

JSC Files and Records Management Procedures

GA/Information Systems Directorate

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National Aeronautics and
Space Administration

Lyndon B. Johnson Space Center
Houston, Texas

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JPG 1440.3

JSC Files and Records Management Procedures

FOREWORD

This document is the official guide for managing records at the Johnson Space Center. It applies to all NASA-owned records created and/or maintained by civil servants and contractors. It is to be used in accordance with [NPD 1440.6, NASA Records Management](#), and in conjunction with [NPG 1441.1, NASA Records Retention Schedules](#). This document supersedes JSCM 1440.2, *JSC Records Maintenance Handbook*, and replaces JSC 27798, *How to Retire Records*; and JSC 27802, *How to Store Records Onsite*.

The following instructions contained within this document are Federal or Agency requirements and are thus mandatory procedures and are noted as such within this document:

- 1) Use of the Agency Filing Scheme (AFS) for organizing records ([§3.2.3](#))
- 2) Application of NASA Records Retention Schedules ([§3.3.6](#))
- 3) Submission of records series inventories to the JSC Records Manager (RM) ([§1.5.1](#), [3.3.12](#))
- 4) Segregation of personal papers from office records, non-record from record material, and permanent from temporary records ([§2.9](#) and [3.3.4](#))
- 5) Storage of records ready retrievability and minimization of deterioration, damage, or loss ([§3.2.1](#))
- 6) On-site destruction of records and non-records in accordance with NPG 1441.1 *NASA Records Retention Schedules* and JHB 1600.3, *JSC Security Manual* ([§4.2](#) and [4.3](#))
- 7) DLO identification of Record Coordinators ([§1.5.1](#))
- 8) DLO designation of Vital Records when applicable ([§1.5.1](#))

JSC stipulates the following mandatory requirements:

- 9) DLO identification of Record Custodians and Vital Records Custodians ([§1.5.1](#), [5.3.2](#))
- 10) Training of custodians and coordinators ([§1.5.1](#))
- 11) RM compilation of periodic records metrics ([§1.6](#))
- 12) Submission of Vital Records inventory to the JSC RM ([§5.3.4](#))

Unless specifically noted as a mandatory requirement, material in this guide should be considered suggested good files/records management procedures or strictly informational in nature.

(Original signed by Vicki C. Pendergrass, 8/16/01)

Vicki C. Pendergrass
Director, Information Systems

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CHAPTER 1

General

1.1 Policy

The Johnson Space Center (JSC) Records Management Program is conducted as prescribed by this document and by [NPD 1440.6, NASA Records Management](#), and [NPG 1441.1, NASA Records Retention Schedules](#). JSC operates under a decentralized filing plan that uses, to the greatest extent possible, uniform, economical, and efficient practices to maintain current records. Both record and non-record files are arranged and grouped functionally to provide for rapid filing, ready reference, and prompt disposition.

1.2 Applicability

This procedure is applicable to all JSC civil servants and contractors who create and/or maintain NASA-owned records

1.3 Authority

[36 CFR Chapter XII, Subchapter B, Records Management](#)

[NPD 1440.6, NASA Records Management](#)

[NPG 1441.1, NASA Records Retention Schedules](#)

1.4 References

[JHB 1600.3, JSC Security Manual](#)

[JPG 2810.1, Johnson Space Center Information Technology Handbook](#)

[JSC-05900, JSC Emergency Preparedness Plan](#)

1.5 Responsibilities

1.5.1 Directorate Level Organization (DLO) and Heads of Contractor Organizations

DLOs and heads of contractor organizations must comply with the records management policy stated in [NPD 1440.6](#). They shall implement internal records management practices that meet organizational needs and are compatible with requirements of this document. This includes (1) designating trained records custodians as appropriate, (2) designating trained records coordinator(s) at the division-level or above, (4) designating official file stations where appropriate and (5) designating of the organization's vital records, if applicable, and custodians to manage them.

DLOs shall ensure annual submittal of Records Series Inventories to the JSC Records Manager (RM) in accordance with [§1.6.2](#) and [§3.3.12](#) of this document, as well as inventories of Vital Records in accordance with [§5.3.4](#).

1.5.2 Office of Procurement

In accordance with [NPD 1440.6](#), the Office of Procurement ensures that contracting officers insert an appropriate provision concerning records management requirements in all NASA contracts involving the creation or maintenance of NASA records.

1.5.3 Information Systems Directorate (ISD)

ISD is responsible for the overall direction of the JSC Records Management Program. Specifically, ISD will designate a JSC RM to guide and oversee files and records management at JSC. Through the records management function, the ISD will provide technical assistance and procedural advice, as needed, on creating, maintaining, using, and disposing of Federal records, and will ensure provision of training for records custodians.

