

MPG 1441.1

REVISION A

EFFECTIVE DATE: August 16, 1999

EXPIRATION DATE: August 16, 2004

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# **MARSHALL PROCEDURES AND GUIDELINES**

**AD01**

## **CONTROL OF QUALITY RECORDS**

CHECK THE MASTER LIST at  
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|   |                              |                    |
|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 2 of 9</b> |

**DOCUMENT HISTORY LOG**

| <b>Status<br/>(Baseline/<br/>Revision/<br/>Canceled)</b> | <b>Document<br/>Revision</b> | <b>Effective<br/>Date</b> | <b>Description</b>   |
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| Revision   | A                            | 8/16/99                   | Changes made to reflect new reorganization. Added reference to OI in paragraphs 2.1, 2.2, 3.1, 3.2, 3.4, and 4.                              |
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|   |                              |                    |
|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 3 of 9</b> |

TABLE OF CONTENTS

Preface

- P.1 Purpose
- P.2 Applicability
- P.3 Authority
- P.4 Applicable Documents
- P.5 References
- P.6 Cancellation

Document Content

- 1. Definitions
- 2. Responsibilities
- 3. Procedure
- 4. Records
- 5. Flow Diagram

Appendix A Minimum List of Types of Quality Records

|   |                              |                    |
|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 4 of 9</b> |

PREFACE

**P.1 PURPOSE**

This Marshall Procedures and Guidelines (MPG) establishes the process for control of quality records necessary to ensure compliance with MPD 1280.1, "Marshall Management Manual," and applies to all records satisfying the requirements of the MSFC Quality Management System.

**P.2 APPLICABILITY**

This MPG applies only to MSFC and MSFC onsite contractors who are working within the MSFC Quality Management System. Records produced by a contractor within their own quality system and later supplied to MSFC as quality records for a project will be governed by contract requirements.

**P.3 AUTHORITY**

NPD 1440.6, "NASA Records Management"

**P.4 APPLICABLE DOCUMENTS**

- a. MPG 1440.2, "MSFC Records Management Program"
- b. MPD 1280.1, "Marshall Management Manual"
- c. MPG 1410.2, "MSFC Management Directives System"
- d. NPG 1441.1, "NASA Records Retention Schedules"

**P.5 REFERENCES**

None

**P.6 CANCELLATION**

MPG 1441.1 dated May 14, 1999

Original Signed by

A. G. Stephenson  
Director

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|---|-----------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                       |                    |
| AD01                                      |                       |                    |
| <b>Control of Quality Records</b>         | MPG 1441.1            | <b>Revision: A</b> |
|   | Date: August 16, 1999 | <b>Page 5 of 9</b> |

DOCUMENT CONTENT

**1. DEFINITIONS**

1.1 Historical Quality Records. Quality records retained onsite beyond their required retention period. The ultimate disposition of historical records is at the discretion of the holding organization.

1.2 MSFC Records Manager. The individual designated by the MSFC Director, as required by NPD 1440.6, who is responsible for overall administration of the MSFC records management program.

1.3 Office of Primary Responsibility (OPR). The organization having the responsibility for the process/procedures for the delivery of the product or services to the customer. The OPR is responsible for identifying which records need to be generated and placed under control.

1.4 Originator. Person or organization that creates the quality record.

1.5 Quality Records. Those documents which are maintained to demonstrate both MSFC conformance to specified requirements and the effective operation of the MSFC system.

1.6 Record Custodian. Individual who is responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning records.

**2. RESPONSIBILITIES**

2.1 Office of Primary Responsibility (OPR). Each responsible organization will identify in its Marshall Management Directives and Organizational Issuances (OI's) the applicable quality records, retention schedules, disposition, and the organization(s) of records custodian(s) or a link (identification) to where this information is available. The retention schedules will not conflict with NPG 1441.1, "NASA Records Retention Schedules."

2.2 Originator. The originator is responsible for creating the quality records in accordance with Marshall Management Directives and OI's. Note: The Originator of a Quality Record may also be the Record Custodian.

2.3 Record Custodian. The Record Custodian is responsible for establishing and maintaining documented procedures/instructions

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|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 6 of 9</b> |

for controlling quality records. (These procedures/instructions may be included in the documents which identify a process and its applicable quality records. They do not have to be stand-alone documents on this topic.) These procedures/instructions shall include any applicable controls for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning quality records (including contractor records), and for controlling damage, deterioration, and loss of the quality records.

### **3. PROCEDURE**

Actionee

Action

- |            |       |   |
|------------|-------|---|
| OPR        | 3.1   | Identify in MSFC Marshall Management Directives and OI's the applicable quality records, retention schedules, disposition, and the organization(s) of record custodian(s) or a link (identification) to where this information is available. Appendix A is a minimum list of the types of quality records which must be identified. |
|            | 3.1.1 | NPG 1441.1, "NASA Records Retention Schedules," will be used as a guide for retention standards. Work instructions shall specify the disposition of quality records that have passed their retention schedule (e.g., they may be dispositioned as historical records).  |
| ORIGINATOR | 3.2   | Generate quality records in accordance with Marshall Management Directives and OI's. Ensure records are legible and complete.   |
|            | 3.2.1 | Hand-written records will be prepared in dark, permanent ink.   |
|            | 3.2.2 | Correction marks on hand-written records will be a simple, horizontal line drawn through the erroneous data. White-out is not acceptable.   |
| ORIGINATOR | 3.3   | Submit quality records to the record custodian upon completion, or keep them if the originator is also the record   |

| Marshall Procedures and Guidelines<br>AD01 |                       |             |
|--|-----------------------|-------------|
| Control of Quality Records                 | MPG 1441.1            | Revision: A |
|  | Date: August 16, 1999 | Page 7 of 9 |

custodian.

