NASA Procedural Requirements

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COMPLIANCE IS MANDATORY

NASA Directives and Charters Procedural Requirements

Responsible Office: Office of Internal Controls and Management Systems

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Preface

P.1 Purpose

a. This directive describes the responsibilities and requirements for creating, revising, reviewing, approving, publishing, and canceling NASA directives and Agency-level charters.

b. This directive provides specific instructions pertaining to the development, content, processing, and waiving of Agency-level and Center-level directives.

P.2 Applicability

a. This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers. This directive applies to the Jet Propulsion Laboratory and other contractors only to the extent specified or referenced in the appropriate contracts.

b. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.

c. In this directive, "Agency-level directives" refers to directives with Agency-wide applicability (e.g., NPDs, NPRs, and NIDs).

d. In this directive, "Center-level directives" refers to directives with Center-specific applicability (e.g., CPDs, CPRs, and CIDs).

e. In this directive, "NASA directives" refers to both Agency-level and Center-level directives.

f. In this directive, "NASA Charters" refers to those charters that govern councils, boards, committees, panels, and working groups upon which membership is Agency wide.

g. In this NPR, "Center-level charters" refers to those charters that govern councils, boards, committees, panels, and working groups upon which membership is limited to the specific Center.

h. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

i. This directive is applicable to NASA directives developed or revised after the effective date of this NPR.

P.3 Authority

NPD 1400.1, Documentation and Promulgation of Internal NASA Requirements.

P.4 Applicable Documents and Forms

a. Inspector General Act of 1978, 5 U.S.C. App. § 4(a)(2), as amended.

b. Creating Labor-Management Forums to Improve Delivery of Government Services, Exec. Order No. 13522, 74 Fed. Reg. 66,203 (Dec. 14, 2009).

c. NPD 1000.0, NASA Governance and Strategic Management Handbook.

d. NPD 1000.3, The NASA Organization.

e. NPD 1001.0, 2011 NASA Strategic Plan.

f. NPD 1280.1, NASA Integrated Management System Policy.

g. NPD 1420.1, NASA Forms Management.

h. NPR 1441.1, NASA Records Retention Schedules.

i. NPR 1450.10, NASA Correspondence Management and Communications Standards and Style.

j. NHQ Form 117, Action Document Summary.

k. NHQ Form 184, NASA Directive Request Summary.

l. NHQ Form 279, Review Report/Additional Comments.

m. NHQ Form 280, Cancelled Directive(s).

n. NASA Form 422, Signature.

P.5 Measurement/Verification

a. Do developers follow the required processes specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine process compliance, the Office of Internal Controls and Management Systems monitors the processing of each Agency-level directive through the NASA Online Directive Information System (NODIS) and the subsequent signature process to ensure that all process steps and requirements have been completed correctly by all of the process participants. See Verification Matrix A in Appendix C.

b. Do developers prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each Agency-level directive during the NODIS review and verifies that the content requirements have been met. See Verification Matrices B-1 and B-2 in Appendix C.

c. Are Centers following the content and process requirements of this NPR that are applicable to Centers for Center-level directives initiated or revised after the effective date of this NPR? To determine Center compliance with this NPR, Center Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the Center. The Office of Internal Controls and Management Systems surveys the Centers and conducts spot-checks every three years to review Center documentation and implementation of Center-specific verification activity. See Verification Matrices C-1 and C-2 in Appendix C.

d. Does the Office of Internal Controls and Management Systems fulfill its responsibilities as specified within this NPR? To determine the Office of Internal Controls and Management Systems' compliance with the requirements contained in this NPR, internal and external auditors responsible for verifying Headquarters requirements and processes evaluate the Office of Internal Controls and Management Systems' performance against the requirements contained within this NPR.

P.6 Cancellation

NPR 1400.1D, NASA Directives System Procedural Requirements, dated February 18, 2007.

/S/
Dr. Woodrow Whitlow, Jr.
Associate Administrator
Mission Support Directorate

Chapter 1. NASA Directives

1.1 Overview

1.1.1 A NASA directive is a document that formally prescribes requirements derived from law, the President, Federal regulation, the NASA Administrator, or other senior NASA officials. NASA directives can apply to all NASA activities or to a single NASA Center. NASA directives: (1) Establish policies, procedural requirements, and organizations; (2) Define purpose; (3) Grant authority to accomplish a task; and (4) Assign responsibilities.

1.1.2 Responsible Offices develop, coordinate, and promulgate NASA directives in accordance with this NPR to ensure that NASA directives:

a. Are necessary for the fulfillment of NASA's mission.

b. Are evaluated by all affected or interested parties in draft form before issuance and that the feedback is provided for comments received.

c. Are reviewed in draft form to reduce the potential for unintended technical, financial, or legal risks.

d. Are available and easily accessible or retrievable by all affected or interested parties.

e. Include an explanation of how the requirements in the directive will be verified for compliance.

1.2 General Provisions Governing NASA Directives

1.2.1 NASA Directives are published in the NODIS Library.

1.2.1.1 Agency-level directives include NPDs that state the Agency's policies, NPRs that provide detailed procedural requirements to implement policy, and NIDs that provide an immediate, short-term statement of the Agency's policies or procedural requirements.

1.2.1.2 The Administrator approves all NPDs. Center Directors, or designees, approve all Center directives (e.g., CPDs, CPRs, and CIDs).

1.2.1.3 The signatory authority for NPRs and NIDs is either the Official-in-Charge of the Headquarters organization originating the NPR/NID or the Administrator.

1.2.2 NASA directives may apply to JPL or to other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements. When NASA directives are applied to JPL, other contractors, grantees, or parties to agreements, the contract, grant, or agreement should specify which specific requirements from directives apply to contractors, grantees, or parties to agreements. Conversely, requirements directed toward civil servants and contractors should be clearly delineated within directives so that contracts, grants, or agreements can appropriately identify which requirements can be applied to contractors, grantees, or parties to agreements. See notes under paragraphs 2.12.2 and 2.13.2f for delineating examples.

1.2.3 Approved NASA directives are in effect for a maximum of five years. However, revisions can be made whenever a change is warranted.

> Note: Updates to change sections of an NPR can be coordinated in NODIS if the entire directive does not need to be revised. These updates will be recorded in the NPR's Change Log. There will be an assignment of a new 5-year expiration date upon the completion of the changes.

1.2.4 NASA Centers may issue directives when no Agency-level directive exists that provides the required policy or instruction, when an Agency-level directive does not provide adequate policy or instruction, or when a situation is unique to a particular Center.

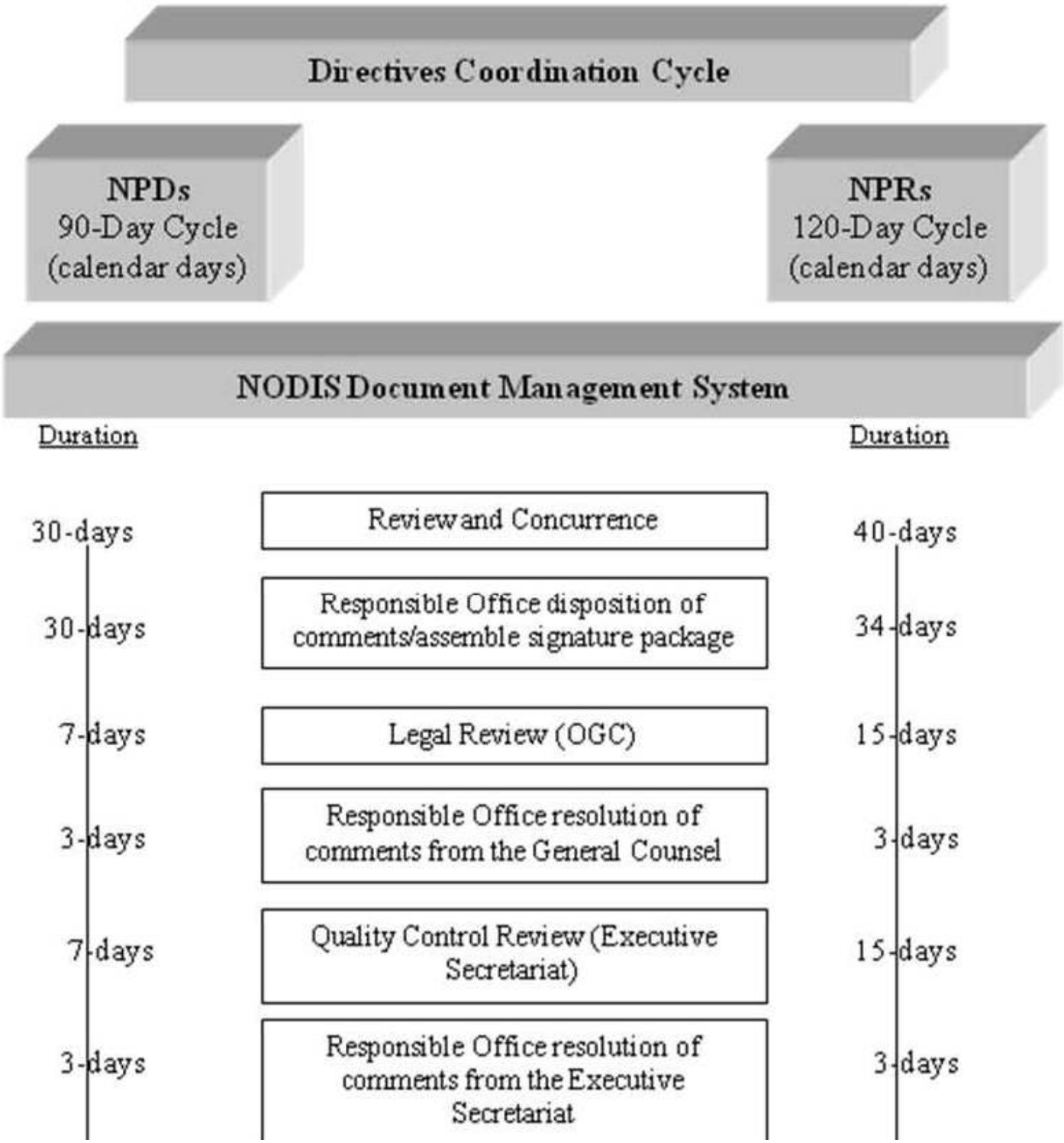
> Note: It is at the discretion of Center management to determine whether Agency-level directives are sufficient or if more specific requirements are needed by the Center.

1.2.5 Requests for Relief (e.g., waivers, deviations, tailoring) to Agency-level directives may be requested. See

requirements for waivers request in paragraph 4.2.

1.2.6 NPDs and NPRs are coordinated in the NODIS Document Management System. The coordination time for NPDs is no more than 90 calendar days. The coordination time for NPRs is no more than 120 calendar days. See the Directives Coordination Cycle in Figure 1.

Note 1: The timeline starts on the day the formal review commences. The Responsible Office may request up to three 30-day extensions to the coordination cycle. If the third 30-day extension has lapsed, the Responsible Office may request a waiver to receive another extension.
Note 2: Directives in coordination are tracked in the Headquarters Action Tracking System and will appear overdue if submitted after the suspense date. Directives that languish in NODIS review may be withdrawn by the Office of Internal Controls and Management Systems, if extensions are not requested.



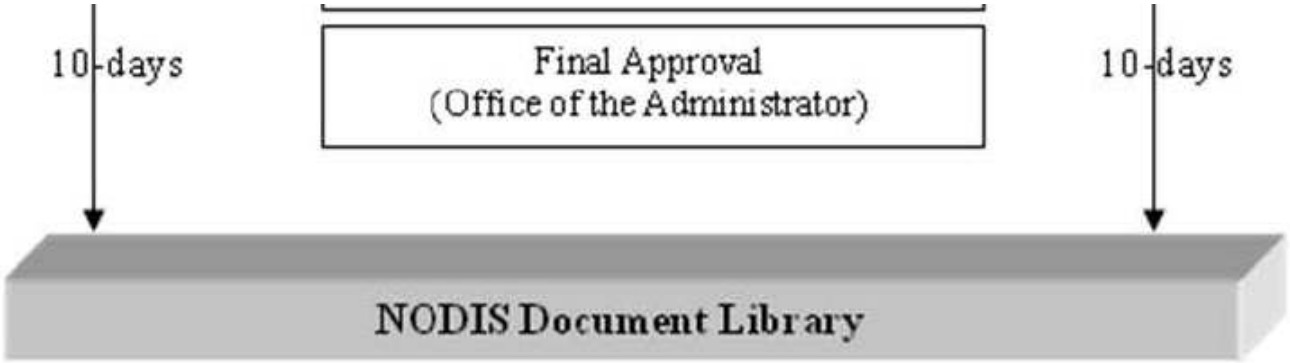


Figure 1, Directives Coordination Cycle

1.3 Description and Hierarchy of NASA Directives

1.3.1 In the event of a conflict among the top-level directives, the information provided in the highest ranking directive takes precedence.

