NASA Procedural Requirements

NPR 1400.1H
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COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES

NASA Directives and Charters Procedural Requirements (Updated w/Change 8)

Responsible Office: Mission Support Directorate

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Chg#	Approver	Date Approved	Description/Comments
8	Directives Management Team	10/20/2022	Administrative edits made to following: - Section 3.5 to respond to the Office of the Executive Secretariat's findings of inconsistencies with bolded text, punctuation placed behind chapter numbers, appendix letters, and figure and table letters and numbers, and font themes and sizes in Agency-level directives. - Appendix C, Tables C-2 and C-3 to make compliance checklists consistent with recent administrative changes made to requirements.
7	Directives Management Team	03/02/2022	Administrative edits made to the following: - Section 4.1.3 in Chapter 4 to clarify requirements for expedited reviews to emphasize that an expedited is successful when a prereview of a directive is coordinated first, and to provide responsible offices with a timeline template by which they can provide the number days at each step in the expedited timeline to DMT so that these days can be accurately calculated and reflected in NODIS. - Appendix C, Tables C-1 and C-3 to make compliance checklists consistent with recent administrative changes made to requirements.
6	Directives Management Team	02/22/2022	Administrative edit made to paragraph 3.5.1a(4) in Chapter 3 to clarify requirements for lettering and numbering figures and tables in chapters and in appendices; a practice already used in complex Agency-level directives.
5	Directives Management Team	02/16/2022	Administrative edit made to paragraph 5.2.3a in Chapter 5 to allow designees to sign memos requesting 30-day extensions.
4	Directives Management Team	01/25/2022	Administrative edits made to clarify requirements for using an applicability statement for the Jet Propulsion Laboratory in Chapter 3, paragraph 3.6.2c(2)(b).

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3	Directives Management Team	10/19/2021	Administrative edits made to change the responsible official's title from "Deputy Associate Administrator (DAA) for Mission Support" to "Director for Mission Support Operations" in paragraph 2.6 and subsequent paragraphs throughout. Updates were also made to the following paragraphs: - 5.2.2a to provide a link to e-mail requests for extensions on expiration dates. - 5.2.3a to provide a link to download the memo template to request 30-day extensions on suspense dates. - 5.4.1 to provide a link to download the memo template to request transfer of a directive.
2	Directives Management Team	09/22/2021	Updated paragraphs 3.3.2c and 3.3.2d(1)-(2) to clarify format requirements for citing documents.
1	Directives Management Team	03/11/2021	Updated paragraph 4.4.2 to clarify the requirement that final drafts of NASA Interim Directives are coordinated with OGC for the legal review and the Human Capital Labor Relations Officer for the union review.

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Preface

P.1 Purpose

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

b. This directive provides specific instructions pertaining to development, content, and processing of NASA directives and Agency-level charters.

P.2 Applicability

a. This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers (Agency-wide).

b. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" denotes a discretionary privilege or permission, "can" denotes statements of possibility or capability, "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" (e.g., NPDs, NPRs, and NIDs) refers to directives with Agency-wide applicability.

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

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

f. In this directive, "NASA Charters" (e.g., NCs) refers to those charters that govern Agency-level councils, boards, committees, panels, and working groups.

g. In this directive, "Center charters" refers to those charters that govern specific Center councils, boards, committees, panels, and working groups.

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 and Charters.

P.4 Applicable Documents and Forms

a. NPR 1441.1, NASA Records Management Program Requirements.

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

c. NASA Form 422, Signature.

d. NHQ Form 117, Action Document Summary.

e. NHQ Form 184, NASA Directive Request Summary.

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

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

h. NODIS Manual.

P.5 Measurement/Verification

a. In order to determine if Responsible Offices follow the required processes specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR, MSD monitors the processing of each Agency-level directive through NODIS and the subsequent signature process to ensure that all process steps and requirements are completed correctly by all of the process participants. See Verification Matrix Table C-1 in Appendix C.

b. In order to determine if Responsible Offices prepare directives according to the requirements for the content and structure that are specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR, MSD reviews the contents of each Agency-level directive and verifies that content and structure requirements are corrected prior to the NODIS review. See Verification Matrix Tables C-2 and C-3 in Appendix C.

c. In order to determine if Centers follow content and structure, 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, CDs, or designees, determines and documents compliance by applying a verification approach that is tailored to meet the needs of the Center. MSD surveys the Centers and conducts spot-checks every five years to review Center documentation and implementation of Center-specific verification activity. See Verification Matrix Tables C-2 and C-3 in Appendix C.

d. In order to determine if MSD fulfills its responsibilities as specified within this NPR, internal and external auditors responsible for verifying Headquarters requirements and processes evaluate MSD's performance against the requirements contained within this NPR.

P.6 Cancellation

NPR 1400.1G, NASA Directives and Charters Procedural Requirements, dated July 10, 2015.

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Chapter 1. NASA Directives

1.1 Overview

1.1.1 A NASA directive is a document that formally prescribes policies or requirements derived from law, the President, Federal regulation, the NASA Administrator, or other senior NASA officials.

1.1.2 NASA directives can apply to all NASA activities or to a single NASA Center.

1.1.3 NASA directives:

a. Establish policies, procedural requirements, and organizations.

b. Define purpose.

c. Grant authority to accomplish a task.

d. Assign responsibilities.

1.1.4 NASA directives are developed, coordinated, and promulgated according to this NPR to ensure that they:

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

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

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

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 at http://nodis3.gsfc.nasa.gov/.

1.2.1.1 Agency-level directives include NPDs that state the Agency's policies, NPRs that provide detailed procedural requirements to implement policy, NIDs that provide an immediate, short-term statement of the Agency's policies or procedural requirements, and NCs that establish groups mandated by statute, the NASA Administrator, or an Official-in-Charge of a Headquarters Office.

1.2.1.2 Center-level directives include CPDs, CPRs, and CIDs and have the same general provisions as Agency-level directives.

1.2.2 Agency-level directives may apply to the Jet Propulsion Laboratory (JPL) (a Federally Funded Research and Development Center (FFRDC)), other contractors, recipients of grants or cooperative agreements, and parties to other agreements only to the extent specified or referenced in the applicable contract, grant, or agreement. When NASA directives apply to JPL, other contractors,

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recipients of grants or cooperative agreements, or parties to other agreements, the contract, grant, or agreement should specify which specific requirements from directives apply. Conversely, requirements directed toward civil servants and contractors should be clearly delineated within directives so that contractors, grantees, or parties to agreements can appropriately identify which requirements apply. See notes under paragraphs 2.17.2 and 2.20.3 for delineating examples.

1.2.3 Approved NASA directives are in effect for a maximum of five years. However, revisions are made whenever a change is warranted. See content and structure requirements in Chapter 3 and process requirements in Chapter 4.

1.2.4 A waiver to Agency-level requirements may be requested. See process requirements in Chapter 5.

1.2.5 NPDs and NPRs are coordinated in the NODIS Document Management System (DMS) according to an established monthly directives review cycle schedule, and NIDs are coordinated outside of NODIS. See process requirements in Chapter 4.

1.3 Description and Hierarchy of NASA Directives

1.3.1 In the event of a conflict among the top-level directives (e.g., NPD 1000.0 and NPD 1000.3), the information provided in the highest-ranking directive (i.e., NPD 1000.0) 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 NID, NPD, and an NPR, the information provided in the NID takes precedence. For example, an NID to NPD 1400.1 would take precedence over NPD 1400.1.

Note: NIDs are included in the hierarchy at the same level of the directive it is intended to replace or update (i.e., an NID that is published in place of an NPD or NPR is included in the hierarchy at the level of either directive type).

1.3.4 In the event of a conflict between an NPD and 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 D of NPD 1400.1 establishes the flow and order of precedence and displays the hierarchical relationship between directives and NASA internal requirement documents.

Note 2: Readers may report conflicts to the Directives Manager (DM) to initiate resolution. See paragraph 2.20.1f.

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Chapter 2. Responsibilities

2.1 Administrator

The Administrator, or designee, approves all NPDs and NPRs prior to publication.

Note: There is no additional delegation beyond the Deputy Associate Administrator.

2.2 Deputy Administrator

2.2.1 The Deputy Administrator, or designee:

a. Serves as the Agency-level Directives Resolution Official (DRO) to resolve impasses, such as nonconcurrences and other issues that cannot be resolved at the organizational level.

b. Concurs on all NPDs and NPRs prior to publication.

Note: There is no additional delegation beyond the Deputy Associate Administrator.

2.3 Associate Administrator

If delegated, the Associate Administrator is responsible for approving all NPDs and NPRs prior to publication.

2.4 Deputy Associate Administrator

2.4.1 If delegated, the Deputy Associate Administrator:

a. Serves as the Agency Directives Resolution Official (DRO) to resolve impasses, such as nonconcurrences and other issues that cannot be resolved at the organizational level.

b. Concurs on all NPDs and NPRs prior to publication.

2.5 Associate Administrator (AA) for Mission Support

The AA for Mission Support has overall responsibility for the NASA Directives System.

2.6 Director for Mission Support Operations

2.6.1 The Director for Mission Support Operations, or designee, implements and maintains the NASA Directives System and establishes and enforces the policies and requirements in NPD 1400.1 and this NPR. The DAA for Mission Support, or designee:

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a. Verifies 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 are completed correctly by the process participants. See Verification Matrix Table C-1 in Appendix C.

(2) Reviewing each Agency-level directive prior to the NODIS review to confirm that content and structure requirements are met and the corresponding signature package to verify completeness before submitting it for approval. See Verification Matrix Tables C-1, C-2, and C-3 in Appendix C.

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

c. Monitors identified conflicts among directives and assists and supports the Agency-level DRO (Deputy Administrator, or designee) in order to resolve impasses. See process requirements in Chapter 5.

d. Trains and assists DMs and directives writers in the performance of their duties.

e. Maintains Agency-level directives case files that include all the material from the Approving Official's signature package and disposes of all official files associated with approved Agency-level directives, according to NPR 1441.1, NASA Records Management Program Requirements. See paragraphs 4.2.9.1 for a list of official files.

f. Reviews requests for waiver from requirements in this directive to determine if justifications warrant approval using the process requirements described in Chapter 5.

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

2.7.1 OICs of Headquarters Offices have overall responsibility for directives promulgated by offices within their respective organization and are responsible for:

a. Determining the Agency's or Center's need for establishing new Agency-level directives.

b. Concurring on their respective organization's NPDs and NPRs after the review is complete in preparation for the Administrator's, or designee's, approval to publish.

c. Approving their respective organization's NIDs for publication after the review is complete.

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

e. Cancelling Agency-level directives under their responsibility when they are no longer needed in accordance with process requirements described in Chapter 5.

f. Ensuring that staff responsibilities are assigned to create or revise directives.

g. Designating a DM to assist, guide, and monitor the organization's directives activities.

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

i. Evaluating and dispositioning all requests for waivers from requirements in Agency-level directives under their responsibility using the process requirements in Chapter 5 or the respective

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directive's waiver process.

j. Ensuring compliance with Agency-level directives and that directives under their responsibility do not conflict with or replicate material provided in other Agency-level directives or external requirements.

k. Endorsing comments provided by their respective organization's reviewers and determining a concurrence decision based on those comments. Concurrence decisions are defined in Appendix A.

Note: The OIC may delegate the Responsible Office designation and responsibilities. Directives considered as "under their responsibility" include all directives promulgated by Responsible Offices that report to the OIC.

2.8 Center Directors (CD)

2.8.1 CDs, or designees, are responsible for:

a. Ensuring compliance with Agency-level directives and ensuring that Center-level directives do not conflict with or replicate material provided in Agency-level directives.

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

c. Endorsing comments on Agency-level directives provided by their respective Center's reviewers, and determining a concurrence decision based on the responsible offices disposition of those comments. Concurrence decisions are defined in Appendix A.

d. Determining the Center's need for establishing, revising, or cancelling a Center-level directive to ensure successful and repeatable local business operations when Agency-level directives do not provide adequate policy or instruction (with the exception of Agency-level directives that provide common instructions and processes for mission support functional areas), when a situation is unique to their respective Center, or when a Center-level directive is no longer needed.

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

e. Approving Center-level directives.

2.9 General Counsel (GC)

2.9.1 The GC is responsible for:

a. Reviewing and commenting on all final drafts of Agency-level directives for compliance with the law after the review is completed by other reviewing offices and Centers.