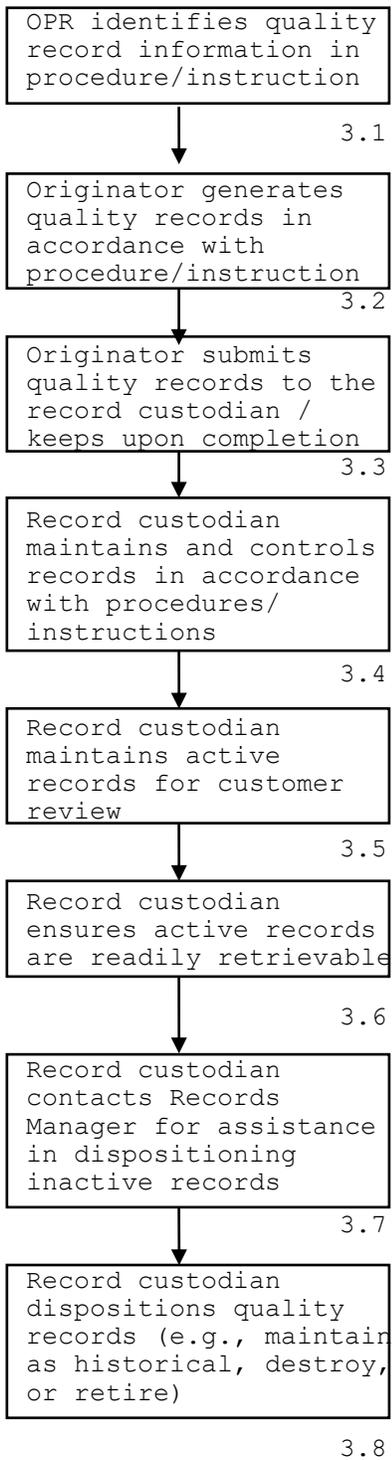
|                     |     |   |
|---------------------|-----|---|
| RECORD<br>CUSTODIAN | 3.4 | Maintain and control all identified quality records according to MPG's and WI's.  |
| RECORD<br>CUSTODIAN | 3.5 | Maintain all active records for customer review.  |
| RECORD<br>CUSTODIAN | 3.6 | Ensure all active records are readily retrievable.  |
| RECORD<br>CUSTODIAN | 3.7 | Contact MSFC Records Manager for assistance in dispositioning inactive records.   |
| RECORD<br>CUSTODIAN | 3.8 | Disposition quality records in accordance with NPG 1441.1, MPG 1440.2, and organizational work instructions. Retire the records to a Federal Records Center when/as required. (Records retired to a Federal Records Center are maintained in accordance with 44 U.S.C. Chapter 21, 36 CFR Chapter 12, and National Archives and Records Administration procedures.) |

#### 4. RECORDS

The Marshall Management Directives and organizational issuances will identify the applicable quality records, retention schedules, disposition, and the organization(s) of records custodian(s) or a link (identification) to where this information is available. Directives will be retained in accordance with MPG 1410.2, "Marshall Management Directives System." Organizational issuances will be retained in accordance with the retention specified in each organization's document control work instruction(s).

|   |                              |                    |
|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 8 of 9</b> |

**5. FLOW DIAGRAM**



|   |                              |                    |
|---|------------------------------|--------------------|
| <b>Marshall Procedures and Guidelines</b> |                              |                    |
| <b>AD01</b>                               |                              |                    |
| <b>Control of Quality Records</b>         | <b>MPG 1441.1</b>            | <b>Revision: A</b> |
|   | <b>Date: August 16, 1999</b> | <b>Page 9 of 9</b> |

APPENDIX A

MINIMUM LIST OF  
TYPES OF QUALITY RECORDS

| Types of Quality System Records  | Reference Procedure       |
|--|---------------------------|
| Management Review Minutes/Records  | MPG 1280.1                |
| Contract Review Records  | MPG 1050.1                |
| Design Review Records  | MPG 8060.1                |
| Design Verification Records  | MPG 8060.1                |
| Design Change Records  | MPG 8060.1                |
| Quality Records of Acceptable Subcontractors   | MPG 5000.1                |
| Records of Customer-Supplied Product   | MPG 4000.1                |
| Identification and Traceability Records  | MPG 8040.2                |
| Records of Qualified Processes/Equipment<br>Employed for Special Process                 | MPG 1280.2                |
| Records of Qualified Operators of Special<br>Processes                                   | MPG 1280.2                |
| Positive Recall Records  | MPG 8730.1                |
| Inspection and Test Records and/or Test Data   | MPG 8730.1,<br>MPG 8730.2 |
| Records of Inspection Authority Responsible<br>for Release of Product                    | MPG 8730.1,<br>MPG 8730.2 |
| Records of Checks to Prove the Capability of<br>Test Software and Hardware               | MPG 8730.5                |
| Inspection, Measuring and Test Equipment<br>Calibration Records                          | MPG 8730.5                |
| Nonconformance Records, Including Repairs  | MPG 8730.3                |
| Corrective Action Records  | MPG 1280.4                |
| Preventive Action Records  | MPG 1280.5                |
| Audit Schedule   | MPG 1280.6                |
| Internal and External Audit Records, Including<br>Audit Results and Follow-up Activities | MPG 1280.6                |
| Training Records   | MPG 3410.1                |