1.3.2 In the event of a conflict among the top-level directives and one or more NPDs and CPDs and/or NPRs and CPRs, the information provided in the top-level directive(s) takes precedence.

1.3.3 In the event of a conflict between an NPD and an NPR, the information provided in the NPD takes precedence.

1.3.4 In the event of a conflict between an NPD or an NPR with a Center-level directive, the information provided in the NPD or NPR takes precedence.

1.3.5 In the event of a conflict between a CPD and a CPR, the information provided in the CPD takes precedence.

1.3.6 In the event of a conflict between two or more equally ranking documents, the directive assigned to the office that is responsible for the function or program takes precedence.

> Note 1: Attachment B of NPD 1400.1, Documentation and Promulgation of Internal NASA Requirements, displays the hierarchical relationship between directives and NASA internal requirement documents.
> Note 2: Readers may report conflicts to the Directives Manager to initiate resolution. See paragraph 2.13.1f.

Chapter 2. Responsibilities

2.1 Administrator

2.1.1 Only the Administrator signs NPDs.

2.2 Deputy Administrator

2.2.1 The Deputy Administrator, or designees, serves as the Agency-level Directives Resolution Official to resolve impasses, such as nonconcurrences and other issues that cannot be resolved at the organizational level.

2.3 Associate Administrator for Mission Support Directorate

2.3.1 The Associate Administrator for Mission Support Directorate has overall responsibility for the NASA Directives System.

2.4 Officials-in-Charge (OIC) of Headquarters Offices

2.4.1 OICs of Headquarters Offices shall:

a. Determine their organization's need for establishing new Agency-level directives.

b. Ensure that staff responsibilities are assigned to create or revise directives.

c. Submit directives for official review and secure concurrences through NODIS.

d. Ensure that Agency-level directives under their responsibility are reviewed for continuing need, applicability, and accuracy at least once every five years.

e. Approve NPRs under their responsibility after concurrences from officials within the Office of the Administrator are obtained.

f. Cancel Agency-level directives under their responsibility when they are no longer needed.

g. Designate a Directives Manager (DM) to assist, guide, and monitor the organization's directives activities.

h. Determine which Agency-level directives their office should review during the official review and approval process.

i. Evaluate and disposition all waivers to Agency-level directives under their responsibility, in accordance with the process described in paragraph 4.2 of this NPR.

j. Ensure compliance with Agency-level directives and ensure that their directives do not conflict with material provided in other Agency-level directives.

> *Note: The OIC of the Headquarters Office may delegate the Responsible Office designation and responsibilities. Directives considered as under their responsibility for OICs of Headquarters Offices include all directives for which the Responsible Office reports to the OIC of the Headquarters Office.*

2.5 Center Directors

2.5.1 Center Directors, or designees, shall:

a. Ensure compliance with Agency-level directives and ensure that Center-level directives do not conflict with material provided in Agency-level directives.

b. Designate a Center DM as a point of contact to assist, guide, and monitor directives activities.

c. Determine which Agency-level directives their Center should review during the official review and approval process.

d. Be the signature authority for Center-level directives.

2.6 NASA General Counsel

2.6.1 The NASA General Counsel shall:

a. Review for compliance with the law and comment on all Agency-level directives during the process for coordinating and approving new or revised Agency-level directives.

b. Confirm that authorities, applicable documents, and references cited in Agency-level directives are formatted correctly, per paragraphs 3.3.2.

c. Concur on Agency-level directives prior to signature by the approving NASA official.

2.7 Inspector General

2.7.1 The Inspector General, in accordance with the Inspector General Act of 1978, 5 U.S.C. App. § 4(a)(2), as amended, shall review and, as necessary, comment on each Agency-level directive during the official review and approval process to identify possible impacts on effectiveness of and efficiency in the administration and operations of NASA programs and prevent fraud, waste, and abuse in NASA programs.

2.8 NASA Chief Financial Officer

2.8.1 The NASA Chief Financial Officer shall:

a. Review to ensure proper financial, resource (including budget, strategic planning, and performance), and acquisition consideration and comment on all Agency-level directives during the process for coordinating and approving new or revised Agency-level directives.

b. Concur on Agency-level directives prior to signature by the approving NASA official.

2.9 Assistant Administrator for Human Capital Management

2.9.1 The Assistant Administrator for Human Capital Management shall coordinate the review of all proposed Agency-level directives with the national offices of Federal labor organizations in addition to conducting its own review and submitting a concurrence on these documents.

2.10 Assistant Administrator for Procurement

2.10.1 The Assistant Administrator for Procurement shall review and concur on all Agency-level directives to determine acquisition law or regulation impacts or information collection requirements.

2.11 Assistant Administrator for Internal Controls and Management Systems

2.11.1 The Assistant Administrator for Internal Controls and Management Systems implements and maintains the NASA Directives System and establishes and enforces the policies and requirements in NPD 1400.1 and this NPR. The Assistant Administrator for Internal Controls and Management Systems shall:

a. Verify compliance with the requirements contained in this NPR by:

(1) Monitoring the processing of each Agency-level directive through NODIS and the subsequent signature process to ensure that all process steps and requirements of this NPR have been completed correctly by the process participants. Verification Matrix A in Appendix C is used to verify compliance with process requirements.

(2) Reviewing the contents of each Agency-level directive during the NODIS review by:

(a) Verifying that the content and structure requirements have been met using Verification Matrices B-1 and B-2 in Appendix C.

(b) Forwarding results to the Responsible Office for corrective action.

(c) Confirming that corrective actions are completed.

(3) Conducting spot-checks to review Center-level directives and implementation of Center-specific verification activity every three years. Verification Matrices C-1 and C-2 in Appendix C are used to verify that Center-level directives comply with the requirements of this NPR.

b. Assist and support the Deputy Administrator in the role as Agency-level Directives Resolution Official.

c. Verify the completeness of the Agency-level directive signature package when it goes to the responsible NASA official for signature to ensure that:

(1) All comments received from reviewing organizations during the review and approval process for Agency-level directives are dispositioned and that the dispositions are provided to the reviewing organizations.

(2) An explanation for nonconcurrences is documented and available in the directive's signature package.

d. Concur on Agency-level directives when submitted for signature.

e. Track, monitor, and report activities associated with processing Agency-level directives.

f. Ensure that Agency-level directives are coordinated, approved, and published within established timelines, withdrawing directives from coordination if not submitted for approval by established suspense dates and approving requests for extensions on established suspense and expiration dates.

g. Notify Responsible Offices when Agency-level directives under their authority are approaching

expiration and request that directives be revalidated, revised, or cancelled as follows:

(1) Notify DMs six months prior to expiration.

(2) Notify Officials-in-Charge two months prior to expiration if no action is taken.

h. Distribute notifications when new, revised, and revalidated directives are approved and when interim directives are issued.

i. Ensure document control for Agency-level directives through maintenance of the NODIS library, the NODIS database, and signed approval packages.

j. Train and assist DMs and directives writers in the performance of their duties.

k. Monitor identified conflicts among directives to ensure resolution.

l. Maintain and dispose of all official files associated with approved Agency-level directives, in accordance with NPR 1441.1, NASA Records Retention Schedules. See paragraphs 4.3.8.1 through 4.3.8.3 for a list of official files.

2.12 Responsible Offices

2.12.1 The Responsible Offices shall prepare NASA directives in accordance with the requirements of this NPR to include the following:

a. Consulting the Office of Procurement when drafting new or revised requirements directed toward contractors to determine acquisition law or regulation impacts or information collection requirements.

b. Submitting NPRs for formal review only when there is an approved NPD that provides the authority for the NPR. Responsible Offices at the Centers may issue a CPR if there is an approved NPD, NPR, or CPD that provides the authority for the CPR.

Note: There need not be a separate NPD for each NPR or CPD for each CPR. An NPD or CPD may provide the authority for more than one NPR or CPR, respectively.

c. Submitting, at the time of request for official review and approval of directives, cost/benefit impacts (e.g., financial, human resources, technical) to implement new requirements to avoid the potential for unintended consequences (see paragraph 4.3.6.1f).

d. Maintaining currency for the directives they publish.

e. Ensuring that compliance with the requirements contained in Agency-level directives under their responsibility are verified.

Note: Spot-checks, checklists, internal/external audits, or self-assessments may be used to ensure compliance.

f. Ensuring that Agency-level directives under their responsibility meet the requirements of this NPR, including responding to corrective actions.

g. Submitting directives signature packages for final approval by the established suspense dates.

h. Requesting extensions, on a suspense date, 10 calendar days prior to the suspense date to submit signature package in order to obtain more time to resolve and respond to substantive issues related to the directive.

2.12.2 The Responsible Offices at the Centers shall prepare Center-level directives in accordance with the requirements of this NPR, excluding paragraphs 2.12.1e, f, & h.

Note: Policy or procedural requirement formulation shall be done by a NASA civil servant.

2.13 Directives Managers

2.13.1 DMs are the points of contact in each Headquarters organization and NASA Center for matters pertaining to NASA directives. They are responsible for supporting OICs of Headquarters Offices, Headquarters senior managers, and Center Directors with directives activities and issues. This includes ensuring that directives are prepared and coordinated in accordance with the requirements in this NPR. Specifically, DMs shall:

a. Manage the directives process at their location.

b. Provide assistance to employees at their location with accessing NODIS.

c. Coordinate the official review of directives at their location.

d. Determine who should review Agency-level directives and ensure that the reviewer(s) are provided with the directive and the corresponding NASA Headquarters (NHQ) Form 184, NASA Directive Request Summary, that summarizes significant changes and contains cost/benefit impacts accessible from NODIS.

e. Consolidate the reviewers' comments into the official response.

f. Document and initiate resolution of conflicts among directives (Agency-level and Center-level) that are identified or reported.

Note: Conflict resolution for Agency-level directives is initiated by contacting the DM of the Responsible Office(s) for the directive(s) in conflict and notifying the Office of Internal Controls and Management Systems.

g. Coordinate quality reviews of their organization's Agency-level directives with the respective Headquarters Quality Control Liaison.

h. Coordinate with directives writers to ensure that cost/benefit impact information to implement new/revised requirements is provided prior to submitting Agency-level directives for review.

i. Coordinate their organization's interim directives and requirement waivers for approval and publication. See paragraph 4.2 for waiver requirements and paragraph 4.5 for interim directives requirements.

j. Participate in DM meetings to remain aware of changes in the NASA directives process and NODIS.

2.13.2 In addition to the responsibilities listed in paragraph 2.13.1, excluding paragraphs 2.13.1g-h, Center DMs shall:

a. Manage and maintain a current online repository of Center-level directives.

b. Maintain a master list of Center-level directives.

c. Ensure that Center-level directives are approved and published in accordance with established procedures.

d. Track and monitor activities associated with processing NASA directives.

e. Train and assist directives writers and reviewers in the performance of their duties.

f. Maintain and dispose of case files for all Center-level directives in accordance with NPR 1441.1, NASA Records Retention Schedules (see paragraph 4.7).

Note: Policy or procedural requirement coordination can be done by a NASA civil servant or a NASA contractor.

2.14 Headquarters Quality Control Liaisons

2.14.1 The Quality Control Liaison for the Responsible Office shall ensure that Agency-level directives signature packages and the Action Document Summary are properly prepared (e.g., grammar, formatting, timeliness).

2.15 Headquarters Executive Secretariat

2.15.1 The Headquarters Executive Secretariat, responsible for managing all correspondence and communications addressed to or signed by officials within the Office of the Administrator, shall:

a. Conduct a final quality review of Agency-level directives prior to approval and signature by the Agency official.

b. Provide all editorial changes in conformance with NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, and ensure incorporation by the Responsible Office.

2.16 Agency Records Officer

2.16.1 The Agency Records Officer in the Office of the Chief Information Officer shall coordinate with the Office of Internal Controls and Management Systems, the Executive Secretariat, and the Office of the General Counsel on decisions affecting the numbering of NASA directives in accordance with the ten subject categories defined in NPR 1441.1, NASA Records Retention Schedules.

Note: Center DMs should contact their respective Center Records Officer for assistance.

Chapter 3. Requirements for the Content and Structure of NASA Directives and NASA Charters

3.1 Requirements Statements in NASA Directives

3.1.1 Responsible Offices shall apply the following criteria when writing requirements statements in NASA directives:

a. Identify all requirements statements by using the word "shall" to denote mandatory compliance.

b. Designate at least one official (by position title) or organization as responsible and accountable for development, implementation, maintenance, and verification of the requirement.

c. Identify what action should be accomplished or what product should be provided to demonstrate compliance with the requirement.

d. Separately state each individual requirement statement (i.e., one "shall" statement per paragraph or sub-paragraph).

Note: Each requirement should state any applicable timing for performance, delivery of a product, or completion of the requirement. This designation could be a specific event or a general flow in a process.

3.1.2 Responsible Offices shall not replicate existing internal or external requirements within directives. Cross-referencing may be used to cite existing requirements. NASA directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements.

