



Langley Research Center

CID 1440.7

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Langley Research Center (LaRC) Records Management Procedural Requirements

National Aeronautics and Space Administration

Responsible Office: Office of the Chief Information Officer

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Preface

P1. **Purpose**

a. This Center Interim Directive (CID) implements Langley Research Center (LaRC) records management requirements and procedures in accordance with NPD 1440.6 *NASA Records Management*, NPR 1441.1 *NASA Records Retention Schedules* and provides further requirements for implementing the LaRC Records Management Program.

b. This directive establishes the requirement for control of records as defined by the International Aerospace Quality Group (IAQG) as the standard for quality management systems for the Aerospace Industry and documented in *SAE AS9100*.

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

P2. **Applicability**

These requirements apply to all employees of the Langley Research Center, including grant recipients, contractors, subcontractors or other entities that create and/or maintain records for, or on behalf of, NASA as specified in their contract or other governing agreement.

P3. **Authority**

- a. NPD 1040.4, NASA Continuity of Operations (COOP)
- b. NPD 1440.6, NASA Records Management
- c. NPD 2800.1, Managing Information Technology
- d. NPD 2810.1, NASA Information Security Policy

P4. **Applicable Documents**

- a. 44 U.S.C. Chapters 31 and 33
- b. 36 CFR Parts 1220 -1238
- c. NPR 1040.1, NASA COOP Procedural Requirements
- d. NPR 1382.1, NASA Privacy Procedural Requirements
- e. NPR 1441.1, NASA Records Retention Schedules
- f. National Archives and Records Administration (NARA) General Records Schedules (GRS)
- g. NPR 1600.1, NASA Security Program Procedural Requirements
- h. NPR 2810.1, Security of Information Technology
- i. NASA Form (NF) 1418, Proposed Change to NASA Records Retention Schedule
- j. LPR 1040.3, Continuity of Operations
- k. LPR 1046.1, NASA Langley Research Center Emergency Plan

- I. Langley Form (LF) 192 Record Form

P5. Measurement/Verification

Measurement and Verification of compliance with this CID shall be assessed as part of the Center's AS9100 internal audit process and as part of the LaRC input to the Agency's annual Record Management reporting process.

P6. Cancellation

- a. LAPD 1440.6, Records Management Program
- b. LMS-CP-2707, Records Management

original approved on file

Cathy H. Mangum
Director, Office of the Chief
Information Officer

Chapter 1. Records Management Overview

1.1 *Records Defined*

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.

The statutory definition of Federal records is contained in 44 U.S.C. Section 3301, which states that “...*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.”

Records are the evidence of the performance and fulfillment of NASA’s mission and belong to the government, not to individuals.

1.2 *Maintenance and Preservation*

The maintenance and preservation of NASA records is required by law and NASA policy. Federal regulations 36 CFR Part 1220 and 1222 and NPD 1440.6, *NASA Records Management*, state the requirement for the proper identification, management, retention, and disposition of records. The heads of Federal agencies are responsible for preventing any unlawful transfer, alteration, removal, mutilation, or any accidental or unauthorized destruction of government records. In addition, they are responsible for ensuring that all employees are aware of these provisions in the law and that any unlawful actions are reported to them or the Agency Records Officer.

NPD 1440.6 assigns the NASA Chief Information Officer (CIO) ultimate responsibility on behalf of the Administrator and the Agency for oversight and management of NASA’s records management function.

This CID defines the requirements and procedures to be used at the LaRC to ensure Center records are maintained and preserved in accordance with Federal law and NASA policy. As part of the procedures described in this CID, each organizational unit is required to list on Langley Form (LF) 192, *Record Form*, all Federal records created or received by the organization (regardless of physical form or characteristics) that are needed to conduct official NASA business or to document organizational, Center, or Agency activities or actions.

Chapter 2. Roles and Responsibilities

2.1 LaRC CIO

The Office of the CIO (OCIO) has overall responsibility for establishment and implementation of the Records Management Program, including Vital Records Management, at the LaRC.

The CIO has responsibility and authority for ensuring adherence to Agency and Center Records Management policies and procedural requirements. The CIO is responsible for designating a Center Records Manager, who shall also serve as the Center's Vital Records Manager.

2.2 LaRC Records Manager (RM)

The LaRC RM resides organizationally in the Office of the CIO and has responsibility for providing overall direction for the LaRC Records Management Program, including Vital Records Management.

The LaRC RM is the Center Point of Contact (POC) for all records management related matters and serves as the interface between the NASA Records Officer and LaRC organizations and/or employees to facilitate LaRC adherence to Agency and Center policies and requirements.

The LaRC RM is responsible for:

- a. Reviewing all NASA records management regulations and directives in order to keep abreast of changes and ensure incorporation of applicable regulatory changes in this CID
- b. Providing or assuring the provision of technical guidance in managing records from creation through disposition
- c. Collecting and analyzing feedback on this CID and LF-192 to assess LaRC compliance with current regulations and to ensure continued improvement of records management.
- d. Coordinating requests for new retention schedules between Center organizations and NASA Headquarters through the submission of NASA Form (NF) 1418, *Proposed Change to NASA Records Retention Schedule*.

As the Center's Vital Records Manager, the LaRC RM is also responsible for:

- a. Coordinating with the LaRC Emergency Preparedness Officer to facilitate the designation, maintenance, and protection of LaRC Vital Records in accordance with Chapter 5 of this CID, LPR 1040.3, *Continuity of Operations Plan* and LPR 1046.1, *NASA Langley Research Center Emergency Plan*.
- b. Coordinating with the Organization Records Liaison Officers to assist in identifying and ensuring protection of their organization's Vital Records.

