REVISION HISTORY			
REV	**Description of Change**	**Author**	**Effective Date**
0	Initial Release	A. Grady	6/5/98
1	Clarifications based on 7/98 DNV Audit and 6/98 Internal Audit (see DCR 98-014). Major rewrite.	M. Hines	9/10/98
2	Clarifications based on 11/98 DNV Audit (DCR 98-069)	R. Serrano	12/18/98
3	Section 5.4 added “or designee.” Clarified definitions in 6.2.4, 6.2.5, 6.2.6, and 6.2.8, and added Table 2 as an example (DCR 99-010)	R. Johnson	5/18/99
4	Section 2 add “(minimum set of records)” (DCR 99-014)	G. Miyahara	6/8/99
5	Administrative change to fix a typo (DCR 01-001)	J. Weller	3/15/01
6	Change the definition of Quality Record, Section 3.3 (DCR 02-002)	J. Weller	2/27/02
7	Clarifications based on NQA Audit 10/01, CAR ARC-00940 (DCR 02-007)	J. Weller	4/17/02

REFERENCE DOCUMENTS	
Document Number	**Document Title**
ANSI/ASQC Q9001	Quality Systems–Model for Quality Assurance in Design, Development, Production, Installation, and Servicing
53.ARC.0000	Ames Research Center Quality Manual, Section 4.16
APD 1440.1	Ames Policy Directive - Records Management Program

Documents referenced in this procedure are applicable to the extent specified herein.

1. Purpose

The purpose of this document is to establish the requirements for the generation of Quality System procedures governing Quality Records. This shall include how Quality Records are identified, collected, indexed, accessed, filed, retained, maintained, disposed, and stored within the Ames Research Center (ARC) Quality System.

2. Scope

This procedure applies to designated Quality Records as required in Table 1 (minimum set of records) of this document and to other Quality Records identified in implementing documents. Quality Records that are considered Vital Records for center operation are managed in accordance with APD 1440.1.

3. Definitions and Acronyms

3.1.	Author	Person designated to create or revise a document or Quality System data
3.2.	Center Records Management Officer	Individual responsible for interpreting and assisting in implementing NASA's federal records management system
3.3.	Quality Record	A subset of records that demonstrates conformance to requirements and the effective operation of the quality system. Quality records are those records important enough to be specifically identified as such in System Level Procedures or Work instructions.
3.4.	Quality Records Custodian	Individual assigned by the Responsible Manager for the control and maintenance of Quality Records
3.5.	Responsible Manager	Person having the responsibility and authority to accomplish/implement a specific activity or process (includes organizational line managers, project managers, etc.)
3.6.	Vital Records	Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities.

4. Flowchart

There is no flowchart required for this document.

5. Responsibilities

5.1. **Author** shall:

- explicitly list the Quality Records associated with the Quality System document created by the author.

5.2. **Responsible Manager** shall:

- ensure that records specified in the Quality System as Quality Records are handled in accordance with the requirements of this document.

5.3. **Center Records Management Officer** shall:

- work with Quality Records Custodians to assist in proper disposition of Quality Records.

5.4. **Quality Records Custodian** or designee shall:

- collect, store, and maintain Quality Records for the minimum retention period or the period designated by the Center Records Management Officer, and
- ensure that Quality Records retained are legible.

6. Procedure

6.1. Every Quality Record shall have a governing procedure that explicitly addresses the attributes defined in 6.2.

Table 1 is a listing of the required Quality Records in the ANSI/ASQC 9001 standard, with the specific reference section identified in the first column. The ARC Quality System documents referenced in the second column identify where the ARC equivalent versions of these Quality Records are listed.

Table 2 is an example of a Quality Records matrix that shows how each of the attributes in 6.2 are defined. A Quality Records matrix can be used as a governing procedure if it is numbered, approved, and placed under an organization's document control system.

6.2. Required attributes:

6.2.1. Identification

Quality Records shall be appropriately identified by a descriptive title clearly labeling the record.

6.2.2. Collection

The Quality Records Custodian identified for each Quality Record shall collect the record.

6.2.3. Indexing

All Quality Records shall be assigned a unique name, or number, or date to distinguish it from other Quality Records with the same identification.

6.2.4. Accessing

Quality Records shall be readily accessible to individuals requiring information contained in the record. Procedures shall define who may access the Quality Records or through whom the Quality Records may be accessed.

Quality Records shall be available to customers for the period agreed to per customer agreements.

Subcontractor's Quality Records, as specified by contract, shall be made available upon request.