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

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c. Concurring on all Agency-level directives prior to approval by the NASA Administrator, or designee.

2.10 Inspector General (IG)

The IG is responsible for reviewing and commenting on all Agency-level directives during the official review and approval process to identify possible impacts on effectiveness of and efficiency in the administration and operations of NASA programs to prevent fraud, waste, and abuse in NASA programs. For additional information, see 5 U.S.C. App. § 4(a)(2).

2.11 Chief Financial Officer (CFO)

The CFO or designee is responsible for reviewing, commenting, and concurring on all Agency-level directives to ensure proper financial (including accounting), resource (including budget, strategic planning, and performance), project planning and control, acquisition (including financial assistance), and other financial management (including systems, reporting, and internal control) considerations.

2.12 Chief Human Capital Officer (CHCO)

Chief Human Capital Officer (CHCO) is responsible for coordinating all final drafts of Agency-level directives for consultation with the national offices of Federal labor organizations (i.e., the American Federation of Government Employees and the International Federation of Professional and Technical Engineers) in addition to conducting its own review and submitting comments and concurrence on these documents. For additional information regarding the Agency's requirement to consult the national offices of Federal labor organizations, see 5 U.S.C. § 7113 and NPR 3711.1.

2.13 Assistant Administrator for Procurement

The AA for Procurement is responsible for reviewing and concurring on all Agency-level directives to determine if there are acquisition law or regulation impacts and requirements.

2.14 Chief Information Officer (CIO)

The CIO is responsible for reviewing and concurring on all Agency-level directives to determine if there are any requirements related to information systems and information technology (IT), information collections, forms, records (for decisions affecting the archiving or numbering of NASA directives), IT Security, Sensitive But Unclassified information, as well as external statutes that govern IT at agencies. For additional information regarding these statutes, refer to 5 U.S.C. § 552a, 42 U.S.C. § 12101, et seq., 44 U.S.C § 3501 et seq. (1980), and 44 U.S.C. § 3541 et seq.

2.15 Director for NASA Management Office (NMO)

The Director for NMO is responsible for reviewing and concurring on all Agency-level directives that cite applicability to JPL (an FFRDC) and coordinating these directives, if referenced in the

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Caltech contract, with the FFRDC Laboratory Director for comment.

2.16 Jet Propulsion Laboratory (an FFRDC)

The FFRDC Laboratory Director is responsible for reviewing Agency-level directives that are referenced in the Caltech contract and submitting comments, if any, to the NMO Director.

2.17 Responsible Offices

2.17.1 Responsible Offices, as subject-matter experts, prepare NASA directives using the requirements in Chapters 3 and submit directives for official review using the requirements in Chapter 4 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 impact and/or requirements.

b. Submitting NPRs for official 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 cost/benefit impacts (e.g., financial, human resources, and technical) to implement new requirements to avoid the potential for unintended consequences (See paragraph 4.2.6.1e(1)).

d. Mitigating and resolving unfunded mandates with Centers during the comment/disposition period of directives and presenting unresolved proposed unfunded mandates to the Quarterly Forums with Center Associate Directors.

e. Resolving impasses with opposing organizations according to the process requirements described in Chapter 5.

f. Maintaining currency for the directives they publish.

g. 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.

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

i. Submitting final drafts of directives to their respective DM for signature package assembly and submission before the established suspense dates. See paragraph 4.2.10.1 for signature package routing.

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j. Requesting extensions on suspense dates for directives in review or extensions on expiration dates for directives published in the NODIS Library using the requirements in Chapter 5.

2.17.2 The Responsible Offices at the Centers prepare Center-level directives according to paragraphs 2.17.1a-d and 2.17.1g, as well as Chapter 3 of this NPR.

Note: Policy or procedural requirement formulation is performed by NASA civil servants.

2.18 Reviewing Offices and Centers

2.18.1 Reviewing Offices and Centers:

a. Participate in the review and concurrence process for directives and adhere to the review process deadlines in accordance with the process requirements described in Chapter 4.

b. Ensure distribution of the proposed directive to the appropriate subject-matter experts in time to adjudicate and resolve conflicts before submitting final comments that reflect the organization's or Center's position.

c. Notify Responsible Offices when they oppose proposed new requirements in accordance with the process requirements for resolving impasses described in Chapter 5.

2.19 Directives Management Team (DMT)

DMT assists the Director for Mission Support Operations, or designee, with implementing and managing all directives activities, processes, and requirements as described in paragraph 2.6 and Chapters 3-5.

2.20 Directives Managers (DM)

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

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, with input from the OIC (or designee), who should review Agency-level directives and ensure that reviewers are provided with the directive and the corresponding NHQ Form 184 that summarizes significant changes and contains cost/benefit impacts accessible from NODIS.

e. Consolidate reviewers' comments for the official response and provide reviewers with dispositions of comments provided by the responsible office.

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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 MSD.

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 their directives meet the requirements of this NPR and 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 using the process requirements in Chapters 3 and 4 and request waivers from requirements using the process requirements in Chapter 5.

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

k. Coordinate with their organization's Audit Liaison Representative (ALR) in order to acquire information on any Government Accountability Office (GAO) and IG audit recommendations that impact the revisions to directives so that this information can be captured on NHQ 184 forms prior to acceptance of directives in NODIS.

Note 1: NASA management (i.e., OICs and CDs) make the final determination on the acceptance of GAO and IG recommendations. Events may occur after the release of the audit report that alter the management's planned actions in response to an audit recommendation. The ALR performs an advisory role in the process.

Note 2: For Center-level directives, local instructions apply.

2.20.2 In addition to the responsibilities listed in paragraph 2.20.1, excluding paragraphs 2.20.1g-i, Center DMs:

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 according to 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. Manage case files for Center-level directives according to the Center's process and dispose of case files for all Center-level directives using NPR 1441.1.

2.20.3 The NMO DM is responsible for adhering to paragraphs 2.20.1a - 2.20.1e and 2.20.1j.

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

2.21 Audit Liaison Representative (ALRs)

ALRs review their organization's directives, provided by the DM, to ensure that recommendations from the GAO and IG that are accepted by senior management are appropriately incorporated.

2.22 Headquarters Quality Control Liaisons (QCL)

QCLs for Headquarters Responsible Offices are responsible for ensuring that Agency-level directives signature packages and the Action Document Summary (ADS) are properly prepared (e.g., grammar, formatting, and timeliness) using NPR 1450.10, NASA Correspondence Management and Communications Standards and Style..

2.23 Headquarters Executive Secretariat (ES)

The Headquarters ES is responsible for conducting final quality reviews of Agency-level directives in conformance with NPR 1450.10 and ensuring incorporation by the Responsible Office prior to approval by the Agency official.

2.24 Agency Council Staff

The Agency Council Staff is responsible for reviewing and concurring on all established and revised Agency-level charters to verify alignment with governing councils, as well as requests to cancel charters.

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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 use the following criteria, along with Table 3 when writing requirements statements in NASA directives:

a. Identify all requirements statements by using the term “shall” to denote mandatory compliance.

b. Designate at least one official (by position title) or organization or office title as responsible and accountable for development, implementation, maintenance, and/or verification of the requirement set forth in the “shall” statement.

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

d. Identify specific requirements, not general responsibilities with broad application.

e. Provide a description of how requirements will be measured/verified in the measurement/verification section of the directive.

f. Separately state each individual requirement statement (i.e., one “shall” statement per single paragraph and one “shall” statement per paragraph with subparagraphs).

Table 3. Use of the Term "Shall"

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AVOID REPETITIVE USE OF THE TERM "SHALL"	INSTEAD, USE THE TERM ONCE
2.15.1 Responsible Offices shall prepare NASA directives in accordance with the requirements in Chapters 3 of this NPR. 2.15.2 Responsible Offices shall consult the Office of Procurement when drafting new or revised requirements directed toward contractors to determine acquisition law or regulation impacts requirements. 2.15.3 Responsible Offices shall submit 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.	2.15.1 Responsible Offices, as subject-matter experts, shall prepare NASA directives in accordance with the requirements in Chapters 3 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 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.
AVOID USE OF TERM "SHALL" MORE THAN ONCE IN A PARAGRAPH	**INSTEAD, USE THE TERM ONCE OR USE ANOTHER TERM TO DENOTE ACTION**
2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and shall concur on Agency-level directives when submitted for signature.	2.4.1 The DAA for MSD shall: a. Review Agency-level directives to verify compliance with requirements. b. Concur on Agency-level directives when submitted for signature. *OR* 2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and will concur on Agency-level directives when submitted for signature.
AVOID USE OF THE TERM "SHALL" FOR GENERAL RESPONSIBILITIES	**INSTEAD, BE DESCRIPTIVE**
2.3 The Associate Administrator for the Mission Support Directorate shall be responsible for Directives Management.	2.3 The Associate Administrator for the Mission Support Directorate is responsible for Directives Management.
AVOID USE OF THE TERM "SHALL" FOR ACTIONS THAT ARE NOT REQUIRED	**INSTEAD, USE TERMS TO DENOTE DISCRETIONARY PRIVILEGE OR A GOOD PRACTICE**
The OIC shall delegate this approval authority to a lower level. *OR* NASA Centers shall issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction	The OIC may or can delegate this approval authority to a lower level. *OR* NASA Centers may or can issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction.
AVOID USING THE TERM "SHALL" WITH NO ACCOUNTABILITY	**INSTEAD, IDENTIFY WHO (BY POSITION TITLE) OR WHAT OFFICE (BY OFFICE OR ORGANIZATION TITLE)**
NASA shall…, The Program shall…, The Council shall…, The System shall…	The manager shall…, The division shall…, The employee shall…, MSD shall…

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

g. Exclude replication of existing internal or external policy statements, procedural requirements, responsibilities, or text from other documents. However, paraphrasing or cross-referencing may be used to summarize information in a way that is significantly different from the original text (i.e., responsible office's own words). NASA directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements.

h. Exclude technical requirements in NASA directives. Technical requirements may be included in NASA technical standards, then cited in NASA directives. See Appendix A for the definition of technical requirements.

3.2 Responsibility Statements in Agency-level Directives

Responsible Offices shall use official position titles or office titles as described in paragraph 3.1.1b for consistency when assigning or documenting responsibilities in Agency-level directives. Responsibility statements in NPDs can be written as requirements using "shall" statements only when there are no corresponding NPRs that describe specific requirements or where requirements can be placed.

3.3 Document Citations in NASA Directives

3.3.1 NASA directives have three types of document citations: authority documents, applicable

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documents and forms, and references. Responsible Offices shall cite these documents according to their purpose as follows:

a. Authority document citations list the higher level document(s) that authorize establishing the policy or requirements contained in the directive. Authority documents can be cited in the text of directives in order to provide the context, as determined by the Responsible Office.

b. Applicable documents and forms citations consist of documents and forms incorporated by reference in the text of the directive, contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive, and use only controlled and current forms. See NPD 1420.1, NASA Forms Management.

(1) Cite all applicable documents and forms listed in paragraph 4 (for NPDs/CPDs) or paragraph P.4 (for NPRs/CPRs) at least once within the text of the directive. Use statements to introduce applicable documents and forms (e.g., as required by, according to, under, or per).

(2) Conversely, list all applicable documents and forms cited within the text of the directive in paragraph 4 (for NPDs/CPDs) or paragraph P.4 (for NPRs/CPRs).

c. References are documents that may be cited in the text of the directive, but do not constitute requirements to perform activities in the directive. These documents may consist of internal and external requirements and other resources considered to be useful as background information for the reader (to help in understanding the subject-matter).

(1) If citing reference documents listed in an NPD's and CPD's attachment or NPR's and CPR's appendix, cite at least once in the text of the directive. Use statements to introduce reference documents (e.g., additional information on this subject is available at/in…, for additional information, see…).

(2) Conversely, list reference documents cited in the text of a directive in an NPD's or CPD's attachment or NPR's or CPR's appendix.

3.3.2 Within each document citation list, Responsible Offices 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, NIDs, NCs, CPDs, CPRs, CIDs, NASA Technical Standards, NASA Forms, non-NASA Government standards, and other documents.

b. List numbered documents in numerical order first and non-numbered documents in alphabetical order second within each category. See section P.4 for example of listing order.

c. List document and form citations using the following format:

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

(2) Public Laws (Official Session Laws, Laws made prior to codification in the U.S. Code) – White House Conference on the Arts Act of 1990, Pub. L. 101-509, 104 Stat. 1427 (1990).