2.3 Emergency Preparedness Officer

The Emergency Preparedness Officer is responsible for:

- a. Coordinating with the LaRC Records Manager to facilitate the designation, maintenance, and protection of LaRC Vital Records in accordance with Chapter 5 of this CID, LPR 1040.3 and LPR 1046.1.
- b. Securing space for and/or arranging access to those Vital Records required for conduct of activities during an emergency.

2.4 Organizational Unit Manager

Organizational Unit Managers are responsible for:

- a. Appointing an Organization Records Liaison Officer and notifying Langley Records Manager of the appointment.
- b. Assuring all organization personnel are aware of records management requirements and ensuring training as needed.
- c. Reviewing all LMS processes owned by the organization and identifying the official records generated by those processes as well as any additional records required to meet the needs of the Organizational Unit, Center or Agency.
- d. Ensuring that the LF 192 is current and includes all records.
- e. Ensuring that records are managed in accordance with NPD 1440.6, NPR 1441.1, this CID.
- f. Identifying the organization's Vital Records and ensuring they are maintained and protected in accordance with Chapter 5 of this CID, LPR 1040.3, and LPR 1046.1.
- g. Ensuring that any requirements and specifications for solicitations that originate from their organization include appropriate and specific language concerning records management requirements for any contracted endeavor that involves creation and/or maintenance of NASA records. An example paragraph is shown in Appendix E.

2.5 Organization Records Liaison Officer

Organization Records Liaison Officers are responsible for:

- a. Coordinating all matters pertaining to records management with the Langley Records Manager.

- b. Coordinating with the Center Records Manager to ensure identification and protection of their organization's Vital Records.
- c. Ascertaining that all records of the organization are covered by appropriate records retention instructions per guidance in NPR 1441.1.
- d. Ensuring that the Agency Filing Scheme numbers (provided as Appendix A to NPR 1441.1) are clearly identified on records kept in the Organizational Unit.
- e. Utilizing LF 192 to record the collection, indexing, filing, storage and disposition requirements of records.
- f. Maintaining records in such a way that they are easily accessible and retrievable.
- g. Serving as the Organizational Unit focal point for coordinating the efforts of transferring records to a Federal Records Center.
- h. Identifying records that are not currently in NPR 1441.1 and requesting a new schedule through the Langley Records Manager using NF 1418.

2.6 NASA Employees and Contractor Personnel

All NASA employees and contractors are responsible for:

- a. Creating, maintaining, using and disposing of NASA-owned records in accordance with the organization's approved LF 192, the requirements in this CID and the applicable documents cited.
- b. Ensuring that records are legible, complete, and readily available upon request.
- c. Delivering records to be transferred to a Federal Records Center to the Organization Records Liaison Officer after the designated retention period per NPR 1441.1.

Retiring or transferring employees are responsible for ensuring that all non-records are disposed of and all record material (including electronic files) is transferred to their supervisor or the individual assuming responsibility for the function(s) to which the record material pertains.

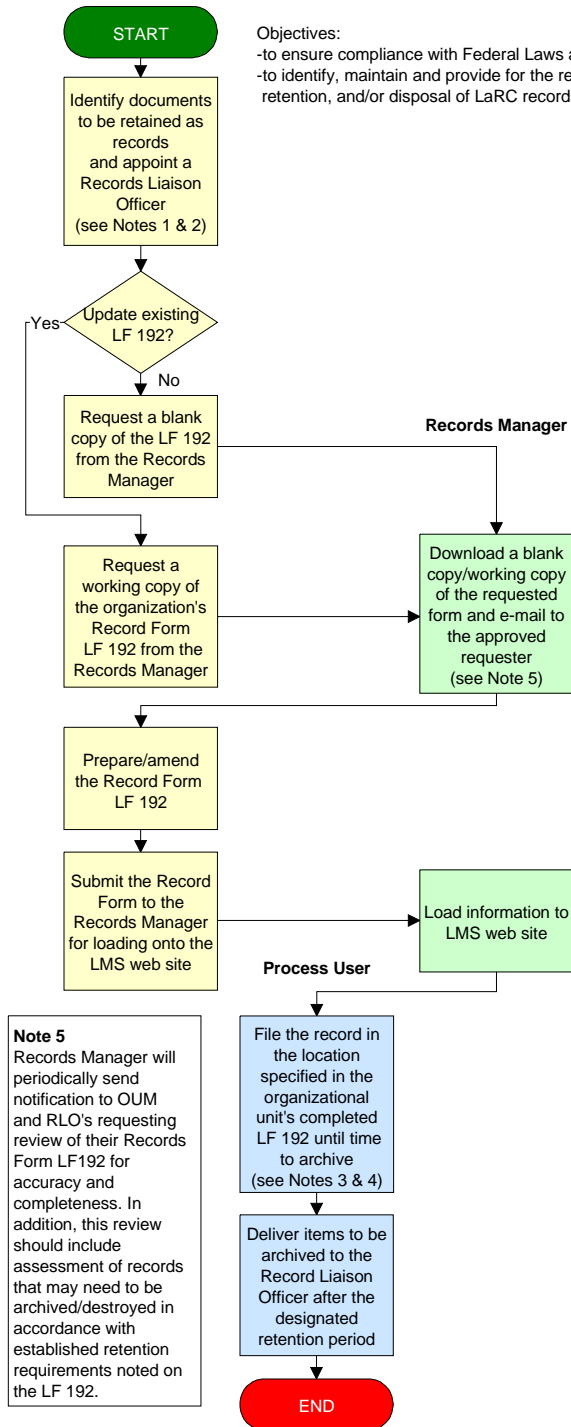
2.7 Project Manager and Project Team

The Project Manager and the project team are responsible for ensuring that official project records are captured, retained, archived and managed in accordance with NPR 1441.1. A sample list of program and project records is listed in Appendix H.

