

TRANSMITTAL SHEET

NASA
National Aeronautics and
Space Administration

George C. Marshall Space Flight Center
Marshall Space Flight Center, Alabama 35812

Transmittal Number: MMI 1440.2E, Ch. 1 | Date: March 5, 1993

Material Transmitted:

Marshall Management Instruction: MMI 1440.2E, Ch. 1, "Records Management Program"

Make the following pen and ink changes:

- a. Paragraph 5.a, line 1, change "Services Branch" to "Technical Information and Services Branch."
- b. Paragraph 5.c, where it reads "The Director of Management Operations Office, as the MSFC Representative for historical matters" change to "The Historian, Technical Information and Services Branch, Management Operations Office."

(originals by)
C. D. Bean
Director
Human Resources and
Administrative Support Office

Distribution:
DL 3

Routing Instructions:

Make the pen and ink changes stated above and file this Transmittal Sheet in front of MMI 1440.2E.

SSUANCE TRANSMITTAL
HEET

N A S A
National Aeronautics and
Space Administration

George C. Marshall Space Flight Center
Marshall Space Flight Center, Alabama 35812

Issuance Number:	MMI 1440.2E	Date:	Nov. 26, 1986
------------------	-------------	-------	---------------

Material Transmitted:

Management Instruction, MMI 1440.2E, subject: "Records Management Program."

This Instruction has been revised to:

- a. Incorporate Changes 1-3 to MMI 1440.2D into the basic document and attachments.
- b. Update it organizationally.
- c. Conform to format requirements as set forth in MMI 1410.1, subject: "MSFC Directives System."
- d. Make minor editorial improvements.

Revising Instructions:

Remove MMI 1440.2D and Changes 1-3 and replace with MMI 1440.2E.

MANAGEMENT
INSTRUCTION

NASA
National Aeronautics and
Space Administration

George C. Marshall Space Flight Center
Marshall Space Flight Center, Alabama 35812

Originating Organization: CN01	Effective Date: Nov. 26, 1986	MMI: 1440.2E
-----------------------------------	----------------------------------	-----------------

Subject: RECORDS MANAGEMENT PROGRAM

PURPOSE

To establish and assign responsibilities for the administration of the records management program, to designate offices of record for specific portions of MSFC research and development (R&D) project case files, and to prescribe the detailed steps for implementation of the program.

APPLICABILITY

This Instruction is applicable to all Center organizational elements.

AUTHORITIES AND REFERENCES (Only applicable parts of most recent edition apply.)

- a. NMI 1440.6, NASA Records Management Program
- b. NMI 2700.2, NASA History Program
- c. NHB 1441.1, NASA Records Disposition Handbook
- d. NHB 1442.1, NASA Uniform Files Index
- e. Records Disposal Act of 1943, as amended
- f. Federal Property Management Regulation, Subpart 101-11

BACKGROUND

The objectives of the MSFC Records Management Program are to:

- a. Develop and apply standards, procedures and techniques to improve the management of records involving correspondence, reports, forms, directives, word processing, micrographics, files, files supplies and equipment, mail, copiers, records utilization and disposition, vital records, and paperwork automation.

- b. Provide safeguards against the unlawful removal, defacing, alteration or destruction of official files and non-record material, including notification to officials and employees that (1) records in the custody of NASA are not to be alienated or destroyed except in accordance with 44 USC 3301-3314 and authorized procedures and (2) whoever, having custody of a public record, willfully and unlawfully, alters, removes or destroys such a document shall be fined not more than \$2,000 or imprisoned not more than three years, or both, and shall forfeit that office and be disqualified from holding any office under the United States.

