



Procedures and Guidelines

DIRECTIVE NO. 400-PG-1440.7.2
EFFECTIVE DATE: Nov. 7, 2001
EXPIRATION DATE: Nov. 7, 2006

APPROVED BY Signature: Original Signed By:
NAME: James R. Greaves
TITLE: Associate Director, FPPD

Responsible Office: Code 403, Flight Programs and Projects Resources Office

Title: Retention of Program and Project Technical Records by the Code 400 Directorate Library

PREFACE

P1. PURPOSE

The purpose of this procedure is to provide direction for retention of project records by the Code 400 Directorate Library. This direction is supplemental to the requirements of NPG 1441.1.

P2. APPLICABILITY

These requirements apply to all Code 400 organizations responsible for the development of flight hardware. They apply to technical records generated for and in support of programs and projects, whether the records are produced internally or by supporting organizations or contractors. In particular, they apply to all technical records identified as having engineering application after launch. Program and project technical records subject to these requirements are identified in Attachment 1. Administrative records are not subject to the requirements of this PG unless identified in Attachment 1.

P3. AUTHORITY

NPD 1440.6, NASA Records Management

P4. REFERENCES

NPG 1441.1, NASA Records Retention Schedules (NRRS)

P5. CANCELLATION

None

P6. SAFETY

Not applicable

P7. TRAINING

None

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

DIRECTIVE NO. 400-PG-1440.7.2
EFFECTIVE DATE: Nov 7, 2001
EXPIRATION DATE: Nov 7, 2006

P8. RECORDS

Record Title	Record Custodian	Retention
Records Lists	Owning program or project and Directorate Library	Permanent

P9. METRICS

None

P10. DEFINITIONS

Records List – a listing, prepared by a program or project, identifying records provided to the Directorate Library and/or the Federal Records Center (FRC).

PROCEDURES

1. OVERVIEW

Code 400 programs and projects need to ensure that appropriate and complete records are retained to meet engineering requirements that may occur after the end of a project or late in a mission. These engineering requirements may occur long after launch, and may include deorbit analyses, technical analyses for spacecraft contingencies, and other possible applications. The intent of the Directorate Library is to only store documents that may be used again in the future. This PG is intended to ensure availability of this information.

The Code 400 Directorate Library will act as a central collection point for the identified project technical records and will store them in electronic form. The Directorate Library will maintain Records Lists (Section 3) of all records provided to the Directorate Library and of all records sent to the FRC.

The requirements of this PG are separate and in addition to those imposed by NPG 1441.1. It shall be each organization’s responsibility to retire records to the designated FRC as described in NPG 1441.1. Such records shall be identified in the Records List(s) provided to the Directorate Library (see Section 3).

2. PROCEDURE

2.1 APPLICABLE RECORDS

Applicable record types are identified in Attachment 1. Projects will review their own records to identify those subject to the described requirements. Note that it is not the intent of this PG to mandate that all the records identified in Attachment 1 be created and maintained. For projects already in the Implementation

DIRECTIVE NO.	<u>400-PG-1440.7.2</u>
EFFECTIVE DATE:	<u>Nov 7, 2001</u>
EXPIRATION DATE:	<u>Nov 7, 2006</u>

Phase, Attachment 1 is to be used to identify the existing and planned documentation subject to the requirements of this PG. For projects in the Formulation Phase, Attachment 1 should be viewed as a recommended set of documentation to be maintained by the project.

2.2 SCHEDULE

There is no intent to duplicate records already maintained by the individual project offices. In general, there will be a single transfer of records to the Directorate Library after the launch of a given mission, although partial transfers of records may occur if mutually beneficial to the project and the Directorate Library.

For single-mission flight projects, the records transfer should occur within 3 months of completion of the on-orbit checkout of that mission. For multi-mission flight projects such as the weather and tracking & data relay satellites, records pertaining to particular missions should be transferred to the Directorate Library within 3 months of completion of the on-orbit checkout of each mission.

The Directorate Library will retain electronic records permanently.

2.3 RECORDS TRANSFER COORDINATION

It is recognized that each project and organization has its own particular recordkeeping circumstances. Each project and organization should identify a single individual to work with the Directorate Library to develop a records transfer plan tailored to that particular organization. This coordination should take place within 6 months of the signing of this PG. In general, organizations should contact the Directorate Library at least 4 months prior to a planned records submission to ensure adequate coordination and format compatibility.

The Directorate Library will work closely with flight operations projects to minimize duplication and ensure availability of records as needed.

3. RECORDS LIST

Each project is responsible for creating Records Lists of all records delivered to the Directorate Library and all records sent to the FRC. The Records Lists for records delivered to the Directorate Library are to be submitted when the records themselves are delivered. The Records Lists for records delivered to the FRC shall be submitted electronically to the Directorate Library when those deliveries are made. By having available the list of documents stored at the FRC, the Directorate Library will be able to access those records if necessary.