Chapter 3. Identification, Maintenance, Retrieval, Retention and Disposal of LaRC Records

Section 1: Identification and Maintenance

Organizational Unit Manager



Objectives:
 -to ensure compliance with Federal Laws and Regulations
 -to identify, maintain and provide for the retrieval, retention, and/or disposal of LaRC records

- Section 1: Identification and Maintenance
- Section 2: Transferring Records
- Section 3: Retrieving and Returning Records
- Section 4: Destroying Records from Archives
- Section 5: Destroying Non-Archived Records
- Section 6: NASA-Owned/Contractor-Held Records

General Information

A list of Record Liaison Officers can be accessed from the following URL:
<http://records/RLO.html>

The following records are generated by this procedure and are maintained in accordance with LMS-CP-2707:

- Shipping/Transfer Document (LF 52)
- Records Transmittal & Receiving Form (SF 135)
- Accession Folder
- Reference Request - Federal Records Center Form (OF 11)
- Justification Letter to Retain Records
- Record Form (LF 192)
- Return Label
- Notification of Intent to Destroy Records Form (NA13001)

Note 1

It is the responsibility of the Organization Unit Manager (OUM) to identify federal records (hard copy or electronic) that must be retained as a result of execution of applicable policies and procedures. All records must be included on the Record Form, LF 192.

The criteria for what is and is not a federal record can be reviewed at <http://records.larc.nasa.gov/>

Note 2

The Records Liaison Officer is appointed by the OUM to coordinate the organization's record management requirements with the Records Manager. The OUM shall notify the Records Manager of designated Records Liaison Officers according to LAPD 1440.6.

Note 3

Ensure records are:

- legible and properly maintained in their designated file location in accordance with NPR 1441.1
- protected in accordance with NPD 1440.6

If records are removed from the vicinity of their file location, a note to that effect will be placed in the file indicating their location.

As required by Federal law, records must not be removed from Federal custody or destroyed, without regard to the NASA Records Retention Schedules set forth in NPR 1441.1.

Note 4

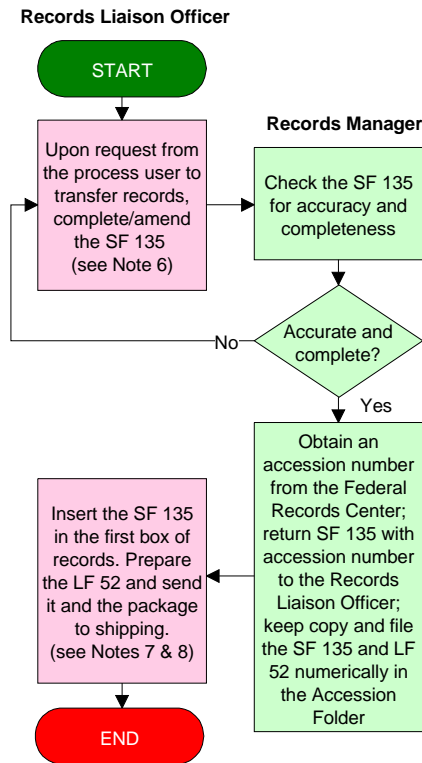
Langley Form 386, "LaRC Temporary Records Storage," shall be used to request storage of records. Temporary storage shall only be requested when space within the organization is non-existing. The organizational unit's LF 192 shall be updated to reflect temporary storage location.

Note 5
 Records Manager will periodically send notification to OUM and RLO's requesting review of their Records Form LF192 for accuracy and completeness. In addition, this review should include assessment of records that may need to be archived/destroyed in accordance with established retention requirements noted on the LF 192.

File the record in the location specified in the organizational unit's completed LF 192 until time to archive (see Notes 3 & 4)

Deliver items to be archived to the Record Liaison Officer after the designated retention period

Section 2: Transferring Records



Note 6
The Records Transmittal and Receiving Form (SF 135) provides complete descriptive information for records being transferred.

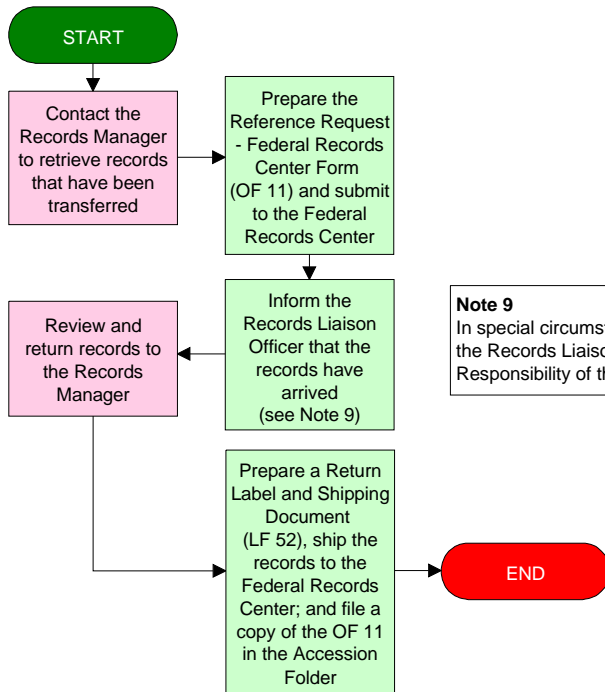
Note 7
Pack records in boxes measuring 15x12x10 (stock item number 8115-00-117-8249). No other size boxes will be accepted without prior approval from the Records Center. Pack records according to NPR 1441.1 and the instructions on the Records Retiring box.

