



NPD 1400.1K
 Effective Date: September 14, 2011
 Expiration Date: September 14, 2021

COMPLIANCE IS MANDATORY

[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: Documentation and Promulgation of Internal NASA Requirements and Charters (Revalidated w/Change 1)

Responsible Office: Mission Support Directorate

Change Log

Chg#	Approver	Date Approved	Description/Comments
1	Directives Management Team	08/04/2015	Revalidated for another 5 years with administrative edits made to Figure 1 in Attachment D to make clear that interim directives are on the same level as other directive types, to remove unnecessary "shall" statements in the responsibility and measurements sections, and to add an additional authority requiring directives management.

1. POLICY

a. It is NASA's policy to establish, document, and promulgate internal NASA requirements in order to communicate these requirements in a clear, efficient, and concise manner, and where necessary, to fulfill the Agency's vision, mission, and external mandates.

(1) An internal NASA requirement is a statement of mandatory instructions, imposed by NASA, that a NASA employee or organization will perform or a statement of form "and/or" function that a piece of equipment or system will meet.

(2) An internal NASA requirements document is any document used to record and communicate the internal requirements and responsibilities necessary to fulfill the Agency's vision, mission, and external mandates.

b. NASA's policy is to also establish charters to govern councils, boards, committees, panels, or working groups mandated by statute, the NASA Administrator, or Officials-in-Charge of Headquarters Offices in order to make decisions for the Agency.

c. It is NASA's policy that all internal NASA requirements documents are:

- (1) Developed and controlled by a documented process.
- (2) Clearly labeled as containing requirements.
- (3) Available Agency wide to those who need them.
- (4) Verifiable for internal/external audits.
- (5) Current.
- (6) Traceable to governing documents.

d. It is NASA's policy to review all Agency-level directives for cost/benefit impacts, as described in NPR 1400.1, NASA Directives and Charters Procedural Requirements.

e. It is NASA's policy that all internal NASA charters comply with the provisions of paragraphs 1a and 1c, excluding paragraphs 1c(2) and (4).

f. When internal requirements are consistent with the purpose of an external requirement but meet or exceed those requirements, thereby making internal requirements more stringent, it is NASA policy that the internal NASA requirements apply. (See Attachment C for examples of external requirements).

g. It is NASA's policy that NASA directives take precedence over all other internal NASA requirements. The flow and order of precedence for internal NASA documents are described in Figure 1 of Attachment D. Attachment A provides the definition for the documents that constitute NASA directives.

h. It is NASA's policy that internal NASA documents other than directives, such as the examples mentioned in Attachment C, become requirements when a directive specifies its use (by citing the document's title, revision letter/number, and date) or when a NASA manager with authority over a NASA program, project, or other activity, identifies it as a requirement.

2. APPLICABILITY

a. This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers.

b. This NPD is applicable to internal NASA requirements and charters developed or revised after the effective date of this NPD.

c. In this NPD, 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 or is" denote descriptive material.

3. AUTHORITY

a. Administrative, 40 U.S.C. 121(c)(2), Pub. L. 107-217, § 1, Aug. 21, 2002, 116 Stat. 1062.

b. The National Aeronautics and Space Act, as amended, 51 U.S.C. § 20113.

c. Creation, Maintenance, and Use of Records, 41 CFR pt. 102-193.25(c).

4. APPLICABLE DOCUMENTS AND FORMS

a. Inspector General Act of 1978, as amended, 5 U.S.C. app.

b. NPD 1001.0, NASA Strategic Plan.

c. NPR 1400.1, NASA Directives and Charters Procedural Requirements.