The Records List will contain the following fields:

1. Code/project (organization code and project name/acronym)
2. Document type (requirements, plans, schedules, presentations, etc)
3. Title
4. Document number (if applicable)
5. Document date, revision date, and change date (as applicable)

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

DIRECTIVE NO.	<u>400-PG-1440.7.2</u>
EFFECTIVE DATE:	<u>Nov 7, 2001</u>
EXPIRATION DATE:	<u>Nov 7, 2006</u>

6. Originating organization
7. Author (if appropriate)
8. File format (.xls, .doc, .pdf, etc.)
9. Media type (e.g., compact disk)
10. Abstract (brief descriptor of contents)
11. Security Level (see below)
12. Accession number and box number, for records sent to FRC
13. Date(s) of delivery of records to the FRC

The abstract is required for all records generated after one month from the effective date of this document. For records produced before that date, the abstract is desired but is not mandatory.

Security levels are based on the level of user access available to users of the Directorate Library. Security levels shall be indicated as 1, 2, or 3 as described below:

1. Level 1: GSFC Code 400 Directorate and Executive Council access only
2. Level 2: GSFC Civil servants only
3. Level 3: GSFC Intranet

Documents that are contractor-proprietary shall be indicated as 1P or 2P, and shall be controlled as described in Section 5.2.

4. RECORDS FORMAT

To the extent possible, organizations are responsible for ensuring their records are delivered in the required electronic format. Projects should coordinate with the Library to identify the most efficient approach to generating the required electronic versions.

Records other than drawings will be submitted in Word, Excel, Powerpoint, or .pdf format. Drawings will be submitted in a form compatible with the Library software capabilities. If not available in a standard CAD format, drawings will be scanned and submitted in .pdf format. However, other formats may be accepted if prearranged with the Directorate Library.

5. RECORDS SECURITY

5.1 Classified Records. Retention of classified records shall be according to NPG 1441.1. Storage and disposal of classified records will be coordinated through the GSFC Security Office. Classified records will be identified on Records Lists (unless the existence of the record is itself classified), but will not be sent to the Directorate Library.

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

DIRECTIVE NO.	<u>400-PG-1440.7.2</u>
EFFECTIVE DATE:	<u>Nov 7, 2001</u>
EXPIRATION DATE:	<u>Nov 7, 2006</u>

5.2 Proprietary Records. Contractor-proprietary records will not be made available to other contractors unless there is a specific, documented need, and a signed non-disclosure agreement is available. Contractor-proprietary records will not be placed on the GSFC Intranet.

5.3 Public access to records. Records stored electronically in the Directorate Library are accessible to the public only through normal Freedom of Information channels, except as described above.

DIRECTIVE NO. 400-PG-1440.7.2
EFFECTIVE DATE: Nov 7, 2001
EXPIRATION DATE: Nov 7, 2006

ATTACHMENT 1

Item	Document Description
1	Organization Charts: Who did what?
2	Top-level design requirements, performance requirements, project plans, derived requirements, risk management plans.
3	Specifications: systems, subsystems, black box, ground support equipment. Interface Control Documents. Launch Vehicle Interface Documents
4	Agreements: Agency, inter-agency, and international, e.g., Memorandum of Agreement, Memorandum of Understanding, etc.
5	Analytical reports:* <ul style="list-style-type: none"> - Failure Effect Modes models, thermal models, detailed mass properties data/reports, Failure Mode Effects Analyses
6	Test plans/procedures/reports, including verification tests, validation tests, environmental tests, as-run procedures, etc.
7	Flight and ground software design documentation, including source code, documentation, and compilers
8	Test bed hardware schematics, procedures, test data
9	User's Guides/Equipment Manuals for software, hardware, ground systems, simulators, unique items
10	Flight Operations information including: <ul style="list-style-type: none"> - Spacecraft/Ground systems compatibility test reports, end-to-end system analyses - Mission rules and operational constraints - Flight Operations Manuals, contingency procedures, - Mission Operations/Flight Operations Team training manuals - Mission-related studies: on-orbit refueling, servicing, reentry, Environmental Impact Statement, etc. - Orbital Debris Assessment - End-of-Mission Plan
11	Sensor data (Attitude Control System components such as momentum wheels, magnetometers, Sun/Earth sensors, etc.), pre-flight thruster performance data, similar items
12	Pre-flight Data Packages: component, black box, sensors, thrusters, power systems, Radio Frequency (RF) equipment
13	As built Engineering Drawings, Technical Drawings, Wiring diagrams, Parts Lists, etc., including all Engineering Orders and other changes.
14	Configured Articles Lists, Configuration Change Requests, and change board records, pre- and post-launch
15	Work Order Authorizations & Certification Logs
16	Mishap, Anomaly, and Nonconformance reports (including on-orbit "Incident" reports)
17	Major Review Packages <ul style="list-style-type: none"> - Peer Reviews - Critical Design Reviews - Pre-Environmental Reviews - Pre-Ship Reviews - Mission Operations Reviews - Mission Readiness Reviews
18	Trending data, e.g., Comprehensive Performance Test reports
19	Photographs: pre-launch, as built, and on-orbit photos, negatives, videotapes

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

DIRECTIVE NO. 400-PG-1440.7.2
EFFECTIVE DATE: Nov 7, 2001
EXPIRATION DATE: Nov 7, 2006

CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	Nov. 7, 2001	Initial Release