b) The RM will return a copy of the final accepted Records Transmittal form with the Accession Number and archival locations to you. Make two copies of the form. Place one copy of the completed transmittal form on top of the records inside the box. RM will then arrange a time to pick up your boxes for storage. Do not tape boxes simply inter-fold the flaps.
10. Records Custodians should retain the second copy of the returned form for their records. The information will be useful if retrieval of records is later necessary.

APPENDIX E – GUIDANCE — WHAT IS A RECORD?

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

- a. 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).
- b. 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 Officer or Custodian or the ARC Records Manager (RM).

Table 1.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? <ul style="list-style-type: none"> • Agency actions (ensure continuity and 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, 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 or fiscal or 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.

DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?		ANSWER YES	ANSWER NO
4.	<p>PURPOSE –</p> <p>a) Is/Was the material mandated by statute or regulation?</p> <p>b) Does the material support a NASA financial or legal claim or obligation?</p> <p>c) Is the material required to operate NASA programs or provide program support functions?</p> <p>d) Is/Was the material created or received in the conduct of Agency business?</p>	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 <u>not</u> 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 the decision trail of your comment or action? <i>(Note: if the comment/action regarding the item is officially summarized or documented elsewhere, the copy is a <u>Non-Record</u>.)</i>	Go to 9.	Go to 10. <i>Non-Record</i>
9.	<p>OFFICIAL RECORDS:</p> <p>a) Any documentation related to NASA’s administrative and programmatic activities. Examples of records include:</p> <ul style="list-style-type: none"> • Decision Papers • Memoranda • Letters • Imagery (still & motion) • Data Files • Design Records • Flight and Test Files • Reports • Originals of Publications, etc. <p>b) Supporting materials sufficient to document and/or explain the document trail/decision making process for administrative, legal, authorization, programmatic, and historical purposes. <u>May</u> include drafts, annotations, reports, raw data, meeting minutes, emails, faxes, etc. <i>(Note: Official records may be originals or copies of original records.)</i></p>	Retain in official file system and 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.	Unsure? Start Over or Contact Records Liaison or Custodian and/or RM for assistance.

DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?		ANSWER YES	ANSWER NO
10.	NON-RECORD MATERIAL: <ul style="list-style-type: none"> • 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, and dispose in accordance with applicable schedule (i.e., when no longer needed or reference value ceases).	Unsure? Start Over or Contact Records Liaison or Custodian and/or RM for assistance.
11.	PERSONAL PAPERS: <ul style="list-style-type: none"> • 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 and non-record materials.	

E.2 What is Non-record Material?

All that glitters is not gold, and not all that is on paper or on disk is a record. Be sure you know the difference. Appearances can be deceiving. Non-record material is often valuable for other reasons, but not as a *record*. Examples of non-records (which may look like records) include the following.

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

Rule of thumb: 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.

b. *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. The five drafts you go through to produce a final report or piece of correspondence are not records. Background notes may

be important to your research, but they are not, by definition, records. Once the finished product is complete, your notes and earlier drafts can be tossed.

c. *Transcribed shorthand notes and stenographic materials of all types*

The most “finished” draft is the record copy. Once transcribed, the shorthand notes can be tossed; once in final draft, the first draft of a transcription loses record quality.

d. *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.

e. *Materials preserved solely for purposes of exhibition in libraries or museums*

Three-dimensional artifacts may be a lot more interesting and fun 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.

f. *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 particularly important in electronic records: one should not mix official files and personal files on the same floppy disk or in the same sector of mainframe 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:

- (1) The fire insurance policy and photographs of the contents of one’s home, kept off-site (i.e. in the office) for security purposes.
- (2) One’s diary, perhaps also kept off-site for security purposes - although security of a different nature.
- (3) Text of an address given at a professional meeting but not given as a representative of the office where one works.
- (4) Material kept concerning personal membership in and works with a professional society or committee may be records but are not *government* records.

g. *Technical reference materials*

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

- (1) Supply catalogs from government and commercial sources.
- (2) “How-to” manuals and style manuals proscribed by the agency.
- (3) Telephone and other directories.
- (4) Computer hardware and software manuals.
- (5) Periodicals published by your agency and received by your office.

APPENDIX F. FILES MANAGEMENT GUIDANCE

The guidance provided here should be supplemented, as needed, by training. Training is provided on SATURN (<https://saterninfo.nasa.gov/>). This guidance should, however, provide the basic information needed by ARC Records Custodians, support personnel, and others to establish appropriate record keeping systems and manage the records created and maintained by the various ARC organizations and functions.