5. RESPONSIBILITY

a. The Deputy Associate Administrator for the Mission Support Directorate establishes and maintains the requirements for documentation and promulgation of internal NASA requirements.

b. Officials-in-Charge of Headquarters Offices and NASA Center Directors ensure that all internal NASA requirements documents developed under their authority comply with the provisions of this NPD.

c. The NASA General Counsel (General Counsel for Agency-level directives; Chief Counsel for Center-level directives), or designee, reviews all directives and charters for legal propriety and provide comments during coordination and prior to the release of the document for use.

d. The NASA Chief Financial Officer (Chief Financial Officer for Agency-level directives; Center Chief Financial Officer for Center-level directives): 1) reviews all directives to ensure proper financial, resource (including budget, strategic planning, and performance), and acquisition consideration, and comment all directives during the coordination process; and 2) concurs on all directives prior to signature by the approving NASA official.

e. The Assistant Administrator for Human Capital Management (Human Capital Management for Agency-level directives; Center Human Resources/Human Capital Management for Center-level directives) coordinates the review of all directives with the national/local offices of Federal labor organizations in addition to conducting its own review and providing a concurrence on these documents.

f. The Assistant Administrator for Procurement (Procurement for Agency-level directives; Center Procurement/Acquisition for Center-level directives) reviews and concurs on all directives to determine acquisition impacts.

g. The Inspector General, in accordance with the Inspector General Act of 1978, 5 U.S.C. app. § 4(a)(2), as amended, reviews and, as necessary, comments on each Agency-level directive during the official review and approval process to identify its possible impact on effectiveness and efficiency in the administration and operations of NASA programs and preventing fraud, waste, and abuse in NASA programs.

6. DELEGATION OF AUTHORITY

None.

7. MEASUREMENT/VERIFICATION

a. The Mission Support Directorate will measure compliance with this directive by:

(1) Monitoring assessments, audits, and surveillance results from Officials-in-Charge of Headquarters Offices and NASA Center Directors.

(2) Monitoring whether issuance, cancellation, and revision of internal NASA requirements are being effectively disseminated.

b. Officials-in-Charge of Headquarters Offices and Center Directors will monitor, at an interval based on the level of risk to the Agency if their organization's internal NASA requirements, described in Attachment C, comply with the requirements in paragraph 1c by:

(1) Ensuring that internal requirements are traceable to official policy or external authority.

(2) Demonstrating that internal requirements are developed and controlled by a documented process as evidenced by an approved written procedure on that process.

- (3) Demonstrating that internal requirement documents are clearly labeled as containing requirements.
- (4) Demonstrating that internal requirements are accessible to the people who use them as evidenced by having them Web-accessible folder- accessible, or accessible by other means suitable to the intended audience.
- (5) Demonstrating that internal requirements are verifiable as evidenced by a stated or obvious method of proving compliance.
- (6) Demonstrating that internal requirements are current as evidenced by having an expiration date that has not passed and having a documented account of periodic reviews to determine if content is up to date.

8. CANCELLATION

NPD 1400.1J, Documentation and Promulgation of Internal NASA Requirements, dated March 3, 2005.

/s/ Charles F. Bolden, Jr.
Administrator

ATTACHMENT A: Definitions

Agency-level directives are directives (e.g., NASA Policy Directives (NPD), NASA Procedural Requirements (NPR), and NASA Interim Directives (NID) with Agency-wide applicability).

NPDs are 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. An NPD may be referenced in one or more NPR, Center-level directives, or other internal requirements. NPDs apply to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers. The signatory authority for NPDs is the NASA Administrator.

NPRs provide the Agency's mandatory instructions and requirements to implement NASA policy as delineated in an associated NPD. All NPRs relate to one or more NPDs. NPRs apply to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers. The signatory authority for NPRs is the Official-in-Charge (OIC) of the Headquarters Office originating the NPR (See NPD 1000.3, The NASA Organization, paragraph 1.2.2) or the Administrator. However, prior to signature, NPRs are concurred on by designated officials within the Office of the Administrator.

NIDs provide an immediate, short-term statement of the Agency's policies and responsibilities for policy implementation. NIDs are issued with a mandatory expiration date, not to exceed 12 months from the date of issuance, unless an extension is granted. NIDs apply to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers. The signature authorities for NIDs are determined by the OIC of the Headquarters Office originating the NID and the Office of the Administrator.