Note 8
Consult NPR 1600.1, Security Program Procedural Requirements, for the minimum standards, procedures, specifications, and requirements for protection of classified and privacy act information.

Unclassified records - hold boxes until the approved SF 135 is received from the Records Manager. Send boxes with the Shipping/Transfer Document (LF 52) to Shipping.

Classified and Privacy Act records - hold boxes until the approved SF 135 is received from the Records Manager. Send boxes, with two addressed labels, to the Mail Center.

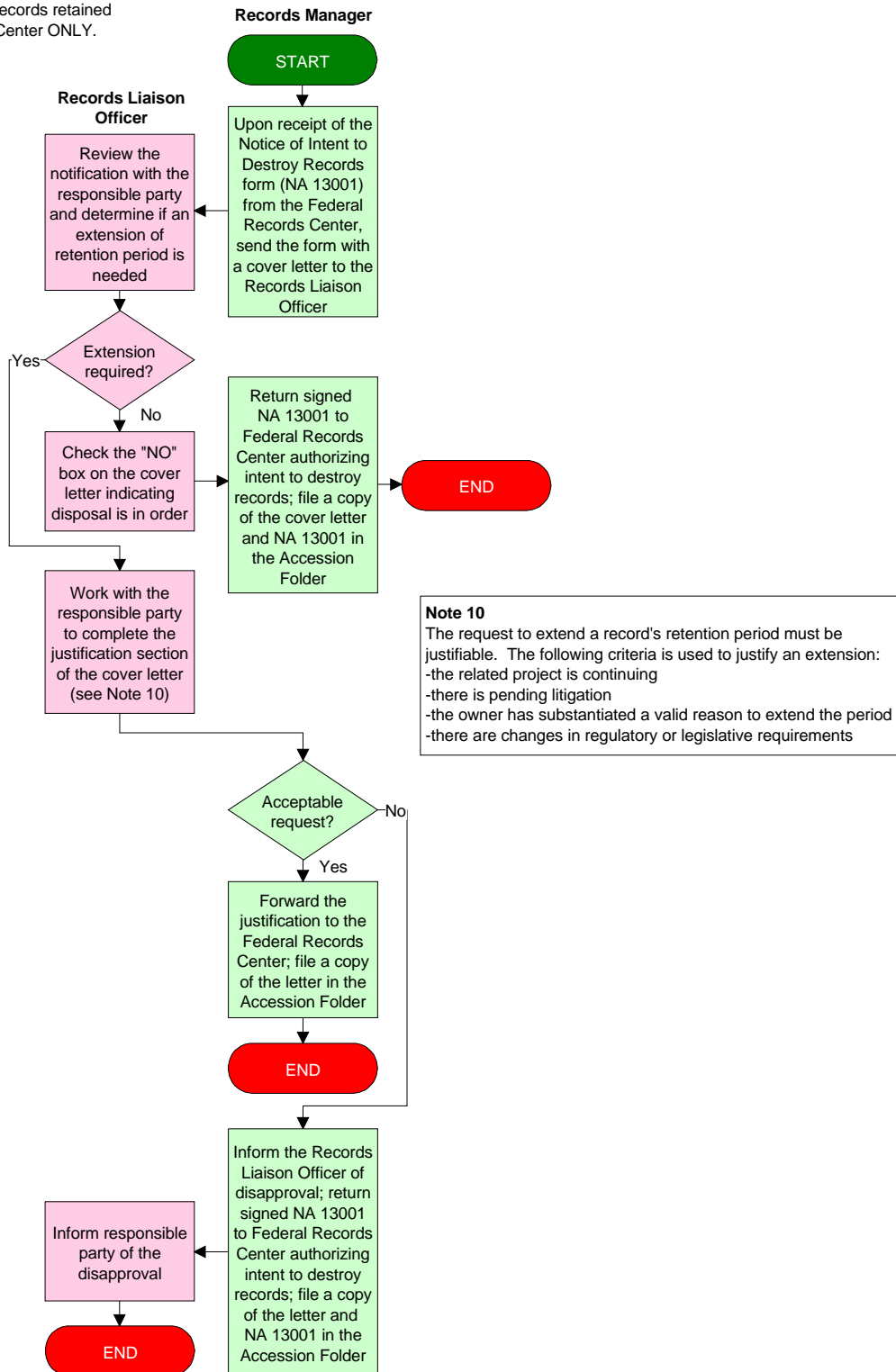
Section 3: Retrieving and Returning Records



Note 9
In special circumstances, records may be delivered directly to the Records Liaison Officer or the Office of Primary Responsibility of the records.

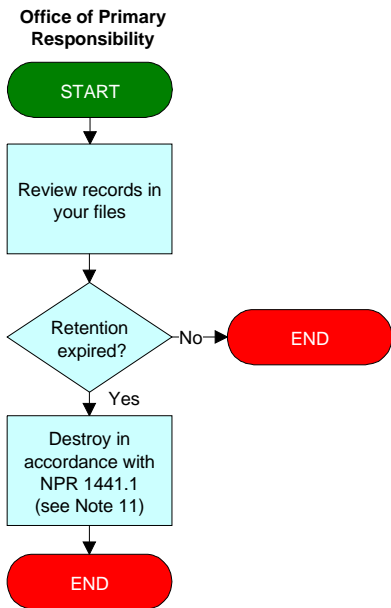
Section 4: Destroying Records from Archives

The steps shown in this section relate to destruction of archived records retained in the Federal Records Center ONLY.



