



**NASA
POLICY
DIRECTIVE**

Directive: NPD 1440.6G

Effective Date: December 12, 2002

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Responsible Office: AO / Office of the Chief Information Officer

Subject: NASA Records Management

1. POLICY

It is NASA policy to--

- a. Accurately and completely make and preserve records containing documentation of the organization, functions, policies, decisions, procedures, and essential transactions that protect the legal and financial rights of the Government and persons directly affected by Agency activities as required by Section 3101 of Title 44 U.S.C.; preserve institutional memory; and permit NASA to be responsive to Congress and oversight agencies.
- b. Identify, select, preserve, and protect records including temporary records, permanent records, and vital records against loss, theft, unauthorized release or change, as well as dangers posed by armed conflict, natural and human-made disasters, or other emergencies. This protection will ensure continuity of operations during and after an emergency, enabling the Agency to perform emergency preparedness and national security activities.
- c. Protect the trustworthiness of electronic records, including their reliability, authenticity, integrity, and usability to meet its internal business and legal needs, as well as external regulations and requirements.

- d. Effectively and efficiently manage its records, regardless of format or media (including paper, microform, electronic, and audiovisual), throughout their life cycle in order to facilitate the Agency's programmatic and administrative missions. NASA management shall implement adequate training, processes, and controls to properly preserve official Agency records in accordance with applicable statutory and regulatory requirements and shall promote access to information by NASA staff, Agency partners, and the public as appropriate.
- e. Preserve, maintain, and dispose of NASA records in accordance with NPG 1441.1, NASA Records Retention Schedules.

2. APPLICABILITY

- a. This NPD applies to NASA Headquarters and NASA Centers, including Component Facilities; and to contractors or other entities who create and/or maintain records for, or on behalf of, NASA as specified in their contract or other governing agreement.
- b. This NPD applies to records as defined by 44 U.S.C. 3301.

3. AUTHORITY

- a. 44 U.S.C. Chapters 29, 31, 33.
- b. 44 U.S.C. 3501 et seq., Paperwork Reduction Act.
- c. 36 CFR Parts 1220-1238.
- d. 5 U.S.C. 552, The Freedom of Information Act as amended.
- e. 5 U.S.C. 552a, The Privacy Act of 1974 as amended.
- f. OMB Circular A-130, Management of Federal Information Resources.
- g. OMB Circular A-123, Internal Control Systems.
- h. Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, Sections 201, 202, 1901, and 2001 (November 18, 1988), as amended.

4. REFERENCES

- a. NPG 1441.1, NASA Records Retention Schedules.
- b. National Archives and Records Administration (NARA) General Records Schedules.
- c. NPD 2810.1, Security of Information Technology.
- d. NPG 2810.1, Security of Information Technology.
- e. Federal Preparedness Circular (FPC) 60, Section 11, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies.
- f. FPC 64, Section 11, Continuity of the Executive Branch of the Federal Government at the Regional Level During National Security Emergencies.

5. RESPONSIBILITY

- a. The NASA Chief Information Officer (CIO) has ultimate responsibility on behalf of the Administrator and the Agency for oversight and management of the records management function. The NASA CIO is accountable for the establishment and maintenance of an active, continuing program for economic and efficient management of NASA records.
- b. The NASA Center Directors and the Director for Headquarters Operations are responsible for implementation of effective records management programs at their Centers and designation of a Center Records Manager and a Vital Records Manager. The NASA Center Directors shall ensure that organizations generating statements of work for contracts include appropriate records management requirements to comply with this NPD and its authorities in all NASA contracts involving creation or maintenance of Federal records.
- c. NASA Center CIO's are responsible and accountable, in coordination with their Center Records Manager, for electronic records management implementation in accordance with 36 CFR 1234 and ensuring incorporation of records management and archival functions into the design, development, and implementation of information systems.
- d. Officials-in-Charge of Headquarters Offices and NASA Center Directors are responsible for implementing the NASA records management functions within their respective organizations by ensuring the designation of organizational Records Liaison Officers who will coordinate with the Center

Records Manager who will, in turn, coordinate with the Agency Records Officer as appropriate.

e. The NASA Historian and history representatives at NASA Centers, in coordination with the Center Records Managers and the Agency Records Officer, are responsible for providing guidance on the disposition of historical records or specialized collections of NASA or non-NASA records with historically significant value, consistent with the authorities cited in paragraph 3 of this NPD.

f. The Agency Records Officer is responsible for overall management and control of the Agency Records Management program, including management of Agency records from creation to final disposition, effective communication with NARA officials and Center Records Managers, development and maintenance of Agency Records Management policies and guidelines, and ensuring that adequate records management training is provided to Agency personnel.

g. Center Records Managers are responsible for overseeing a records management program in their respective Centers, coordinating the activities of Records Liaison Officers within their Centers, and providing advice on the management of records throughout their full life cycle, including appropriate and adequate storage, and proper scheduling and disposition of records. Additionally, they are responsible for consulting with Records Liaison Officers and Center employees regarding their responsibilities and communicating regularly and effectively concerning updates, changes, and issues in records management and electronic records with customers, Records Liaison Officers, and the Agency Records Officer.

h. Vital Records Managers, in coordination with their Center Records Managers and Emergency Preparedness Officers, are responsible for facilitating the designation, maintenance, and protection of their Centers' vital records as defined in 36 CFR 1236.14.

i. Records Liaison Officers are responsible for representing their organizations to the Center Records Manager and implementing records management procedures within their organizations, including developing file or records plans and records inventories, as required.

j. All NASA employees or organizations that create, maintain, and dispose of NASA-owned records are responsible for reviewing and ensuring that their records are in compliance with the appropriate NASA directives and guidance. In addition, they are responsible for identifying permanent records within their organization(s) and submitting inventories and filing schemes as required through their respective Records Liaison Officer to the Center Records Manager.

6. DELEGATION OF AUTHORITY

The authority to establish and maintain a program for the management of Agency records is delegated to the NASA CIO who may further delegate this authority to the Agency Records Officer.

7. MEASUREMENTS

In assessing whether NASA is in compliance with current directives or regulations, as applicable, the Agency will do the following:

- a. The Agency Records Officer will conduct routine records management reviews to examine file plans, filing systems, record inventories (regardless of medium), reduction(s) of onsite noncurrent records, and archiving activities; and to review official files, records in electronic systems, and systems outputs to determine if needed documentation is being created and maintained. Discrepancies and/or missing data will be documented and corrected, wherever possible.
- b. Center Records Managers will conduct reviews, including inspections for appropriate facility standards as specified by NARA and the NASA Records Officer, to ensure that permanent and official records are selected, identified, protected, and located throughout the Agency. In addition, submit annually any discrepancies that indicate that records are not being protected, preserved, and maintained in compliance with current regulations. Discrepancies or missing data will be documented and corrected, wherever possible.

8. CANCELLATION

NPD 1440.6F, dated April 25, 2002

/s/ Sean O'Keefe
Administrator

ATTACHMENT A: (TEXT)

(URL for Graphic)

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