



# Policy

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## Management of Active and Inactive Records, Rev. 2

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<b>Doc Owner:</b> Hooks, Michael	<b>Process:</b> Organize Knowledge	<b>Process Owner:</b> Oliver, Yolanda	<b>Next Review Date:</b> 06/25/2003
<b>Revision 2:</b> This revision deletes the obsolete Performance Goals section, and repairs a broken graphics link.			

### Applicability

The policy applies to all JPL and on-site contractor employees who create or receive records in the course of performing JPL work.

### Policy Statement

For definitions, please click on the following terms:

[records](#)

[active records](#)

[controlled records](#)

[inactive records](#)

[record storage](#)

All records, whether in hard copy or electronic form, that are created or received by JPL and on-site contractor employees in the conduct of performing JPL work are institutional property. Retention of records is based on contractual and Caltech requirements.

The Laboratory shall follow accepted records management practices in maintaining its active and inactive institutional hard copy and electronic records.

Program, project, and line organizations are responsible for properly maintaining their active records. The contractor-operated JPL Records Storage Facility shall be used for storing, maintaining and providing retrieval services for inactive institutional hard copy records and electronic record storage media. Access to the inactive records in record storage will be limited to the employees, or their designees, who transferred the records to storage. Employees who terminate or retire shall assign these inactive records to another employee.

Electronic records must be stored in appropriate environmental conditions to ensure against their damage, deterioration, or loss. Attention must also be given to security and accessibility to electronic records. Project, program, task, and line organizations shall write and retain (along with the electronic records) documentation for each electronic information system that produces, uses, or stores data files. They shall ensure that only authorized personnel have access to their electronic records. Reasonable backup measures shall be taken to prevent loss of information.

The time to transfer active institutional hard copy and electronic records to inactive record storage shall be a minimum of three years after the records were created. However, they may be retained longer by the project, program, task, or line organizations if the records remain active and add value to current work activities and operations. Once the records are transferred to inactive records storage, the inactive records shall be retained for a minimum of six years and three months after final payment of the applicable Prime Contract. Caltech and NASA determine the date of final payment.

A subset of the Laboratory's records are the controlled records. Documented procedures for these controlled records, whether in hard copy or electronic form, shall be established and maintained to ensure their identification, collection, filing, indexing, storage, maintenance, access, and disposition. All controlled records shall be stored and maintained so as to be readily accessible and in such a manner as to prevent damage, deterioration, or loss.

Covered by this policy are records that are maintained to demonstrate conformance to specified requirements and the effective operation of JPL's Product Delivery System. As a minimum, JPL shall include the following records:

1. Management Review Records
2. Contract Review Records
3. Design Review Records
4. Design Verification Measures
5. Records of Acceptable Contractors
6. Records of Unsuitable Customer Supplied Products
7. Qualified Process Records
8. Qualified Equipment Records
9. Qualified Personnel Records

10. Positive Recall Records
11. Inspection and Test Records
12. Verification Records for Test Hardware and Software
13. Calibration Records
14. Nonconformance Records
15. Nonconformance Investigation Records
16. Subcontract Quality Records
17. Audit Results Records
18. Follow Up Audit Records
19. Training Records
20. Change Requests
21. Waivers

The controlled record requirements and retention guidelines are as follows:

Item #	Active Records Requirements	Record Status/ Retention Guidelines	Policy
1	<u>Identification</u> - What are the records produced by your activity?	Active, min. 3 years	Management of Active and Inactive Records
2	<u>Collection</u> - Distribution and collection point, where will records be maintained?	" "	
3	<u>Filing and Indexing</u> - How records will be filed and indexed?	" "	
4	<u>Access</u> - Describes who and how these records will be accessed	" "	
5	<u>Disposition</u> - Describes how records will be transitioned to inactive status.	" "	
Item #	Inactive Records Requirements	Record Status/ Retention Guidelines	Policy
6	<u>Storage</u> - Filing and indexing, maintenance, storage.	Inactive, min. 6 years 3 months after final payment of applicable prime contract.	Management of Active and Inactive Records
7	<u>Storage Disposition</u> - Describes disposition of inactive records currently residing in records storage.	" "	

The procedure for preparing and shipping records to the contractor-operated JPL Records Storage Facility is described in the Transferring Inactive Records to Records Storage System Procedure. If the inactive records are needed for temporary reuse by line organizations, they can be requested by following the steps described in the Temporarily Withdrawing and Returning Inactive Records to Record Storage System Procedure.

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## Rationale

It is in the Laboratory's best interest and is necessary to satisfy contractual, Government, and Caltech requirements to ensure that the active and inactive institutional hard copy and electronic records are retained according to professional records management practices.

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## Consequence

### Naturally Occurring Consequences:

Failure to follow this policy will jeopardize the technical, legal, and financial interests of the Laboratory; violate Government, contractual and Caltech requirements; and not allow for the adequate retention and storage of institutional hard copy and electronic records.

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## Document Information

### Sources and Controlling Documents

**Policy:** Control of Product Delivery Records --ISO 9001 Element 16

### See also:

- List: Information Providers
- Topic: Information Services
- List: Group 2745

### Revision History

1	<u>41261</u>	02/17/1999	06/25/2001	Michael Hooks	An eighth paragraph was added to the Statement which includes a minimum list of records that must be maintained.
0	<u>39984</u>	02/09/1999	02/17/1999	Michael Hooks	This new policy incorporates the records part of the Institutional Document, Data and Records Policy.

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