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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 1400.1D**

Effective Date:  
February 18, 2007  
Expiration Date:  
February 18, 2012

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Request Notification of Change (NASA Only)

## **Subject: NASA Directives Procedural Requirements, with Change 5 (11/19/2009)**

**Responsible Office: Office of Institutions and Management**

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## **CHAPTER 3. Requirements for the Content and Structure of NASA Directives**

### **3.1 General**

3.1.1 NASA directives contain requirements necessary to achieve consistent direction for the Agency. NASA directives may include contextual information that supports the understanding of requirements.

*Note: Contextual information is background information, such as history or rationale for a requirement, or other descriptive information or examples that help clarify the actual requirement statement.*

3.1.2 If there is guidance that has to be included with a NASA directive, the Responsible Office shall document the guidance in an appendix and clearly label the appendix as guidance.

*Note: Guidance is considered to be a statement of expectation that does not mandate compliance.*

### **3.2 Requirement Statements in NASA Directives**

3.2.1 Responsible Offices shall apply the following criteria when writing requirement statements in NASA directives:

- a. Identify 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 completion of the requirement.
- c. Identify what action must be accomplished or what product must be provided to demonstrate compliance with the requirement.
- d. Separately state each individual requirement statement (i.e., one "shall" statement per paragraph).

3.2.2 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.

3.2.3 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: 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: See NPD 8070.6, Technical Standards, and <http://standards.nasa.gov/> for information on the NASA Technical Standards program.*

### **3.3 Responsibility Statements in Agency-level Directives**

3.3.1 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.

### **3.4 Document Citations in NASA Directives**

3.4.1 There are three types of document citations in NASA directives: Authority documents (also called "Authorities"), Applicable Documents, and References. Their purpose is as follows:

- a. Authority document citations list the higher level document(s) that justify establishing the policy or requirements contained in the directive.
- b. Applicable document citations consist of documents cited in the body of the directive that contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive.
- c. Reference document citations 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.

3.4.2 Within each document citation list (Authority Documents, Applicable Documents, and References), the Responsible Office shall apply the following requirements:

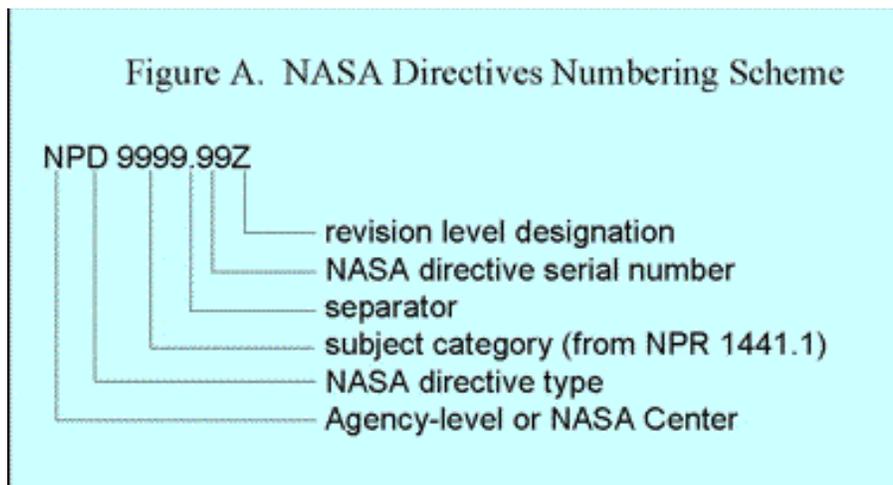
- a. List document citations in the following order: United States Code, Public Law, Executive Order, Code of Federal Regulations, Federal Register, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, non-NASA government standard, and other document.
  - b. Within each category, list documents in numerical order or alphabetical order by title if documents are not numbered.
  - c. When citing NASA directives as authority documents, applicable documents, or reference documents within NASA directives, exclude the revision level designation from the citation (see Figure A).
- Note: This requirement is applicable only when citing NASA directives in NASA directives. In other circumstances, 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.
- d. Ensure that documents cited in the directive are approved documents that are available to the reader.
  - e. If a cited document is not a Federal statute or regulation or 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.

## **3.5 Administrative Elements of NASA Directives**

### **3.5.1 NASA Directives Numbering Scheme**

3.5.1.1 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 (from NPR 1441.1), a separator (period), the NASA directive serial number, and a letter(s) indicating the revision level designation (see Figure A).

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3.5.1.2 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.

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

3.5.1.4 For Center Directives, the Center Directives manager shall work with the Responsible Office to ensure that the directives number is assigned in accordance with the NASA Directives Numbering Scheme.

### 3.5.2 Effective and Expiration Dates for NASA Directives

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

3.5.2.2 NPDs, NPRs, CPDs, and CPRs expire a maximum of 5 years after signature or revalidation.

3.5.2.3 NIDs and CIDs expire upon the effective date of the permanent directive or 12 months after the effective date of the interim directive, whichever is earlier.

