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|  | Code I Directorate Level Procedure ISO 9001 - Ames Research Center | | Document #: 53.I.0016 | Rev.: D |
| | Title: Code I Quality Records Matrix | | | Page #: 1 of 7 |

| REVISION HISTORY | | | |
|------------------|--|-------------|----------------|
| REV | Description of Change | Author | Effective Date |
| - | Initial Release | R. Carvalho | 12/10/98 |
| A | Revision based on recent SLP revisions | R. Carvalho | 1/25/99 |
| B | Major rewrite | W. Henry | 3/30/99 |
| C | Update to section 6: Design Verification minimum retention time. | P. Vasquez | 9/24/99 |
| D | Added Quality Record | P. Vasquez | 3/9/01 |

| REFERENCE DOCUMENTS | |
|---------------------|-----------------|
| Document Number | Document Title |
| 53.ARC.0016 | Quality Records |

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

1. Purpose

This procedure establishes the requirements for control of Quality Records within Code I. This shall include how Quality Records are identified, collected, indexed, accessed, filed, retained, maintained, disposed, and stored in accordance with 53.ARC.0016.

2. Scope

This procedure applies to all Code I personnel, including contractors, who generate or control Quality Records. This procedure applies, as a minimum, to the Quality Records specified in Table 1 of this document.

3. Definitions and Acronyms

- | | | |
|------|--|---|
| 3.1. | Responsible Manager | Person having the responsibility and authority to accomplish or implement a specific activity or process (includes line managers, project managers, etc.) |
| 3.2. | CRMO (Center Records Management Officer) | Individual responsible for interpreting and assisting in implementing NASA's federal records management system |

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4. Flowchart

A flowchart is not required for adequate understanding of this procedure.

5. Responsibilities

5.1. All **Code I personnel** shall:

- Follow the requirements of this document as they apply.

5.2. **Responsible Manager** shall:

- Ensure that specified Quality Records are processed, maintained, and controlled in accordance with the requirements of this document.

6. Procedure

The following Quality Records shall be controlled and maintained by Code I staff:

Table 1: Code I Quality Records

| SLP Origin | 53.ARC.0001 | 53.ARC.0003 | 53.ARC.0004.1 | 53.ARC.0004.1 |
|--------------------------|---|----------------------------------|---------------------------------|---------------------------------|
| Identification | Minutes of the Directorate Rev. of Quality System | Signed Customer Agreement | Design Review | Design Verification |
| Collection | Directorate Secretary | Approving Official | Software Project Manager | Software Project Manager |
| Indexing | Date | Date | Date | Date |
| Accessing | Directorate Staff and Division Chiefs | Project team and line management | Project team | Project team |
| Filing | Directorate Office | File cabinet | Project file | Project file |
| Minimum Retention | 5 Years | 3 years after work complete | 2 years after project close-out | 5 years after project close-out |
| Maintenance | Office Environment | Office environment | Office environment | Office environment |
| Disposition | Discard | Throw away | Throw away | Throw away |
| Storage | N/A | Not | Not applicable | Not applicable |

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Table 1: Code I Quality Records, continued

| | | | | |
|--------------------------|--|--|-----------------------------------|--|
| SLP Origin | 53.ARC.0004.2 | 53.ARC.0004.2 | 53.ARC.0004.3 | 53.ARC.0004.3 |
| Identification | Design Review | Design Verification | Product/Batch Traceability Record | Change Request Form |
| Collection | Systems/ Hardware Project Manager | Systems/ Hardware Project Manager | Project Manager | Configuration Management Officer |
| Indexing | Date | Date | Date | Seq. change number |
| Accessing | Project team | Project team | Project team | Project team |
| Filing | Project file | Project file | Project file | Project file |
| Minimum Retention | 2 years after project close- out | 5 years after project close- out | 5 years | 1 year after close-out |
| Maintenance | Office environment | Office environment | Office environment | Office environment |
| Disposition | Throw away | Throw away | Throw away | Throw away |
| Storage | Not applicable | Not applicable | Not applicable | Not applicable |