RESPONSIBILITIES

- a. Technical Information and Services Branch, Management Operations Office, is responsible for appointment of a Center Records Management Officer (CRMO) (See Attachment A) and for instituting records management controls to ensure that:
 - (1) Important policies and decisions are adequately preserved and the accumulation of unnecessary files is prevented.
 - (2) Records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.
 - (3) Records of continuing value are preserved and that obsolete records are properly destroyed or retired.
 - (4) Files equipment, supplies, and space are properly utilized.
- b. Each Basic Organization is responsible for:
 - (1) Furnishing the CRMO by letter, as of June 1 each year, the name, job title, grade, and organizational element to which assigned of the Records Management Representative (RMR) and Files Assistants (FA).
 - (2) Notifying the CRMO by letter of any changes as they occur. (Duties of the RMR and FA are described in Attachment A.)
 - (3) Considering the potential historical significance of records and exercising particular attention to disposition of historical materials when program/project offices are discontinued.

Nov. 26, 1986

MMI 1440.2E

- c. The Historian, Technical Information and Services Branch, Management Operations Office, as the MSFC Representative for historical matters, is responsible for providing guidance on the disposition of unusual accumulations of documentary materials, personal files of officials, or specialized collection of NASA or non-NASA records that could be significant to establishing the basis of the history of the U. S. aeronautical and space programs.

CANCELLATION

MMI 1440.2D dated April 1, 1981, and changes 1-3 thereto.

(Original signed by) James R. Thompson, Jr.
Director

Attachments:

- . Duties of Records Officials
- . Research and Development Project Case Files
- . Records Management Procedures

Distribution:

DL 3
N24 (500 copies)

FUNCTIONS OF RECORDS OFFICIALS

Center Records Management Officer (CRMO) is responsible for overall administration of the MSFC records program to include:

- a. Reviewing, approving, and maintaining current files plans (MSFC Form 2441).
- b. Conducting surveys and preparing reports required by higher echelons.
- c. Providing technical assistance and on-the-job assistance in records management.
- d. Maintaining the Records Staging Area (RSA) for the maintenance, retrieval, and disposition of inactive files.
- e. Reviewing requests for files equipment and approving or disapproving.
- f. Overall responsibility for the operation of vital records program.

Records Management Representatives (RMR) are responsible for:

- a. Assuring that a files plan is established, maintained, and revised by each files-keeping office within the organization, geared to its needs and compatible with this Instruction.
- b. Forwarding initial and/or revised files plan to the CRMO for approval.
- c. Consolidating information for feeder reports on records management matters and forwarding the consolidated report to the CRMO.
- d. Certifying that all records have been reviewed and that only those records necessary for effective work accomplishment are being retained. This certification will be prepared on bond paper, signed, dated, and forwarded to the CRMO along with the consolidated report on an annual basis in accordance with the Headquarters call for the report.

Files Assistants are responsible for maintaining and furnishing information from the files assigned to them. Specific responsibilities include:

- a. Keeping current on the functions of records keeping offices.
- b. Maintaining an up-to-date files plan and file of records management directives.

Nov. 26, 1986

IMI 1440.2E
ATTACHMENT A

- c. Properly identifying, arranging, and disposing of records.
- d. Coordinating records problems with the RMR or the CRMO.

RESEARCH AND DEVELOPMENT PROJECT CASE FILES

GENERAL REQUIREMENTS

- a. MSFC R&D project case files must be maintained in order to reflect a clear and complete history of each MSFC project from initiation, through research, development, design, and testing, to completion. The project manager has responsibility for control over all the project files to ensure complete documentation. The project manager does not maintain a complete official record project case file within his/her office but will rely on the decentralized functional files system. The decentralized functional files system requires that record files be maintained by the organizational element performing the function, thereby ensuring proper documentation in each field of endeavor.
- b. R&D case files must be maintained so they are readily adaptable for use and, upon completion or cancellation of the project, that the designated offices of record will have guidelines for disposition of records in their custody.

RESPONSIBILITIES AND PROCEDURES

- a. Each MSFC Program/Project Manager will:
 - (1) Determine the files to be maintained for the R&D project case files and designate the organizational element having functional responsibility for specific files.
 - (2) Coordinate the establishment and maintenance of these files with the cognizant organizational element and the CRMO.
 - (3) Appoint a technical representative responsible for each project, and furnish the Services Branch, Management Operations Office, with names of the representatives.
- b. The Director/Manager of other Basic Organizations will:
 - (1) Assure complete documentation and proper maintenance and disposition of all portions of the project case file assigned to his/her organization.
 - (2) Assure that applicable portions of R&D project case files are established, identified, labeled, and maintained within his/her organization.