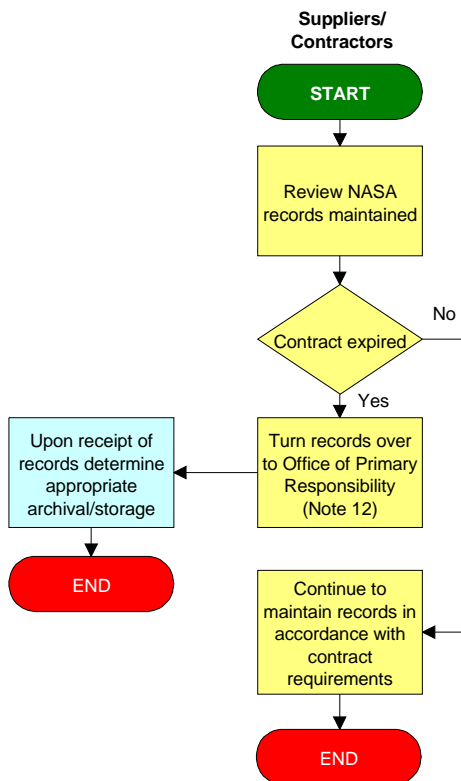
Note 10
 The request to extend a record's retention period must be justifiable. The following criteria is used to justify an extension:
 -the related project is continuing
 -there is pending litigation
 -the owner has substantiated a valid reason to extend the period
 -there are changes in regulatory or legislative requirements

Section 5: Destroying Non-Archived Records



Note 11
Unclassified: Box, mark "TRASH" and place in the hallway for pickup
Classified (Confidential): Call the Secure Messenger and report Confidential or Secret material to be picked up for destruction. Records must be protected (locked up) while in custody awaiting pickup.
Privacy Act: Attach one copy of NF 1534 ("The Attached Material is Subject to the Privacy Act of 1974" form) to cover the material, place in a box, and attach another copy on the outside of the box. Call the Special Messenger and request a pickup. DO NOT put the material in a hallway. If the material is not picked up immediately, it must be, at a minimum, stored in a locked room or filing cabinet, or as approved by the Security Officer.

Section 6: NASA-Owned/Contractor-Held Records



Note 12
 Documentation created or received by all suppliers/contractors in the process of performing work for NASA are considered official NASA records and shall be accounted for, maintained, safeguarded, preserved and disposed of in accordance with NPR 1441.1. Long-term and permanent records (defined in NPR 1441.1) are turned over to NASA for appropriate archival/storage at the end of the contract.. Corporate records of a contractor's intracompany operations are considered as private business and are exempt from this requirement.
 All NASA-Owned/Contractor-Held Records shall be readily available for review by customers and regulatory authorities in accordance with contract or regulatory requirements.

Chapter 4. Records Management Requirements

4.1 General

Retention/disposition schedules are established for all types of records based on preservation requirements for administrative, legal, fiscal, and historical purposes. 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. Mandatory NASA requirements are defined in NPR 1441.1, *NASA Records Retention Schedules (NRRS)*. Additional applicable instruction is provided in the General Records Schedule (GRS) of the Federal Government issued by NARA.

Within each organizational unit at LaRC, filing systems shall be established appropriate to the functional and operational needs of the organization and compliant with this CID and the applicable documents cited.

All records shall be kept legible, readily identifiable, and retrievable upon request.

Records shall be made available for review by customers and regulatory authorities in accordance with contract or regulatory requirements.

4.2 Electronic Records and Records Systems

4.2.1 Electronic Records

Electronic records (e-records) are electronically recorded data (including e-mail), or paper records converted, stored in a form that only a computer can process and that meet both of the following conditions are Federal records and must be scheduled and cared for appropriately:

- a. They are made or received by NASA under Federal law or in connection with the transaction of public business; and,
- b. They are preserved or appropriate for preservation as evidence of NASA's activities or because of the value of the information they contain.

The same policies and procedures that apply to other record mediums also apply to electronic records with a few exceptions, such as the need for additional information (e.g., the system, the media being used, and the data being acquired).

4.2.2 Electronic Records Systems

Electronic record systems are those information systems that produce, process, or store records by using a computer.

4.2.3 Managing and Disposing of E-records

All records (regardless of format and including e-records) shall be managed according to NPR 1441.1. Until the Agency implements a Records Management Application for automated capture and management of e-records, individual employees and organizations are responsible for capture, storage, and disposition of records they receive and create.

4.2.4 Electronic Mail (Email) Messages

Email is simply a different format for the communication method known as "correspondence." Depending on their content and subject matter, email messages may qualify as unique NASA records. Email messages that qualify as Federal records shall be managed as such.

Email messages that contain important information, including but not necessarily limited to, NASA business discussion, annotation, opinion, debate, and commentary should be considered substantive in nature. Substantive email shall be managed in one of two ways:

- a. According to the retention schedule for other types and formats of records on that subject, or
- b. In the case of NASA management email, as management correspondence under NRRS 1/22 "Records of Management."

Email messages that are transient in nature or non-substantive in content shall be managed in accordance with NRRS 1/78G "Transitory."

Many messages simply transmit attachments. In such cases, the attachments may be records, but the email message itself may be similar to a paper routing slip and dispositioned accordingly.

4.3 Contractor-Held Records

Grant recipients, contractors, subcontractors or other entities that create and/or maintain records for, or on behalf of, NASA as specified in their contract or other governing agreement shall comply with the requirements in this CID and the applicable documents cited.

Contractors holding NASA-owned records shall segregate and manage separately Contractor-owned records from NASA-owned, Contractor-held records.

Contractors shall ensure and provide for the formal transfer of NASA-owned records to NASA custody or to another contractor at LaRC's direction at completion of the contractual agreement.

