NASA Policy Directive

NPD 1400.1J
Effective Date: March 03, 2005
Expiration Date: March 03, 2015

COMPLIANCE IS MANDATORY

Printable Format (PDF)

Request Notification of Change (NASA Only)

Subject: Documentation and Promulgation of Internal NASA Requirements (Revalidated 11/6/09)

Responsible Office: Office of Internal Controls and Management Systems

1. Policy

a. NASA's policy is to establish, document, and promulgate internal NASA requirements 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 must perform or a statement of form or function that a piece of equipment or system must 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. All internal NASA requirements documents shall:

(1) Support the fulfillment of NASA's vision, mission, or external mandates. (See NPD 1001.0, The NASA Strategic Plan.)

2) Be developed and controlled by a documented process.

3) Be clearly labeled as containing requirements.

(4) Be made available Agencywide to those who need them.

(5) Be verifiable.

(6) Be current.

c. NASA's policy states that when internal NASA requirements meet and exceed external requirements, thereby making internal requirements more stringent, internal NASA requirements shall apply. (See Attachment B for examples of external requirements.)

d. NASA directives shall take precedence over all other internal NASA requirements. The flow and order of precedence for internal NASA documents are described in Attachment B. The following documents constitute NASA directives:

(1) NASA Policy Directive (NPD). 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 by one or more NASA Procedural Requirements (NPR), Center Policy Directives (CPD), Center Procedural Requirements (CPR), or other internal requirements. NPDs shall apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authority for NPDs shall be the Administrator. (See NPR 1400.1, NASA Directives System Procedural Requirements.)

(2) NASA Procedural Requirements (NPR). NPRs provide Agency mandatory instructions and requirements to

implement NASA policy as delineated in an associated NPD. All NPRs shall relate to an NPD(s). NPRs apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authority for NPRs shall be the Official-in-Charge (OIC) of the Headquarters Office originating the NPR (See NPD 1000.3, The NASA Organization, 1.2.2 Officials-in-Charge (OIC) of Headquarters Offices)) or the Administrator.

Note: Prior to signature, NPRs are concurred on by designated officials within the Administrator's office.

(3) NASA Interim Directive (NID). NIDs provide an immediate, short-term statement of the Agency's policies and responsibilities for policy implementation. NIDs shall be issued with a mandatory expiration date not to exceed 12 months from the date of issuance. NIDs shall apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authorities for NIDs shall be the Official-in-Charge of the Headquarters Office originating the NID or the Administrator.

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

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

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

e. Internal NASA documents other than directives, such as the examples mentioned in Attachment A, become requirements when a directive specifies its use 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.

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

3. Authority

a. 51 U.S.C. § 20113 (a) of the National Aeronautics and Space Act of 1958, as amended.

b. 41 CFR Part 102-193, Creation, Maintenance, and Use of Records.

4. Applicable Documents

a. NPD 1001.0, NASA Strategic Plan.

b. NPR 1400.1, NASA Directives System Procedural Requirements.

5. Responsibility

a. The Assistant Administrator for Internal Controls and Management Systems shall establish and maintain the requirements for documentation and promulgation of internal NASA requirements.

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

c. The NASA General Counsel, or designee, shall review NPDs, NPRs, and NIDs for legal propriety and provide comments during coordination and prior to the release of the document for use.

d. The Center Chief Counsel, or designee, shall review CPDs, CPRs, and CIDs for legal propriety and provide comments during coordination and prior to the release of the document for use.

e. The Inspector General, in accordance with Public Law 95-452, Section 4(a)(2), is responsible for reviewing and commenting on all directives during the Official Review Process for any impact on economy and efficiency in the

administration and operations of NASA programs and to prevent and detect fraud, waste, and abuse in NASA programs.

6. Delegation of Authority

None.

7. Measurements/Verification

a. The Office of Internal Controls and Management Systems shall 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 shall monitor, at an interval based on the level of risk to the Agency, whether their organization's internal NASA requirements comply with the requirements in Section 1.b by:

(1) Supporting the fulfillment of NASA's vision, mission, or external mandates as evidenced by showing the internal requirement traceability to official written policy or appropriate legal 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 1400.1I, Documentation and Promulgation of Internal NASA Requirements, dated March 5, 2005.

Revalidated November 6, 2009, original signed by
/s/ Fred Gregory
Acting Administrator

Attachment A: (Text)

Part I

Additional References

a. 40 U.S.C. § 11101 et seq., Clinger-Cohen Act of 1996.

b. 44 U.S.C. § 3501 et seq., the Paperwork Reduction Act of 1995, as amended.

c. 5 U.S.C. App., Inspector General Act of 1978, as amended.

d. 36 CFR Chapter XII, Subchapter B, Records Management.

e. NPD 8070.6, Technical Standards.