Note: The Public law is only cited when not codified in the U.S.C. (if codified, cite to the U.S.C.), or when several sections are spread throughout the U.S.C. and it is too cumbersome to cite to all the U.S.C. sections.

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(3) Executive Orders (Signed by the President) – Regulatory Planning and Review, E. O. 12866, 3 CFR 638 (1993).

Note: Executive Orders include the Order's title, number, and the citation for the location of the Order in 3 CFR.

(4) Code of Federal Regulations (Agency Regulations) – National Space Grant College and Fellowship Program, 14 CFR pt. 1259.

Note: Whole numbers in the CFR refer to a "part" (e.g., pt. 1259) of the CFR; sections (§) consist of a decimal number which includes the part number and the section number within the part; e.g., §1259.102.

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

Note: Citation includes the two-digit volume number, the acronym "FR," the page number and date the notice published.

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

(7) NASA Policy Directives – NPD 1400.1, Documentation and Promulgation of NASA Internal Requirements.

(8) NASA Procedural Requirements – NPR 1400.1, NASA Directives and Charters Procedural Requirements.

(9) NASA Interim Directives – NID 8000.104, Acquisition of Administrative Office Space.

(10) NASA Charters – NC 1000.33, Partnership Council.

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

(12) NASA Forms – NHQ Form 184, NASA Directive Request Summary.

Note: For documents listed in paragraphs 3.3.2c(1)-(5), the name appears first and the citation location appears second. For documents listed in paragraphs 3.3.2c(6)-(12), the document type and number appears first and the name appears second.

d. Cite documents and forms ciations using the following format:

(1) Use the document name and citation location, but exclude the name after first use when citing

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within the text of directives for documents described in paragraphs 3.3.2c(1)-(5) (e.g., First use: The National Aeronautics and Space Act, 51 U.S.C. § 20113 (a) - Second use: 51 U.S.C. § 20113 (a)).

(2) Use the document type, number, and name, but exclude the name after first use when citing within the text of directives for citations described in paragraphs 3.3.2c(6)-(12) (e.g., First use: NPR 1400.1, NASA Directives and Charters Procedural Requirements - Second use: NPR 1400.1).

e. Exclude the revision letter designation and change numbers when citing or listing NASA directives or charters within NASA directives or charters (see Figure 3-1).

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

f. Ensure that documents and forms cited in the directive are approved documents that are available to the reader.

g. Include a document's title and URL in a footnote if it is not a Federal statute or regulation, a NASA directive, or is not available in the NASA Technical Standards System to show readers precisely where to find the cited document.

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

(1) United States Code Citations: http://uscode.house.gov.

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

(3) Executive Order citations:

(a) Title 3 on GPO Access: http://www.gpo.gov/fdsys/.

(b) Office of the Federal Register: https://www.archives.gov/federal-register.

(4) Code of Federal Regulations citations: https://www.ecfr.gov/cgi-bin/ECFR?page=browse.

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

(6) NASA Standards: https://standards.nasa.gov/.

(7) NASA Forms: https://itcdweb.hq.nasa.gov/eforms.

i. Use the following abbreviations for citations described in paragraphs 3.3.2b(1)-(5):

(1) United States Code – U.S.C.

(2) Federal Register – FR.

(3) Code of Federal Regulations – CFR.

(4) Part – pt., Parts – pts.

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

(6) Appendix – app.

(7) Chapter – ch., Chapters – chs.

(8) Subchapter – subch. Subchapters – subchs.

(9) Section – §, Sections – §§

(10) Section – sec.

Note: The word "section" instead of the symbol is used when it is the first word in a sentence. The word is also used in the text of the body and footnotes of law reviews and other documents except when referring to the U.S. Code. Otherwise, the symbol is used. (e.g., The National Aeronautics and Space Act, 51 U.S.C. § 20113 (a)).

(11) Executive Order – E.O.

(12) Public Law – Pub. L.

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 3-1).

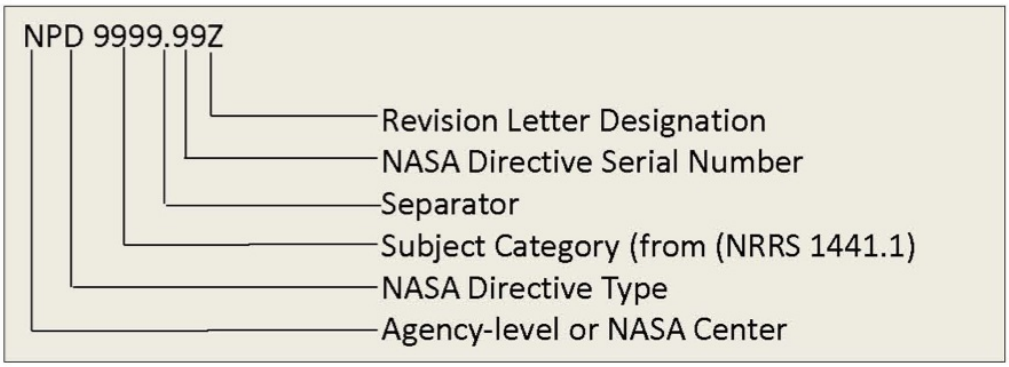

Figure 3-1. NASA Directives Numbering Scheme

Note: The full directive number is included in the file name and masthead section of draft and final directives.

3.4.1.2 The subject category numbers used to classify NASA directives are the same subject categories found in NPR 1441.1. The serial numbers are automatically generated when the directive

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is approved.

3.4.1.3 For Agency-level directives, the DMT works with the Responsible Office to ensure that directives numbers are assigned under NPR 1441.1.

3.4.1.4 For Center-level directives, the Center DM works with the Responsible Office to ensure that directives numbers are assigned under NPR 1441.1.

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 five years after signature or revalidation.

a. NPDs and NPRs are removed from the NODIS Library upon expiration by DMT, unless an NPD or NPR replacing the directive being removed is submitted for revalidation or for review and approval, or an extension is requested. See requirements for requesting extensions in Chapter 5.

b. CPDs and CPRs are removed from the Center directives library upon expiration by the Center's DM, unless a CPD or CPR revising the directive is submitted for revalidation, review and approval, or an extension is requested under the Center's established process.

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

a. NIDs are removed from the NODIS Library upon expiration by the DMT, unless an NPD or NPR replacing the NID is submitted for review and approval or the Responsible Office requests an extension via a waiver, or choses to revise it. NIDs may be revised once. See requirements for issuing NIDs in this chapter and Chapter 4 and requesting waivers in Chapter 5.

b. CIDs are removed from the Center Directives Library upon expiration, unless a CPD or CPR replacing the CID is submitted for review and approval, under the Center's established process.

Note: See process requirements for issuing interim directives in Chapter 5.

3.5 Format and Writing Styles

3.5.1 Responsible Offices shall apply the following format and writing style rules:

a. Format Styles:

(1) Use page numbers (e.g., 1, 2, 3) in NPRs, but exclude page numbers from the table of contents.

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

(3) Indent and italicize notes.

(4) Bold chapter, appendix, and second-level paragraph section headings and include a period after each chapter number, appendix letter, and figure and table numbers and letters as follows:

(a) For NPDs:
(i) **1. [Title]**.

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(ii) **Attachment A. [Title]**.
(iii) **Figure 1. [Title]** or **Table 1. [Title]** in Sections.
(iv) **Figure A. [Title]** or **Table A. [Title]** in Attachments.

(b) For NPRs:
(i) **Chapter 1. [Title]**.
(ii) **Appendix A. [Title]**.
(iii) **1.1 [Title]**.
(iv) **Figure 1. [Title]** or **Table 1. [Title]** in Chapters.
(v) **Figure A. [Title]** or **Table A. [Title]** in Appendices.

(5) Center figures and tables.

(a) Number all figures and tables (e.g., **Figure 1**. or **Table 1**.) placed in chapters using the number of the chapter. Add the figure number and title at the bottom of the figure and add the table number and title at the top of the table. If there is more than one figure or table in a chapter, add a dash and an additional number to indicate that it is the first, second, or third figure or table (e.g., Figure 1-1, 1-2, 1-3, or Table 1-1, 1-2, 1-3, etc.).

(b) Letter all figures and tables (e.g., **Figure A**. or **Table A**.) placed in appendices using the letter of the appendix. Add the figure letter and title at the bottom of the figure and add the table letter and title at the top of the table. If there is more than one figure or table in the appendix, add a dash and a number to indicate that it is the first, second, or third table (e.g., Figure A-1, A-2, A-3 or Table A-1, A-2, A-3, etc.).

(6) Number/letter all paragraphs. If there is not a second paragraph immediately following at the same level or no subparagraphs, do not number/letter the paragraph. Exclude periods behind numbered paragraphs (e.g., use 3.5.1 or 3.5.1h, not 3.5.1. or 3.5.1.h.), but include periods behind lettered paragraphs (e.g., use i., not i).

b. Writing Styles:

(1) Use NPR 1450.10 to supplement the style requirements in this NPR.

(2) Exclude caveat phrases, ambiguous terms, and vague terms (e.g., “as applicable,” “as appropriate,” “whenever possible,” “as soon as possible,” “in a timely manner,” “etc.”) within requirements statements.

(3) Use the correct term (e.g., “shall,” “may or can,” “should,” “will,” and “are/is”) to denote action or other forms of action. See paragraph P.2b.

Note: Adherence to paragraphs 3.5.1a(1)-(5) is under the discretion of the Center official responsible for the format styles for Center-level directives.

3.6 Content and Structure of Elements in 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 Administrator’s, or designee’s, approval.

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3.6.2 Responsible Offices shall ensure that NPDs and CPDs are no more than five pages, excluding attachments, and contain the following content and structure of 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 and the approved date changes.

Note: A Change Log can be added when the NPD or CPD is developed or added after the NPD or CPD is revised.

c. Body consisting of the following eight required paragraphs:

(1) Paragraph 1, Policy provides a general statement of the principles, fundamental values, and general direction of the Agency or Center that is used to determine present and future decisions. Policy statements do not contain requirements "shall" statements and are introduced (e.g., "It is NASA Policy to" or "This directive establishes policy for").

(2) Paragraph 2, Applicability provides the scope of the required application of the NPD or CPD. Include the following applicability statements:

(a) "This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."

(b)If the directive applies to Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center (FFRDC), include this statement, "This directive is applicable to the Jet Propulsion Laboratory, a Federally Funded Research and Development Center (FFRDC), only to the extent specified in the NASA/Caltech Prime Contract." If the directive does not apply to JPL, an FFRDC, remove the applicability statement referencing JPL, an FFRDC, if mentioned.

Note 1: A directive does not apply to JPL, an FFRDC, unless it is on the Listing of the NASA Directives and Standards in the NASA/Caltech (JPL) Prime Contract and has been incorporated into the NASA/Caltech Prime Contract.

Note 2: JPL, an FFRDC, may review new and revised directives even if they are not in the NASA/Caltech Prime Contract, and provide comments or no comments as deemed necessary. However, inherently governmental directives are usually not reviewed by JPL since they only apply to the government.

(c) If the directive applies to other contractors, recipients of grants or cooperative agreements, or parties to other agreements, include this statement, "This directive is applicable to other contractors, recipients of grants or cooperative agreements, or parties to other agreements only to the extent specified in contracts, grants or cooperative agreement, or other agreements."

Note 1: Only list the type of document (i.e., contract, grant, or agreement) to which the directive applies. For example, if the directive is not applicable to a "grant," only list

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"contract or agreement" to indicate the directive's applicability.

Note 2: This statement alone is not sufficient to stipulate requirements for the contractor or recipient of the grant. Requirements can be delineated by adding a note after the requirements' paragraph. See paragraphs 2.17.2 or 2.20.3 for examples of delineating requirements between civil servants and contractors or recipients of grants.

(d) For CPDs, include a statement similar to 3.6.2c(2)(a) above to ensure applicability at the Center and associated facilities.

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

(f) For NPDs and CPDs, include a statement that describes document citations are assumed to be the latest version. See paragraph P.2h.

(3) Paragraph 3, Authority contains a list of the NPD or CPD and external authority(ies) or requirements that justify establishing the NPD or CPD. This latter category includes only those external sources that are the authority for the NPD or CPD. Place all other external sources in the Applicable Documents and Forms or References sections.