3.1.3 Responsible Offices shall not include technical requirements in NASA directives. Technical requirements may be included in NASA technical standards, which may then be cited in NASA directives.

Note 1: Technical requirements are those requirements that discuss the design, performance, operational parameters, and constraints of equipment and systems. These are requirements that would typically be contained within a system or equipment specifications.

Note 2: View NASA Technical Standards here: http://standards.nasa.gov/.

3.2 Responsibility Statements in Agency-level Directives

3.2.1 The Responsible Office shall use official position titles and office titles as identified in NPD 1000.3, The NASA Organization, for consistency when assigning or documenting responsibilities in Agency-level directives.

3.3 Document Citations in NASA Directives

3.3.1 There are three types of document citations in NASA directives: authority documents, applicable documents and forms, and references. Their purpose is as follows:

a. Authority document citations list the higher level document(s) that authorize establishing the policy or requirements contained in the directive.

b. Applicable document and form citations consist of documents and forms cited in the body of the directive that contains provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive. Only controlled and current forms shall be used, in accordance with NPD 1420.1, NASA Forms Management.

(1) All applicable documents and forms listed in paragraph 4 (for NPDs) or paragraph P.4 (for NPRs) shall be cited within the text of the directive.

(2) Conversely, all applicable documents and forms cited within the text of the directive shall be listed in paragraph 4 for NPDs or paragraph P.4 for NPRs.

c. Reference documents may consist of external requirements that are stated, but not cited, in the text of the directive. Reference document citations also may be documents that are considered by the Responsible Office to be useful as background information for the reader (to help in understanding the subject matter), but do not constitute requirements of the directive. In NPDs and CPDs, reference document lists are contained in an Attachment. In NPRs and CPRs, reference document lists are contained in an Appendix.

3.3.2 Within each document citation list (authority documents, applicable documents and forms, and references), the Responsible Office shall:

a. List document citations in the following order: United States Code, Public Law, Executive Orders, Code of Federal Regulations, Federal Register Notices, Office of Management and Budget Circulars, NPDs, NPRs, CPDs, CPRs, NASA Technical Standards, Forms, non-NASA Government standards, and other documents.

b. Format the document citations consistently throughout directives as follows:

(1) United States Code (Statutes) - National Aeronautics and Space Act, as amended, 51 U.S.C. § 20113 (a).

Note: "§" is a legal symbol for "section." Whole numbers refer to a "part" of the C.F.R.; sections (§) consist of a decimal number, e.g., "§1259.102."

(2) Public Laws (Official Session Laws, Laws made prior to codification in the U.S. Code) - Federal Employees Pay Comparability Act (FEPCA) of 1990, Pub. L. No. 101-509, 104 Stat. 1427 (1990).

Note: Only cite if not already codified in the U.S. Code.

(3) Executive Orders (Signed by the President) - Exec. Order No. 12866, 3 C.F.R. 638 (1993).

Note: Includes codification of the Executive order in the Code of Federal Regulations.

(4) Code of Federal Regulations (Agency Regulations) - National Space Grant College and Fellowship Program, 14 C.F.R. pt. 1259.

Note 1: Whole numbers refer to a "part" of the C.F.R.; sections (§) consist of a decimal number; e.g., §1259.102. Note 2: Federal Travel Regulations is an example of a popular name. However, when citing it, use the official 41 C.F.R. §§ 300-304.

(5) Federal Register Notices (Published in the Federal Register) - Environmental statements or availability, 71 Fed. Reg. 67389 (Nov. 21, 2006).

(6) Office of Management and Budget Circulars (Generated by OMB) - OMB Circular A-19, Legislative Coordination and Clearance (09/20/1979).

(7) NASA Policy Directive - NPD 1400.1, Documentation and Promulgation of NASA Internal Requirements.

(8) NASA Directives Procedural Requirements - NPR 1400.1, NASA Directives System Procedural Requirements.

(9) NASA Standards - NASA-STD-8709.2, NASA Safety and Mission Assurance Roles and Responsibilities for Expendable Launch Vehicle Services.

(10) NASA Forms - NHQ Form 184, NASA Directive Request Summary.

c. Within each category, list documents in numerical order or alphabetical order by title if documents are not numbered.

d. When citing NASA directives as authority documents, applicable documents, or reference documents within NASA directives, exclude the revision letter designation from the citation (see Figure 2).

Note: This requirement is applicable only when citing NASA directives in NASA directives. (In NASA directives, the current published version is what is referred to when a NASA directive is cited.) For other types of documents, citing the revision letter of the directive may be appropriate. Refer to the writing instructions for the type of document you are preparing if more information is needed.

e. Ensure that documents cited in the directive are approved documents that are available to the reader.

f. If a cited document is not a Federal statute or regulation, a NASA directive, or is not available in the NASA Technical Standards System, include footnotes (or URLs that allow public access) to show readers precisely where to find the cited documents.

g. Refer to one or more of the following resources to ensure that citations are current and accurate:

(1) United States Code Citations:

(a) Office of Law Revision Counsel - http://uscode.house.gov/.

(b) Government Printing Office (GPO) Access - http://www.gpoaccess.gov/uscode/index.html.

(2) Public Laws citations - http://uscode.house.gov/popularnames/popularnames.htm.

(3) Executive Order Numbers citations:

(a) Title 3 on GPO Access - http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1.

(b) Office of the Federal Register - http://www.archives.gov/federal-register/executive-orders/disposition.html.

(4) Code of Federal Regulations citations - http://www.gpoaccess.gov/cfr/index.html.

(5) NASA Directives - http://nodis3.gsfc.nasa.gov/.

(6) NASA Standards - http://standards.nasa.gov/.

(7) NASA Forms - http://server-mpo.arc.nasa.gov/services/NEFS/.

h. Use the following abbreviations for citations:

(1) United States Code - U.S.C.

(2) Federal Register - Fed. Reg.

(3) Code of Federal Regulations - C.F.R.

(4) Part - pt., Parts - pts.

(5) Subpart - subpt. , Subparts - subpts.

(6) Appendix - app.

(7) Chapter - ch.

(8) Section - §, Sections - §§

(9) Section - sec. (Note: "Section" is abbreviated as "sec" when it is referenced within the name of the law. Example: The National Aeronautics and Space Act of 1958, sec. 203(c)(1), as amended, 51 U.S.C. § 20113 (a).

(10) Executive Order - Exec. Order No.

(11) Public Law - Pub. L. No.

3.4 Administrative Elements of NASA Directives

3.4.1 NASA Directives Numbering Scheme

3.4.1.1 The NASA directives numbering scheme is composed of six elements that create a unique identifier. The six elements are: one or two letters indicating Agency-level or NASA Center, two letters indicating the NASA directive type, four numbers indicating the subject category a separator (period), the NASA directive serial number and letter(s) indicating the revision level designation (see Figure 2).

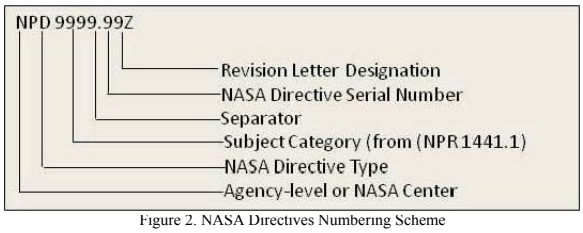


Figure 2. NASA Directives Numbering Scheme

Note: Include the full directive number in the file name and masthead section of the draft and final documents.

3.4.1.2 The subject category numbers used to classify NASA directives are the same subject categories found in the Agency Filing Scheme located in NPR 1441.1, NASA Records Retention Schedules. The serial numbers are automatically generated when the directive is approved.

3.4.1.3 For Agency-level directives, the Office of Internal Controls and Management Systems shall work with the Responsible Office to ensure that directives numbers are assigned in accordance with the NASA Directives Numbering Scheme.

3.4.1.4 For Center-level Directives, the Center DM shall work with the Responsible Office to ensure that directives numbers are assigned in accordance with the NASA Directives Numbering Scheme.

3.4.2 Effective and Expiration Dates for NASA Directives

3.4.2.1 A NASA directive takes effect on the date that it is signed by the approving official.

3.4.2.2 NPDs, NPRs, CPDs, and CPRs expire within a maximum of five years after signature or revalidation.

3.4.2.3 NASA Interim Directives (NID) and Center Interim Directives (CID) expire upon the effective date of the permanent directive or 12 months after the effective date of the interim directive, whichever is earlier.

3.4.2.4 The Office of Internal Controls and Management Systems shall automatically remove NPDs and NPRs from the Center Directives Library upon expiration, unless (1) an NPD or NPR replacing the directive being removed has been submitted for revalidation or for review and approval, or (2) the Responsible Office has requested an extension with justification. The current NPD or NPR will be granted an extension and remain effective until its revision is approved. See paragraph 4.4.2 for provisions to allow Agency-level directives to remain effective.

3.4.2.5 The Office of Internal Controls and Management Systems shall automatically remove NIDs from the NODIS Library upon expiration, unless an NPD or NPR replacing the NID is submitted for review and approval through NODIS.

Note: A NID may be revised once, and the expiration date will be 12 months after the effective date of the revised NID. If an extension on a NID's expiration date is needed, a waiver request can be submitted.

3.4.2.6 The Center DM shall automatically remove CPDs and CPRs from the Center Directives Library upon expiration, unless (1) a CPD or CPR replacing the directive being removed has been submitted for revalidation or for review and approval, in accordance with the Center's established process, or (2) the Responsible Office has requested an extension with justification. The current CPD or CPR will be granted an extension and remain effective until its revision is approved.

3.4.2.7 The Center DM shall automatically remove CIDs from the Center Directives Library upon expiration, unless a CPD or CPR replacing the CID is submitted for review and approval, in accordance with the Center's established process.

Note: A CID may be revised once, and the expiration date will be 12 months after the effective date of the revised CID.

3.5 Writing Style

3.5.1 Responsible Offices shall adhere to each of the following rules:

a. Use NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, to supplement the style requirements in this NPR.

b. Exclude caveat phrases (e.g., "as applicable," "as appropriate," "whenever possible," "etc.") within requirements statements.

c. Use page numbers (e.g., 1, 2, 3) in NPRs, but exclude indexed table of contents that correspond to page numbers.

d. Align all text along the left margin (i.e., left justify or flush left).

e. Indent and italicize notes.

f. Center figures and tables. Number all figures (e.g., Figure 1) and add the figure number and title at the bottom of the figure. Letter all tables (e.g., Table A) and add the table letter and title above the table.

g. Use the correct phrasing to denote mandatory action or other forms of action, per paragraph P.2b.

h. Number/letter all paragraphs. If there is not a second paragraph immediately following at the same level, do not number/letter the paragraph. Exclude periods behind numbered paragraphs (e.g., use 3.5.1, not 3.5.1.), but include periods behind lettered paragraphs (e.g., use i., not i).

3.5.2 Responsible Offices that write Center-level directives shall adhere to the requirements in paragraphs 3.5.1a-b and 3.5.1g-h. Adherence to paragraphs 3.5.1c-f is under the discretion of the Center official responsible for the writing styles for Center-level directives.

3.6 Content and Structure of NPDs and CPDs

3.6.1 NPDs and CPDs document Agency- and Center-level policy statements, assignment of responsibilities for policy implementation, delegations of authority, approach for verification of compliance with the NPD or CPD, and the official's approval.

3.6.2 NPDs and CPDs should be no more than five pages. Responsible Offices shall ensure that NPDs and CPDs contain, at a minimum, the following elements:

a. Masthead: Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).

b. Change Log that describes administrative changes to an NPD or CPD.

Note: Can be added when the NPD or CPD is developed or added after the NPD or CPD is approved.

c. Body consisting of 8 required paragraphs: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents and Forms; 5. Responsibility; 6. Delegation of Authority; 7 Measurement/Verification; and 8. Cancellation.

Note: Governing NPDs may request relief from content and structure requirements. See paragraph 4.2 for requirements to request relief from Agency-level Directives.

d. Signature Block.

e. Attachments.

f. Distribution statement (e.g., NODIS or another system).

Note: If the distribution of the NPD or CPD is to be restricted only to NASA, include a distribution statement to identify the restrictions for release of the NPD or CPD.

3.6.3 Responsible Offices shall adhere to the following content requirements when developing NPDs or CPDs:

a. Change Log - Date and description of administrative changes made to an NPD or CPD.

Note: A change log can be added when the NPR or CPR is developed or added after the NPR or CPR is approved.

b. For Paragraph 1, Policy - General statement of the principles, fundamental values, and general direction of the Agency or Center that is used to determine present and future decisions.

c. For Paragraph 2, Applicability - The statement of the scope of the required application of the NPD or CPD. Include the following applicability statement: "This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."