This guidance primarily focuses on the management of paper records but the basic principles for managing and retaining paper records also apply to electronic records. While electronic records are addressed to a small degree, personnel should consult with the Records Liaison Officer, Records Custodian and /or Records Manager for more specific information on managing electronic records maintained in electronic systems or applications.

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 ARC 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.nara.gov and the American Records Management Association (ARMA) at www.arma.org.

- a. 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.
- b. 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.
- c. 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.
- d. 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.
- e. 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.
- f. 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.
- g. ARMA International – Guideline for Managing E-mail, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-91-4.
- h. 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.

- i. 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.

F.2 Importance of the Filing System

The organization of your filing system is crucial to Records Management. Without the files and records, we would not be able to track or manage our active projects and gain the knowledge we need for new endeavors. Every employee is responsible for keeping the records of their work in an organized fashion. Efficient and cost effective operations rely on good records management.

Pretend that you need a project plan that was completed a year ago. Where is it? What did you or the project manager do with it? With a consistent filing system, you or others would know exactly where to go. Unfortunately, this is not always the case, and people spend too much time searching for needed records – cutting productive time. Obviously, the less time spent digging around in filing cabinets or searching for inappropriately stored boxes will result in a more productive day at work.

Effective filing is important for not only your daily activities but also your long-term records. When filing is structured and processes are in place for all to use, the Agency's history and records are easily tracked and ready for submittal into proper archives.

F.3 Objectives of Filing Systems

Most filing systems are seen through the personal perspective of employees. For an administrative assistant, probably the most important documents are correspondence; for an accounting clerk, they are forms; to an engineer, they may be project or case files, plans, or drawings; to the personnel officer, person- or case-oriented files would be important. Efficient filing depends on uniform files classification systems (such as the AFS) that make sense to the users. This includes all users throughout the organization.

There are three objectives for filing systems:

- a. **Constancy:** The principal objective is that users must be able to retrieve information when needed. While personnel and organizations may change, a well-designed filing system remains constant. Anyone using the files arrangement documentation should be able to retrieve and re-file a desired record. As changes occur in departments, and files concerning research and development become operating files, uniform files classification (such as the AFS) simplify the transfer process.
- b. **Preservation of Order:** The set order of records is identified and preserved in a good filing system. Certain records belong with other records. Their meaning would be destroyed if the records were separated.
- c. **Uniform Classification:** A good filing system establishes uniform classification, which preserves the set order of records and establishes common titles. Records classification imposes order and logic upon records and also recognizes the differences in value of records. In a well-designed system, all elements of an organization's collection are recognized.

F.4 Methodologies of Filing Systems

File systems consist of documents, file folders, and files dispersed throughout an organization. These systems usually take into account incoming and outgoing correspondence, internal and external supporting materials, working papers and other related records. Locating even one document can be time-consuming unless the documents are arranged in some systematic order.

File systems are made up of units and normally in some order of hierarchy. There is no standardized filing system that will absolutely work for all organizations. There are numerous filing methodologies that can be used and various criteria for determining which is better for what purpose. Examples include: Alphabetic, Subject, Numeric, Alphanumeric, Encyclopedic, etc., or various combinations of these. The most important filing concept to remember is that all filing is done to retrieve information. To retrieve information efficiently and to manage the records, a set of rules must be followed. Each type of filing system has its own unique rules for its establishment and maintenance.

While the AFS has been a recommended method to provide commonality for all of NASA, its use is not absolutely required. Your files need to work for your organization. If you currently use and like this method, fine; you may keep using it. However, it is not necessary as long as the methodology chosen and file labeling includes the necessary information for records retention and disposition as prescribed by NPR 1441.1.

You may file alphabetically, chronologically, or numerically, using categories broken up by subject, category, terminating period, etc. Do whatever works best for the organization and its operations and functions. With decentralized filing, files at a department level may be organized one way while those for lower operating units and functions may be organized and handled in yet another.

Also, do not forget about email and electronic files. Electronic filing systems should be just as organized and are just as important.