(4) Paragraph 4, Applicable Documents and Forms – contains 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.

(5) Paragraph 5, Responsibility is an explanation of who (by position or organization) is responsible for implementing the policy stated in the NPD or CPD. Write responsibility statements in accordance with paragraph 3.2, and avoid dictating how an organizational leader is to organize or assign responsibilities within the leader's organization.

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

(7) Paragraph 7, Measurement/Verification is an explanation of how compliance with requirements 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. "Shall" statements are not included in this section.

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; or as a citation to an NPD, CPD, or another requirements document.

(8) Paragraph 8, Cancellation contains a list of directives that will be cancelled upon issuance. If the

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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."

Note: Governing NPDs may be waived from content and structure requirements. See process for requirements for requesting waivers in Chapter 5.

d. Signature Block for the approving official's signature.

e. Attachments contain supplementary material related to the main text in the NPD or CPD (e.g., definitions, acronyms, verification matrices, etc.) that are attached at the end.

(1) Ensure that attachments do not contain requirements ("shall" statements) for civil service employees, only supporting information for the NPD or CPD.

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

(3) Document any definitions for words and phrases used in the NPD or CPD in Attachment A.

(a) List the definitions in alphabetical order.

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

(c) Use bullets (e.g., "●") for definitions with extended explanations

(4) Document any acronyms used in the NPD or CPD in Attachment B and list in alphabetical order. To avoid blank attachments, if there are no definitions placed in Attachment A, acronyms can be placed in Attachment A only if there are no other attachments that can be placed before the acronyms.

(5) Document verification/measurement matrices used in the NPD or CPD, in Attachment C. To avoid blank attachments, if there are no definitions placed in Attachment A or acronyms placed in Attachment B, a measurement/verification matrices can be placed in either of these attachments only if there are no other attachments that can be placed before the matrices.

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

f. Graphics to illustrate information related to the directive.

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

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

h. Number/letter paragraphs using Figure 3-2.

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Paragraph Number	Level	
1.	1st level	Required paragraph 1.
a.	2nd level	Subparagraph for 1.
(1)	3rd level	Subparagraph for a.
(2)	3rd level	Subparagraph for a.
(a)	4th level	Subparagraph for (2)
(b)	4th level	Subparagraph for (2)
(i)	5th level	Subparagraph for (b)
(ii)	5th level	Subparagraph for (b)
(1)	*6th level*	*Subparagraph for (ii) (italics)*
(2)	*6th level*	*Subparagraph for (ii) (italics)*
(a)	*7th level*	*Subparagraph for (2) (italics)*
(b)	*7th level*	*Subparagraph for (2) (italics)*
(i)	*8th level*	*Subparagraph for (b) (italics)*
(ii)	*8th level*	*Subparagraph for (b) (italics)*
b.	2nd level	Subparagraph for 1.
2.	1st level	Required paragraph 2.

Figure 3-2. NPD and CPD Paragraph Numbering/Lettering

3.7 Content and Structure of Elements in 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 Responsible Offices shall ensure that NPRs and CPRs consists of the following content and structure elements:

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

b. Change Log. See paragraph 3.6.2b.

c. Table of Contents consisting of the preface, chapter titles, second-level paragraph titles, and appendices. Refer to this NPR's table of contents as an example.

Note: A list of figures and tables may be included in the NPR table of contents.

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(1) The preface consists of the following six required paragraphs that are numbered using Figure 3-3:

(a) Paragraph P.1, Purpose describes the rationale for establishing the NPR or CPR and what will be accomplished by implementing it.

(b) Paragraph P.2, Applicability, see paragraph 3.6.2c(2)(a)-(e).

(c) Paragraph P.3, Authority, see paragraphs 3.6.2c(3) and 3.3.1a.

(d) Paragraph P.4, Applicable Documents and Forms, see paragraphs 3.6.2c(4) and 3.3.1b(1)-(2).

(e) Paragraph P.5, Measurement/Verification, see paragraph 3.6.2c(7).

(f) Paragraph P.6, Cancellation, see paragraph 3.6.2c(8).

(g) Distribution statement, see paragraph 3.6.2g.

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 3-3. NPR or CPR Preface Paragraph Numbering/Lettering

(2) Chapters, separated by page breaks, describe the directive's requirements and responsibilities that are subdivided into paragraphs that are numbered using Figure 3-4.

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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 3-43 NPR or CPR Chapter Paragraph Numbering/Lettering

Note: Use Figure 3-2 if paragraphs go beyond the 4th level.

(3) Appendices, separated by page brakes, that contain supplementary material related to the main text of the NPR or CPR (e.g., contractor requirements, definitions, acronyms, verification matrices, etc.) are attached at the end.

(a) Ensure that appendices do not contain requirements ("shall" statements) for civil service employees, only supporting information for the NPR or CPR.

(b) Number paragraphs in appendices using the letter of the appendix (e.g., A.1, A.2), excluding appendices containing acronyms and definitions.

(c) Document any definitions for words and phrases used in the NPR or CPR in Appendix A.

(i) List the definitions in alphabetical order.

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

(iii) Use bullets (e.g., "●") for definitions with extended explanations.

(d) Document any acronyms used in the NPR or CPR in Appendix B and list in alphabetical order.

Note: If there are no definitions placed in Appendix A, acronyms can be placed in Appendix A only if there are no other appendices that can be placed before the acronyms.

(e). If a verification/measurement matrix appendix is included within the NPR or CPR, include it in

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Appendix C.

Note 1: If there are no definitions placed in Appendix A or acronyms placed in Appendix B, measurement/verification can be placed in either of these appendices only if there are no other appendices that can be placed before the measurement/verification. See Appendix C of this NPR for examples of verification/measurement matrices.

Note 2: Governing NPRs may request a waiver from content and structure requirements. See process requirements to request waivers in Chapter 5.

Note 3: See process requirements for issuing NPDs, NPRs, CPDs, and CPRs in Chapter 4.

3.8 Content and Structure of Elements in NIDs and CIDs

3.8.1 NIDs and CIDs are issued for immediate or short-term use to impose policy or requirements at the Agency or Center level and may be formatted as memorandums, directives, paragraphs, or other templates. NIDs and CIDs may be revised once, and the expiration date will be 12 months after the effective date of the revised document. Responsible offices shall ensure that NIDs or CIDs 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. See paragraph 3.6.2c(2)(a)-(d).

Note: See process requirements for issuing NIDs and CIDs in Chapter 4.

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 a Headquarters Office. 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. Respective charters include provisions for duration and periodic critical assessments of performance.

a. The term “council” is reserved for entities responsible for overall governance of the Agency or an Agency program, the technology portfolio managed by the Space Technology Mission Directorate, MSD, or a Center. Councils are comprised of senior management tasked to make decisions regarding policy, strategic direction and planning, goals, or resources. The charters for NASA’s governing councils (i.e., Executive Council, Senior Management Council, Mission Support Council, and

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Agency Program Management Council) are maintained in NPD 1000.3.

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

c. Boards are comprised of senior management tasked to make decisions regarding implementation of policy, strategic plans, goals, and resources. Boards are only to 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, a committee, or panel, a working group may be established.

d. Committees, panels, and working groups are established as advisory groups for councils and boards to address significant topics, as requested by Agency leadership, Mission Directorates, Office of the Chief Engineer, Office of the Chief Safety and Mission Assurance, Office of the Chief Scientist, Office of the Chief Technologist, MSD, or Centers. See Appendix A for specific definitions.

3.9.2 Responsible Offices shall ensure that Agency-level charters contain standard paragraphs described in Figure 3-5 using subparagraph numbering requirements in Figure 3.2. See process requirements for issuing Agency-level charters in Chapter 4. See process requirements for issuing charters for governing councils in NPD 1000.3.

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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

9.1 This paragraph should include the level of assessment as well as who receives/reviews 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 3-5. Agency-level Charter Standard Paragraphs

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CHAPTER 4. Process Requirements for Establishing, Revising, Revalidating, Making Administrative Corrections, and Hyperlinking NASA Directives and Charters

4.1 Introduction

4.1.1 The NODIS DMS is NASA's primary tool that provides an electronic means to create, review, comment, disposition comments, track, concur, approve, and publish Agency-level directives, per the NODIS Manual.

4.1.2 All NPDs and NPRs are coordinated according to the timeline in Figure 4. The coordination timeline for NPDs is no more than 130 calendar days, and the coordination timeline for NPRs is no more than 160 calendar days.

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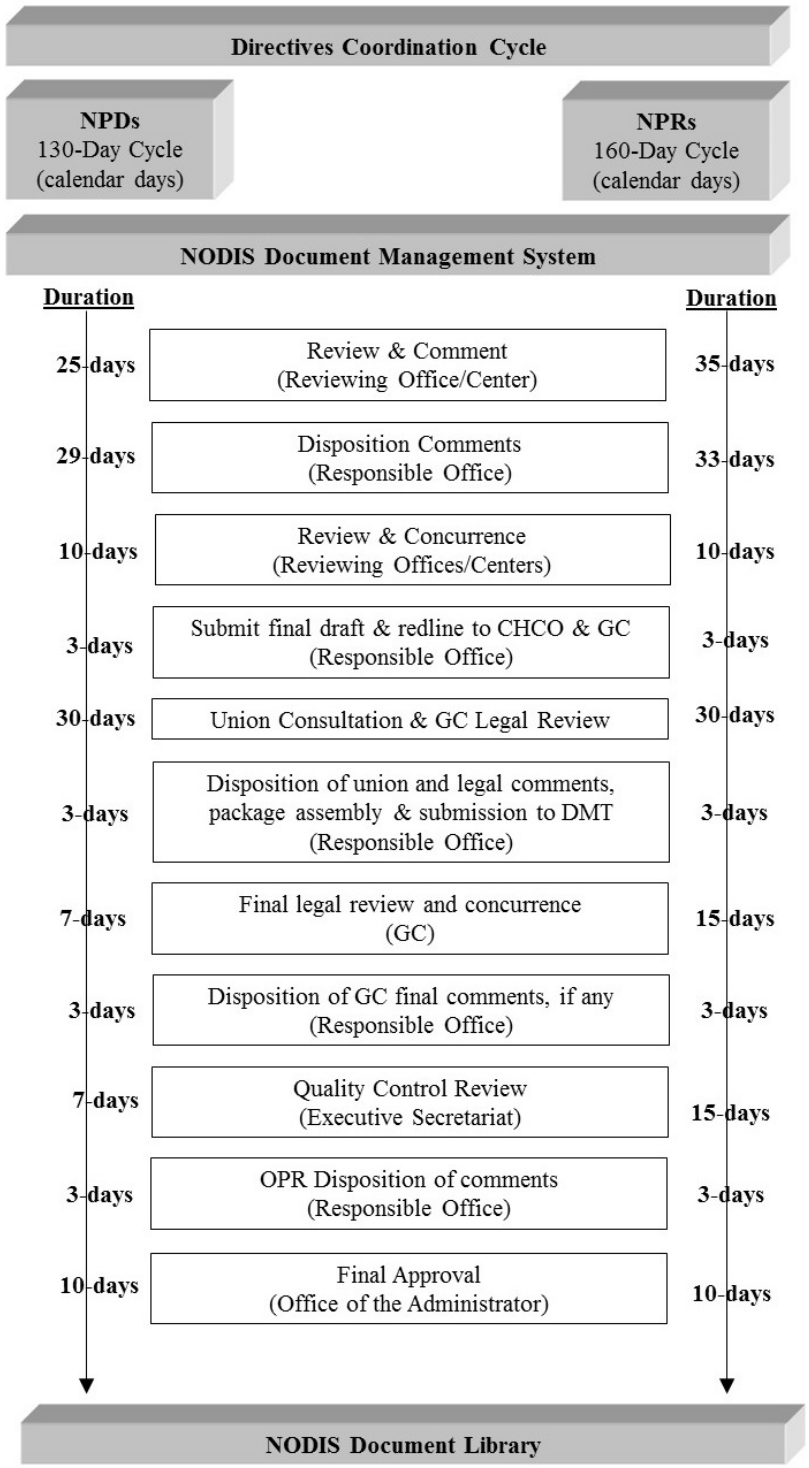

Figure 4. Directives Coordination Cycle

4.1.3 NPDs and NPRs that were coordinated in a prereview may be coordinated any time during the month on an out-of-cycle schedule for an expedited review for the number of days determined by the Responsible Office. To expedite a review of a directive, Responsible Offices shall:

a. Submit out-of-cycle review requests to DMT via e-mail and include the following in the request:

(1) Purpose/rationale.