Nov. 26, 1986

- (3) Develop project case file plans and forward a copy of the initial plan, with any revisions thereto, through the technical representative to the CRMO immediately after initiation of a project. This plan will show in detail the specific records to be retained for each project and will identify the organization responsible for such records.

c. The Center Records Management Officer (CRMO), through the Technical Representatives and the Records Management Representatives (RMR) assigned to various projects, will:

- (1) Assist the program or project office in determining the organizational location and establishment of specific portions of the case files and review files maintenance and disposition, as necessary.
- (2) Assist in the issuance of project case files plan(s).
- (3) Assist in the consolidation of project case files material and arrange for storage and retirement of files upon completion or cancellation of project.

RECORDS MANAGEMENT PROCEDURES

SECTION 1 - GENERAL

BACKGROUND

- a. The Federal Records Act of 1950, as amended, requires that each Federal Agency establish and maintain a Records Management Program.
- b. NMI 1440.6 establishes the NASA Records Management Program, assigns responsibilities and establishes guidelines for an effective program of managing NASA files and reviewing file equipment utilization, and authorizes Directors of Field Installations to implement local instructions as determined necessary for ensuring compliance to this Program.
- c. NHB 1441.1 establishes the procedures governing the retention, retirement, and destruction of Federal records. This handbook provides guidance in all aspects of records retirements, transfers, destruction, and retrievals from Federal Records Centers.

INSPECTIONS AND ADMINISTRATIVE VISITS

- a. This Center is subject to periodic inspections and audits of the Records Management Program by higher authority.
- b. The Center Records Management Officer (CRMO) will conduct files surveys in files-keeping offices of the Center to assure that current regulations and standards are being adhered to and to furnish on-the-job assistance in records management matters.

DEFINITIONS

- a. Records include all books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or characteristics, made or received by NASA under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by NASA as evidence of the organization, functions, policies, decisions, procedures, operations or other agency activities or because of the informational value of the data in them.
- b. Non-record materials include 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, such as reading and suspense copies; materials of short-term value such as drafts, working

Nov. 26, 1986

IMI 1440.2E
ATTACHMENT C

papers, routing and transmittal sheets on which no documented administrative action has been taken; and stocks of publications and of processed documents.

- c. Private records are personal papers or non-official records pertaining to individuals' personal affairs which are kept in the office of a Federal official.
- d. Official files are any collection of NASA records designated as a record keeping location for transactions of official business.
- e. Mail Management is an element of records management concerned with the application of management techniques to mail processing operations. These operations include receiving, collecting, sorting, opening, routing, distributing, and controlling mail.
- f. Unscheduled Files are files that are not identified in NHB 1441.1, NASA Records Control Schedules 1 - 27.
- g. Microfilming is the technique of producing miniature images on roll film.
- h. Files Plan is an inventory of files showing the description, disposition instructions, and disposal authority of all MSFC records (MSFC Form 2441).
- i. Current Files Area (CFA) is the office space where files are created or space utilized by a central files unit which maintains files for a group of offices.
- j. Federal Records Center (FRC) is the records storage facility operated by the National Archives and Records Service, GSA, for housing and servicing non-current records of the Federal Government.
- k. Cross Reference is a paper filed under a classification schedule number to show the location of material filed elsewhere.
- l. File Authority is the authorization placed on copies of incoming correspondence which does not require a reply and is ready to be filed. The authorization consists of the word "file", the date, and the initials of the person authorizing the material to be filed.

- m. Documentation is the assembling and consolidation in correct sequence of all papers of a specific transaction.
- n. Files Equipment is file cabinets, open-shelf-filing equipment, card-file equipment, map and plan-file equipment, and bookcase sections used for maintaining and servicing files.
- o. Files Supplies are folders, guides, fasteners, labels, forms and other related supplies used for maintaining and servicing files.