Center-level directives are directives (e.g., Center Policy Directives (CPD); Center Procedural Requirements (CPR); and Center Interim Directives (CID)) with Center-specific applicability.

CPDs define Center-specific policy requirements and responsibilities and comply with requirements delineated in associated NPDs or NPRs. CPDs apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee (s), are the signatory authority for CPDs.

CPRs establish Center-specific procedural requirements and responsibilities to implement the policies defined in related NPDs, NPRs, or CPDs. CPRs apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee(s), are the signatory authority for CPRs.

CIDs provide an immediate, short-term statement of the Center's policies and responsibilities for policy implementation. CIDs are issued with a mandatory expiration date not to exceed 12 months from the date of issuance, unless an extension is granted. CIDs apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee(s), are the signatory authority for CIDs.

NASA charters are documents that govern councils, boards, committees, panels, and working groups established under the auspices of an Agency Governance Council.

NASA directives refer to both Agency-level and Center-level directives.

ATTACHMENT B: References

- B.1 40 U.S.C. § 11101 et seq., Clinger-Cohen Act of 1996.
- B.2 44 U.S.C. § 3501 et seq., the Paperwork Reduction Act of 1995, as amended.
- B.3 36 C.F.R. Chapter XII, Subchapter B, Records Management.
- B.4 OMB Circular A-119, Transmittal Memorandum, Federal Participation in the Development and Use of Voluntary Standards (02/10/1998).
- B.5 NPD 7120.4, NASA Engineering and Program/Project Management Policy.
- B.6 NPR 7120.10, Technical Standards for NASA Programs and Projects.

ATTACHMENT C: Other Internal NASA Documents

C.1 Internal NASA documents other than directives, such as the examples mentioned below, become requirements when a directive specifies its use (by citing the document's title, revision letter/number, and date) or when a NASA manager with authority over a NASA program, project, or other activity, identifies it as a requirement. The following are examples of other NASA internal documents:

- a. NASA Technical Standards. NASA technical standards are NASA documents that contain common and repeated use of rules, conditions, guidelines, or characteristics for products or related processes and production methods and related management

systems practices. NASA technical standards may contain the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength. Within NASA, the broad term "standard" may include the following specific document types: codes, guidebooks, handbooks, specifications, and standards." with "NASA Technical Standards Products. NASA technical standards products are NASA documents that contain common and repeated use of rules, conditions, guidelines, or characteristics for products or related processes and production methods and related management systems practices. NASA technical standards products may contain the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength. The term "NASA technical standards products" refers to technical standards, specifications, and handbooks developed and approved by NASA Headquarters offices, assigned a prefix of "NASA-STD-," "NASA- SPEC-," or "NASA-HDBK-," respectively, to the unique document number. NASA may adopt standards developed outside NASA in lieu of developing a NASA directive or standard. These include standards developed by other United States Government agencies or other standards development organizations (See OPM Circular A-119 and NPR 7120.10).

b. Plans. Plans are NASA documents that present goals, objectives, and operational details to guide users in achieving NASA's mission. NASA's planning process starts with long-term vision and mission and flows to more focused near-term plans and documents. Appendix IV of NPD 1001.0, NASA Strategic Plan, describes the relationship among strategic and planning documents.

c. Manuals. Manuals are NASA documents that explain functions, outline procedures, or provide additional details for an operation. Manuals usually contain examples to help users perform specific tasks.

d. Internal Agreements. Internal Agreements in the context of this NPD are NASA-documented commitments between NASA organizations or between a NASA individual and another NASA party.

e. Work Instructions. Work instructions are NASA documents that contain instructional requirements applied to an individual organization. They define the processes used to deliver products to customers or to meet the organization's mission requirements, as defined by directives.

f. Guidance. A statement of expectation that does not mandate compliance.