1.5.3.1 *JSC Records Manager*

The JSC RM develops and guides the overall implementation plan for all records management activities at JSC. The RM is the point of contact with Center and Agency management as well as with other agencies and outside individuals on records management topics. She also plans and leads the execution of Center-wide initiatives such as organizational records inventorying and scheduling activities, and the development of electronic record management policy/procedures.

The JSC RM is responsible for technical guidance in managing records from creation through their disposition; and is responsible for developing a comprehensive training program for civil servant employees including managers, records coordinators, and custodians as well as JSC contractors who create or maintain NASA-owned records. In addition, she conducts records management reviews of file indices, filing systems, and record inventories as necessary; reduces record holdings; and manages archival activities. Finally, the JSC RM is responsible for the on-site JSC Records Staging and Storage Facility and its contents.

1.5.4 Organizational Records Coordinator

The Organizational Records Coordinator is the organizational point of contact with the JSC RM and disseminates records management information on matters concerning maintenance, use, and disposition of organizational records to the records custodians within the organization. They know how to access and apply the records management directives and guidelines referenced in this document; periodically consolidate records data received from organization records custodians and submit the information to the JSC RM; and attend records management training and periodic records custodian briefings. They also consult with the JSC RM regarding problems that affect maintenance, use and disposition of organizational records.

1.5.5 Organizational Records Custodians

Organizational Records Custodians understand record keeping requirements and know how to access and apply the records management directives and guidelines referenced in this document. Records custodians ensure that official file stations and other records storage areas within their organization are arranged in accordance with [NPG 1441.1, NASA Records Retention Schedules](#), and this document; consult with the organization's records coordinator regarding procedural problems affecting maintenance, use and disposition of records; and attend periodic records management training scheduled by ISD.

1.5.6 Distributed Records Custodians

Distributed Records Custodians are employees who maintain their own records that fall within one or two records series. They should be aware of the requirements of this and associated documents, plus they should understand maintenance, use and disposition of records in their possession.

1.5.7 Civil Servant and Contractor Personnel

Civil servant and contractor personnel create, maintain, use, and dispose of NASA-owned records in accordance with the guidelines in this document.

1.5.8 JSC Vital Records Officer

The JSC Vital Records Officer implements the Vital Records Protection Plan in coordination with the JSC Emergency Preparedness Officer; assists organizations in designating, maintaining, and protecting the organization's vital records; and maintains a current inventory of vital records as identified by DLOs.

1.5.9 JSC Privacy Officer

The JSC Privacy Officer administers and coordinates JSC's implementation of [14 CFR Chapter V, Part 1212, Subpart 1212.6, Maintenance and Publication Requirements for Systems of Records](#), in accordance with [JPD 1382.8, Privacy Act of 1974](#).

1.6 **Measurements**

1.6.1 Metrics Compilation

All records management data and metrics shall be gathered by the JSC RM and reported to the Director of ISD.

1.6.2 Annual Reporting

In response to an annual call from the JSC RM, DLOs shall ensure annual submittal of JSC Form 1229 *Organizational Records Series Inventory* to the JSC RM. Cumulatively, these inventories will identify all record series maintained by JSC and their locations, and will enable identification of those series that may have outstanding retention schedules under review by NARA.

1.6.3 Record Traffic Metrics

The RM will report annually to the Director, ISD, the number of accessions and boxes of records shipped to the FRC or transferred to the National Archives, as well as the number of times records were retrieved by JSC or its contractors during the year. These metrics will be reported at the organizational level.

1.6.4 Records Storage Costs

The JSC RM will report annually to the Director, ISD, the costs of storing JSC records in the FRC. These statistics will be reported by organization.

CHAPTER 2 Records Creation

2.1 Introduction

Civil servants and contractor employees may create Federal files and records while performing their jobs. To properly protect and control this information resource, employees are responsible for knowing whether the information they produce is record, or non-record, and how to care for the files and records appropriately. This chapter provides that information.

2.2 Records

Records are defined by 44 U.S.C. Sec. 3301 as:

“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 reference, personal papers not used for Agency business, and stocks of publications and processed documents are not considered to be records.

All Agency records fall into one of two categories: administrative records or program records. Within those categories, records can be either permanent or temporary. Segregation of personal papers from office records, non-record from record material, and permanent from temporary records is mandatory.

2.2.1 Administrative Records

Administrative records document administrative functions common to all agencies, regardless of Agency programs, such as human resource, budget, finance, supply, procurement, facility, and communications management. These records also may be involved in General Accounting Office (GAO) audits of accountable officers' accounts when the accounts shed additional light on collection and disbursement transactions or are part of the "audit trail." For example, in an Agency industrial activity, timecards may be used to illuminate questionable payroll transactions. Administrative records may also be involved in GAO audits that relate to larger Agency programs or administrative activities.