IMI 1440.2E
ATTACHMENT C

SECTION 2

FILES MAINTENANCE

FILES SYSTEM

- a. MSFC operates under a Decentralized Numerical Functional Files System. Under this system the record files are located in the organizational element performing the function to which the files relate. Local electronic File Systems are authorized provided the objectives of the Records Management Program are maintained. Paper, microform or magnetic tape records can be transferred to a Federal Records Center but only paper records can be transferred to the MSFC Records Staging Area. Other filing systems are unauthorized.
- b. All files (including files classified through SECRET) will be arranged as prescribed under the Numerical Functional Files System. Files will be divided as follows:
 - (1) Major function numbers (see Table of Content, Chapter V, NHB 1441.1, for Schedules 1 - 27).
 - (2) Subdivided in numerical sequence by paragraph or subfunction number. Arrangement of files under subfunction will be either alphabetical or numerical, as applicable.

EXAMPLE:	15	<u>Personnel Records</u>	(file guide label)
		15/2 Service Records Cards	(file folder label)
		15/6a Position Descriptions	(file folder label)
	17	<u>Procurement and Supply Records</u>	(file guide label)
		17/1a(2) Purchase Orders 1-100	(file folder label)
	25	<u>Research & Development</u>	
		<u>Project Records</u>	(file guide label)
		25/6a(1) R&D Project Report	
		Files	(file folder label)

FILES PLAN

- a. A Files Plan will be prepared and maintained by each files keeping office. All scheduled files (record and non-record) will be listed, showing the description, disposition instructions, and disposal authority. The plan will be approved by the chief of the organizational element and submitted, in

PROCESSING PAPERS FOR FILE AND REFERENCE SERVICE

- a. File Authority - If the material consists of incoming correspondence not requiring a reply, the individual authorizing the filing of papers will annotate the word "file", the date, and his last name or initials in the right margin below the date of the correspondence. If this authorization is missing, the material will be returned to the responsible office. File authority is not required on documents placed in library-type accumulations for reference use, such as reference copies of publications, brochures, etc. (See Figure 2)
- b. Duplicate Copies - Courtesy or other duplicate copies, except those containing coordination initials, concurrences or other important information will be destroyed.
- c. Unnecessary Papers - Envelopes, routing slips, unused drafts, and other unnecessary attachments unless they contain information which is essential to the file, e.g., signatures or initials of concurring officials, will be destroyed.
- d. Completeness - To ensure that all papers necessary for completion of the record are attached, papers received for file should be checked as follows:
 - (1) Basic, comments, enclosures, and related papers.
 - (2) If papers or copies are missing, the last action office should be contacted as it is the one most likely to have retained the missing papers.
 - (3) If the missing papers, or copies of such papers, cannot be located, a note to that effect will be placed on the papers to be filed.
- e. Documentation - The method of documentation by this Center will be as follows, and papers assembled in the order listed below:
 - (1) The latest action date on top (unnumbered or numbered).
 - (2) The basic letter.
 - (3) Numbered or unnumbered comments, beginning with the earliest paper.
 - (4) Enclosures in numerical order.
 - (5) Any internal actions which support the numbered or unnumbered actions.

- f. Files Segregation - All papers are not of equal value; therefore, permanent and temporary material will be separated regardless of point of accumulation or maintenance. Segregation procedures begin as soon as papers are received for file. File classifications are observed, cross-references (if needed) are made and papers filed.

LABELING AND ARRANGEMENT OF FILE GUIDES

Guides will be placed in front of file folders to divide files, and labeled to identify each major function. Guides will be arranged so that tabs are in a uniform position to the left side (first position) of the file drawer. They will be placed in the drawer at the beginning of each major function.

EXAMPLE: 1 - General & Administrative Records.

When the volume of material filed behind a major function warrants, guides may be added for subfunctions.