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(2) Internal or external requirement driving the Agency to expedite publishing requirements.

(3) Date by which NPD or NPR needs to be published.

(4) Timeline for coordination showing the number of days for each step of the coordination as illustrated in Figure 4. Download a timeline template to enter number of days for each step in the expedited review, here: Expedited Review.

(5) Names of the reviewers that participated in the prereview.

Note: An expedited review is more successful when a prereview is coordinated first.

4.1.4 DMT will withdraw directives from coordination if not submitted for approval by established suspense dates, unless the Responsible Office requests an extension. See process requirements for requesting extensions in Chapter 5.

4.1.5 The 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.

4.1.6 Approved NASA directives are in effect for a maximum of five years. However, the Responsible Office can make revisions whenever a change is warranted. See content and structure requirements in Chapter 3 and process requirements in this chapter.

4.2 Establishing and Revising Directives

4.2.1 Responsible Offices for Agency-level directives shall use the NODIS DMS to establish or revise NPDs or NPRs within the timeline established in Figure 4. The Responsible Office may coordinate updates to sections of an NPR and include a summary of the changes in the directive's change log if the entire directive does not need to be revised.

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

4.2.3 Responsible Offices shall notify their DM prior to beginning the process to establish or revise a new directive.

4.2.4 Prereview Process

4.2.4.1 Responsible Offices should use a prereview process to coordinate complex directives when substantial comments are anticipated and require follow up (e.g., meetings, conference calls, etc.) with reviewing offices for a resolution. A prereview provides an opportunity to address these issues prior to an official review in the NODIS DMS. If a Responsible Office chooses to conduct a prereview, the following are standard steps in the prereview process:

a. Creating a draft of the new or revised directive according to Chapter 3.

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

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b. Determining the methodology (e.g., NODIS Open Review System (ORS) or e-mail) for coordinating the prereview and distributing the directive to those affected and those offices that the Responsible Office believes should review the draft.

Note: ORS (https://openreview.gsfc.nasa.gov/ORSHome.cfm) is a Web-based tool that may be used to coordinate a prereview. Documents requiring a prereview prior to an official review can be coordinated in ORS in accordance with the instructions provided in the NODIS Manual

c. Notifying DMs of preview activities (i.e., directive's number and title, and prereview participants.)

d. Coordinating, consolidating, and dispositioning 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.

4.2.5 Prior to Official Review

4.2.5.1 For NPDs and NPRs, the Responsible Office's DM shall complete the following before a directive is placed on the schedule for review:

a. Submit a NHQ 184 Form and load the directive in the NODIS DMS so that the DMT can verify compliance with content and structure requirements described in Chapter 3.

b. Forward the DMT's compliance review results to the Responsible Office for corrective action and assist with expediting corrections.

c. Load the revised draft directive in the NODIS DMS and notify the DMT, so that corrective actions can be verified.

d. E-mail the draft directive to the respective ALR, so that any information related to Government GAO and IG recommendations that require revisions to directives are appropriately captured. Confirmation of this coordination is required on the NHQ 184 Form before the directive is placed on the schedule for review.

4.2.6 Official Review and Approval

4.2.6.1 The official review and approval processes for Agency- and Center-level directives may be different. The Director for Mission Support Operations and CDs are responsible for establishing an official review and approval process at their location and 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 to specified organizations. This may include provisions to allow organizations an opportunity to request to be added or removed from the review.

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

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

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

(1) Request review of a directive in the NODIS DMS by completing and submitting an NHQ 184 Form, to include cost/benefit impacts to implement new requirements in terms of financial, human resources, 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: 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 provided on the directive's technical content and cost/benefit impacts in order to satisfy concerns of Reviewing Offices and Centers and forward those dispositions to the DM to enter in NODIS.

(3) Present unresolved proposed unfunded mandates to the Quarterly Forums with Center Associate Directors.

4.2.7 The Review, Comment, and Concurrence Process

4.2.7.1 Reviewing Offices and Centers shall:

a. Review and submit comments, including reconsideration of comments, on Agency-level directives' technical content and the accompanying cost/benefit impacts described on the NHQ Form 184 to the respective DM that will obtain a concurrence decision from the respective OIC or Center Director and enter the response in NODIS by the suspense date. If the concurrence decision is "concur" or "concur with comments," enter that decision with comments, if any, by the suspense date. If the concurrence decision is "concurrence dependent on disposition of comments" or "nonconcur," enter that decision with comments, then change the decision to "concur with comments" after the Responsible Office has satisfactorily dispositioned the comments. See Appendix A for concurrence decision definitions.

Note 1: Comments entered after the suspense date may not be considered by the Responsible Office.

Note 2: Reviewing Offices and Centers are encouraged not to submit grammatical comments on Agency-level directives to prevent discrepancies in grammatical corrections done by the NASA Headquarters ES prior to approval for issuance.

b. Identify specific comments that provide the basis for a nonconur and why and ensure that the nonconcur reflects the organization's or Center's position.

c. Notify the Responsible Office when proposed requirements in directives prevent implementation in an effort to mitigate, resolve, and elevate unresolved mandates to the Quarterly Forums with

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Center Associate Directors.

4.2.7.2 Mandatory concurring offices include:

a. The legal office shall record a concurrence decision on all directives (General Counsel for Agency-level directives; Chief Counsel for Center-level directives).

b. The financial office shall record a concurrence decision on all directives (Chief Financial Officer for Agency-level directives; Center Chief Financial Officer for Center-level directives).

c. The human resources office shall record a concurrence decision on all directives (Chief Human Capital Officer for Agency-level directives; Center Human Resources/Human Capital Management for Center-level directives).

d. The procurement office shall record a concurrence decision on all directives (Procurement for Agency-level directives; Center Procurement/Acquisition for Center-level directives).

e. The information officer's office shall record a concurrence decision on all directives (Chief Information Officer for Agency-level directives; Center Information Officer/Information Technology for Center-level directives).

f. The NASA Management Office shall record a concurrence decision on all Agency-level directives.

4.2.7.3 The IG shall review all Agency-level directives.

4.2.7.4 If, during the concurrence process, a reviewing office's or Center's nonconcurrence cannot be resolved, the Responsible Office shall initiate directive's resolution in accordance with process requirements in Chapter 5.

4.2.7.5 When OICs and CDs do not respond by established suspense dates, the DMT will notify the respective DMs, OICs, and CDs that the response is past due and grant a one-day extension for a response. If no response is received after the one-day extension, concurrence will be assumed.

4.2.7.6 Reviewing offices may request an extension in advance of the established suspense date directly with the Responsible Office. The Responsible Office determines the number of days for the extension, and, if necessary, requests a 30-day extension if it has determined that the granted extensions impede submission of the directive's signature package. See process requirements for requesting extensions in Chapter 5.

4.2.8 Prior to Assembling a Directive's Signature Package

4.2.8.1 The Responsible Office's DM, in coordination with the directive's originator, shall simultaneously e-mail (with a copy to the DMT) the final draft of the directive, a redlined version to show where all the changes were made, and a summary of the purpose, justification, and significant changes to:

a. GC's DM, who coordinates the legal staff's review and comment for the GC's concurrence on the directive when the signature package is forwarded for approval.

b. HCO's Labor Relations Officer, who coordinates a review by the national unions and local unions at the Centers. If new requirements will impact employees, the Labor Relations Officer will coordinate a 30-day review with the unions.

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4.2.9 Signature Package for Agency-level Directives

4.2.9.1 After the union review is complete, the Responsible Office's DM shall load the current version of the directive in NODIS, assemble the signature package with the following documents printed from NODIS, and deliver it to the DMT by the suspense date:

a. The ADS to include the following:

(1) Evidence of concurrences from reviewing organizations and the concurrence of the responsible OIC.

(2) Administrator's Headquarters Action Tracking (HATS) ID (e.g., A/2015-00344).

(3) HATS due date.

(4) QCL's name, number, and date of review.

(5) Special Instructions (if any).

(6) DM's name and number.

b. ADS' 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) Cost/benefit impacts for new resources that may be needed and a justification for why resources need to be expended to identify unfunded mandates. Unresolved proposed unfunded mandates are presented to the Quarterly Forums with Center Associate Directors.

(5) Strategic impact (if any).

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

c. The original of the proposed (new or revised) directive.

d. A track changes version (i.e., redline) of the revised directive.

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

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

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

h. Document disagreements from the IG in the Executive Summary of the NHQ 117 Form, Action Document Summary.

Note: See Table C-1 for assembly instructions and load directives in NODIS and print required documents for the signature package from the system in accordance with the instructions provided in the NODIS Manual.

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4.2.9.2 The DMT will:

a. Verify the completeness of Agency-level directives' signature packages to ensure the following before routing it for final approval:

(1) All comments from Reviewing Offices are dispositioned and concurrences obtained.

(2) All required documentation listed in paragraphs 4.2.8.1a-g is assembled correctly.

(3) Disagreements with the IG are documented in the directive's signature package.

(4) Completed corrective actions on the directive's content and structure are not compromised.

Note: Center Responsible Offices use established Center instructions to assemble signature packages for Center-level directives.

4.2.10 Routing of the Signature Package

4.2.10.1 An NPD's or NPR's signature package is routed as follows for approval and publication:

a. Responsible Office's DM assembles the directive's signature package as described in paragraph 4.2.9.1 and submits it to the DMT.

b. The DMT reviews the directive as described in paragraph 4.2.9.2, submits the signature package to GC's DM, notifies all DMs and requests that they verify that comments that were agreed to at the time of concurrence were satisfactorily dispositioned, and submits the respective OIC's or CD's requests for reconsiderations, if any, directly to the Responsible Office's DM for disposition.

c. GC reviews the directive, coordinates final corrective actions directly with the Responsible Office's DM, concurs, and returns the signature package to the DMT.

d. The DMT retrieves the signature package from GC's DM, concurs, and submits it to the ES.

e. The ES conducts a quality review of the directive to verify compliance with NPR 1450.10 and coordinates corrective actions directly with Responsible Office's DM or QCL before forwarding the signature package to the Administrator's office.

f. Officials within the Administrator's office review and concur on the directive prior to the Administrator's, or designee's, approval. If corrective actions are needed, the ES will coordinate directly with the Responsible Office's DM or QCL. If corrective actions are not needed, the Administrator, or designee, will approve the directive and return the signature package to the ES.

Note: Each time a directive is updated throughout the routing of the signature package, the Responsible Office's DM loads the most recent version of it in NODIS.

g. The ES closes the corresponding HATS action and returns the signature package to the DMT.

h. The DMT publishes the directive in the NODIS Library and notifies all DMs.

4.3 Revalidating and Making Administrative Corrections or

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Minor Changes to Existing Directives

4.3.1 Revalidating with administrative corrections - If a directive is due to expire, but the directive is current, necessary, and requires no changes, other than administrative corrections to typos, document citations, office or position titles, references, or substantive administrative corrections that do not add or change policy or requirements, it can be revalidated as follows:

a. The DM, with input from the respective Responsible Office, shall e-mail a revalidation request to the DMT with an electronic version of the directive showing redlines of the administrative changes.

b. The DMT will:

(1) Review the directive for compliance with this NPR and coordinate corrective actions with the DM.

(2) Send an e-mail to Agency DMs to provide notification of the intent to revalidate on an exception-only basis.

c. If there are no objections, the DMT approves the revalidation, updates the directive, summarizes the administrative changes in the directive's change log, and extends the expiration date for another five years.

d. If there are objections, the DMT determines whether the objections are valid and either approves the revalidation or requests that the directive be submitted for formal review and approval.

Note 1: Cost/benefit impacts 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.

Note 3: The effective date and signature approval does not change when directives are revalidated.

4.3.2 Making Minor Changes - If the Responsible Office needs to make minor changes during the life cycle of the directive, the Responsible Office may submit a request for the minor changes, via e-mail to the DMT.

Note 1: Only the review of the DMT is needed to make administrative changes that do not change requirements. However, if the DMT determines that these changes change policy, requirements, or responsibilities, a limited review of the changes/corrections may be required.

Note 2: For Center-level directives, Center instructions apply.

4.4 Issuing NIDs and CIDs

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4.4.1 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 or revised interim directives (policy/requirement).