3.5.2.4 The Office of Internal Controls and Management Systems shall automatically remove NPDs and NPRs from the NODIS Library upon expiration, unless an NPD or NPR replacing the directive being removed has been submitted for review and approval through NODIS.

3.5.2.5 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 interim policy or requirements created in the NID has been submitted for review and approval through NODIS.

*Note: A NID may not be replaced by another NID.*

3.5.2.6 The Center Directives Manager shall automatically remove CPDs and CPRs from the Center Directives Library upon expiration, unless 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.

3.5.2.7 The Center Directives Manager shall automatically remove CIDs from the Center Directives Library upon expiration, unless a CPD or CPR replacing the interim policy or requirements created in the CID has been submitted for review and approval in accordance with the Center's established process.

*Note: A CID may not be replaced by another CID.*

3.5.2.8 For Agency-level Directives, not less than 6 months prior to the expiration date, the Office of Internal Controls and Management Systems shall notify the Responsible Office of the expiration date and request the Responsible Office to indicate their intent to revalidate, revise, or cancel the expiring directive.

*Note: For Center Directives, local processes apply.*

## 3.6 Writing Style

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

- a. Use NPR 1450.10 to supplement the style requirements found in this NPR.
- b. Verify the accuracy of all position and office titles cited.
- c. Exclude caveat phrases (e.g., "as applicable," "as appropriate," "whenever possible," "etc.,") within requirements statements.
- d. Use the correct phrasing to denote requirements.

*Note: "Shall" indicates that an action is mandatory. "May" confers discretionary privilege or permission.*

- e. Number all paragraphs.

*Note: Numbering can include alphabetic and/or numeric characters.*

## 3.7 Content and Structure of NPDs

3.7.1 NPDs document Agency-level policy statements, assignment of responsibilities for policy implementation, delegations of authority, approach for verification of compliance with the NPD, and the Administrator's approval.

3.7.2 NPDs are usually four pages or less.

3.7.3 NPDs contain the following elements:

- a. Masthead: Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).
- b. Body consisting of eight required paragraphs: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents; 5. Responsibility; 6. Delegation of Authority; 7. Measurement/Verification; and 8. Cancellation. See Figure B.

Figure B. Eight Required Paragraphs in the Body of an NPD

Paragraph 1. Policy – General statements of the principles, fundamental values, and general direction of the Agency or Center that are used to determine present and future decisions.

Paragraph 2. Applicability – The statement of the scope of the required application of the NPD.

Paragraph 3. Authority – The highest level source that justifies establishing the NPD.

Paragraph 4. Applicable Documents – List of documents cited in the body of the directive that contain provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive.

Paragraph 5. Responsibility – Explanation of who (by position or organization) is responsible for implementing the policy stated in the NPD.

Paragraph 6. Delegation of Authority – Paragraph reserved for direct delegation from the Administrator to a specific position.

Paragraph 7. Measurement/Verification – Explanation of how compliance to the NPD will be measured.

Paragraph 8. Cancellation – List of directives that will be cancelled upon issuance of the NPD.

c. Signature Block. (Populated by NODIS.)

d. Attachments.

e. Distribution.

3.7.4 Responsible Offices shall ensure that NPDs developed contain the elements listed in paragraph 3.7.3.

3.7.5 Responsible Offices shall adhere to the following content requirements when developing NPDs.

a. For Paragraph 2, Applicability, include the following applicability statement: "This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."

b. 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 3.7.5.a. "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."

*Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. The contract, grant, or agreement must state the requirement(s) from the NPD that apply.*

c. For Paragraph 3, Authority, and Paragraph 4, Applicable Documents, apply the requirements in paragraph 3.4 on document citations.

d. For Paragraph 5, Responsibility, write responsibility statements for implementation by the highest organization level possible.

- e. For Paragraph 5, Responsibility, do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization.
- f. For Paragraph 7, Measurement/Verification, specify the information that is needed to support senior management's evaluation of performance for compliance and implementation of the policy stated in the NPD being developed. Where quantitative evaluation is possible, identify what data is to be collected, who collects the data, and who receives the data for evaluation.

*Note: This information may be presented as text within the paragraph, a verification matrix as an attachment to the NPD, a citation to an NPR, or a citation of another requirements document.*

- g. For Paragraph 7, Measurement/Verification, 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.
- h. For Paragraph 8, Cancellation, if the NPD cancels one or more directives, cite the Directive Number(s), Title(s), and effective date(s). If the NPD does not cancel a directive, state "None."
- i. If there is a need to include definitions or other material such as details regarding measurement/verification to support the NPD, document the supporting material as an attachment.

*Note: NPDs may have up to two attachments; attachments may be text and/or graphics.*

- j. Designate the attachment that documents definitions as Attachment A.
- k. In an attachment that provides definitions, list the definitions in alphabetical order and number as A.1, A.2, and so forth.
- l. In an attachment that provides definitions, provide only definitions for terms used in the NPD and only if the definitions are uniquely different than used in dictionaries or other standard usage.
- m. If the distribution of the NPD is to be restricted to NASA-only, include in the distribution a statement to identify the restrictions for release of the NPD.