Each department should make accommodations and use what works best. The following general recommendations are offered.

a. Be Consistent

- (1) Establish a plan, communicate the plan to all personnel, and ensure filing is done the same way each time. If you begin a file system by separating say contracts or projects by name, do not convert to separating by year later.
- (2) If you begin alphabetically filing using the subject "rocket article," do not change to "vehicle."

b. Be Smart

- (1) Use techniques that will benefit the organization's work.
- (2) If you have various sub-subjects within each subject, you may want to separate by subject and then further file by a number or some other identifier within each category.
- (3) Generate and use file names that are recognizable and memorable.

c. Be Loud

- (1) Communicate with organizational employees.

- (2) Let everyone know “how it works” to ensure that both Joe Smith and Jane Jones file their records using the same method. You would hate for Joe to file using “rocket article” and Jane using “vehicle.”
- (3) Training new employees becomes the responsibility of the Records Custodian and management.
 - d. Be Concise
 - (1) File Less
 - (2) Do not keep unneeded papers/copies. This will only clutter an office; intensifying filing may double (or even triple) everyone’s work.
 - e. Be On Top — Records Management and filing should be a part of daily activities.

F.5 Establishing File Systems and Records Management Practices

F.5.1 Records Survey – Identifying Your Records

You can’t establish a filing system or manage the records of an organization if you don’t know what files and records are created, received or maintained by the organization or who’s got them. Identifying all of an organization’s records, including those in electronic format, is absolutely essential and is the first step in establishing appropriate filing systems, filing processes, and records management practices.

The following guidelines are provided for surveying records for development of an inventory.

- a. Survey all offices, work areas, and individuals of the organization to find out what’s being created, received, or maintained. The survey should include common file areas as well as all materials maintained in individual’s offices, in file cabinets, and their personal computers. The survey should also address materials maintained on shared drives, applications, and IT systems.
- b. Identify the exact locations (building, room number, and as appropriate the system or application name) where the records are held and who is responsible (creator or caretaker) for them.
- c. Ask the following questions for each record identified: (Note: An understanding of records management definitions is critical.)
 - (1) Is the record the original or only copy? Is it the Official Record of an action? Is the same record also maintained elsewhere? If so, which one is the Official Record?
 - (2) Is the record transitory in nature or needed for longer-term use?
 - (3) Is the record for reference only or working papers?
 - (4) Is the record a part of or should it ultimately be a part of a larger “case file” for an activity?
 - (5) Is there a relationship of the record to other records?
 - (6) Does the record exist both electronically and on paper?
 - (7) How is the record used, for what purposes, how often, and generally by whom?
 - (8) Is the record a Vital Record that must be protected and preserved for continuity or resumption of business during or after an emergency or disaster?

(9) If electronic, is the record routinely backed up? Is it also saved anywhere else? If so where?

The answers to these questions will provide the necessary information to:

- (a) Determine what official records are and what are not.
- (b) Develop the filing systems appropriate to records need and use.
- (c) Determine the correct retentions for the records.
- (d) Implement appropriate safe-keeping and preservation methods.
- (e) Determine the records that must ultimately be consolidated in case files.
- (f) Develop common organizational processes and practices to ensure the capture of records and filing in the appropriate filing system.
- (g) Determine what and which locations will serve as official filing systems.

Note: The designation of official filing locations makes life a lot easier when reorganizations occur and when employees terminate or transfer. You know exactly what and where the official records are and the other "stuff" that accumulates can be treated as working papers or nonrecords which can be disposed when no longer needed.

Ultimately the records inventory will help form the foundation for developing your Master Records Index.

F.5.2 Establish a File Plan

Even the best filing system can soon become unusable and outdated if the structure is not documented, regularly maintained, and communicated throughout the organization. The file plan formally establishes and specifies the logical order of documents or files and the arrangement or scheme by which all documents may be identified, stored and retrieved. The file plan will let people know not only where to retrieve records, but also where to return or re-file them. It will also provide the structure for adding new records to the system.

The records inventory is essential to the development of the file plan for organizing records. In turn, the file plan fits into the preparation and maintenance of the organization's Records Series Inventory.

Many might consider the ORSIs required for ARC organizations to be a File Plan. In actuality, it is not unless it truly follows the filing approach provided by the NASA AFS. Regardless, all organizations should develop and maintain a file plan or plans for its documents and records.

The file plan (or plans) should be a very specific document that identifies:

- a. The official filing locations,
- b. What specific documents or types of records should be filed in those locations,
- c. What the prescribed filing structure is (subject, alphabetical, numerical, etc.) and how it works, and
- d. Who is allowed access to the records and who is responsible for the particular records system's maintenance.
- e. A copy of the file plan (or plans) should be maintained in the main office as well as in each of the locations where the records are filed.