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

c. Submit the proposed or revised interim directive to the DM for processing.

4.4.2 The HQ DM shall:

a. Coordinate NIDs for a 2-week review via e-mail with DMs in CFO, CIO, CHCO, Procurement, IG, and NMO for concurrence.

b. Coordinate final drafts of NIDs with the DM in OGC for the legal review and the HCO Labor Relations Officer for the union review.

c. Submit NIDs, along with concurrences, to the DMT for publication.

Note: The HCO Labor Relations Officer may require a 30-day review to allow time for national and local unions' consultation.

4.4.3 DMT will publish NIDs in the NODIS Library.

4.4.4 For CIDs, Responsible Offices shall follow Center instructions for coordinating and publishing, to include satisfying the requirements to provide local union representatives with a consultation period.

Note: Consult the Center DM for issuing CIDs.

4.5 Issuing Charters

4.5.1 To publish Agency-level charters, the Responsible Office shall submit a hard and electronic copy of the charter with the chair's approval, along with concurrences from GC and the Office of Agency Council Staff, to DMT for publishing.

4.5.2 The DMT will publish charters in the NODIS Library.

4.5.3 Center-level charters are applicable to the issuing Center. To publish Center-level charters, contact the Center's DM.

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 Plan, Manual, Technical Standard, Work Instruction, or Other Policy Document is useful, but not appropriate for inclusion as a directive, the

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Responsible Office may use hyperlinking to make the related documentation available through NODIS. See Appendix D for description of these document types.

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

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

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Chapter 5: Process Requirements for Requesting Directives Cancellations, Extensions, Resolutions, Waivers, and Transfers

5.1 Requesting Cancellation of NASA Directives and Charters

5.1.1 A NASA directive or charter can be cancelled when the Responsible Office or Chair determines that it served its purpose or is no longer needed. To cancel a directive or charter, the DM, with input from the Responsible Offices shall:

a. Submit a written justification via e-mail to the DMT to request cancellation of an Agency-level directive.

b. Submit a written justification via e-mail to the DMT, with concurrence from the Chair and the Agency Council Staff, to request cancellation of a NASA charter.

*Note: To cancel Center-level directives or charters, Responsible Offices should contact the Center DM for instruction*s.

5.2 Requesting Extensions on Expiration or Suspension Dates

5.2.1 The DMT notifies Responsible Offices when Agency-level directives under their authority are approaching expiration as follows:

a. Notifies DMs six months prior to expiration.

b. Notifies OICs two months prior to expiration, if no action is taken.

5.2.2 In response to this notification, DMs, with input from the Responsible Office, shall:

a. Request an extension via e-mail to the DMT if more time is needed for revisions with an explanation of when revisions are expected.

b. Revalidate or revise directives according to the requirements described in Chapters 3 and 4.

5.2.3 For directives in coordination in the NODIS DMS, Responsible Offices may request up to three 30-day extensions on suspense dates. If the third 30-day extension has lapsed, the Responsible Office may request another extension for the amount of time that is realistically needed to publish the directive by submitting a completed Request for Waiver (Table 5). Directives in coordination are tracked in the Headquarters Action Tracking System (HATS) and will appear overdue if submitted after the suspense date. Directives that languish in coordination with no action taken, may be withdrawn by the DMT if extensions are not requested. To request extensions on suspense dates, DMs, with input from the Responsible Office, shall submit:

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a. A memo requesting a 30-day extension from the requesting Official-in-Charge, or designee, to the Director for Mission Support Operations through the DMT ten days prior to the suspense date. Only three 30-day extensions can be requested.

b. A request for Waiver (Table 5) to receive additional time if the third 30-day extension has lapsed.

5.3 Requesting Resolution of Impasses:

5.3.1 Responsible Offices for Agency-level directives shall initiate resolution of impasses by:

a. Meeting at least twice with reviewing organizations that oppose new proposed requirements in an effort to come to an agreement.

b. Forwarding responses to reviewing organizations' opposing arguments, as well as the updated directive to the DMT for mediation if meetings do not yield a resolution.

c. Attending the meeting with the DRO, along with the reviewing organizations if a resolution cannot be mediated. At a minimum, the OIC (or designee), directive's originator, and directives manager attends the meeting with the DRO.

d. Updating directives according to the DRO's decision on how the Agency's will govern the requirement.

5.3.2 Reviewing Offices shall:

a. Notify the Responsible Office when there are oppositions to new proposed requirements.

b. Forward opposing arguments to the DMT for mediation.

c. Participate in all meetings, as designated, to resolve impasses on requirements they oppose in order to provide opposing arguments to the Responsible Office, as well as the DRO, if impasses cannot be resolved. At a minimum, the OIC (or designee), directive's originator, and directives manager attend the meeting with the DRO.

5.3.3 Director for Mission Support Operations shall assist and support the Deputy Administrator (or designee), Agency-level DRO, by:

a. Verifying that responsible and reviewing organizations meet at least twice in an effort to resolve impasses and nonconcurrences.

b. Reviewing Offices' opposing arguments and Responsible Offices' responses in an effort to mediate a resolution, if meetings do not yield one.

c. Scheduling and facilitating the meeting with the DRO, Reviewing Offices, and the Responsible Offices if a resolution cannot be mediated.

d. Informing the Reviewing Offices and the Responsible Office of the meeting day, time, and location.

e. Forwarding the Reviewing Offices' opposing arguments, the Responsible Offices' response to those arguments, as well as the updated directive to the DRO prior to the meeting.

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Note: For impasses on Center-level directives, local instructions apply.

5.4 Requesting Transfers of Directives

5.4.1 A directive may be transferred from one organization to another when functions described in the directive are also transferred. To transfer Agency-level directives, the DM, with input from the Responsible Office, shall send a memo from the OIC, with concurrence from the accepting organization's OIC, to the Director for Mission Support Operations.

5.4.2 The DMT will change the Responsible Office's information in NODIS once the Director for Mission Support Operations approves the transfer and notify the Responsible Office.

5.5 Requesting Waivers from Requirements in NASA Directives

Note: NPD 1000.0 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 waivers from requirements described in Agency-level directives. For Center-level directives, local instructions apply.

5.5.1 Approval Authorities

5.5.1.1 Only the OIC who is responsible for the Agency-level directive or requirement is the approval authority for waiver requests.

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

5.5.1.2 The approval authority shall approve/disapprove a request for waiver from requirements based on the following criteria:

a. Requirements are not prohibited by external requirements.

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

Note: If requirements present an undue risk, additional review and concurrence by other OICs is needed before approval.

c. Requirements are justified under the circumstances.

5.5.1.3 The approval authority shall only approve a request for waiver 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

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for XYZ Project).

5.5.1.4 The approval authority maintains a record of requests for waiver granted against Agency-level directives under their responsibility and should periodically review waivers to determine continued need.

5.5.2 NASA Headquarters organizations and NASA Centers requesting a waiver from requirements in Agency-level directives, shall document the following and submit it to the Responsible Office's DM for processing:

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

b. Scope (e.g., site, facility, operation, and/or 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. Address the following for request for waiver from environment, safety, health, and security requirements:

(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 waiver sections of applicable NPRs and CPRs (e.g., NPR 7120.5).

5.5.3 To request a waiver from requirements contained in this directive, DMs, on behalf of their

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OIC or CD, shall complete the Request for Waiver (Table 5) below and submit it to the DMT. Table 5 may be tailored to request waivers from requirements described in other Agency-level or Center-level directives, only if these directives do not already have an established waiver process.

5.5.4 Requests for waivers from requirements in this directive will be reviewed by the DMT periodically to determine continued need.

Table 5, Request for Waiver from Requirements in NASA Directives

NRW - _____

Requesting Responsible Office/Center: _____

Directive Information	
Directive ID and subject:	
Identification of Requirement	
Requirement paragraph number and description in NPR 1400.1:	
Scope (e.g., site, facility, operation, and/or activity) and duration of the request:	
Justification:	
Describe the purpose/rationale for this request:	
Describe if application of the requirement conflicts with other requirements. If not, check here ☐	
Describe if the application of the requirement would not achieve, or is not necessary to achieve the underlining purpose of the requirement.	
Describe the cost or schedule considerations related to the request. If none, check here ☐	
Describe the risks that will be incurred if the request is granted. If none, check here ☐	
Relief from Environment, Safety, Health, Security Requirements	
Describe special circumstances that warrant granting the request.	
Describe the actions that will be taken to ensure adequate safety and health and protection of the public, the workers, and the environment.	
Signatures	
Requesting Office's Official-in-Charge, or designee: Name: _____ Signature: _____	Revised Suspense Date: *(Determine by DMT)*
Approving Office's Official-in-Charge, or designee Name: _____ Signature: _____	☐ Approved ☐ Denied
Justification for denial, if applicable, or additional information if approved.	

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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).

Audit Liaison Representative (ALR). An individual appointed by an Official-in-Charge (OIC) or a Center Director to implement and coordinate audit liaison, resolution, and follow-up activities within each organizational component and Center. ALRs are the primary point of contact to represent management for each specific GAO or IG audit for which the OIC has principal program or funding responsibility. Detailed responsibilities of the ALR are described in NPD 9910.1.

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.

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 are established with the respective council's or board's approval.

Concurrence Decisions:

- Concurrence. A documented agreement.
- Concurrence with comments. A documented agreement with comments.
- Concurrence dependent upon disposition of comments. A withholding of concurrence until comments are satisfactorily dispositioned.
- Nonconcurrence. A documented disagreement.

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.

Incorporation by reference. An act of including a second document within another document by only mentioning the second document. This act, if properly done, makes the entire second document a part of the main document.

NASA Charter. Documents the purpose, scope, authority, functions, and membership of groups mandated by statute, the NASA Administrator, or an OIC of a Headquarters Office.

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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: NPDs, NPRs, NIDs, CPDs, CPRs, and CIDs.

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.

Note. Describes supplemental information useful to the reader. In some cases, more than one note is provided if additional information is needed to either aid the reader or to point the reader to information that is available in more detail elsewhere.

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 are established with the respective council or board's approval.

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

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citations, office or position titles, or references to other established policy or externally mandated instruction that may not be altered/edited).

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

Unfunded Mandates (UFM).

• *Internal UFMs-An Agency-directed action, such as the establishment of a new requirement, a change in charging practices without an adjustment made across accounts at the Agency level, or a requirement change that compels recipient organizations to expend any type of resources (procurement or labor) without being provided Agency funds to cover the direct and indirect costs of implementing the actions.*

• *External UFMs-Federal statutes, regulations, and policies that require parties to expend resources to achieve executive, legislative, and judicial goals without being provided the Federal funds to cover the costs.*

Unresolved Unfunded Mandates. UFMs that cannot be successfully resolved between NASA Centers, HQ Functional Organizations, and the Responsible Office issuing the mandate.

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

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

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.