(1) If the NPD is to apply to JPL, contractors, or grant recipients, add the following applicability statement in Paragraph 2, Applicability, in addition to the applicability statement in paragraph 3.6.3b. "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." However, only list the type of document (i.e., contract, grant, or agreement) that the directive may be applicable to. For example, if the directive is not applicable to a "grant," only list "contract or agreement" to indicate the directive's applicability.

Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. See paragraph 2.12.1a for delineating requirements for contractors.

(2) For CPDs, include a statement similar to 3.6.4c above to ensure applicability at the Center and associated facilities.

(3) For NPDs and CPDs, include a statement that describes terms that denote action. See paragraph P.2b.

(4) For NPDs and CPDs, include the following statement: "In this directive, all document citations are assumed to be the latest version unless otherwise noted." See paragraph P.2h.

d. For Paragraph 3, Authority - List the NPD or CPD and external authority(ties) or requirements that justify establishing the NPD or CPD. This latter category shall include only those external sources that are the authority for the NPR. Place all other external sources in the Applicable Documents or References sections.

e. For Paragraph 4, Applicable Documents and Forms - A list of documents and forms cited in the body of the directive that contains provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive. Apply the requirements in paragraph 3.3 to document citations.

f. For Paragraph 5, Responsibility - An explanation of who (by position or organization) is responsible for implementing the policy stated in the NPD or CPD. Write responsibility statements for implementation by the highest to the lowest organizational level possible. Do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization.

g. For Paragraph 6, Delegation of Authority - Paragraph reserved for direct delegation from the Administrator, Official-in-Charge, or Center Director to a specific position (e.g., Agency Regulatory Policy Officer).

h. For Paragraph 7, Measurement/Verification - An explanation of how compliance will be measured. Specify the information that is needed to support senior management's evaluation of performance for compliance and implementation. Where quantitative evaluation is possible, identify what data is to be collected, who collects the data, and who receives the data for evaluation. Cross-reference measurement/verification data that responds to externally imposed requirements to provide traceability to those requirements, for example, Government Performance and Results Act reporting requirements.

Note: This information may be presented as text within the paragraph, as a verification matrix, as an attachment to the NPD or CPD that includes details of data and report of data, such as formats and timelines, as a citation to an NPD, CPD, or another requirements document.

i. For Paragraph 8, Cancellation - A list of directives that will be cancelled upon issuance. If the issuance cancels one or more directives, cite the Directive Number(s), Title(s), and Effective Date(s). If the issuance does not cancel a directive, state "None."

j. Number paragraphs within the NPD or CPD in accordance with Figure 3.

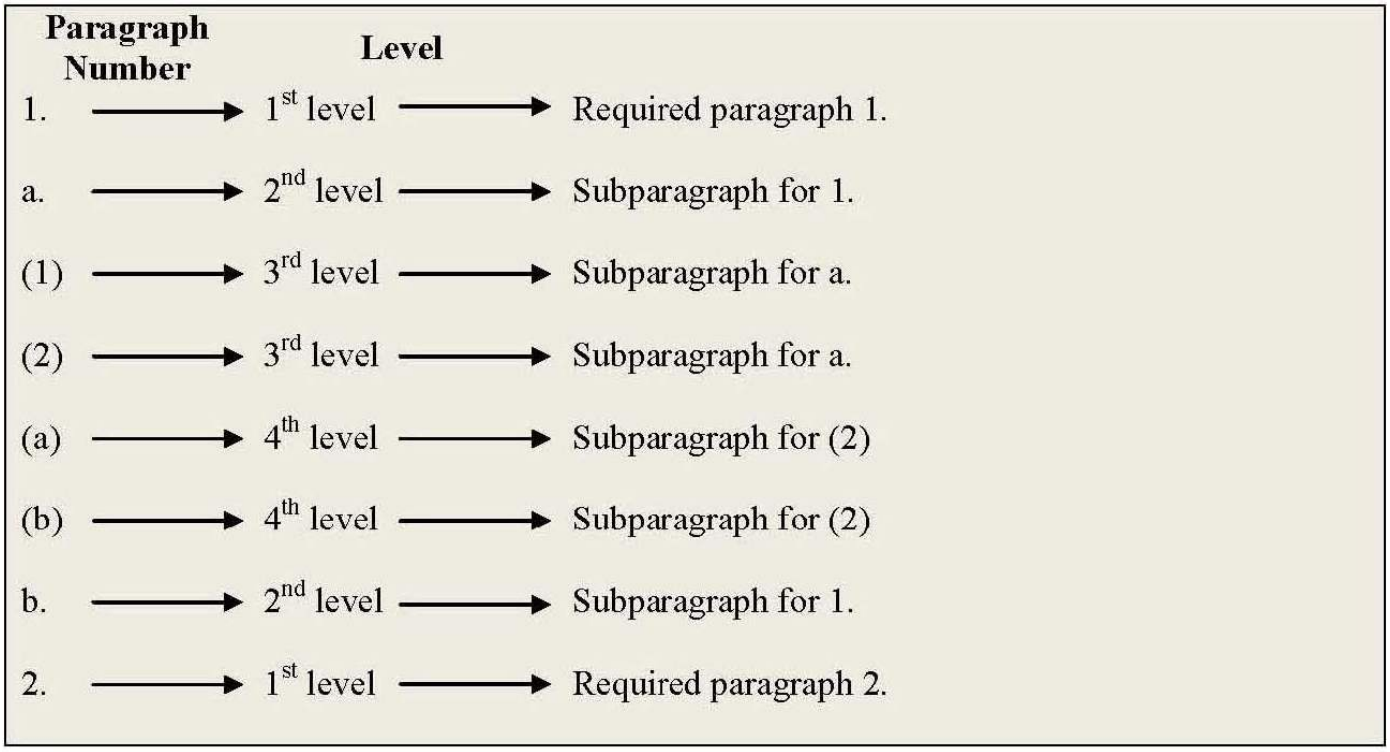


Figure 3, NPD and CPD Paragraph Numbering/Lettering

k. If there is a need to include definitions or other material such as details regarding measurement/verification to support the NPD or CPD, document the supporting material as an attachment. Attachments shall not contain policy.

Note: NPD and CPD attachments may be text and/or graphics. Contact your local DM for instructions.

l. Number paragraphs in attachments using the letter of the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions.

m. Document any definitions for words and phrases used in the NPD or CPD in the first attachment.

(1) List the definitions in alphabetical order.

(2) Provide only definitions for terms used in the NPD or CPD and only if the definitions are uniquely different than those used in dictionaries or other standard usage.

n. Document any acronyms used in the NPD or CPD no later than in the second attachment, and list in alphabetical order.

3.6.4 Responsible Offices shall not document procedural information or instructions in an NPD or CPD.

3.7 Content and Structure of NPRs and CPRs

3.7.1 NPRs and CPRs document procedural direction for essential or otherwise mandated items only. This includes procedural requirements that are established for reasons of health, safety, security, efficiency, and effectiveness.

3.7.2 NPRs and CPRs contain, at a minimum, the following elements:

a. Cover that includes the masthead with the Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).

b. Change Log that describes administrative changes made to an NPR or CPR.

Note: A change log can be added when the NPR or CPR is developed or added after the NPR or CPR is approved.

c. Table of contents consisting of the preface, chapter titles, and second-level paragraph titles, only if the second-level paragraphs exist in the directive. Refer to this NPR's table of contents for formatting instructions.

d. Distribution statement.

Note: If distribution of the NPR or CPR is to be restricted to only NASA, include a distribution statement to identify the restrictions for release of the NPR or CPR.

e. Preface consisting of six required paragraphs: P.1 Purpose; P.2 Applicability; P.3 Authority; P.4 Applicable Documents and Forms; P.5 Measurement/Verification; and P.6 Cancellation. See paragraph 3.7.4 for Preface content requirements.

f. Chapters - Divided sections that describe the directive's requirements and responsibilities that can be subdivided into paragraphs.

g. Appendices - Supplementary material or contractor requirements that are attached at the end of the directive.

Note: Governing NPRs may request relief from content and structure requirements. See paragraph 4.2 for requirements to request relief from Agency-level directives.

3.7.3 Responsible Offices shall ensure that NPRs and CPRs contain the elements listed in paragraph 3.7.2.

3.7.4 Responsible Offices shall adhere to the following content requirements when developing NPRs and CPRs:

a. For Paragraph P.1, Purpose - Describe the rationale for establishing the NPR or CPR and what will be accomplished by implementing it.

b. For Paragraph P.2, Applicability - State the scope of the required application of the NPR or CPR. Include the following applicability statement: "This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."

(1) If the NPR is to apply to JPL, contractors, or grant recipients, add the following applicability statement in Paragraph P.2 Applicability, in addition to the applicability statement in paragraph 3.7.4b. "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." However, only list the type of document (i.e., contract, grant, or agreement) that the directive may be applicable to. For example, if the directive is not applicable to a "grant," only list "contract or agreement" to indicate the directive's applicability.

Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. See paragraph 2.12.1.

(2) For CPRs, include a statement similar to 3.7.4b above to ensure applicability to the Center and associated facilities.

(3) For NPRs and CPRs, include a statement that describes the terms that denote action. See paragraph P.2b.

(4) For NPRs and CPRs, include the following statement: "In this directive, all document citations are assumed to be the latest version, unless otherwise noted." See paragraph P.2h.

c. For Paragraph P.3, Authority - List the NPD or CPD and the higher level external authority(ies) or requirement(s) that justify establishing the NPR or CPR. The latter category shall include only those external sources that are the authority for the NPR or CPR. Place all other external sources in the Applicable Documents or Reference sections.

d. For Paragraph P.4, Applicable Documents and Forms - Refer to description in paragraph 3.6.3e.

e. For Paragraph P.5, Measurement/Verification - Refer to description in paragraph 3.6.3h.

f. For Paragraph P.6, Cancellation - Refer to the description in paragraph 3.6.3i.

Note: NPRs may not cancel NPDs, and CPRs may not cancel CPDs.

g. Number NPR or CPR Preface paragraphs in accordance with Figure 4.

Preface:

P.1 PURPOSE

a.

(1)

(a)

(b)

(2)

b.

P.2 APPLICABILITY

P.3 AUTHORITY

P.4 APPLICABLE DOCUMENTS AND FORMS

P.5 MEAUREMENT/VERIFICATION

P.6 CANCELLATION

DISTRIBUTION STATEMENT (e.g., NODIS or another system).

Note: If the distribution of the NPR or CPR is to be restricted to only NASA, include in the distribution a statement to identify the restrictions for release of the NPR or CPR.

Figure 4, NPR and CPR Preface Paragraph Numbering/Lettering

h. Number NPR or CPR chapter paragraphs in accordance with Figure 5.

Chapter 1: Title (level 1)

1.1 (level 2) Lists within a sentence are lettered as follows:

a. Lists within lettered lists are numbered as follows:

(1)

(2) Lists within numbered lists are lettered as follows:

(a)

(b)

b.

1.1.1 (level 3) Subparagraph number.

1.1.1.1 (level 4) Subparagraph number.

1.2 (level 2)

1.3 (level 2)

Figure 5, NPR or CPR Chapter Paragraph Numbering/Lettering

i. Ensure that appendices do not contain requirements for civil service employees, only supporting information for the NPR or CPR. However, appendices may contain requirements for contractors.

j. Number paragraphs in appendices using the letter of the appendix (e.g., A.1, A.2), excluding appendices containing acronyms and definitions. k. Document any definitions for words and phrases used in the NPR or CPR in the first appendix.

(1) List the definitions in alphabetical order.

(2) Provide only definitions for terms used in the NPR and only if the definitions are uniquely different than those used in dictionaries or other standard usage.

l. Document any acronyms used in the NPR or CPR no later than in the second appendix and list in alphabetical order.

m. If a verification matrix appendix is included within the NPR or CPR, include it no later than the third appendix.

Note: See Appendix C of this NPR for examples of verification matrices.

3.8 Content and Structure of NIDs and CIDs

3.8.1 Responsible Offices shall develop NIDs or CIDs to document the following:

a. Interim policy statements.

b. Assignment of interim responsibilities for policy implementation.

c. Interim requirement statements.

d. Assignment of interim responsibilities for completing requirements.

e. Applicability (e.g., Agency wide or Center-specific).

Note: For NIDs and CIDs, include the following statement: "In this directive, all document citations are assumed to be the latest version, unless otherwise noted." See paragraph P.2h.

3.8.2 NIDs and CIDs may include policy memos or any other issuances intended to impose policy or requirements at the Agency or Center level.

3.8.3 NIDs and CIDs are issued for immediate or short-term use (see paragraph 3.4.2.3).

3.8.4 Responsible Offices shall follow the procedures contained in paragraph 4.5 for issuing NIDs and CIDs.

3.8.5 The Responsible Office developing NIDs shall coordinate with the Office of Internal Controls and Management Systems to ensure that NIDs are added to the NODIS Library.

3.8.6 The Responsible Office developing CIDS shall coordinate with the Center DM to ensure that CIDs are published in accordance with local processes.