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Table 1: Code I Quality Records, continued

| | | | | |
|--------------------------|----------------------------|----------------------------------|---|-----------------------------|
| SLP Origin | 53.ARC.0007 | 53.ARC.0009.2 | 53.ARC.0009.2 | 53.ARC.0009.2 |
| Identification | Survey Report (NF 598) | Research Proposal/Plan | Review and Authorization Form (ARC 310) | STI DAA (NF 1676) |
| Collection | Project Manager | Project Manager | Division Management | Division Management |
| Indexing | Org. and seq. number | Year | Author | Author |
| Accessing | Project team | Project team and line management | Division staff | Division staff |
| Filing | Project file | Project file | Div. pub. file | Div. pub. file |
| Minimum Retention | 2 years after final action | 3 years after work complete | 3 years after work complete | 3 years after work complete |
| Maintenance | Office environment | Office environment | Office environment | Office environment |
| Disposition | Throw away | Throw away | Contact the CRMO | Contact the CRMO |
| Storage | Not applicable | Not applicable | As determined by the CRMO | As determined by the CRMO |

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Table 1: Code I Quality Records, continued

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|--------------------------|----------------------------------|-------------------------|--------------------|---------------------------|
| SLP Origin | 53.ARC.0009.4 | 53.ARC.0009.4 | 53.ARC.0010 | 53.ARC.0010 |
| Identification | Project Plan | Program Plan | Urgent Use Record | Release of Product Record |
| Collection | Project Manager | Program Manager | Project Manager | Project Manager |
| Indexing | Date | Date | Date | Date |
| Accessing | Project team and line management | Project team | Project team | Project team |
| Filing | Project file | Project file | Project file | Project file |
| Minimum Retention | 3 years after work complete | 2 years after close-out | 2 years | 3 years |
| Maintenance | Office environment | Office environment | Office environment | Office environment |
| Disposition | Throw away | Throw away | Throw away | Throw away |
| Storage | Not applicable | Not applicable | Not applicable | Not applicable |

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Table 1: Code I Quality Records, continued

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|--------------------------|---|---|----------------------------------|
| SLP Origin | 53.ARC.0011 | 53.ARC.0011 | 53.ARC.0013 |
| Identification | Record of Calibration (of off-site calibration) | Record of testing of software or hardware used to inspect product | Signed Waiver/ Deviation |
| Collection | IM&TE User or Property Custodian | Software or Hardware User | Project Manager |
| Indexing | NASA decal # | Date | Date |
| Accessing | Project team | Project team | Project team and line management |
| Filing | Project file or property custodian file | Project file | Project file |
| Minimum Retention | 3 years | 2 years after close-out | 5 years |
| Maintenance | Office environment | Office environment | Office environment |
| Disposition | Throw away | Throw away | Throw away |
| Storage | Not applicable | Not applicable | Not applicable |

Table 1: Code I Quality Records, continued

| | | | |
|--------------------------|------------------------|-------------------------------|-------------------------------|
| SLP Origin | 53.ARC.0013 | 53.ARC.0018 | 53.ARC.0018 |
| Identification | Non-conformance Report | EPCS (ARC 33) | Additional Training Records |
| Collection | Project Manager | Supervisor | Supervisor |
| Indexing | Seq. DR # | Year | Year |
| Accessing | Project team | Supervisor | Supervisor |
| Filing | Project file | Local copy of personnel file | Local copy of personnel file |
| Minimum Retention | 5 years | 3 years | 3 years |
| Maintenance | Office environment | Secured in office environment | Secured in office environment |
| Disposition | Throw away | Shredded | Shredded |
| Storage | Not applicable | Not applicable | Not applicable |

7. Metrics

There are no applicable metrics for this procedure.

8. Quality Records

There are no applicable Quality Records for this procedure.

9. Form(s)

There are no applicable forms for this procedure.