

# Kennedy NASA Procedural Requirements

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Responsible Office: Information Technology and Communications Services

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## KSC Records Management

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National Aeronautics and  
Space Administration

John F. Kennedy Space Center

### Change Log

Date	Revision	Description
07/10/10	Basic	New created document.
02/28/11	A	Document has been revised in Section 2.8, and item b, was inserted, to allow organizations to have flexibility in reporting their records.
06/28/12	A-1	Removed references to KSC Form 50-81 NS, Agency Survey Checklist and KSC Form 50-82 NS, Agency Annual Report as they are no longer required by the Agency Records Officer.
08/22/13	A-2	Deleted KSC-PLN-2641, KSC Records Management Assessment Plan and added KSC-PLN-2621, KSC Records Management Performance Surveillance Plan.
08/20/15	B	Document revision is due to recent updates to NPR 1441.1 and the addition of NRRS 1441.1. Administrative changes include, but not limited to, the removal of cancelled documents (KSC-UG-2620, KSC-PLN-2621, and KSC Form 50-80); and in Section 2.5.e, the training requirement from NARA was removed and the KSC Records Management training (onsite training) was added.
09/16/16	B-1	Minor admin. change to Section 2.7.c to delete a reference to cancelled document KDP-KSC-M-1000, KSC Business Management System Manual.

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## **PREFACE**

### **P.1 PURPOSE**

This directive establishes correlation between requirements and responsibilities, and provides a systematic approach to effective and efficient implementation of records management at Kennedy Space Center (KSC). It provides a consistent way for all Center organizations to identify, collect, index, file, store, maintain, dispose, and retrieve records in accordance with established [NASA Policy Directive \(NPD\) 1440.6](#), [NASA Records Management](#); [NASA Procedural Requirement \(NPR\) 1441.1](#), [NASA Records Management Program Requirements](#); [NASA Records Retention Schedules \(NRRS\) 1441.1](#); and [KDP-KSC-F-1147, Business Record Template \(BRT\)](#).

### **P.2 APPLICABILITY**

This KNPR applies to all NASA Kennedy Space Center (KSC) personnel and KSC contractors to the extent specified in their contracts.

### **P.3 AUTHORITY**

- a. [NPD 1440.6](#), NASA Records Management

### **P.4 APPLICABLE DOCUMENTS and FORMS**

- a. [NPR 1441.1](#), NASA Records Management Program Requirements
- b. [NRRS 1441.1](#), NASA Records Retention Schedules
- c. [KDP-KSC-F-1147](#), Business Record Template
- d. [36 CFR 1223.1-24](#), Managing Vital Records

### **P.5 MEASUREMENT/VERIFICATION**

In accordance with [NPD 1440.6](#), NASA Records Management, and [NPR 1441.1](#), NASA Records Management Program Requirements, the Center shall use a quantitative approach to collecting and providing assessment data to support the Agency review process. This approach will ensure identification of performance issues and allow appropriate analysis to direct enhancements for continuous improvement and successful overall compliance with records management initiatives.

**P.6 CANCELLATION or SUPERSESSION**

This revision supersedes KNPR 1440.6, Rev. B, KSC Records Management, dated September 8, 2015.

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## **CHAPTER 1. Goals and Objectives**

### **1.1 Goals**

KSC records shall receive the appropriate level of maintenance, cataloging, analysis, disposition management and archival to ensure protection of our valuable assets and preservation of our history. The goal of the KSC Records Management program is to facilitate compliance with Agency and Federal requirements and provide a sound structure to allow ongoing continued improvement in overall performance of records management.

### **1.2 Objectives**

The objective of the program is to clearly define the collaborative processes and responsibilities at the Center that support the implementation of Agency and Federal records management regulatory requirements. Effective methodology and practices are provided in a systematic approach to support Center and Agency-level assessments. Implementation of the program, as outlined in this directive, will facilitate efficient management and continuous improvement of Center records management initiatives.

## **CHAPTER 2. KSC Responsibilities**

### **2.1 Center Director**

The Center Director shall:

- a. Ensure the implementation of an effective Center Records Management Program in accordance with [NPD 1440.6](#) and [NPR 1441.1](#)
- b. Designate a Center Records Manager (RM) and Center Vital Records Manager (VRM).

### **2.2 Office of Chief Counsel**

The Office of Chief Counsel shall:

- a. Provide legal advice to the KSC Records Manager on records management legal matters.
- b. Notify the Center RM of any suspended or frozen records due to pending litigation.

### **2.3 Center Chief Information Officer**

The Center Chief Information Officer (CIO) shall:

- a. Ensure implementation of electronics records management in accordance with [NPD 1440.6](#).

### **2.4 Procurement Office**

The Procurement Office shall:

- a. Ensure that appropriate KSC records management language has been incorporated into KSC contracts.
- b. Provide procurement advice on records management questions relative to contracts and solicitations.
- c. Coordinate requirements in solicitations and contracts, including appropriate data requirements, with the requirements' organization and the RM to ensure proper records management requirements are included in appropriate procurements.
- d. Ensure KSC contractors who maintain NASA records dispose of them in accordance with contractual requirements.
- e. Ensure the proper close out and turn-over of Federal records upon completion of contracts.
- f. Coordinate with the KSC RM to ensure successful transfer of records.

## 2.5 KSC Directors and Managers

KSC Directors and Managers shall:

- a. Ensure the execution of NASA records management function within their respective organizations through the implementation of an information and records management infrastructure and established processes.
- b. Ensure that adequate controls are in place to properly preserve their organization's records.
- c. Ensure all employees receive records management training including NASA "Records Management for Everyone" and "Records 101" through the System for Administration, Training, and Educational Resources for NASA (SATERN), an on-line training website.