Note: NIDs and CIDs may be formatted as memorandums, directives, paragraphs, or other templates. See your DM for guidance on the preferred format for your organization.

3.9 Content and Structure of Agency-level Charters

3.9.1 Charters establish councils, boards, committees, panels, and working groups mandated by statute, the NASA Administrator, or an OIC of Headquarters Offices. To the extent that a group is established by law, directive, or other authority, the charter cites specific authority. Councils, committees, boards, and panel chairs ensure meeting preparation, efficiency, and follow up on actions. Members are expected to attend and participate in scheduled meetings. The respective charters shall have provisions for duration and periodic critical assessments of performance.

3.9.2 The term "council" is reserved for entities responsible for overall governance of the Agency, a Mission Directorate, the technology portfolio managed by the Office of the Chief Technologist, the Mission Support Directorate, or a Center. Councils are comprised of senior management tasked to make decisions regarding policy, strategic planning, goals, or resources. The charters for NASA's three governing councils (e.g., Strategic Management Council, Mission Support Council, Program Management Council) are maintained in NPD 1000.3, The NASA Organization.

a. All other Agency-level advisory charters required by regulation, statute, program control, policy or directed by the Administrator are located in NODIS.

b. Boards are comprised of senior management tasked to make decisions regarding implementation of policy, strategic plans, goals, and resources. Boards shall only be established in areas of Agency-wide significance with supporting topics and responsibilities that cross several organizations, as directed by a council. Decisions made by boards will be consistent with guiding policy direction and programmatic guidelines provided by a council. To execute actions generated by a board, committee, panel, or working group may be established.

c. Committees, panels, and working groups shall only be established as advisory groups for councils and boards to address significant topics, as requested by Agency leadership, Mission Directorates, the Offices of the Chief Technologist and Scientist, the Mission Support Directorate, or Centers.

(1) Committees - A group of individuals that meet to advise, coordinate, research, or make recommendations. The lifespan of a committee is based on the completion of activities assigned by a council or board. Committee

charters shall be established with the respective council's or board's approval.

(2) Panels - A group of individuals gathered to advise, judge, interview, or discuss topics supported by councils or boards. The lifespan of a panel is based on completion of activities assigned by the respective council or board. Panel charters shall be established with the respective council or board's approval.

(3) Working Groups - A group of individuals working together to create a document or to resolve problems. The lifespan of a working group is based on completion of activities assigned by the respective council or board. Charters are not required for working groups unless the working group is expected to operate indefinitely, includes members across the Agency, and is established to support and is expected to report out to a council or board.

3.9.3 To publish charters for councils, refer to NPD 1000.3 for instructions. To publish charters for boards, committees, or panels, submit a hard and electronic copy of the charter with the chair's approval, along with concurrence from the Office of the General Counsel, to the Office of Internal Controls and Management Systems.

3.9.4 Agency-level charters shall contain standard paragraphs in accordance with Figure 6.

NAME OF CHARTER

1. PURPOSE

2. APPLICABILITY/SCOPE

3. AUTHORITY

4. GOVERNING COUNCIL AFFILIATION

5. FUNCTIONS

6. MEMBERSHIP

7. MEETINGS

In all cases, meetings can be held at the call of the Chair. The meetings paragraph should be included if meetings occur a specific number of times a year (or on specific dates).

8. DURATION

Unless otherwise specified, the charter will continue until the chair cancels or amends it.

9. ASSESSMENT

This paragraph should include the level of assessment as well as who receive/review the assessment date. This paragraph should also include specific metrics that address outputs, outcomes, impacts, and/or levels of customer satisfaction appropriate to the subject. Good metrics will respond positively to the following criteria.

a. Validity - Does it, with reasonable fidelity, measure results due to NASA action?
b. Selectivity - Will it accurately discriminate against poor, good, and extraordinary performance?
c. Applicability - Can measurements be reasonably substantiated and supported by available data?

10. RECORDS

Identifies who is responsible for maintenance of the charter and all records generated by the chartered group.

Figure 6, Agency-level Charter Standard Paragraphs

3.9.5 Center-level charters are applicable to the issuing Center. To establish and/or publish Center-level charters, contact the Center's DM.

Chapter 4. Process Requirements for Establishing New NASA Directives, Updating Existing Directives, Establishing Interim Directives, and Requesting Relief from Agency-level Directives

4.1 Introduction

4.1.1 The NODIS Document Management System (DMS) is NASA's primary tool for creating, revising, reviewing, approving, publishing, and canceling Agency-level directives. The NODIS DMS provides an electronic means to create, review, and comment on draft documents, disposition comments, concur on the directives, approve the directives, control revisions, track document history, generate reports, and publish Agency-level directives. All Agency-level directives are developed through the NODIS DMS.

4.1.2 The NODIS DMS coordination process will not be used to impede the Agency's legal obligations with respect to mission accomplishment, protection of worker health and safety and protection of the public, protection of the environment, or national security.

4.2 Requesting Relief from Agency-level Directives

Note: NPD 1000.0, Governance and Strategic Management Handbook, outlines the principles for establishing the proper set of requirements and for tailoring requirements, as needed. This paragraph discusses the implementation of these principles when requesting relief (e.g., waiver, deviation, tailoring) from requirements that are established by Agency-level directives. For Center-level directives, local instructions apply.

4.2.1 Only the Administrator or the OIC who is responsible for the Agency-level directive, or delegated authority, approves requests for relief from requirements contained in the Agency-level directive.

4.2.2 The responsible OIC for the directive may delegate this approval authority to a lower level.

Note: For complex waiver/deviation/tailoring approval procedures, the Responsible OIC may cite another document in the directive.

4.2.3 The approval authority shall approve/disapprove a request for relief from requirements, based on the following criteria:

a. Is not prohibited by external requirements.

b. Would not present an undue risk to public health, safety, the environment, or personnel.

c. Is justified under the circumstances (see paragraph 4.2.5 for instructions on how to prepare a justification).

4.2.4 The approval authority shall only approve a request for relief from requirements for a specific

period or duration.

Note: The specific period or duration may be defined by calendar dates (i.e., From March 2006 to March 2008) or by project milestones (e.g., This waiver is in effect until disposal for XYZ Project).

4.2.5 Requests for relief from requirements shall document the following in the request:

a. Identification of the requirement (directive and specific requirement(s)) for which the relief is requested.

b. Scope (e.g., site, facility, operation, activity) and duration of the request.

c. Justification, including:

(1) Purpose/Rationale.

(2) Whether application of the requirement in a particular circumstance described would conflict with another requirement.

(3) Whether application of the requirement in a particular circumstance would not achieve, or is not necessary to achieve, the underlying purpose of the requirement.

(4) Any other pertinent data or information related to the request (e.g., cost or schedule considerations).

(5) Identification and justification of the acceptance of any additional risk that will be incurred if the request is granted.

d. Requests for relief from environment, safety, health, and security requirements shall also address the following:

(1) A description of any special circumstances that warrant granting of the request, including whether:

(a) Application of the requirement in a particular circumstance would not be justified by any safety and health reason.

(b) Approving the request would result in a health and safety improvement that compensates for any detriment that would result from granting the request.

(c) There exists any other material circumstances not considered when the requirement was adopted for which it is in the public interest to grant the request.

(2) A description of any alternative or mitigating action that will be taken to ensure adequate safety and health and protection of the public, the workers, and the environment for the period the request will be effective.

e. Specific information called for in the requirements relief sections of applicable NPRs and CPRs (e.g., NPR 7120.5).

4.2.6 Approval authorities shall maintain a record of requests for relief granted against Agency-level directives under their responsibility.

Note: For Center Requirement Waivers, local instructions for creating requirements waivers apply.

4.3 Establishing New NPDs or NPRs

4.3.1 Responsible Offices for Agency-level directives shall use the NODIS DMS to create, coordinate, and approve any new NPD or NPR within the timeline established in paragraph 1.2.6.

4.3.2 Responsible Offices at the Centers shall use local processes to create, coordinate, and approve any Center-level directives.

4.3.3 Responsible Offices shall ensure that their DM is notified prior to beginning the process to establish a new directive.

4.3.4 Prereview Process

4.3.4.1 The prereview process provides an opportunity for review and comment, prior to the formal review, in NODIS, to address substantive issues in order to facilitate the completion of NASA directives within the timeframe allotted. Should a Responsible Office choose to conduct a prereview, the following are standard steps in the prereview process:

a. The Responsible Office for the directive creates a draft of the new or revised directive and distributes it to those affected by the directive and to those offices that the Responsible Office believes should review the draft.

Note: Local processes for prereview may have an established distribution list for directives prereviews. Consult your Center DM.

b. The Responsible Office for the directive determines the methodology for conducting the prereview.

Note: The Open Review System (https://openreview.gsfc.nasa.gov/ORSHome.cfm) is a Web-based tool that may be used to coordinate a prereview.

c. The Responsible Office coordinates, consolidates, and dispositions comments in preparation for the official review of the directive.

Note: If a prereview is conducted, comments resolved during the prereview can be restricted by the Responsible Office during the official review.

4.3.5 Prior to Official Review and Approval For Agency-level directives, the Responsible Office shall submit directives (i.e., new or revised) to the Office of Human Capital Management in order to satisfy the Agency's obligation to provide the Agency's unions with a 30-day national consultation period. Confirmation that this coordination has been completed will be required on NASA Form 184, NASA Directives Request Summary, in order for OICMS to accept the directive into the NODIS system. For Center-level directives, contact your Center DM.

4.3.6 Official Review and Approval

4.3.6.1 The official review and approval processes for Agency and Center-level directives may be different. Headquarters and Center Officials responsible for establishing an official review and approval process at their location shall ensure that the process includes, at a minimum, the following steps:

a. Release of the draft directive utilizing an approved method and/or forms for an official review.

b. Notification and request for review by specified organizations. This may include provisions to allow organizations an opportunity to request to be added or removed from the review.

Note: For Agency-level directives, the Inspector General is a mandatory reviewing office. The Responsible Office is responsible for completely dispositioning the Inspector General's comments.

c. Review by the legal office (General Counsel for Agency-level directives; Chief Counsel for Center-level directives).

d. Sufficient instructions to reviewers to ensure that the review adheres to the approved process and schedule.

e. A mechanism to provide feedback to reviewers indicating how their comments were incorporated or a rationale for not incorporating the reviewer's comments.

f. For Agency-level directives, the Responsible Office shall:

(1) In the request for review, include cost/benefit impacts to implement new requirements, in terms of financial, human resources, and technical (e.g., associated costs to implement new requirements, and what can be gained by implementing the new requirements), and potential for unintended consequences.

Note: Space for the cost/benefit impacts is provided on the NHQ Form 184 in NODIS. Appendix F outlines the cost/benefit impacts for implementing requirements added to NPR 1400.1. The Responsible Office may use this as an example of appropriate cost/benefit impacts to be included in all Agency-level directives.

(2) Disposition all comments on the directives' technical content and cost/benefit impacts provided by reviewing organizations and Centers.

4.3.7 The Concurrence Process

4.3.7.1 The lead DM shall review and record a concurrence decision (e.g., concur or nonconcur) in all Agency-level directives.

Note: For Headquarters, this is the Agency Directives Management Team, OICMS. For Centers, this is the Center DM. This concurrence demonstrates that the lead DM has verified that the directive was prepared and processed in accordance with the applicable requirements.

4.3.7.2 Reviewing Offices and Centers shall:

Review, comment, and record a concurrence decision (e.g., concur or nonconcur) on Agency-level directives' cost/benefit impacts described in the NHQ Form 184, in addition to the technical content contained in Agency-level directives.

4.3.7.3 The legal office shall concur on all directives (General Counsel for Agency-level directives; Chief Counsel for Center-level directives).

4.3.7.4 The financial office shall concur on all directives (Chief Financial Officer for Agency-level directives; Center Chief Financial Officer for Center-level directives).

4.3.7.5 The human resources office shall concur on all directives (Human Capital Management for Agency-level directives; Center Human Resources/Human Capital Management for Center-level directives).

4.3.7.6 The procurement office shall concur on all directives (Procurement for Agency-level directives; Center Procurement/Acquisition for Center-level directives).

4.3.7.7 If, during the concurrence process, a reviewing official's nonconcurrence cannot be resolved

with the Responsible Office, the Responsible Office shall document the nature of the impasse in the signature package.

4.3.7.8 The Deputy Administrator shall be the decision authority for any impasse with a mandatory concurring office (Office of the General Counsel, Office of the Chief Financial Officer, Office of Human Capital Management, or Office of Procurement).

4.3.7.9 When OICs and Center Directors do not respond (concur/nonconcur) on Agency-level directives by established suspense dates, OICMS will notify respective OICs and CDs that a response is past due and grant a 1-day extension for a response.

4.3.8 Signature Package for Agency-level Directives

4.3.8.1 The Responsible Office shall prepare a final signature package that includes the following official files:

a. Evidence of concurrence and the approval of the responsible OIC.

b. The original of the proposed directive.

c. Executive Summary to include the following:

(1) Purpose and justification for new requirement(s).