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Appendix B. Acronyms

AA	Assistant Administrator, Associate Administrator
ADS	Action Document Summary
ALR	Audit Liaison Representative
APMC	Agency Program Management Council
CD	Center Director
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CID	Center Interim Directive
CIO	Chief Information Officer
CPD	Center Policy Directive
CPR	Center Procedural Requirements
COR	Contracting Officer Representative
DAA	Deputy Associate Administrator
DM	Directives Manager
DMS	Document Management System
DMT	Directives Management Team
EC	Executive Council
E.O.	Executive Order
GAO	Government Accountability Office
GC	General Counsel
HATS	Headquarters Action Tracking System
HCM	Human Capital Management
IG	Inspector General
JPL	Jet Propulsion Laboratory (an FFRDC)
MSD	Mission Support Directorate
NASA-STD	NASA Technical Standard
NHQ	NASA Headquarters
NID	NASA Interim Directive
NMO	NASA Management Office
NODIS	NASA Online Directives Information System

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NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
NRRS	NASA Records Retention Schedules
OIC	Official-in-Charge
OMB	Office of Management and Budget
Pub. L.	Public Law
QCL	Quality Control Liaison
UFM	Unfunded Mandates
U.S.C.	United States Code

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Appendix C. Verification Matrices

Table C-1. NPR 1400.1 Measurement/Verification Matrix			
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 compliance, the Mission Support Directorate monitors the processing of each Agency-level directive through NODIS and the subsequent signature process to ensure that all process steps and requirements are completed correctly by all of the process participants.			
1400.1 Paragraph	**Process Steps/Requirements**	**Compliant**	**Not Compliant**
Prior to Official Review			
4.2.5.1	Did the Responsible Office: a. Submit a NHQ Form 184 and load draft directive to DMT for a compliance review? b. Forward compliance results to the directive's originator? c. Load the revised draft in NODIS and notify DMT to confirm completion of corrective actions? d. E-mail directive to respective ALR to verify GAO/OIG audit findings? If yes, compliant. If no, not compliant. *Note: Confirmation of completion is indicated on NHQ Form 184.* ***Official Review*** *4.2.6.1e Did the Responsible Office:* *(1) Request review of directive in the NODIS DMS via the 184 Form and provide cost/benefit impacts (e.g., financial, human resources, technical)?* *(2) Disposition all comments? If yes, compliant. If no, not compliant. 4.2.7.1 Did the Reviewing Offices:* *a. Submit comments and concurrence by the suspense date?* *b. Provide specific comment that provides basis for nonconcurrence and why?* *c. Notify Responsible Office when proposed requirements prevent implementation and raise unresolved mandates to the Quarterly Forum? If yes, compliant. If no, not compliant. 4.2.8.1a-b Did the Responsible Office send final draft directive to OCHCO for union coordination and OGC for legal review prior to assembly and forwarding the signature package to DMT? If yes, compliant. If no, not compliant. Note: Confirmation of completion is indicated on NHQ Form 184 and OCHCO's e-mail to the union.* ***Signature Package Assembly*** *4.2.9.1 Did the Responsible Office prepare final signature package with the material listed below? If yes, compliant. If no, not compliant. a. ADS to include the following:* *(1) Evidence of concurrences from reviewing organizations and the concurrence of the responsible OIC.* *(2) Administrator's Headquarters Action Tracking (HATS) ID (e.g., A/2015-00344).* *(3) HATS due date.* *(4) Quality Control Liaison's (QCL) name, number, and date of QCL review.* *(5) Special Instructions (if any).* *(6) DM's name and number.* *(7) Quality Liaison's name and number.* *(8) Action Officer's name and number.* *b. ADS' 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) Cost/benefit impacts for new resources that may be needed and a justification for why resources need to be expended to identify unfunded mandates.* *(5) Strategic impact (if any).* *(6) Description of Presidential initiative/external action (if any).* *c. The original of the proposed (new or revised) directive.* *d. A track changes version of the revised directive.* *e. A copy of the directive's review report of all comments and dispositions.* *f. E-mails verifying completion of attorney and union reviews.* *g. One copy of each directive to be cancelled by the proposed directive when it is approved.* *h. Documented disagreement with OIG on the NHQ 117 Form.* ***Extensions on Suspense Dates*** *5.2.3 Did the Responsible Office:* *a. Request extension on draft directives 10 days prior to the suspense date?* *b. Request a waiver to receive additional time if the 3rd 30-day extension has lapsed? If yes, compliant. If no, not compliant.* ***Process Steps*** *Did Responsible Office meet suspense date to place directive on the review schedule? Was the directive coordinated, approved, and published within established timeline? Did MSD distribute notification of new/revised directive? Did MSD update the Standards Update Notification System? Did the Responsible Office provide the documents listed below for the directive's ePackage? Separate PDF* *- ADS, NHQ Form 117 Combined PDF* *- Directive.* *- Background Tab.* *- Review Report.* *- Track changes version of the directive (redline).* *- Cancelled directive.* *- Confirmation of Attorney and Union Reviews.* ***Download Table C-1***		

Table C-2. NPR 1400.1 Measurement/Verification Matrix NASA Policy Directive (NPD) or Center Policy Directive (CPD)

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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 Mission Support Directive's Team 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
3.6.2a-3.6.2b	Does the NPD contain no more than five pages, excluding attachments, and contain the required elements below? If yes, compliant. If no, not compliant: a. Masthead with Directive ID, Effective/Expiration Date, Responsible Office, and Subject. b. Change Log (Not used in revisions to Agency-level directives).		
3.6.2c(1)	Does the NPD contain policy statements with the required introductory language as indicated below? Do these policy statements omit use of the term "shall?" If yes, compliant. If no, not compliant. Policy provides a general statement of the principles, fundamental values, and general direction of the Agency or Center that is used to determine present and future decisions. Policy statements do not contain requirements "shall" statements and are introduced (e.g., "It is NASA Policy to" or "This directive establishes policy for").		
3.6.2c(2)	Does the NPD provide the scope of the required application of the directive by listing the required applicability statements below? If yes, compliant. If no, not compliant. (a) "This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." (b) If the directive applies to Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center (FFRDC), include this statement, "This directive is applicable to the Jet Propulsion Laboratory, a Federally Funded Research and Development Center (FFRDC), only to the extent specified in the NASA/Caltech Prime Contract." If the directive does not apply to JPL, an FFRDC, remove the applicability statement referencing JPL, an FFRDC, if mentioned. *Note 1: A directive does not apply to JPL, an FFRDC, unless it is on the Listing of the NASA Directives and Standards in the NASA/Caltech (JPL) Prime Contract and has been incorporated into the NASA/Caltech Prime Contract.* *Note 2: JPL, an FFRDC, may review new and revised directives even if they are not in the NASA/Caltech Prime Contract, and provide comments or no comments as deemed necessary. However, inherently governmental directives are usually not reviewed by JPL since they only apply to the government.* (c) If the directive applies to other contractors, recipients of grants or cooperative agreements, or parties to other agreements, include this statement, "This directive is applicable to other contractors, recipients of grants or cooperative agreements, or parties to other agreements only to the extent specified in contracts, grants or cooperative agreement, or other agreements." *Note 1: Only list the type of document (i.e., contract, grant, or agreement) to which the directive applies. For example, if the directive is not applicable to a "grant," only list "contract or agreement" to indicate the directive's applicability. Note 2: This statement alone is not sufficient to stipulate requirements for the contractor or recipient of the grant. Requirements can be delineated by adding a note after the requirements' paragraph. See paragraphs 2.17.2 or 2.20.3 for examples of delineating requirements between civil servants and contractors or recipients of grants.* (d) For CPDs, include a statement similar to 3.6.2c(2)(a) above to ensure applicability at the Center and associated facilities. (e) "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" denoted a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material." (f) "In this directive, all document citations are assumed to be the latest version unless otherwise noted."		
3.6.2c(3)	Does the NPD contain a list of NPDs or external authority(ies) or requirements that justify establishing it? If yes, compliant. If no, not compliant.		
3.6.2c(4)	Does the NPD contain a list of applicable documents and forms that contain provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.2c(5)	Does the NPD's responsibility statements provide an explanation of who (by position or organization) is responsible implementing the policy stated. If yes, compliant. If no, not compliant.		

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3.2	Do responsibility statements use the term "shall" because **there is no** corresponding NPR to place requirements? Do responsibility statements omit use the term "shall" because **there is** a corresponding NPR to place requirements? If yes, compliant. If no, not compliant.		
3.6.2c(6)	Does the NPD have a delegation of authority? If not, is "None" stated? If yes, compliant. If no, not compliant. Delegations are reserved for direct delegation from the Administrator, Official-in-Charge, or a Center Director to a specific position.		
3.6.2c(7)	Does the NPD have measurement/verification statements that explain how compliance with requirements will be measured/verified to support senior management's evaluation of performance? Do these statements omit use of the term "shall?". If yes, compliant. If no, not compliant.		
3.6.2c(8)	Are the NPD's cancelled directives listed with the number(s), title(s), and effective date(s)? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.2h	Are the NPD's paragraphs numbered/lettered in accordance with the Figure 3.2 below? (Right click to download figure) If yes, compliant. If no, not compliant. **Paragraph Number** → **Level** → 1. → 1st level → Required paragraph 1. a. → 2nd level → Subparagraph for 1. (1) → 3rd level → Subparagraph for a. (2) → 3rd level → Subparagraph for a. (a) → 4th level → Subparagraph for (2) (b) → 4th level → Subparagraph for (2) (i) → 5th level → Subparagraph for (b) (ii) → 5th level → Subparagraph for (b) *(1) → 6th level → Subparagraph for (ii) (italics)* *(2) → 6th level → Subparagraph for (ii) (italics)* *(a) → 7th level → Subparagraph for (2) (italics)* *(b) → 7th level → Subparagraph for (2) (italics)* *(i) → 8th level → Subparagraph for (b) (italics)* *(ii) → 8th level → Subparagraph for (b) (italics)* b. → 2nd level → Subparagraph for 1. 2. → 1st level → Required paragraph 2.		
3.1.1	Does the NPD's "shall" statements, if any, comply with the requirements in the requirements, along with Table A also below? (Right click to download table) If yes, compliant. If no, not compliant. a. Identify all requirements statements by using the term "shall" to denote mandatory compliance. b. Designate at least one official (by position title) or organization or office title as responsible and accountable for development, implementation, maintenance, and/or verification of the requirement set forth in the "shall" statement. c. Identify what action should be accomplished or what product should be provided to demonstrate compliance with the requirement. d. Identify specific requirements, not general responsibilities with broad application. e. Provide a description of how requirements will be measured/verified in the measurement/verification section of the directive. f. Separately state each individual requirement statement (i.e., one "shall" statement per single paragraph and one "shall" statement per paragraph with subparagraphs). g. Exclude replication of existing internal or external policy statements, procedural requirements, responsibilities, or text from other documents. However, paraphrasing or cross-referencing may be used to summarize information in a way that is significantly different from the original text (i.e., responsible office's own words). NASA directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements. h. Exclude technical requirements in NASA directives. Technical requirements may be included in NASA technical standards, then cited in NASA directives.		

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AVOID REPETITIVE USE OF THE TERM "SHALL"	INSTEAD, USE THE TERM ONCE
2.15.1 Responsible Offices shall prepare NASA directives in accordance with the requirements in Chapters 3 of this NPR. 2.15.2 Responsible Offices shall consult the Office of Procurement when drafting new or revised requirements directed toward contractors to determine acquisition law or regulation impacts requirements. 2.15.3 Responsible Offices shall submit 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.	2.15.1 Responsible Offices, as subject-matter experts, shall prepare NASA directives in accordance with the requirements in Chapters 3 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 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.
AVOID USE OF TERM "SHALL" MORE THAN ONCE IN A PARAGRAPH	**INSTEAD, USE THE TERM ONCE OR USE ANOTHER TERM TO DENOTE ACTION**
2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and shall concur on Agency-level directives when submitted for signature.	2.4.1 The DAA for MSD shall: a. Review Agency-level directives to verify compliance with requirements. b. Concur on Agency-level directives when submitted for signature. *OR* 2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and will concur on Agency-level directives when submitted for signature.
AVOID USE OF THE TERM "SHALL" FOR GENERAL RESPONSIBILITIES	**INSTEAD, BE DESCRIPTIVE**
2.3 The Associate Administrator for the Mission Support Directorate shall be responsible for Directives Management.	2.3 The Associate Administrator for the Mission Support Directorate is responsible for Directives Management.
AVOID USE OF THE TERM "SHALL" FOR ACTIONS THAT ARE NOT REQUIRED	**INSTEAD, USE TERMS TO DENOTE DISCRETIONARY PRIVILEGE OR A GOOD PRACTICE**
The OIC shall delegate this approval authority to a lower level. *OR* NASA Centers shall issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction.	The OIC may or can delegate this approval authority to a lower level. *OR* NASA Centers may or can issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction.
AVOID USING THE TERM "SHALL" WITH NO ACCOUNTABILITY	**INSTEAD, IDENTIFY WHO (BY POSITION TITLE) OR WHAT OFFICE (BY OFFICE OR ORGANIZATION TITLE)**
NASA shall…, The Program shall…, The Council shall…, The System shall…	The manager shall…, The division shall…, The employee shall…, MSD shall…

3.3.1 Are the NPD's document citations cited according to their purpose as described below? If yes, compliant. If no, not compliant.

a. Authority document citations list the higher-level document(s) that authorize establishing the policy or requirements contained in the directive. Authority documents can be cited in the text of directives in order to provide the context, as determined by the Responsible Office.

b. Applicable documents and forms citations consist of documents and forms incorporated by reference in the text of the directive, contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive, and use only controlled and current forms.

(1) Cite all applicable documents and forms listed in paragraph 4 at least once within the text of the NPD. Use statements to introduce applicable documents and forms (e.g., as required by, according to, under, or per).