Project managers are recommended to take Project Start-up, Project Closeout, and Electronic Records.

- d. Ensure the Records Liaison Officers (RLOs), Alternate Records Liaison Officers (ARLOs) and Records Custodians (RCs) receive the mandatory records management training, through the SATERN website, which includes the Records Management Training Modules:

- (1) Filing Tips
- (2) The NASA Records Schedule
- (3) Electronic Records
- (4) How to Retire Records to Storage

It is also recommended that the RLO's, ARLO's and RC's take additional National Archives and Records Administration (NARA) provided training:

- (1) Records Management Overview
- (2) Creating & Maintaining Agency Business Information
- (3) Records Scheduling

- e. Ensure the RLO's, ARLO's and RC's obtain KSC Records Management training class (onsite training).

- f. Ensure appropriate records management contract language is incorporated in all Statements of Work generated by the organization in accordance with [NPD 1440.6](#), Section 5.f(3).

## 2.6 KSC Records Manager and Vital Records Manager

The KSC Records Manager (RM) and Vital Records Manager (VRM) shall:

- a. Implement and oversee the KSC Records Management Program
- b. Facilitate the KSC Vital Records Program by coordinating with the KSC Emergency Preparedness Officer, Continuity of Operations Planning (COOP) Coordinator,

organizations RLOs and contractor records managers in accordance with [NPD 1440.6](#), Section 5.m, and [36 CFR 1223.1-24](#).

- c. Serve as the KSC point of contact with the Agency Records Officer, NARA and RLOs.
- d. Assess Center records management compliance.
- e. Manage and track all record holdings at the Federal Records Center (FRC) and transfers to NARA.
- f. Facilitate the transfer to or return of Center records from the FRC or NARA.

## **2.7 Records Management Office**

The KSC Records Management Office (RMO) provides direct support to the KSC RM as required. The RMO shall:

- a. Support the day-to-day operations of the KSC records management program activities.
- b. Support the records management assessments during surveillance plan activities.
- c. Support the records management assessments during annual Center documentation reviews in accordance with [KNPR 1470.1](#), KSC Business Management System Documentation (BMSD).
- d. Provide customer support for requests to retrieve stored records and forward retrieved records to the requesting customer.
- e. Provide records management support in the NASA Technical Records Center (NTRC), including Center logistics and records transfers to NARA and FRC.
- f. Monitor Center records destruction activities and maintain associated records.

## **2.8 Records Liaison Officers and Alternate Records Liaison Officers**

The organizations' Records Liaison Officers (RLOs) and Alternate Records Liaison Officers (ARLOs) shall:

- a. Implement the NASA records management policy and KSC records management practices to identify, select, preserve, maintain and dispose of the organizations' Federal records.
- b. Ensure all of the branches, offices and divisions in their organization have their records reported on the Business Records Template (BRT) form, [KDP-KSC-F-1147](#).

The BRT is the Center's preference for reporting the organizations records. If an alternative format is used the File Plan shall accurately and completely identify the Agency's records and will be maintained, preserved, protected and dispositioned in accordance with policies and procedures.

An alternate format shall include:

(1) Agency Filing Scheme number (AFS#) – AFS# can be found in NPR 1441.1, [NRRS 1441.1](#), NASA Records Retention Schedules

(2) Item # - In accordance with NPR 1441.1, [NRRS 1441.1](#), NASA Records Retention Schedules

(3) Record Title - A description of what the record is and its function

(4) Office of Record - Office responsible for retiring the record at end of lifecycle

(5) Location - Physical location of records

(6) Retention/Disposition - The period of time the record will be kept, and how it is treated at the end of its active lifecycle

(7) Perm vs Temp - Designation of permanent status or temporary status of records including marking records that are International Traffic in Arms Regulations (ITAR) controlled sensitive.

(8) Vital Status - Records identified as necessary for continuing operations immediately following an emergency

(9) Volume - Volume of records

c. Provide directorate records management assessment support during surveillance plan activities.

d. Provide directorate records management assessment support during annual Center documentation reviews.

e. Provide support to VRM/KSC RM in identifying, collecting, indexing, filing, storing, maintaining, and retrieving, directorate vital records.

f. Review directorate formal Requests for Records Destruction forms and provide approval for destruction or a justification for the extension for retaining records after they have reached the end of their required retention.

## **2.9 Records Custodians**

The organizations' Records Custodians (RCs) shall:

a. Implement the NASA records management policy and KSC records management practices to identify, select, preserve, maintain and dispose of the branch/division records.

b. Provide branch/division records management assessment support during annual Center documentation reviews.

- c. Coordinate with the RLO/ARLO when major changes occur with the branch/division BRT.
- d. Consult with the directorate RLO/ARLO on problems concerning creation, maintenance, use, and disposition of records.
- e. Monitor branch/division records destruction activities.

## **2.10 Technical Representatives**

Technical Representatives are designated by the organization and shall:

- a. Provide the technical expertise to assist the RLO in determining the retention associated with their organization's records.
- b. Develop appropriate retention and disposition recommendations for unscheduled technical records including coordinating with the RLO and appropriate project and program managers.

## **2.11 Individual Personnel**

All KSC Civil Service Personnel shall:

- a. Obtain Basic Records Management training including Records Management for Everyone and Records 101 through SATERN (on-line training).
- b. Ensure all records are properly dispositioned to the RLO/ALRO, RC, or the individual taking over the function upon their transfer, retirement, or termination.