6.2.5. Filing

"Filing" is considered the location where active records are kept. All Quality Records shall be physically or electronically filed by a method which enhances accessibility and retrieval by a user. If electronic files are used, a back-up system or other suitable measures to prevent record loss should be implemented. Procedures shall define the location where Quality Records are filed.

6.2.6. Retention

A Quality Record's "retention" time refers to how long it is kept at ARC before it is either discarded or destroyed, or sent to off-site, long-term storage. Quality Records shall be retained on-site for the minimum retention time shown in Table 1. Records may be retained longer than the minimum retention time for the convenience of the organization. Retention times for organization-specific Quality Records (i.e., those not listed in Table 1) are determined by the organization and stated in their Quality System documents.

6.2.7. Maintenance

All Quality Records shall be filed and stored in an office environment unless specific media and/or special environmental control is specified to prevent damage, deterioration, or loss.

6.2.8. Disposition

Procedures shall define how Quality Records are to be disposed when the retention time has been exceeded. Disposition may be to discard or destroy the Quality Records, or it may be to contact the Center Records Management Officer for instructions on long-term storage.

6.2.9. Storage

After the appropriate on-site retention time, all Quality Records shall be stored long-term as defined by the Center Records Management Officer.

Table 1: Quality Records

ANSI/ ASQC 9001	ARC Quality System Document	Quality Record Required	Minimum Retention Period
4.1.3	53.ARC.0001	Management review of quality system	5 years
4.3.4	53.ARC.0003 53.ARC.0009.2 53.ARC.0009.4	Contract review (customer agreements)	3 years after work completed
4.4.5	53.ARC.0004.1 53.ARC.0004.2	Design review	2 years after project close-out
4.4.7	53.ARC.0004.1 53.ARC.0004.2	Design verification	5 years after project close-out
4.6.2	53.ARC.0006	Contractor Performance Data	2 years after contract close-out
4.7	53.ARC.0007	Nonconformance of customer-supplied product	2 years after final action
4.8	53.ARC.0004.3	Record of unique identification of individual product or batches	5 years
4.9	53.ARC.0000	Record of qualified processes, equipment, or personnel, as appropriate	3 years
4.10.3	53.ARC.0010	Identification of product authorized for urgent release prior to verification	2 years
4.10.5	53.ARC.0010	Identification of inspection authority responsible for release of product	3 years
4.11.1	53.ARC.0011	Results and frequency of test software and test hardware checks which prove the equipment is capable of verifying the acceptability of product (only applicable for calibrations done in-house)	2 years
4.11.2 e)	53.ARC.0011	Calibration records for inspection, measuring, and test equipment done by calibration lab	3 years
4.13	53.ARC.0013	Description that denotes actual condition of nonconformity that has been accepted, and of repairs	5 years

4.14.2 b)	53.ARC.0014	Results of investigation of the cause of nonconformance related to product or process	3 years
4.17	53.ARC.0017	Results of internal audits, including implementation and effectiveness of any corrective action taken	3 years
4.18	53.ARC.0018	Appropriate record of training	3 years

7. Metrics

There are no metrics required for this document.

8. Quality Records

There are no Quality Records required for this document.

9. Forms

There are no forms required for this document.

Table 2

Quality Record Examples

Identification	Collection	Indexing	Accessing	Filing	Minimum Retention	Disposition	Storage
Technical Task Agreements	Project Manager	Task Order Number	Request through Project Manager	Project Manager's Office	3 years after work completed	Contact the Center Records Management Officer	As determined by the Center Records Management Officer
Design Reviews	Project Manager	Project Title	Project Team	Project File	2 years after project close-out	Discard	Not/applicable
Design Verification	Project Manager	Project Title	Project Team	Project File	5 years after project close-out	Discard	Not/applicable
Survey Report, Form NF 598	Branch Manager	Project ID	Branch Personnel	Branch Office Files	2 years after final action	Discard	Not/applicable
User Calibration Records (For equipment outside of ARC Recall System)	Equipment User	Equipment ID and Date	User	User's Office	3 years	Discard	Not/applicable
Inspection Records	Inspectors	Project ID	Request through inspectors	Inspection Office	3 years	Discard	Not/applicable
Employee Performance & Communication System (EPCS), Form ARC 33	Supervisor	Employee Name	Supervisor	Supervisor's Office	3 years	Shred	Not/applicable

ISO 9000 Training	Supervisor	Date	Supervisor	Administrative Assistant's Office	3 years	Shred	Not/applicable
Additional Training Records	Supervisor	Employee Name	Supervisor	Supervisor's Office	3 years	Shred	Not/applicable

The following statements at the bottom of the table are examples that may be used in lieu of a separate column because they would apply to all Quality Records for an organization.

Disposition: These Quality Records are shredded at the end of the retention time.