(2) Summary of significant changes if directive is being revised.

(3) Summary of significant comments received during the review.

(4) Summary of nonconcurrence(s) and attempts toward resolution, per 4.3.8.2 and 4.3.8.3.

(5) Cost/benefit impacts for new resources that may be needed and a justification for why resources need to be expended.

(6) Strategic impact (if any).

(7) Description of Presidential initiative/external action (if any).

(8) Administrator's Headquarters Action Tracking (HATS) ID (e.g., A/2010-00123).

(9) HATS due date.

(10) Quality Control Liaison's (QCL) name, number, and date of QCL review.

(11) Special Instructions (if any).

(12) DM's name and number.

d. A copy of the directive's review report of all comments and dispositions.

e. Any additional documents that convey executive direction and supporting material (e.g., e-mails, verification matrices).

f. One copy of each directive to be cancelled by the proposed directive when it is approved.

4.3.8.2 If any reviewing official has nonconcurred on the directive, the Responsible Office shall document the disagreement as part of the Executive Summary of the signature package, including:

a. An explanation for the nonconcurrence.

b. A discussion of how the Responsible Office attempted to resolve the impasse and the outcome of

those attempts.

c. The reason(s) the impasse remains unresolved.

d. The recommendation of the Responsible Office.

Note: Impasses related to costs/benefits information will be coordinated with the respective governing council.

4.3.8.3 If an impasse is reached between the Responsible Office and the Inspector General, the Responsible Office shall also document the impasse in the Executive Summary of the signature package.

4.3.8.4 The DM shall process the final package for signature according to approved local procedures.

4.3.9 Signature Packages for Center-level directives. Center Responsible Offices shall use established Center instructions to prepare signature packages for Center-level directives.

4.3.10 Final Approval

NPDs are signed by the NASA Administrator. NPRs are concurred on by officials within the Administrator's office prior to being signed by the OIC of the Headquarters Office responsible for the NPR or the NASA Administrator. CPDs and CPRs are signed by CDs or designees. When signed, a directive becomes an official NASA directive and shall be controlled in an electronic documentation library. Agency-level directives are controlled in NODIS. Center-level directives are controlled in electronic libraries established at each Center and are linked to NODIS.

4.4 Revising, Revalidating, or Providing Administrative Corrections to Existing NPDs or NPRs

4.4.1 Responsible Offices that need to revise an existing directive to reflect changes in policy or procedural requirements shall submit the directive for review and approval in the same manner as a new directive (see paragraph 4.3).

Note 1: If the change to the directive only impacts limited, discrete portions (paragraphs) of the directive, the Responsible Office may elect to only submit the paragraph changes for formal review and approval, as opposed to the entire document. However, if OICMS determines the changes are too extensive for a paragraph review, a review of the entire document may be required.

Note 2: The cost/benefit impacts (see paragraph 4.3.6.1f) for revised directives need only discuss the impact of the revisions, not existing requirements.

4.4.2 If a directive is due to expire, but the directive is current, necessary, and requires no changes, or only minor administrative changes (e.g., updates to document citations, office or position titles, references to other established policy or externally mandated instructions that may not be altered or edited, or substantive administrative changes that do not add or change policy or requirement), the Responsible Office shall request a revalidation for a period not to exceed five years, using the following process:

Note 1: Cost/benefit impacts (see paragraph 4.3.6.1f) are not required for revalidations.

Note 2: Revalidations will not be allowed on any directive that does not meet the content requirements in this NPR.

a. The Responsible Office provides an e-mail request to OICMS with a list of the changes (or an electronic version of the directive showing the administrative changes).

b. OICMS reviews directive for compliance with this NPR and coordinates corrections with the Responsible Office.

c. OICMS provides e-mail notification of the intent to revalidate the directive to DMs on an exception-only basis.

d. If there are no objections, OICMS revalidates the directive, summarizes the administrative changes in the directive's change log, and extends the expiration date for another five years.

e. If there are objections, OICMS determines whether the objections are valid and either approves the revalidation or requests that the document be submitted for formal review and approval.

4.4.3 If the Responsible Office needs to make minor administrative corrections (e.g., fixing typographical errors) during the life cycle of the directive, the Responsible Office may submit a request for administrative changes, via e-mail to OICMS.

Note: Only the review and concurrence of OICMS is needed to make administrative corrections. If OICMS determines that the proposed administrative corrections change the directive's requirements, a formal review of the changes/corrections may be required.

4.4.4 For Center-level directives, Center instructions apply.

4.5 Creating NIDs or CIDs

4.5.1 For NIDs, the Responsible Office shall:

a. Secure written approval from the OIC and other approvals, as established within the local process for the proposed interim directive (policy/requirement).

b. Document the urgent requirement for issuing an interim directive.

c. Submit the interim directive to the DM or designated organization for processing.

d. Obtain concurrence from the Office of the General Counsel for legal review.

e. Obtain concurrence from the Office of Human Capital Management to satisfy the Agency's obligation, in accordance with Creating Labor-Management Forums to Improve Delivery of Government Services, Exec. Order No. 13522, to provide the Agency's union representatives with a 30-day national consultation period.

f. Obtain concurrence from the Office of Procurement if the NID impacts NASA contracts, contractors, grants, or grantees.

g. Obtain concurrence from the Office of the Chief Financial Officer to ensure proper financial consideration.

Note: For Agency-level directives, consult OICMS or the DM when preparing NIDs.

4.5.2 OICMS shall include NIDs in the NODIS Library.

4.5.3 For CIDs, Responsible Offices shall follow Center instructions for coordinating and publishing, to include satisfying the requirements in accordance with Creating Labor-Management Forums to Improve Delivery of Government Services, Exec. Order No. 13522, to provide local

union representatives with consultation period.

Note: Consult your Center DM when preparing CIDs.

4.6 Hyperlinking Other Documentation to the NODIS Library or Center-level Directives Library Systems

4.6.1 When a Responsible Office determines that a NASA standard, work instruction, or guide is useful, but not appropriate for inclusion as a directive, the Responsible Office may use hyperlinking to make the related documentation available through NODIS.

a. For Agency-level interim directives, the Responsible Office shall coordinate this with OICMS.

b. For Center-level interim directives, the Responsible Office shall coordinate this with the Center's DM.

4.7 Case Files

4.7.1 OICMS shall manage Agency-level directives case files that include all the material included in the Approving Official's Signature Package.

Note: See paragraph 4.3.8.1 for a list of materials that shall be included in a signature package and Appendix C Verification A for assembly of this material.

4.7.2 Center-level directives case files shall be managed according to the Center's process.

Appendix A. Definitions

Agency-level directive. A NASA directive with Agency-wide applicability; i.e., NASA Policy Directives (NPDs), NASA Procedural Requirements (NPRs), and NASA Interim Directives (NIDs).

Authority. The source from which a requirement is drawn; the responsible organization imposing the requirement.

Center-level directive. A NASA directive with Center-specific applicability; e.g., Center Policy Directives (CPDs); Center Procedural Requirements (CPRs); and Center Interim Directives (CIDs).

Center Interim Directive (CID). Documents an immediate, short-term statement of the Center's policies, requirements, and responsibilities for implementation. Center Policy Directive (CPD). Documents Center-specific policy requirements and responsibilities.

Center Procedural Requirements (CPR). Documents/establishes Center-specific procedural requirements and responsibilities to implement the policies and procedural requirements defined in related NPDs, NPRs, or CPDs.

Concurrence. A documented agreement.

Contextual information. Background information, such as history or rationale for a requirement, or other descriptive information or examples that help clarify the actual requirements statement.

Disposition of Comments. A documented response explaining how reviewers' comments will be applied to the draft directive.

Guidance. A statement of expectation that does not mandate compliance. NASA Directive. A NASA document that transmits information required by law, the President, the NASA Administrator, or other senior NASA official that applies to all NASA activities or to a single NASA Center on how they initiate, govern, or control actions. NASA directives include: NASA Policy Directives (NPD), NASA Procedural Requirements (NPR), NASA Interim Directives (NID), Center Policy Directives (CPD), Center Procedural Requirements (CPR), and Center Interim Directives (CID).

NASA Directives System. The tools and processes used to create and promulgate NASA Agency-level directives.

NASA Interim Directives (NID). Documents an immediate, short-term statement of the Agency's policies, requirements, and identifies responsibilities for implementation.

NASA Online Directives Information System (NODIS). A full-function, Web-based document management system (DMS) with a separate library for the search and retrieval of approved directives and related policy documents. The NODIS DMS is used for the creation, review, revision, concurrence, approval, publication, and maintenance of Agency-level directives, and the generation of associated reports. The NODIS Library provides for full text searching of Agency- and Center-level directives. It also provides links to other policy documents governing the Agency, including: NASA Technical Standards, Code of Federal Regulations, Executive Orders, Federal Register, OMB Circulars, Congressional Records, the U.S. Code, Congressional Bills, and the Catalog of U.S. Government Publications.

NASA Policy Directive (NPD). Documents Agency policy statements that describe what is required by NASA management to achieve NASA's vision, mission, and external mandates and who is responsible for carrying out those requirements. NASA Procedural Requirements (NPR). Documents

Agency requirements to implement NASA's policy as delineated in an associated NPD.

Nonconcurrence. A documented disagreement.

Policy. Describes the philosophies, fundamental values, and general direction of the Agency or Center and are used to determine present and future decisions. Because established policies are general in nature, they may need more specific requirements established in procedural requirements for full implementation. Requirement. A statement of mandatory instruction that an employee or organization has to perform or a statement of form or function that a piece of equipment or system has to meet.

Responsible Office. The office that has responsibility for the development, maintenance, and verification of a directive.

Revalidation. The process for renewing a NASA directive when the directive is current and necessary and requires no changes or only minor administrative changes (e.g., updates to document citations, office or position titles, or references to other established policy or externally mandated instruction that may not be altered/edited).

Verification. The process of proving or demonstrating that requirements have been satisfactorily met.

Waiver. A written authorization to depart from a specific directive requirement.

Appendix B. Acronyms

AA	Assistant Administrator, Associate Administrator
CD	Center Director
CID	Center Interim Directive
CPD	Center Policy Directive
CPR	Center Procedural Requirements
DM	Directives Manager
DMS	Document Management System
HATS	Headquarters Action Tracking System
JPL	Jet Propulsion Laboratory
NASA-STD	NASA Technical Standard
NHQ	NASA Headquarters
NID	NASA Interim Directive
NODIS	NASA Online Directives Information System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
OCFO	Office of the Chief Financial Officer
OGC	Office of the General Counsel
OHCM	Office of Human Capital Management
OIC	Official-in-Charge
OICMS	Office of Internal Controls and Management Systems
QCL	Quality Control Liaison
U.S.C.	United States Code

Appendix C. Verification Matrices

NPR 1400.1 Verification Matrix A
NPD/Rs

Directive ID: _____
Review Date: _____

Do developers follow the required processes specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine process compliance, the Office of Internal Controls and Management Systems monitors the processing of each Agency-level directive through NASA Online Directive Information System (NODIS) and the subsequent signature process to ensure that all process steps and requirements have been completed correctly by all of the process participants.

