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NASA Policy Directive

COMPLIANCE IS MANDATORY

NPD 1420.1

Effective Date: October 04,
2006

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2011

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

Request Notification of Change

(NASA Only)

Subject: NASA Forms Management

Responsible Office: Office of the Chief Information Officer

1. POLICY

It is NASA policy to:

- a. Establish an Agency forms management program to increase the usefulness of forms as tools to maximize business efficiency and the fulfillment of NASA's vision, mission, or external mandates.
- b. Implement an electronic forms architecture with the capability to fill, save, print, and route forms.
- c. Protect classified national security information and sensitive but unclassified information collected through the use of forms.
- d. Ensure all applicable forms contain the pertinent statements required by the Privacy Act of 1974, when soliciting personal information.
- e. Ensure that forms collecting information from ten or more members of the public have Office of Management and Budget (OMB) authorization as Information Collections, if required, under the Paperwork Reduction Act of 1995.
- f. Promote the use of Standard Forms (SFs) and NASA Forms (NFs).
- g. Develop and control all NASA and Center forms through established processes in accordance with NASA-STD-2804, Minimum Interoperability Software Suite, to the greatest extent practicable.
- h. Require all NASA and Center forms to contain a form number, an edition date, and an obsolescence statement indicating whether or not previous editions can be used. Existing forms that do not contain an obsolescence statement may be used until revised or exhausted.

- i. Dispose of obsolete forms in accordance with NPR 1441.1, NASA Records Retention Schedules.
- j. Ensure NFs are available Agency wide and to any outside organization or individuals needing them.
- k. Apply Agency printing and publishing standards to forms in accordance with NPD 1490.1, NASA Printing, Duplicating, and Copy Management.
- l. Ensure electronic forms are accessible to persons with disabilities.

2. APPLICABILITY

This NASA Policy Directive (NPD) applies to NASA Headquarters and Centers, including Component Facilities, and to contractors that create and/or maintain forms products and services to NASA, as specified in their contracts.

3. AUTHORITY

- a. 42 U.S.C. § 2473(c)(1), Section 203(c)(1) of the National Aeronautics and Space Act of 1958, as amended.
- b. 5 U.S.C. § 552a, Privacy Act of 1974, as amended.
- c. 44 U.S.C. § 3501, Paperwork Reduction Act of 1995, as amended.

4. APPLICABLE DOCUMENTS

- a. NPD 1382.17, NASA Privacy Policy.
- b. NPR 1441.1, NASA Records Retention Schedules.
- c. NPD 1490.1, NASA Printing, Duplicating, and Copy Management.
- d. NPR 1600.1, NASA Security Program Procedural Requirements.
- e. NPD 2810.1C, NASA Information Security Policy.
- f. NASA-STD-2804, Minimum Interoperability Software Suite.

5. RESPONSIBILITY

- a. The NASA Chief Information Officer shall--

(1) Serve as the senior official with primary oversight of the NASA forms management program, approving and issuing NASA policy, procedural requirements, standards, and guidance for the Agency forms program.

(2) Designate a NASA Forms Officer who is responsible for overall management and control of the NASA Forms Management Program defining requirements and developing and implementing processes for an efficient Agency-wide forms program.

(3) Oversee development of an Agency-wide plan for implementing electronic Agency forms. Establish a NASA Electronic Forms (NEF) Working Group to define requirements and develop and implement processes for an efficient Agency-wide electronic forms

program.

b. The NASA Forms Officer shall--

(1) Develop, recommend, and maintain current NASA policies and procedural functions for the Agency forms program and adopt the most effective and economical media and technologies to create, distribute, and manage forms throughout the Agency.

(2) Ensure Agency compliance with NASA-STD-2804, Minimum Interoperability Software Suite.

(3) Serve as the approving authority for requests to create, revise, and cancel NASA forms.

(4) Provide leadership, guidance, and training to Center Forms Managers to maintain conformity with Agency policies and procedures.

(5) Include Center Forms Managers in process reengineering initiatives designed to improve Agency forms policies, procedures, and processes.

c. Center Directors shall appoint a Center Forms Manager responsible for ensuring that Center forms activities comply with applicable laws, regulations, and Agency policy and procedures as they pertain to Center forms.

d. Center Forms Managers shall--

(1) Comply with the policies and requirements of the NASA forms management program and establish Center procedural requirements pertaining to the development and control of forms to include Center and organization forms.

(2) Develop and control all Center forms through an established process.

(3) Ensure that forms contain Privacy Act statements as required under the Privacy Act.

(4) Ensure that the initiator has obtained OMB authorization under the Paperwork Reduction Act for forms collecting information from ten or more members of the public.

(5) Serve as the approving authority for the creation, revision, and cancellation of all Center forms.

(6) Utilize the forms design software adopted by the Agency to the greatest extent practicable.

(7) Implement a forms numbering system for Center forms that begins with the Center acronym, to distinguish Center forms from NASA forms.

(8) Periodically evaluate their respective Center's forms programs for economy and effectiveness.

e. Forms users shall ensure the protection of classified national security information and sensitive but unclassified information collected through the use of forms in accordance with NPR 1600.1.

6. DELEGATION OF AUTHORITY

None.

7. MEASUREMENTS/VERIFICATION

In assessing whether NASA is in compliance with applicable statutes and forms management policy, the Agency Forms Officer shall conduct a biennial review of NFs, and the Center Forms Manager shall conduct a biennial review of Center forms for adequacy, revising forms as necessary, and canceling forms no longer needed. Findings shall be documented.

8. CANCELLATION

None.

/s/ Michael Griffin
Administrator

ATTACHMENT A: (TEXT)

Center Forms - Forms originated within a NASA Center, numbered with a prefix of the Center acronym, and available for Center-wide use by employees and contractors.

NASA Electronic Forms (NEF) Working Group - Team comprised of representatives from each NASA Center who define requirements for electronic forms and evaluate commercial electronic forms products. All Center Forms Managers are members of the NEF.

NASA Forms - Forms originated within NASA, numbered with the prefix "NF," and available for use by all NASA employees and contractors.

Organization Forms - Forms created for use within a particular organization that are not used by any other organization.

Standard Forms - Forms prescribed for mandatory use by Federal agencies. Standard Forms are approved and numbered (e.g., "SF 171") by the General Services Administration.

(URL for Graphic)

None.

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