Chapter 5. Management of Vital Records

5.1 General

These requirements are set forth to ensure the ready availability of vital records needed for the continued operation of essential functions within the LaRC in the event of a national or regional emergency. Direction is provided for LaRC personnel in the selection, preparation, and inventory of vital records and the transmission, maintenance, and disposition of these records as part of LaRC's Vital Records Program and in compliance with NPD 1440.6, 14, NPR 1040.1 *NASA Continuity of Operations Planning (COOP) Procedural Requirements* and LPR 1040.3, *LaRC COOP Requirements*.

5.2 Vital Records

Vital records are those essential LaRC records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions and also those records essential to protecting the legal and financial rights of LaRC and those affected by its activities. Vital records fall into two categories: (1) emergency operating records, and (2) legal and financial rights records.

5.2.1 Emergency Operating Records

Emergency Operating Records are records vital to the essential functions of the Federal Government for the duration of an emergency or reconstitution of the organization after an emergency. Emergency operating records are comprised of records necessary for the mobilization and protection of material and manpower resources, services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. See Appendix F for examples.

5.2.2 Rights and Interest Records

Rights and Interests Records are records that are essential for the preservation of legal rights and interests of individual citizens and the Federal Government such as personnel-related records as well as records documenting financial agreements with external entities. See Appendix F for examples.

5.3 Identification and Inventory

5.3.1 Vital Record Designation

Only those records (including electronic records/systems) most critical to emergency operations, the preservation of legal or financial rights, or the reconstitution of operations following an emergency shall be designated as vital records. The following factors shall be considered in identifying vital records:

- a. Impact of total loss of the record on the ability to reconstitute the activity and resume operations.
- b. Whether there is a specific planned need for the record during or immediately following the emergency

5.3.2 Inventory

All organizational unit managers shall identify, maintain, and safeguard those vital records within their areas of responsibility. A vital records inventory shall be included in the organizational unit COOP in accordance with LPR 1040.3.

5.4 *Vital Records Storage/Recovery*

It is mandatory that copies of vital records are stored so they are retrievable if an emergency destroys the originals. The media and location for storage as well as the method and schedule for transferring and renewing the copies of vital records shall be planned so as to maintain currency. Original vital records and copies are to be dispositioned in accordance with NPR 1441.1.

Appendix A Glossary

Active Records: Records necessary to conducting the current business of an organization. They, therefore, are generally maintained in office space and equipment.

Agency Filing Scheme (AFS): List of subject identification codes contained in NPR 1441.1 intended for use in filing NASA-owned records. Previously identified as the uniform files index (UFI) number.

Archives: Non-current records of an organization preserved because of their continuing or enduring value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant continued preservation by the Federal Government and that have been transferred to the Archivist's legal custody.

Contingency Plan: A plan for emergency response, backup operations, and post-disaster recovery created, maintained, and tested as part of the I/T security planning process that will ensure availability of critical resources and facilitate continued processing in an emergency situation.

Continuity of Operations: An internal effort within individual components of the Executive, Legislative and Judicial branches of government to assure the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.

Correspondence: Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that were sent and received.

Customer: Any non-LaRC entity that receives an LaRC-supplied product or service.

Cycle: The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records.

Data: Electronic or written information based on observation, measurement, test, or other means and stored in a variety of media such as magnetic tapes, computer disks, data sheets, logbooks, real-time strip charts, photographs, and videocassettes.

Deleting: The process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. In electronic records, sometimes called scratching or erasing.

Destruction: In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

Directive: A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, notices, numbered memorandums, and similar issuances [e.g., NASA Procedural Requirements (NPRs)].

Disposal: Actions taken regarding temporary records after their retention periods expire and usually consisting of destruction or occasionally of donation.

Disposition: Action taken regarding inactive records, including disposal of temporary records or of non-record materials when no longer needed. These actions include retirement to Agency storage facilities or the Federal Records Center (FRC), transfer from one Agency to another, transfer of permanent records to the National Archives, and disposal of temporary records by destruction or donation. The third stage of the records life cycle.

Document: Recorded information – regardless of physical form or characteristics – often used interchangeably with record.

Duplicate: Copy of a paper document, photograph, microform, or magnetic tape or disk.

Electronic Records: Any information recorded in a form that only a computer can process. This includes numeric, graphic, and text information that may be recorded on any medium capable of being read by a computer, including magnetic media; e.g., tapes, disks, and Compact Disks (CDs. Also called machine-readable records or automatic data processing (ADP) records.

Electronic Records Systems: Information systems that produce, process, or store records by using a computer.

Emergency: A sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural or technological events that damage, or threaten to damage, local operations. An emergency could cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the site to a new operating location environment.

Emergency operating records: Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency or a disaster.

Emergency operation center: An area equipped with the supplies and equipment that enable the Center to direct emergency response activities. (Normally building 1248).

Emergency Preparedness Officer: The individual having responsibility for developing and maintaining plans, procedures, and capabilities necessary to ensure Center survival and effective operations under all kinds of emergencies. The Emergency Preparedness Officer (EPO) for LaRC is the Director, Safety and Facility Assurance Branch (SFAB), Safety and Mission Assurance Office (SMAO) or the designated alternate.

Federal records: 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.

File: To arrange active records in folders, filing cabinets, bookcases, or electronic media in accordance with a files index.

Files Index: A document containing the Agency Filing Scheme code, document identifying number, title or description, and disposition authority of files held in an office.

Form: A document with a fixed arrangement of captioned spaces designed for entering and extracting information. Categories of forms include internal, interagency, public use, standard, and optional.

General Records Schedules (GRS): A comprehensive listing of temporary records common to several or all Federal agencies, issued by the National Archives and Records Administration (NARA), governing the disposition of specified recurring series of records. These standards are mandatory for Federal agencies.

Inactive records: Records no longer required to conduct Agency business and, therefore, ready for final disposition.

Index: To arrange records into a record series and then arrange the records within each series using a system that meets operational needs.