2.2.2 Program Records

Program records are those records created, received, and maintained by the Agency in the conduct of its mission functions for which the Agency is accountable. The term is used in contrast to administrative or housekeeping records. They consist of standard internal management controls, including those relating to policies, organization, duties, functions, planning, procedures, information systems, and expenditure controls. These records also relate to specific substantive activities carried out by the Agency, such as "mission" records that relate to decisions about the Space Shuttle Program and its operations.

2.3 Restricted Access Records

2.3.1 Classified Records

Classified records are those that require, for national security reasons, safeguards against unauthorized disclosure are classified records. These typically fall into one of three categories: Top Secret, Secret, or Confidential, as defined in [JHB 1600.3, JSC Security Manual](#).

2.3.2 Privacy Act Records

Privacy Act records are those that concern an individual and include, but are not limited to, education, financial transactions, medical history, and criminal or employment history. The records contain the name or an identifying number, symbol, or other identifier assigned to the individual, such as a fingerprint, a voiceprint, or a photograph. See [JPD 1382.8, Privacy Act of 1974](#) for additional information.

2.3.3 Proprietary Records

Proprietary records contain information about a business organization that the organization considers sensitive and, consequently, wants protected from public disclosure; e.g., a list of employees and salaries submitted by a business organization to the Agency during negotiations for a contract. If the Agency agrees that the information is proprietary, it must be labeled appropriately according to the contract and restricted to use by authorized personnel as long as it remains in the Agency's custody. When the Agency moves the information to an FRC or archives, it must include on the transmittal forms the following citation: "These records are exempt from public disclosure under Title 5 of the United States Code Section 552, *Public Information*."

2.4 **Quality Records**

Quality records are a subset of records that provides objective evidence of the extent of the fulfillment of the requirements for quality or the effectiveness of the operation of a quality system element. Quality records are those records important enough to be specifically identified as such in System Level Procedures or Work Instructions. Organizations are not required to identify quality records as such, but may do so if such distinction facilitates the organization's effectiveness. Such records are managed in accordance with the procedures of this document. (See the glossary for definitions of related terms: [objective evidence](#), [document](#) and [data](#)).

2.5 **Unscheduled Records**

Unscheduled records are those whose final disposition is not approved by NARA; i.e., the records have not been identified and scheduled in the General Records Schedules (GRS) or the NASA Records Retention Schedules (NRRS). If no approved records retention schedule applies to the records, contact the JSC RM for assistance. Retain unscheduled records permanently until the new schedule is approved by NARA. See [Chapter 3, Files and Records Maintenance](#).

2.6 **Vital Records**

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

2.7 **Electronic Records**

Electronically recorded data, or converted paper records, are made or received by NASA under Federal law or in connection with the transaction of public business. They are preserved, when appropriate for preservation, as evidence of NASA's activities or because of the value of the information they contain. Electronic records are records that are stored in a form that only a computer can process. Electronic record systems are any information system that produces, processes, or stores records using a computer. The same policies and procedures that apply to other record mediums also apply to electronic records. Paper systems converted to electronic mediums are not covered by the current record retention schedules, unless specifically identified in [NPG 1441.1, NASA Records Retention Schedules](#). Detailed Agency or Center policy and guidance on how to best manage electronic records are still under consideration and development and will be issued as available.

2.8 Non-records

Non-records are U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Included are extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

Due to their use or organization, some non-record material may, in fact, be retained as record. Examples include copies of contractor financial reports retained by a JSC budget analyst, the original record copies of which are retained by Procurement; and copies of program development records retained by the History function, the original of which are maintained and dispositioned with Program records. In the first example, the report copies would be maintained and dispositioned with the analyst's financial records; in the latter, the copy material is managed and dispositioned as a history records series.

2.9 Personal Papers

Personal papers are documentary materials belonging to an individual that are not used to conduct Agency business. They are related solely to an individual's private affairs. Examples of these records are diaries, journals, personal correspondence, and personal notes that are not prepared or used, circulated, or communicated when conducting Government business. Personal papers shall be clearly designated as such and shall, at all times, be maintained separately from office records.

CHAPTER 3

Files and Records Maintenance

3.1 Introduction

Adequate records management controls throughout the Center for the maintenance and use of files and records help ensure that: permanent records can be located when needed and preserved for eventual transfer to NARA; temporary records are kept to a minimum and disposed of in an orderly and timely manner; and supplies, equipment, and office space are used efficiently and effectively (36 CFR XII). Controls also ensure that records remain legible, readily identifiable and retrievable. These objectives can be achieved by using the management standards and techniques outlined in this chapter.

3.2 Planning and Arranging Files

Careful planning, organization, and arrangement of files will enhance the organization's efficiency and facilitate proper records disposition. This section presents a step-by-step plan that may be followed to achieve maximum accessibility/management of information and records.