Part II

Other Internal NASA Documents

Internal NASA documents other than directives, such as the examples mentioned below, become requirements when a directive specifies its use or when a NASA manager with authority over a NASA program, project, or other activity, identifies it as a requirement.

Examples of other NASA internal documents:

1. 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.

2. 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 1000.1, NASA Strategic Plan, describes the relationship among strategic and planning documents.

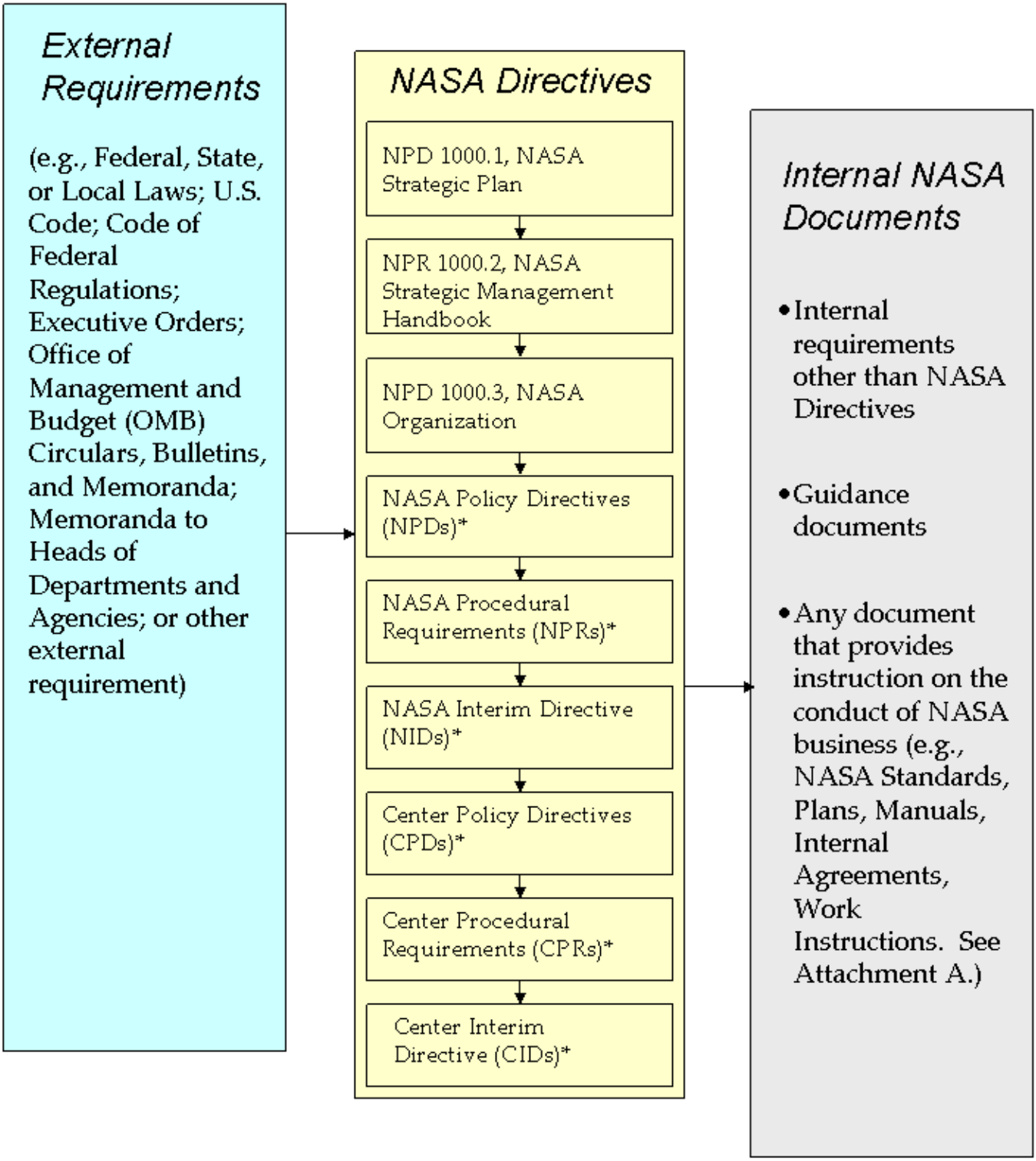
3. Manuals. Manuals are NASA documents that explain functions, outline procedures, or provide additional details for an operation. Manuals usually contain examples to help users perform specific tasks.

4. 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.

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

Attachment B

Flow and Order of Precedence



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

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