EXAMPLE: 25/1c R&D Technical References Files.

Guides should be kept to a necessary minimum. (See Figure 3)

LABELING AND ARRANGEMENT OF FILE FOLDERS

- a. Labels will be typed with the appropriate file number, file title or subject, year date of the file, if applicable, and specific disposition instructions. (See Figure 3)

EXAMPLE: 10/17B Registered and Insured Mail Receipt Files

CY 80

COFF(cutoff) Dec. 31,80

Destroy Jan, 82

25/1c R&D Technical Reference Files

Destroy when no longer needed for reference

or on completion of project, whichever is sooner.

- b. When a file series consists of several folders, each containing a segment of the files series, only the first (lead) folder in the series need show the file number, file title, year date, if applicable, and disposition instructions. The second and succeeding folders in the series need show only the file number and subject.

0. FILING BULKY MATERIAL

Bulky material will be filed separately in storage equipment suited to its size. This material may be maintained in file classification, date, or serial number order. A cross reference to the bulky material will be placed in a conspicuous location on the file papers. The bulky material will be marked to show storage location, file classification, and sufficient identifying information to associate it with the related file papers.

1. CROSS REFERENCE

A cross reference is a paper filed under one classification and date to show the location of material filed elsewhere. Cross references will be prepared when essential to finding needs, on Optional Form 21 (Cross Reference Sheet). Making and filing unnecessary cross references should be avoided as they consume valuable time and create unnecessary files.

2. REQUEST PROCEDURES

- a. When processing a request for file material, sufficient information should be given to identify the file, e.g., subject, date, etc.
- b. Only files personnel should file and withdraw papers from the file. This limits misfiled papers, saves time, and provides a control over the papers in file.

3. CHARGE OUT PROCEDURES

- a. The use of an "OUT" card (NASA Form 410) is a great help in locating papers which are temporarily out of files. Each time material is removed from the files, a charge-out card should be filled out and substituted for material withdrawn. The charge-out card should be placed in the subject folder at the exact place where the material was filed with the word "OUT" showing.
- b. Case file charge-out cards (NASA Form 409) will be used in charging out case files when the entire folder is removed. This form should be substituted for the file folder and placed in the drawer with the top up.
- c. Charge-out material should be returned within 1 or 2 weeks depending upon the nature of its use. Charge-out cards should

Nov. 26, 1986

be reviewed in order to follow up on overdue material since it becomes increasingly difficult to trace material which has been out for a longer period. A telephone call is the most effective followup.

4. CLASSIFIED FILES

a. Instructions pertaining to handling and safeguarding of classified material are contained in current MMI 1551.4 and NHB 1620.3.

b. Classified documents will be maintained separately from unclassified files, except when the record of an action consists of both classified and unclassified documents and it is essential for reference purposes that they be combined in the current files area only. When documents become eligible for transfer to the Federal Records Center, the classified files will be transferred separately and will be listed on a separate MSFC Form 578 (Records Transfer List) from the unclassified, and appropriate cross references made.

(1) The active classified document receipt file consists of NASA Forms 416, 416A, etc. for which you have actual custodianship of the material. For filing purposes, the suggested method is by year, month, day and serial number with the lowest numbers first. The disposition instructions for an active receipt file will be as indicated below:

EXAMPLE: 12/3 Active Classified Document Receipt Files
Place individual forms in an inactive file when all documents listed thereon are downgraded, relocated within the installation, transferred, or destroyed.

(2) The inactive classified document receipt file consists of NASA Forms 416, 416A, etc. for which personnel have been relieved of custodianship. The suggested method of filing these receipts is by year, month, day and numerically by serial number, behind a divider (guide) indicating the year the receipt became inactive and the document left your possession. Specific dates for disposition will be used in all cases.

EXAMPLE: 12/3 Inactive Classified Document Receipt Files
CY 80
COFF Dec 31, 80
Destroy Jan, 83

c. TOP SECRET documents will be maintained separately from other files in accordance with current NHB 1620.3.