3.2.1 Where to Locate Files

The first decision in planning an effective filing system is determining the best location for the files. It is recommended that current records be maintained in official file stations where practical. (Non-records may be filed in official file stations, if space permits.) Records must (1) be located so they are readily accessible to meet operational and customer needs, and (2) be stored to minimize deterioration, damage, or loss. Factors of temperature, humidity, and light appropriate to the medium should be considered.

Organizations should determine where the file station would best serve the office and Center's needs. File station location should consider the following:

- Is there a growing number of records in desks, bookcases, and so-called personal files?
- Is there a growing need for additional filing equipment?
- Is the file station used infrequently?
- Is there uncertainty as to where to look for information?
- Is there a need to look in more than one place to get the complete record?
- Is it difficult to find material rapidly?
- Are the records inaccessible to frequent users?

If the answer to the majority of the above questions is "yes," the file station may not be located at the organizational level that will best serve the office and JSC. It may be necessary to relocate the file station to another organizational level.

3.2.2 Group Files into Series

The next step toward effective information management is to separate the files into distinct groupings, or series, to reduce record retrieval time by reducing the area of search. An official file station consists of one or more distinct record (or non-record) series. A series is a group of documents with similar characteristics that distinguish it from other groups in the file station. Different records series will most often have different retention schedules and should be maintained separately. In determining which documents will be filed as a separate series, consider the following factors:

- The need for frequent, easy reference to a particular group of documents may necessitate that the documents be organized and maintained as a separate series of records.
- A large group of records serving the same purpose and being of the same kind is indicative that the group should be maintained as a separate series of records.

- Physical characteristics – e.g., nonstandard size and shape – preclude filing with standard-size files.
- Records with different retention periods are separate series and should be filed as such to eliminate screening and to facilitate disposition.

3.2.3 Indexing Records

After files have been grouped into record series, they must be properly indexed for convenient storage and retrieval using the Agency Filing Scheme (AFS). The AFS is the NASA mandatory index for filing. It is found in Appendix A of the [NPG 1441.1, NASA Records Retention Schedules](#).

- AFS Explained. The AFS is intended to provide a standardized classification and filing scheme to achieve maximum uniformity and ease in maintaining and using Agency records. Files/records in a record series have a relationship arising from their creation, receipt, or use. This is typically based on subject or function, and often correlates to the number of the NASA policy directive (NPD) or JSC policy directive (JPD) under which the work producing the record was performed.
- Selecting an AFS. The files/records custodian will select the AFS identification code for each of their record series. Specifically from the NPG 1441.1 list of primary codes, select the AFS code that best describes each record series. Refer to the secondary and tertiary descriptions to ensure the selected primary code is appropriate. Secondary and tertiary codes in the AFS may be selected for use, if desired.

If multiple organizations are keeping the same records for the same purposes, the AFS and retention schedule should be the same for all organizations. If in doubt, consult with the JSC RM.

- Marking documents with AFS. Mark the selected AFS code in the upper-right corner of the hard copy documents (see [figure 3-1](#)). Electronic records may include the AFS code in the record or folder title. Sort the files and/or records into record series. Finally, designate the AFS code and the record series title on the index (see [§3.3.9](#)).

file 8000
nkh

National Aeronautics and
Space Administration
Goddard Space Flight Center
Greenbelt, MD 20771



Reply to Attn of: 700

JUL 31 1995

TO: Lyndon B. Johnson Space Center
Attn: AA/Director

FROM: 100/Director

SUBJECT: Partnership to Define Potential Near Earth Mission

I am glad to hear that you are satisfied with our efforts in support of the Radiation Technology Demonstration Mission. We are prepared and remain committed to leading the definition of the mission and spacecraft design activities, and to take responsibility for implementing the mission if it becomes a funded project.

We appreciate the opportunity to serve you in this important initiative, and look forward to a continued partnership in refining the approach and a successful advocacy.

A handwritten signature in black ink, appearing to read "A. V. Diaz".

A. V. Diaz

Fig. 3-1. Letter with File Authority and File Code

3.2.4 Arranging Documents for File

After identifying the proper AFS for the organization's records series, select a method of arranging each series. A well-devised arrangement of topics and folders will contribute to a successful file, restricting the area of search when looking for a record and providing for easier disposition of files. The arrangement should conform to the users' requirements. The kinds of records they need, the way they ask for them, and the terms they use in their requests should determine the pattern. It should be complete and flexible. Arrangement may be alphabetical, numerical, chronological, subjective, organizational, or geographical.

Determining the type of files will help establish the manner of file arrangement. There are two basic types of files that dictate file arrangement: case and case working files, and subject files.

- a. Case Files. These files are individual documents/groups of documents pertaining to the same action, event, person or project that are filed together in the same folder constitute case files. A case file is used to maintain personnel transactions, contracts, research and development projects, management studies, etc. Typically, a case file documents a transaction from beginning