3.7.6 Responsible Offices shall not document procedural information in an NPD.

## **3.8 Content and Structure of NPRs**

3.8.1 NPRs 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.

3.8.2 NPRs contain the following elements:

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

- c. Distribution statement.
- d. Preface consisting of six required paragraphs: P.1 Purpose; P.2 Applicability; P.3 Authority; P.4 Applicable Documents; P.5 Measurement/Verification; and P.6 Cancellation. See Figure C.
- e. Chapters.
- f. Appendices.

Figure C. Six Required Paragraphs in the Preface of an NPR

Paragraph P.1. Purpose – Description of the rationale for establishing the NPR and what will be accomplished by implementing the NPR.

Paragraph P.2. Applicability – The statement of the scope of the required application of the NPR.

Paragraph P.3. Authority – The NPD and the higher level external authority(ies)/requirement(s) that justify establishing the NPR.

Paragraph P.4. Applicable Documents – List of documents cited in the body of the directive that contain provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive.

Paragraph P.5. Measurement/Verification – Explanation of how compliance to the NPR will be measured.

Paragraph P.6. Cancellation – List of documents that will be cancelled upon issuance of the NPR.

3.8.3 Responsible Offices shall ensure that NPRs developed contain the elements listed in paragraph 3.8.2.

3.8.4 Responsible Offices shall adhere to the following content requirements when developing NPRs:

- a. If the distribution of the NPR is to be restricted to NASA-only, include in the distribution a statement to identify the restrictions for release of the NPR.
- b. For Preface Paragraph P.2 Applicability, include the following applicability statement: "This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."
- c. If the NPR is to apply to JPL, contractors, or grant recipients, add the following applicability statement in Preface Paragraph P.2 Applicability, in addition to the applicability statement in paragraph 3.8.4.b. "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."

*Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. The contract, grant, or agreement must state*

*the requirement(s) from the NPR that apply.*

d. For Preface Paragraph P3, Authority, designate the NPD that the NPR is intended to implement. Also designate the external requirements, if any, such as statutes, regulations, or Executive Orders. This latter category shall include only those external sources that are authority for the NPR; all other external sources shall be placed in the Applicable Documents or References sections, as appropriate.

*Note: The authority(ies)/requirement(s) designated in the Authority section of the NPR takes precedence over the requirement(s) in the NPR in cases of conflict*

e. For Preface Paragraph P.4 Applicable Documents, apply the requirements in paragraph 3.4 on document citations.

f. For Preface Paragraph P.5 Measurement/Verification, specify the information that is needed to support senior management's evaluation of performance for compliance and implementation of the requirements stated in the NPR being developed. Where quantitative evaluation is possible, identify what data is to be collected, who collects the data, and who receives the data for evaluation.

Note: This information may be presented as text within the paragraph, a verification matrix appendix to the NPR that includes details of data and reporting of data, such as formats and timelines, a citation to a separate NPR, or a citation of another requirements document.

g. For Preface Paragraph P.5 Measurement/Verification, 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.

h. For Preface Paragraph P.6 Cancellation, if the NPR cancels one or more NPRs, cite the Directive Number(s), Title(s) and effective date(s). If the NPR does not cancel a directive, state "None."

*Note: NPRs may not cancel NPDs.*

i. Ensure Appendices do not contain requirements, only supporting information for the NPR.

j. Document any definitions for words and phrases used in the NPR in the first appendix and number as A.1, A.2, and so forth.

k. Document any acronyms used in the NPR no later than in the second appendix and order alphabetically.

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

*Note: NPR 7120.5, NASA Program and Project Management Processes and Requirements, and NASA-STD-8719.13, Software Safety Standard, Appendix B, provide examples of a verification matrix appendix.*

3.8.5 In accordance with the Strategic Management and Governance Handbook and the NASA Strategic Plan, there are only three Agency-level management councils, the Strategic Management Council, the Program Management Council, and the Operations Management Council. In the past, NPD 1000.3B, The NASA Organization, housed the charters for all Agency-level councils, boards, committees, and panels. With the issuance of NPD 1000.3C, dated February 15, 2007, only the three governing charters will be identified. The Office of Internal Controls and Management Systems will house Agency-level advisory charters in the NODIS library.

### **3.9 Content and Structure of NASA Interim Directives (NIDs)**

3.9.1 Responsible Offices shall develop NIDs 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.

3.9.2 NIDs include policy memos or any other issuance intended to impose policy or requirements at the Agency level.

3.9.3 NIDs are issued for immediate or short-term use (see paragraph 3.5.2.3).

3.9.4 Responsible Offices shall follow the procedures contained in paragraph 4.5 for issuing NIDs.

3.9.5 Responsible Offices shall coordinate with the Office of Internal Controls and Management Systems to ensure that NIDs are added to the NODIS library.

### **3.10 Center Directives**

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

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

3.10.2 Center directives writers shall follow the content and structure requirements contained in this NPR that are applicable to Center directives.

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