Legal and financial rights records: Vital records essential to protect the legal and financial rights of the Government and of individuals directly affected by the Government's actions

Life Cycle of Records: The management concept that records pass through three stages: creation, maintenance and use, and disposition.

Medium: The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.

NASA-Owned/Contractor-Held Records: Records resulting from specific transactions of official business made or received by on-site tenant contractors while performing work for NASA under the terms of their respective contracts. Since these records – which can be found in the physical custody of the contractor – are NASA property, they are to be accounted for, maintained, safeguarded, preserved, and disposed of as NASA records. Long-term and permanent records are eventually turned over to NASA for storage in local staging areas or are retired to FRCs. Corporate records of a contractor's intracompany operations or private business are exempt.

Non-record Material: Federally owned informational material that does not meet the statutory definition of records or has been excluded, such as:

- Library and museum material (made or acquired and preserved only for reference).
- Extra copies of documents (preserved for convenience or reference).
- Publications and processed documents (annual reports, brochures, pamphlets, books, handbooks, posters, maps, and blank forms).

Objective Evidence: Information that can be proved true, based on facts obtained through observation, measurement, test, or other means.

Official Record: Recorded information, regardless of media, in the custody and control of NASA or acquired by NASA personnel as part of official duties or because of official status while these personnel were employed by or on behalf of NASA.

Note: If an employee or a former employee receives a subpoena, an order, or an authorized request for official information, or for their appearance and testimony, issued as the result of a legal proceeding, that employee may not disclose official materials or information or testify regarding the same without prior approval of the General Counsel or designee.

Organizational Records Liaison: The Organizational Records Liaison serves as the organizational point of contact with the LaRC RM and disseminates records management information on matters concerning maintaining, using, and disposing of organizational records to the holders of records within the organization.

Organizational Record Series Inventory: Listing of all records series held by the organization, together with their associated administrative data reported on LF-192.

Organizational Unit Manager: The person responsible for leadership, management, and operations of an organizational unit.

Permanent Record: Records appraised by NARA and NASA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

Note: Permanent or unscheduled records will not be loaned to non-Federal recipients without prior written approval from NASA.

Personal Papers: Documentary materials belonging to an individual that are not used to conduct Agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. They should be clearly designated as such and kept separate from the Agency's records.

Photograph: An image recorded on light-sensitive material, which includes still photographs, X-ray film, videotapes, and motion pictures.

Record: A document or data item that furnishes objective evidence of activities performed or results achieved. (See Federal Records)

Records Center: A facility for low-cost storage and servicing of records pending disposal or transfer to the National Archives. This includes NARA-authorized Agency records centers and NARA-operated Federal Records Centers (FRCs).

Records Creation: The first stage of the records life cycle where records are made (or received) by an office.

Records Life Cycle: (See Life Cycle of Records)

Records Management: Planning, controlling, directing, organizing, training, promoting, and other managerial activities related to creating, maintaining, using, and disposing of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of Agency operations. Also called records administration.

Records Management Application: A computer program that automates the capture and management of electronic records.

Records Management Program: A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses creating, maintaining, using, and disposing of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating results to ensure adequacy, effectiveness, and efficiency.

Records Schedule: A document that provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business and also provides authority for final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, records retention and disposition schedule or schedule. (See NPR 1441.1)

Record Series: File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes.

Reference Material: May include copies of publications, special reports, periodicals, etc., required by the accumulating office as a reference library. These materials should be evaluated, and only those that are current and of significant reference value should be filed. (See also Non-Record Material).

Report: Data or information transmitted to be used for determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions; or preparing other reports. Data or information may be in narrative, statistical, graphic, or other form, and may be on paper, magnetic tape, or other media.

Retention Schedule: (See Records Schedule).

Rights-and-Interest Records: Vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities. See also Vital Records.

Series: File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series or a file series. Generally handled as a unit for disposition purposes.

Store: To file active records.

Temporary Records: Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records or nonpermanent records. Includes records with a long-term retention (e.g., records destroyed when 25 years old).

Transfer: The act or process of moving records from one location to another, especially from office space to Agency storage facilities or FRCs, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation.

Transitory Correspondence: Correspondence relating to matters of short-term interest, such as acknowledgments for publications received, routine inquiries for publications, and announcements of savings bond campaigns. Contrast with administrative and program correspondence making up general correspondence files. Also called transitory files.

Unscheduled Records: Records whose final disposition has not been approved by NARA.

Note: These records must be treated as permanent records until a schedule is proposed on NF-1418 and approved by NARA.

Vital Records: Records essential to the continued functioning or reconstitution of an organization during and after an emergency. Also those records essential to protecting the rights and interests of an organization and of individuals directly affected by its activities. Sometimes called essential records. Includes both emergency operating and rights-and-interests records. Vital records considerations are part of an Agency's records disaster prevention and recovery program.

Vital Records Manager: Individual responsible for the control and protection of their Center's vital records.

Working Files: Documents such as preliminary drafts, rough notes, calculations, and other similar materials assembled or created and used to prepare or analyze other documents. Also called *working papers*.