1400.1 Req't Para	Process Steps/Requirements	Compliant	Non-Compliant
4.3.5	**Requirement** - Did the Responsible Office send directive to OHCM for union coordination? *Note: Confirmation of completion is indicated on NHQ Form 184 and OHCM's e-mail to the union?* If yes, compliant. If no, not compliant.		
None	**Process Step** - Did Responsible Office meet suspense date to place directive on the review schedule? - *Note: View Summary of Actions schedule in NODIS?* If yes, compliant. If no, not compliant.		
2.12.1c, 4.3.6.1f(1)	**Requirement** - Did the Responsible Office provide cost/benefit impacts (e.g., financial, human resources, technical) to implement the new requirements in the space provided on NHQ Form 184? If yes, compliant. If no, not compliant.		
4.3.7.2	**Requirement** - Did reviewing offices/Centers review, comment, provide a concurrence decision on cost/benefit impacts described on NHQ Form 184, in addition to the technical content contained in the directive? If yes, compliant. If no, not compliant.		
2.11.1f	**Requirement** - Was the directive coordinated, approved, and published within established timeline? If yes, compliant. If no, not compliant.		
2.12.1h	**Requirement** - Did the Responsible Office request extensions 10 calendar days prior to the suspense date? If yes, compliant. If no, not compliant.		
2.12.1g	**Requirement** - Did Responsible Office meet suspense date to submit signature package for final approval? *Note: View Summary of Actions schedule in NODIS and NODIS/HATS tracking for supporting material.* If yes, compliant. If no, not compliant.		
4.3.8.1 4.3.8.1a 4.3.8.1b 4.3.8.1c 4.3.8.1c(1) 4.3.8.1c(2) 4.3.8.1c(3) 4.3.8.1c(4) 4.3.8.1c(5) 4.3.8.1c(6) 4.3.8.1c(7) 4.3.8.1c(8) 4.3.8.1c(9) 4.3.8.1c(10) 4.3.8.1c(11) 4.3.8.1c(12) 4.3.8.1d 4.3.8.1e 4.3.8.1f	**Requirement** - Did the Responsible Office prepare final signature package material listed below? If yes, compliant. If no, not compliant. Evidence of concurrence and the approval of the responsible OIC. The original of the proposed directive. Executive Summary to include the following: Purpose and justification for new requirement(s). Summary of significant changes if directive is being revised. Summary of significant comments received during the review. Summary of nonconcurrence(s) and attempts towards resolution, per 4.3.8.2 and 4.3.8.3. Cost/benefit impacts for new resources that may be needed and justification for why resources need to be expended to eliminate unfunded mandates. Strategic Impact (if any). Description of Presidential initiative/external action (if any). Administrator's Headquarters Action Tracking (HATS) ID (e.g., A/2010-00123). HATS due date. Quality Control Liaison's (QCL) name, number, and date of QCL review. Special Instructions (if any). Directives Manager's name and number. A copy of the directive's Review Report of all comments and dispositions. Any additional documents that convey executive direction and supporting material. One copy of each directive to be cancelled by the proposed directive when it is approved. **Process Step** - Did the Responsible Office assemble the signature package according to the attached package assembly instructions checklist?		
4.3.6.1f(2)	**Requirement** - Did the Responsible Office disposition all comments on the directive's content and cost benefit impacts? If yes, compliant. If no, not compliant.		
4.3.8.2 4.3.8.2a 4.3.8.2b 4.3.8.2c 4.3.8.2d	**Requirement** - Did the Responsible Office document disagreement with nonconcurring offices in the Executive Summary to include the following: An explanation for the nonconcurrence. A discussion of how the Responsible Office attempted to resolve the impasse and the outcome of those attempts, The reason(s) the impasse remains unresolved. The recommendation of the Responsible Office.		
4.3.8.3	**Requirement** - Did the Responsible Office document the impasse with the Inspector General in the Executive Summary? If yes, compliant. If no, not compliant.		
2.13.1g	**Requirement** - Did the Responsible Office's Quality Control Liaison sign the ADS? If yes, compliant. If no, not compliant.		
2.11.1h	**Requirement** - Did OICMS distribute notification of new/revised directive? If yes, compliant. If no, not compliant.		
None	**Process Step** - Did OICMS update the Standards Update Notification System?		

NPR 1400.1 Verification Matrix A (Cont'd)
Signature Package Assembly Instructions

Directive ID: _____
Review Date: _____

- ☐ Does the signature package contain printable forms from the signature package page in NODIS?
- ☐ Does the signature package contain the appropriate directives package tabs?
- ☐ Outside of folder, front:
  - ☐ Executive Correspondence (clear plastic) cover.
  - ☐ Action Document Summary (ADS), NHQ Form 117.
- ☐ Inside of folder, left side:
  - ☐ Executive Correspondence (clear plastic) cover.
  - ☐ Executive Summary.
  - ☐ Review Report Tab (NHQ Form 279).
  - ☐ Review Report.
  - ☐ Additional Comments Tab (NHQ Form 279).
  - ☐ Additional documents that convey executive direction and supporting material (e.g., e-mails, verification matrices).
  - ☐ NHQ Form 184 Tab (NHQ Form 280).
  - ☐ NASA Directive Request Summary (NHQ Form 184).
  - ☐ Cancelled Directive(s) Tab (NHQ Form 280).
  - ☐ Directive(s) cancelled by the approved directive.
- ☐ Inside of folder, right side for an NPR:
  - ☐ Executive Correspondence (clear plastic) cover.
  - ☐ The NPR Cover Page (optional).
  - ☐ The NPR's Table of Contents.
  - ☐ The NPR Preface.
  - ☐ Signature tab (NASA Form 422), preceding the signature page in the Preface.
  - ☐ Remaining pages of the NPR.
- ☐ Inside of folder, right side for an NPD:
  - ☐ Executive Correspondence (clear plastic) cover.
  - ☐ The NPD.
  - ☐ Signature tab (NASA Form 422), preceding the signature page in the NPD.
  - ☐ Signature page of the final version of the NPD.

NPR 1400.1 Measurement/Verification Matrix B-1

NASA Policy Directive (NPD)

Directive ID: _____

Review Date: _____

Do developers prepare directives in accordance with the requirements for the content and structure of directives that are specif... this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each Agency-level directive during the NODIS review and verifies that the content requirements have been met.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPD Elements and Structure			
3.6.2a-f	Are the following required elements in the NPD: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents; 5. Responsibility; 6. Measurement/Verification; 7. Cancellation, Signature Block, Attachment, Distribution Statement? If yes, compliant. If no, not compliant.		
3.6.3b	Paragraph 1. Policy: Policy Statement. Is there a policy statement (e.g., It is NASA's policy to..., NASA shall...)? If yes, compliant. If no, not compliant.		
3.6.3c(1)-(3)	Paragraph 2. Applicability: Does the NPD contain the following statement: "This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." If applicable to JPL, state, "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action (e.g., shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.6.3d	Paragraph 3. Authority: Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.6.3e	Paragraph 4. Applicable Documents and Forms: Are the applicable documents and forms, cited within the body of the directive, listed in paragraph 4? Conversely, are applicable documents, listed in paragraph 4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents: Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, non-NASA government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly and consistently throughout directive? If yes, compliant. If no, not compliant.		
3.6.4f	Paragraph 5. Responsibility: Are responsibility statements for implementation attributed to the highest level possible? Do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization. If yes, compliant. If no, not compliant.		
3.6.3g	Paragraph 6. Delegation of Authority: Are there any delegations? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3h	Paragraph 7. Measurement/Verification (M/V): Does information support senior management's evaluation of performance for compliance? If yes, compliant. If no, not compliant.		
3.6.3i	Paragraph 8. Cancellation: If NPD cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
NPD Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant/		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NPD 1000.3? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1d	Is text aligned along the left margin? If yes, compliant. If no, not compliant.		
3.5.1e	Are notes indented and italicized? If yes, compliant. If no, not compliant.		
3.5.1f	Are figures and tables centered w/figures numbered and tables lettered? If yes, compliant. If no, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
3.5.1h& 3.6.3j	Are paragraphs and subparagraphs numbered in accordance with Figure 3? If yes, compliant. If no, not compliant.		
3.6.3l	Are paragraphs numbered accordingly in the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.3m	Are definitions listed in Attachment A in alphabetical order w/out paragraph numbers, and are only terms used that are uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.6.3n	Are acronyms listed in Attachment B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		

NPR 1400.1 Measurement/Verification Matrix B-1
NASA Policy Directive (NPD)

Directive ID: _____
Review Date: _____

Do developers prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each Agency-level directive during the NODIS review and verifies that the content requirements have been met.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPD Elements and Structure			
3.6.2a-f	Are the following required elements in the NPD: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents; 5. Responsibility; 6. Measurement/Verification; 7. Cancellation, Signature Block, Attachment, Distribution Statement? If yes, compliant. If no, not compliant.		
3.6.3b	Paragraph 1. Policy: Policy Statement. Is there a policy statement (e.g., It is NASA's policy to... NASA shall...)? If yes, compliant. If no, not compliant.		
3.6.3c(1)-(3)	Paragraph 2. Applicability: Does the NPD contain the following statement: "This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." If applicable to JPL, state, "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action (e.g., shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.6.3d	Paragraph 3. Authority: Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.6.3e	Paragraph 4. Applicable Documents and Forms: Are the applicable documents and forms, cited within the body of the directive, listed in paragraph 4? Conversely, are applicable documents, listed in paragraph 4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents: Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, non-NASA government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly and consistently throughout directive? If yes, compliant. If no, not compliant.		
3.6.4f	Paragraph 5. Responsibility: Are responsibility statements for implementation attributed to the highest level possible? Do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization. If yes, compliant. If no, not compliant.		
3.6.3g	Paragraph 6. Delegation of Authority: Are there any delegations? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3h	Paragraph 7. Measurement/Verification (M/V): Does information support senior management's evaluation of performance for compliance? If yes, compliant. If no, not compliant.		
3.6.3i	Paragraph 8. Cancellation: If NPD cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
NPD Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant/		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NPD 1000.3? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1d	Is text aligned along the left margin? If yes, compliant. If no, not compliant.		
3.5.1e	Are notes indented and italicized? If yes, compliant. If no, not compliant.		
3.5.1f	Are figures and tables centered w/figures numbered and tables lettered? If yes, compliant. If no, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
3.5.1h& 3.6.3j	Are paragraphs and subparagraphs numbered in accordance with Figure 3? If yes, compliant. If no, not compliant.		
3.6.3l	Are paragraphs numbered accordingly in the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.3m	Are definitions listed in Attachment A in alphabetical order w/out paragraph numbers, and are only terms used that are uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.6.3n	Are acronyms listed in Attachment B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.6.4	Are procedural requirements documented? If no, compliant. If yes, not compliant.		

NPR 1400.1 Measurement/Verification Matrix B-2
NASA Procedural Requirements (NPR)

Directive ID: _____
Review Date: _____

Do developers prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each Agency-level directive during the NODIS review and verifies that the content requirements have been met.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPR Elements and Structure			
3.7.2	Does the NPR contain the appropriate elements (e.g., Table of Contents (TOC), Change Log, Preface, Chapters, Appendices)? If yes, compliant. If no, not compliant.		
3.7.2c	Does the TOC contain a preface and chapter titles with second level paragraphs titles? If yes, compliant. If no, not compliant.		
3.7.4h	Are chapter paragraphs numbered in accordance with Figure 5? If yes, compliant. If no, not compliant.		
Preface Elements and Structure			
3.7.2e	Does the Preface contain the appropriate elements (e.g., P.1 Purpose, P.2 Applicability, P.3 Authority, P.4 Applicable Documents and Forms, P.5 Measurement/Verification, P.6 Cancellation)? If yes, compliant. If no, not compliant.		
3.7.4a	P.1 Purpose - Does the Purpose describe the rationale for establishing the NPR and what will be accomplished by implementing the NPR? If yes, compliant. If no, not compliant.		
3.7.4b	P.2 Applicability - Does the NPR contain the following statement: "This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." If applicable to JPL, state, "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action? Does the document contain the description statements for action verbs (shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.7.4c	P.3 Authority - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.7.4d	P.4 Applicable Documents and Forms - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph P.4? Conversely, are the applicable documents and forms, listed in paragraph P.4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents - Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, NASA Forms, non-NASA Government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly and consistently throughout directive? If yes, compliant. If no, not compliant.		
3.7.4e	P.5 Measurement/Verification (M/V) - Does information support senior management's evaluation of performance for compliance? If yes, compliant. If no, not compliant.		
3.7.4f	Paragraph 8. Cancellation - If NPR cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4g	Are Preface paragraphs numbered in accordance with Figure 4? If yes, compliant. If no, not compliant.		
NPR Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant.		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NPD 1000.3? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1c	Are page numbers used and indexed TOC excluded? If yes, compliant. If no, not compliant.		
3.5.1d	Is text aligned along the left margin? If yes, compliant. If no, not compliant.		
3.5.1e	Are notes indented and italicized? If yes, compliant. If no, not compliant.		
3.5.1f	Are figures and tables centered w/figures numbered and tables letters? If yes, compliant. If no, not compliant/		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
NPR Appendices			
3.7.4h	Are chapter paragraphs numbered in accordance with Figure 5? If yes, compliant. If no, not compliant		
3.7.4i	Do appendices contain requirements? If no, compliant. If yes, not compliant.		
3.7.4j	Are paragraphs numbered accordingly in the appendix (e.g., A.1, A.2) excluding appendices containing acronyms and definitions? If yes, compliant. If no, not compliant		
3.7.4k	Are definitions listed in Appendix A in alphabetical order w/out paragraph numbers, and are the terms used in the NPR uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.7.4l	Are acronyms listed in Appendix B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.7.4m	If there is a verification matrix, is it included Appendix C? If yes, compliant. If no, not compliant.		

NPR 1400.1 Measurement/Verification Matrix C-1
Center Policy Directive (CPD)

Directive ID: _____
Review Date: _____

Are Centers following the content and process requirements of this NPR, that are applicable to the Centers, for Center-level directives initiated or revised after the effective date of this NPR? To determine Center compliance with this NPR, Center Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the Center. The Office of Internal Controls and Management Systems surveys the Centers and conducts spot-checks every three years to review Center documentation and implementation of Center-specific verification activity.