ATTACHMENT D: Flow and Order of Precedence

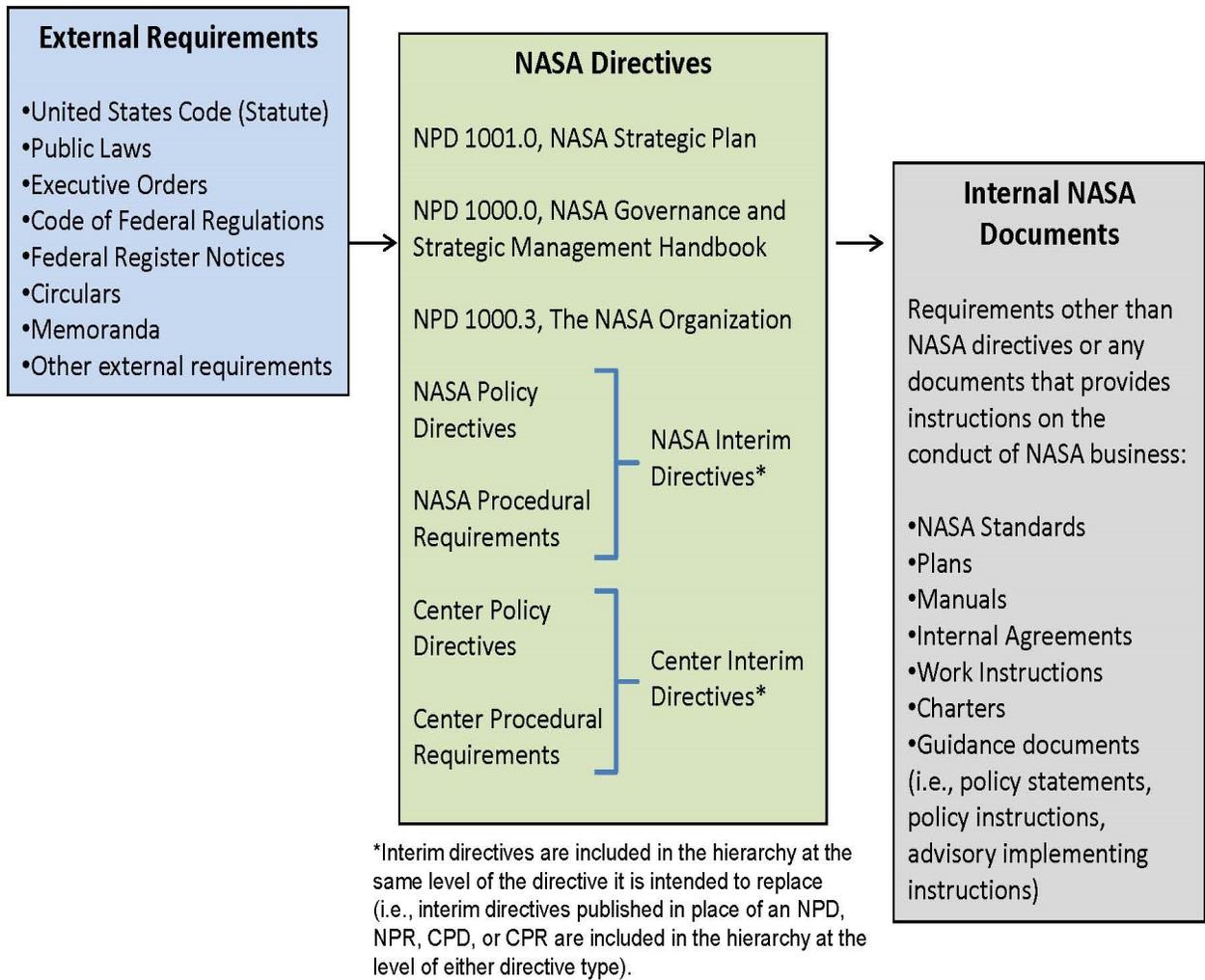


Figure 1. Flow and Order of Precedence

Note: There are multiple NPDs, NPRs, NIDs, CPDs, CPRs, CIDs, and there may be more specific hierarchical relationships among these documents. This figure is simplified. Refer to other documents or hierarchical trees to see the relationships among various programmatic and functional areas.

(URL for Graphic)

None.

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