Appendix B Acronym List

AFS	Agency Filing Scheme
CFR	Code of Federal Regulations
CIO	Chief Information Officer
COOP	Continuity of Operations
CP	Center Procedure
FRC	Federal Records Center
GRS	General Records Schedule
IAQG	International Aerospace Quality Group
IT	Information Technology
LaRC	Langley Research Center
LF	Langley Form
LMS	Langley Management System
LPR	Langley Procedural Requirements
NARA	National Archives and Records Administration
NF	NASA Form
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
NRRS	NASA Records Retention Schedules
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
POC	Point of Contact
RM	Records Manager
USC	United States Code

Appendix C Reference Documents

- a) Federal Preparedness Circular 65 (Federal Emergency Management Agency), http://www.fema.gov/txt/government/coop/fpc65_0604.txt
- b) Executive Order 12656, Assignment of Emergency Preparedness Responsibilities (November 18, 1988), <http://www.archives.gov/federal-register/codification/executive-order/12656.html>
- c) Vital Records and Records Disaster Mitigation and Recovery (NARA Publication) <http://www.archives.gov/records-mgmt/vital-records/index.html>

Appendix D Summary Guidance and Examples

D.1 Why These Requirements are Important

Records are valuable to NASA, the Federal Government, and you as a private citizen. They have administrative, fiscal, and legal value because they document how the Agency carried out its mission and how it utilized its financial resources, and they help protect the rights of the Agency and/or individuals. They have evidential and informational value in that they show something happened and what it was. Records also often serve as raw material for Agency research. But their greatest value may be that they reflect the technological and cultural history of the Agency and preserve NASA's legacy for the future.

D.2 How These Requirements Affect Your Responsibilities

Everyone generates, handles, uses or keeps records in one form or another every day, and every employee is responsible for determining if the documentary materials they have are official Agency records, non-records, or personal papers (regardless of media or format). These terms are defined in Appendix A of this document, but generally speaking non-record material can be things like extra copies of documents kept for convenience, preliminary drafts of correspondence, and materials used only for exhibits. Personal papers are materials that relate only to an individual's personal affairs. Ideally, those wouldn't be kept in an office, but could be things like your home insurance policy and photographs of your home's contents that you want to keep outside your home. Another example could be material relating to your personal membership or work in a professional society. If material documents NASA's administrative or programmatic activities – things like decision papers, memos, letters, photos, videos, test reports, originals of publications – it is generally an official record. If you think something you have may be record material, it's always best to err on the side of caution and contact your organization's Records Liaison Officer for guidance. In addition, assistance for determining what is or is not an official record subject to Center, Agency, and regulatory requirements is available at URL <http://records.larc.nasa.gov/index.html>.

D.3 Who to Contact If You Have Questions

The LaRC Records Manager can be contacted by phone at 757-864-8159

Appendix E Example of Contract Requirements Language

“NASA-owned/contractor-held records shall be managed by the Contractor in accordance with NPD 1440.6, *NASA Records Management*, NPR 1441.1, *NASA Records Retention Schedules*, and LaRC 1440.1, *Records Management Procedural Requirements*. The Contractor shall maintain records separately from non-records and records having permanent value separately from records having temporary value. NASA-owned records shall be segregated from the Contractor’s records. The Contractor shall dispose of records and non-records in accordance with NPR 1441.1, *NASA Records Retention Schedules*. Active or current NASA-owned records shall be turned over to NASA at the completion of the contract for the continuity of NASA business. Inactive or non-current records shall be dispositioned according to Chapter 3 of this CID.”

Appendix F Examples of Vital Records

F.1 Emergency Operating Records

- (a) Disaster control and emergency plans, emergency regulations, description of emergency functions, emergency management documents, records of amounts and locations of emergency supplies and equipment, and lists of emergency sources of supplies necessary to operate and administer the emergency site
- (b) Data on NASA personnel and positions such as rosters of key employees, security clearance lists, payroll, telephone directories, and personnel qualifications and skills
- (c) Emergency communications plans, procedures, operating instructions, and routing
- (d) Procurement data such as emergency procurement regulations and contracting instructions, contractor and source lists, contract forms, vendor listings, commodity catalogues, defense materials allotment reports, and current contract files that are essential to emergency operations
- (e) Scientific and technological data which would be required to meet priority needs of the programs of the Federal Government in a national defense emergency, including essential research and development information related to:
 - Aeronautical and space programs in support of the military effort, resource mobilization, or civil preparedness
 - Operation of NASA's communication, tracking and data acquisition and processing capabilities as a component of the National Communications System (NCS)
 - Operation of satellite and aircraft systems capable of providing information pertaining to the nation's resources, environment, civil defense and military objectives
 - Support of the Department of Defense by providing aircraft take off, landing and operational facilities, and appropriate ground and maintenance support
- (f) NASA budget estimates for the current and next fiscal year
- (g) Data, critical design specifications, and essential drawings of spacecraft, launch vehicles, control systems, important test facilities, and such systems which would be vital to NASA's furnishing direct assistance in support of the military effort in an emergency
- (h) Brief summaries of work in progress on current research and development projects

F.2 Rights and Interest Records

- (a) Data on personnel earnings, service, leave, qualifications, retirement, beneficiaries, position classifications, etc.
- (b) Financial management records and reports considered to be essential for the preservation and protection of the rights of employees and others as outlined in FMM 9660, NASA Financial Management Manual
- (c) Records supporting legal rights maintained by NASA as the statutory office of record, patents and patent applications, guaranteed loans, and patent waiver agreements with contractors

Appendix G Records Management Best Practices

Labeling

It is recommended that all records be labeled to indicate the type of record and its retention and disposition requirements. Labeling should include the following information:

- a. Applicable Agency Filing Scheme (AFS) number from the NRRS
- b. Title or description of the records
- c. Specific NRRS schedule or other applicable citation covering the records
- d. Disposition (minimum records retention) requirement
- e. If applicable, indication that the record is a Vital Record

Appendix H Examples of Program and Project Records

Records potentially created in the stages of a project/program's life are those essential for future studies of a program or project. This list is neither all-inclusive nor all-exclusive; it must be applied based on value judgements by those familiar with a program/project's development and accomplishments. A more detailed list can be found in NPR 1441.1, "Program and Project Records, Items 101-113."

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