1400.1 Paragraph	Description	Compliant	Not Compliant
CPD Elements and Structure			
3.6.2a-f	Are the following required elements in the CPD: Change Log; 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents; 5. Responsibility; 6. Measurement/Verification; 7. Cancellation, Signature Block, Attachment, Distribution? If yes, compliant. If no, not compliant.		
3.6.3b	Paragraph 1. Policy - Policy Statement. Is there a policy statement (e.g., It is NASA's policy to... NASA shall...)? If yes, compliant. If no, not compliant.		
3.6.3c(1)-(3)	Paragraph 2. Applicability - Does the CPD contain the following statement: "This CPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." If applicable to JPL, state, "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action (e.g., shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.6.3d	Paragraph 3. Authority - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.6.3e	Paragraph 4. Applicable Documents and Forms - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph 4? Conversely, are the applicable documents and forms, listed in paragraph 4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents - Are these citations listed numerically or alphabetically in order by title if number doesn't exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, non-NASA government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly and consistently throughout directive? If yes, compliant. If no, not compliant.		
3.6.3f	Paragraph 5. Responsibility - Are responsibility statements for implementation attributed to the highest level possible? Do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization. If yes, compliant. If no, not compliant.		
3.6.3g	Paragraph 6. Delegation of Authority: Are there any delegations? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3h	Paragraph 7. Measurement/Verification (M/V) - Does information support senior management's evaluation of performance for compliance? If there are no M/Vs, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3i	Paragraph 8. Cancellation - If CPD cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
CPD Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant/		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NPD 1000.3? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
3.5.1h&3.6.3l	Are paragraphs and subparagraphs numbered in accordance with Figure 3? If yes, compliant. If no, not compliant.		
3.6.3l	Are paragraphs numbered accordingly in the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.3m	Are definitions listed in Attachment A in alphabetical order w/out paragraph numbers, and are only terms used that are uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.6.3n	Are acronyms listed in Attachment B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.6.4	Are procedural requirements documented? If no, compliant. If yes, not compliant.		

NPR 1400.1 Measurement/Verification Matrix C-2

Center Procedural Requirements (CPR)

Directive ID: _____

Review Date: _____

Are Centers following the content and process requirements of this NPR, that are applicable to the Centers, for Center-level directives initiated or revised after the effective date of this NPR? To determine Center compliance with this NPR, Center Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the Center. The Office of Internal Controls and Management Systems surveys the Centers and conducts spot-checks every three years to review Center documentation and implementation of Center-specific verification activity.

1400.1 Paragraph	Description	Compliant	Not Compliant
CPR Elements and Structure			
3.7.2	Does the CPR contain the appropriate elements (e.g., Table of contents (TOC), Change Log, Preface, Chapters, Appendices)? If yes, compliant. If no, not compliant.		
3.7.2c	Does the TOC contain a preface and chapter titles with second-level paragraphs titles? If yes, compliant. If no, not compliant.		
3.7.4h	Are chapter paragraphs numbered in accordance with Figure 5? If yes, compliant. If no, not compliant.		
Preface Elements and Structure			
3.7.2d	Does the Preface contain the appropriate elements (e.g., P.1 Purpose, P.2 Applicability, P.3 Authority, P.4 Applicable Documents and Forms, P.5 Measurement/Verification, P.6 Cancellation) If yes, compliant. If no, not compliant.		
3.7.4a	P.1 Purpose - Does the Purpose describe the rationale for establishing the NPR and what will be accomplished by implementing the NPR? If yes, compliant. If no, not compliant.		
3.7.4b	P.2 Applicability - Does the CPR contain the following statement: This CPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." If applicable to JPL, state, "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action? Does the document contain the description statements for action verbs (shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.7.4c	P.3 Authority - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.7.4d	P.4 Applicable Documents and Forms - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph P.4? Conversely, are the applicable documents and forms, listed in paragraph P.4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents - Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, NASA Forms, non-NASA Government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly and consistently throughout directive? If yes, compliant. If no, not compliant.		
3.7.4e	P.5 Measurement/Verification (M/V) - Does information support senior management's evaluation of performance for compliance? If there are no M/Vs, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4f	P.6. Cancellation - If CPR cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4g	Are Preface paragraphs numbered in accordance with Figure 4? If yes, compliant. If no, not compliant.		
CPR Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant.		
3.2.1	Are position and office titles used to assign responsibilities and are these titles consistent with NPD 1000.3 used? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
CPR Appendices			
3.7.4i	Do appendices contain requirements? If yes, not compliant. If no, compliant.		
3.7.4j	Are paragraphs within appendices numbered using the letter of the appendix (e.g., A.1, A.2) excluding appendices containing acronyms and definitions? If yes, compliant. If no, not compliant		
3.7.4jk	Are definitions listed in Appendix A in alphabetical order w/out paragraph numbers, and are the terms used in the NPR uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.7.4l	Are acronyms listed in Appendix B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.7.4m	If there is a verification matrix, is it included Appendix C? If yes, compliant. If no, not compliant.		

Appendix D. Relationship between NASA Directives and Other NASA Documents

D.1 NASA directives work in conjunction with other NASA documents, such as plans, manuals, NASA Technical Standards, and work instructions. NASA directives provide the overarching requirements which serve as the framework for lower-level NASA internal organizational and task requirements.

D.1.1 Relationship between NASA Directives and Plans

D.1.1.1 Planning documents, such as Mission Directorate implementation plans, the Mission Support Implementation Plan, and the Human Capital Plan (described in NPD 1000.0, Strategic Management and Governance Handbook), and program/project plans typically describe activities focused in a discrete area. Directives establish the master requirements applicable to all entities across NASA, while plans describe goals, objectives, and requirements applicable to very specifically defined elements of NASA.

D.1.1.2 Plans are typically developed, approved, and controlled outside of the NASA Directives System.

D.1.2 Relationship between NASA Directives and Manuals

D.1.2.1 Manuals typically identify process requirements for employees within a single work unit or functional area.

D.1.2.2 Manuals may supplement NASA directives and provide more instruction about how the provisions of those directives are carried out within the work unit or functional area. Manuals may also provide supplemental information about acceptable methods for implementing requirements, including lessons learned, suggested practices, instructions, and suggested performance measures. Manuals typically are written to a greater level of detail than NASA directives.

D.1.2.3 Manuals are typically developed, approved, and controlled outside of the NASA Directives System.

D.1.2.4 Manuals that implement NASA directives are typically hyperlinked to their associated NASA directives.

D.1.3 Relationship between Directives and NASA Technical Standards

D.1.3.1 NASA Technical Standards may be applied to programs/projects executed internally or under contract. Tailoring of these standards is a program/project responsibility and is to be approved by the governing Technical Authority.

D.1.3.2 NASA Technical Standards may also be referenced as guidance on acceptable methods for meeting requirements of NASA directives, lessons learned, and recommended practices.

D.1.3.3 NASA Technical Standards are developed, approved, and controlled by NPR 7120.10, Technical Standards for NASA Programs and Projects, rather than by this directive (NPR 1400.1).

D.1.4 Relationship between Directives and Work Instructions

D.1.4.1 Work instructions typically document the instructional requirements applied to an individual organization that define the processes used to deliver products or services to customers or to meet

the organization's mission requirements.

D.1.4.2 Work instructions represent the translation of the Agency's strategic requirements and NASA directives down to a level of detailed application to individual employees or work groups.

D.1.4.3 Work instructions are typically developed, approved, and controlled outside of the NASA Directives System. Typically, the requirements for work instructions fall under the scope of the NASA Management System, as defined in NPD 1280.1, NASA Integrated Management System Policy. These documents may be included in the directives system's documentation libraries.

Appendix E. Sample NPD and NPR

E.1 Sample NPD

View NPD 1400.1, Documentation and Promulgation of NASA Internal Requirements as a sample.

E.2 Sample NPR

View this NPR as a sample.

Appendix F. Sample Cost/Benefit Impacts

F.1 Impact to Headquarters Responsible Offices (Offices that write Agency-level directives):

a. This NPR will require Responsible Offices to include projected cost/benefit impacts for offices and Centers to implement new requirements. Therefore, the cost to implement this requirement involves additional staff time for Responsible Offices' writers to:

(1) Project cost/benefit impacts.

(2) Disposition comments on cost/benefit impacts provided by reviewing offices and Centers.

(3) Formulate a consolidation of cost/benefit impacts to be included in directives' executive summaries when packages are submitted for approval. The benefit of implementing this requirement will allow the Agency to determine if requirements dictated in new and/or revised Agency-level directives can be accomplished with existing resources or if additional resources will be needed, thereby identifying potential unfunded mandates.

b. This NPR will require Responsible Offices to properly convey requirements to contractors by delineating between requirements and procedures that are directed toward civil service employees and requirements that are directed toward contractors. The cost to implement this requirement will require additional staff time for directive writers to delineate requirements. The benefit of implementing this requirement will allow Agency-level directives to convey requirements for civil service employees, as well as contractors, thereby allowing requirements for contractors to be lifted from directives and inserted into contracts, with the exception of voluminous requirements that will require sections of directives to be cited in contracts.

c. This NPR will require Responsible Offices to use new requirements for issuing NASA charters. There are no additional costs (e.g., financial, human resources, technical) to implement this requirement because process steps are already in place. However, the benefit of implementing this requirement will establish an official internal control for publishing charters for councils, boards, and committees not covered in NPD 1000.3, The NASA Organization.

d. This NPR will require Responsible Offices to list applicable forms that directly relate, and are necessary, to the performance of the activities specified in the directive. There are no costs to implement this requirement, and the benefit of implementing it reduces the number of uncontrolled forms in existence and ensures that forms supporting NASA directives are created in accordance with established procedures.

e. This NPR will require Responsible Offices to properly format citations in NASA directives. There are no costs to implement this requirement, and the benefit to implementing it will provide directives writers with requirements needed to ensure formatting consistency in all NASA directives.

f. This NPR will require Responsible Offices to coordinate NPDs in 90 calendar days and NPRs in 120 calendar days. There are no costs to implement this requirement, but the benefit provides an increase in the number of days to conduct a thorough review/comment, disposition, and final approval of Agency-level directives.

Note: This NPR does not require an immediate, complete rewrite of all NASA directives.

F.2 Impact to Reviewing Offices (Headquarters and Centers):

This NPR will require reviewing offices to review, comment, and concur on both the technical content in Agency-level directives and on cost/benefit impacts projected by the Responsible Office to implement new requirements. The cost to implement this requirement will require additional staff time on the part of the reviewing offices' subject experts, particularly the Centers, to comment on projected cost/benefit impacts. The benefit of implementing this requirement enables reviewing offices and Centers to comment on projected cost/benefit impacts prior to directives being approved.

F.3 Impact to DMs (Headquarters and Centers):

a. This NPR will require DMs to ensure that:

(1) Writers of Agency-level directives project cost/benefit impacts to implement new requirements within HQ Offices and Centers.

(2) Reviewers of Agency-level directives comment on projected cost/benefit impacts, as well as the content in directives.

(3) Agency-level directives are reviewed for quality.

b. While there are no costs to implement these requirements, a slight adjustment to DMs' internal process will be necessary. The benefits of implementing these requirements provides for an effective and efficient way to collect and collaborate cost/benefits impacts and improves the writing quality of Agency-level directives.

F.4 Impact to Centers:

This NPR will require Center-level directives writers to add a standardized applicability statement for use of the terms: shall, may, can, should, will, are, and is. There are no additional costs (e.g., financial, human resources, technical) to implement this requirement. The benefit of implementing this requirement ensures that Center-level directives follow requirements for content and structure, making these documents consistent with Agency-level directives.

Note: This NPR will require rewrite of existing Center-level directives when they are revised.

F.5 Impact to Agency and Center Contracting Officer Technical Representatives (COTR) (Headquarters and Centers):

This NPR recommends that requirements in NASA directives that apply to contractors, grantees, and parties to agreements be clearly delineated in the directives themselves, or that the applicable directives' requirements for contractors be included in contracts, grants, or agreements. When the directive itself does not specify which requirements apply to contractors, grantees, or parties to the agreement, then additional staff time on the part of the COTR required to include specific requirements in the contract, grant, or agreement will be necessary. The benefit of implementing this recommendation initiates a best practice that will allow requirements for contractors, grantees, and parties to agreements to be clearly identified in contracts, grants, and agreements and avoid misunderstanding and misinterpretation of requirements which may impact cost, schedule, or performance.

Note: This NPR does not require modifications to existing contracts, grants, or agreements.

F.6 Impact to the Office of Internal Controls and Management Systems (OICMS):

a. This NPR will require OICMS to make technical adjustments in NODIS to:

(1) Develop a comment and disposition field for cost/benefit impacts as a separate entry for reviewing offices and Centers.

(2) Increase the number of days to coordinate Agency-level directives from 60 to 90 calendar days for NPDS and from 90 to 120 calendar days for NPRs in order to allow a sufficient number of days for Responsible Offices and Reviewing offices and Centers to collaboratively develop thorough cost/benefit impacts.

b. There are no costs to make technical adjustments in NODIS. The benefits of making these adjustments enables the system to be ready to effectively and efficiently collect costs/benefit impact information entered in NODIS by the Responsible Offices and the reviewing offices.