(2) Conversely, list all applicable documents and forms cited within the text of the NPD in paragraph 4.

c. References are documents that may be cited in the text of the directive, but do not constitute requirements to perform activities in the directive. These documents may consist of internal and external requirements and other resources considered to be useful as background information for the reader (to help in understanding the subject-matter).

(1) If citing reference documents listed in an NPD's attachment, cite at least once in the text of the directive. Use statements to introduce reference documents (e.g., additional information on this subject is available at/in..., for additional information, see...).

(2) Conversely, list reference documents cited in the text of the NPD in in the attachment.

3.3.2 Are the NPD's document citations cited and listed in accordance with the formatting requirements below? If yes, compliant. If no, not compliant.

a. List documents 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, NIDs, NCs, CPDs, CPRs, CIDs, NASA Technical Standards, NASA Forms, non-NASA Government standards, and other documents.

b. List numbered documents in numerical order first and non-numbered documents list in alphabetical order second within each category.

c. List document and form citations using the following format:
(1) National Aeronautics and Space Act, 51 U.S.C. § 20113 (a).
(2) White House Conference on the Arts Act of 1990, Pub. L. 101-509, 104 Stat. 1427 (1990).
(3) Regulatory Planning and Review, E. O. 12866, 3 CFR 638 (1993).
(4) National Space Grant College and Fellowship Program, 14 CFR pt. 1259.
(5) Environmental statements or availability, 71 FR 67389 (Nov. 21, 2006).
(6) OMB Circular A-19, Legislative Coordination and Clearance (09/20/1979).
(7) NPD 1400.1, Documentation and Promulgation of NASA Internal Requirements.
(8) NPR 1400.1, NASA Directives and Charters Procedural Requirements.
(9) NID 8000.104, Acquisition of Administrative Office Space.
(10) NC 1000.33, Partnership Council.
(11) NASA-STD-8709.2, NASA Safety and Mission Assurance Roles and Responsibilities for Expendable Launch Vehicle Services.
(12) NHQ Form 184, NASA Directive Request Summary.

Note: For documents listed in paragraphs 3.3.2c(1)-(5), the name appears first and

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	the citation location appears second. For documents listed in paragraphs 3.3.2c(6)-(12), the document type and number appear first and the name appears second. d. Cite documents and forms within the text of directives as follows: (1) Use the document name and citation location and exclude the name, after first use, when citing within the text of directives for documents described in paragraphs 3.3.2c(1)-(5) (e.g., First use: The National Aeronautics and Space Act, 51 U.S.C. § 20113 (a) - Second use: 51 U.S.C. § 20113 (a)). (2) Use the document type, number, and name, but exclude the name, after first use, when citing within the text of directives for citations described in paragraphs 3.3.2c(6)-(12) (e.g., First use: NPR 1400.1, NASA Directives and Charters Procedural Requirements - Second use: NPR 1400.1). e. Exclude the revision letter designation and change numbers when citing or listing NASA directives or charters within NASA directives or charters. f. Ensure that documents and forms cited in the directive are approved documents that are available to the reader. g. Include a document's title and URL in a footnote if it is not a Federal statute or regulation, a NASA directive, or is not available in the NASA Technical Standards System to show readers precisely where to find the cited document. h. Use resource links in NPR 1400.1 to ensure that citations are current and accurate. i. Use the following abbreviations for citations described in paragraphs 3.3.2b(1)-(5): (1) United States Code - U.S.C. (2) Federal Register - FR. (3) Code of Federal Regulations - CFR. (4) Part - pt., Parts - pts. (5) Subpart - subpt., Subparts - subpts. (6) Appendix - app. (7) Chapter - ch., Chapters - chs. (8) Subchapter - subch. Subchapters - subchs. (9) Section - §, Sections - §§ (10) Section - sec.			
3.5.1a-3.5.1b	Does the NPD use the required format and writing styles described below? If yes, compliant. If no, not compliant. a. Format Styles: (1) Use page numbers (e.g., 1, 2, 3) in NPRs, but exclude page numbers from the table of contents. (2) Align all text along the left margin (i.e., left justify or flush left). (3) Indent and italicize notes. (4) Bold section, attachment, figure, and table headings and include a period after each secton number, attachment letter, and figure and table numbers and letters as follows: (a) **1. [Title]**. (b) **Attachment A. [Title]**. (c) **Figure 1. [Title]** or **Table 1. [Title]** in Sections. (d) **Figure A. [Title]** or **Table A. [Title]** in Attachments. (5) Center figures and tables. (a) Number all figures and tables (e.g., **Figure 1.** or **Table 1.**) placed in chapters using the number of the chapter. Add the figure number and title at the bottom of the figure and add the table number and title at the top of the table. If there is more than one figure or table in a chapter, add a dash and an additional number to indicate that it is the first, second, or third figure or table (e.g., Figure 1-1, 1-2, 1-3, or Table 1-1, 1-2, 1-3, etc.). (b) Letter all figures and tables (e.g., **Figure A.** or **Table A.**) placed in appendices using the letter of the appendix. Add the figure letter and title at the bottom of the figure and add the table letter and title at the top of the table. If there is more than one figure or table in the appendix, add a dash and a number to indicate that it is the first, second, or third table (e.g., Figure A-1, A-2, A-3 or Table A-1, A-2, A-3, etc.). (6) Number/letter all paragraphs. If there is not a second paragraph immediately following at the same level or no subparagraphs, do not number/letter the paragraph. Exclude periods behind numbered paragraphs (e.g., use 3.5.1 or 3.5.1h, not 3.5.1. or 3.5.1.h.), but include periods behind lettered paragraphs (e.g., use i., not i). b. Writing Styles: (1) Use NPR 1450.10 to supplement the style requirements in NPR 1400.1.			

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	(2) Exclude caveat phrases, ambiguous terms, and vague terms (e.g., "as applicable," "as appropriate," "whenever possible," "as soon as possible," "in a timely manner," "etc.") within requirements statements. (3) Use the correct terms to denote action or other forms of action as follows: "Shall" denotes mandatory actions (i.e., requirements). "May" denotes a discretionary privilege or permission. "Can" denotes statements of possibility or capability. "Should" denotes a good practice and is recommended, but not required. "Will" denotes expected outcome. "Are/Is" denotes descriptive material. *Note: Adherence to paragraphs 3.5.1a(1)-(5) is under the discretion of the Center official responsible for the format styles for Center-level directives.*		
3.6.2e(1)	Does the NPD's attachments exclude requirements "shall" statement for civil service employees? If yes, compliant. If no, not compliant.		
3.6.2e(2)	Are the NPD's attachment paragraphs numbered using the letter of the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.2e(3)	Are the NPD's definitions listed in Attachment A in accordance with the requirements below? If yes, compliant. If no, not compliant. (a) List the definitions in alphabetical order. (b) Provide only definitions for terms used in the NPD and only if the definitions are different than those used in dictionaries or other standard usage.		
3.6.2e(4)	Are the NPD's acronyms listed in Attachment B in alphabetical order? If yes, compliant. If no, not compliant.		
3.6.2e(5)	If there is a measurement/verification matrix, is it included in the NPD's Attachment C? If yes, compliant. If no, not compliant. *Note: To avoid blank attachments, if there are no definitions placed in Attachment A or acronyms placed in Attachment B, a measurement/ verification matrices can be placed in either of these attachments only if there are no other attachments that can be placed before the matrices.*		

Download Table C-2

Table C-3. NPR 1400.1 Measurement/Verification Matrix
NASA Procedural Requirements (NPR) or Center Procedural Requirements (CPR)

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 Mission Support Directive's Team 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
3.7.2a-3.7.2c	Does the NPR's table of contents contain the elements below? If yes, compliant. If no, not compliant: a. Masthead with the Directive Number, Effective Date, Expiration Date, Responsible Office Title, and Subject Title. b. Change Log. (Not used in revisions to Agency-level directives.) c. Preface titles, chapter titles, second-level paragraph titles, and appendix titles. *Note: Figures and tables may be listed in the NPR's table of contents.*		

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3.7.2c(2)	Are the NPR's Chapters separated by page breaks and contain subdivided paragraphs that are numbered in accordance with Figure 3-4 below. (Right click to download figure) If yes, compliant. If no, not compliant. **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) *Note: Use Figure 3-2 below if paragraphs go beyond the 4th level. (Right click to download figure)* **Paragraph Number** → **Level** → 1. → 1st level → Required paragraph 1. a. → 2nd level → Subparagraph for 1. (1) → 3rd level → Subparagraph for a. (2) → 3rd level → Subparagraph for a. (a) → 4th level → Subparagraph for (2) (b) → 4th level → Subparagraph for (2) (i) → 5th level → Subparagraph for (b) (ii) → 5th level → Subparagraph for (b) *(1) → 6th level → Subparagraph for (ii) (italics)* *(2) → 6th level → Subparagraph for (ii) (italics)* *(a) → 7th level → Subparagraph for (2) (italics)* *(b) → 7th level → Subparagraph for (2) (italics)* *(i) → 8th level → Subparagraph for (b) (italics)* *(ii) → 8th level → Subparagraph for (b) (italics)* b. → 2nd level → Subparagraph for 1. 2. → 1st level → Required paragraph 2.			
3.7.2c(1)	Does the NPR's Preface contain the six required paragraphs listed below that are numbered in accordance with Figure 3-3 also below? (Right click to download figure) If yes, compliant. If no, not compliant. P.1 Purpose P.2 Applicability P.3 Authority P.4 Applicable Documents and Forms P.5 Measurement/Verification P.6 Cancellation			

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	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.*		
3.7.2c(1)(a)	Does the purpose describe the rationale for establishing the NPR and what will be accomplished by implementing it? If yes, compliant. If no, not compliant.		
3.7.2c(1)(b)	Does the NPR provide the scope of the required application of the directive by listing the required applicability statements below? If yes, compliant. If no, not compliant. [3.6.2c(2)(a)-(f) (a) "This directive is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers." (b) If the directive applies to Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center (FFRDC), include this statement, "This directive is applicable to the Jet Propulsion Laboratory, a Federally Funded Research and Development Center (FFRDC), only to the extent specified in the NASA/Caltech Prime Contract." If the directive does not apply to JPL, an FFRDC, remove the applicability statement referencing JPL, an FFRDC, if mentioned. *Note 1: A directive does not apply to JPL, an FFRDC, unless it is on the Listing of the NASA Directives and Standards in the NASA/Caltech (JPL) Prime Contract and has been incorporated into the NASA/Caltech Prime Contract.* *Note 2: JPL, an FFRDC, may review new and revised directives even if they are not in the NASA/Caltech Prime Contract, and provide comments or no comments as deemed necessary. However, inherently governmental directives are usually not reviewed by JPL since they only apply to the government.* (c) If the directive applies to other contractors, recipients of grants or cooperative agreements, or parties to other agreements, include this statement, "This directive is applicable to other contractors, recipients of grants or cooperative agreements, or parties to other agreements only to the extent specified in contracts, grants or cooperative agreement, or other agreements." *Note 1: Only list the type of document (i.e., contract, grant, or agreement) to which the directive applies. For example, if the directive is not applicable to a "grant," only list "contract or agreement" to indicate the directive's applicability.* *Note 2: This statement alone is not sufficient to stipulate requirements for the contractor or recipient of the grant. Requirements can be delineated by adding a note after the requirements' paragraph. See paragraphs 2.17.2 or 2.20.3 for examples of delineating requirements between civil servants and contractors or recipients of grants.* (d) For CPDs, include a statement similar to 3.6.2c(2)(a) above to ensure applicability at the Center and associated facilities. (e) "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" denoted a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material." (f) "In this directive, all document citations are assumed to be the latest version unless otherwise noted."		
3.7.2c(1)(c)	Does the NPR contain a list of directives or external authority(ies) or requirements that justify establishing it? If yes, compliant. If no, not compliant.		

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3.7.2c(1)(d)	Does the NPR contain a list of applicable documents and forms that contain provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.2c(1)(e)	Does the NPR have measurement/verification statements that explain how compliance with requirements will be measured/verified to support senior management's evaluation of performance? Do these statements omit use of the term "shall?". If yes, compliant. If no, not compliant.		
3.7.2c(1)(f)	Are the NPR's cancelled directives listed with the number(s), title(s), and effective date(s)? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.1.1	Does the NPR's "shall" statements, if any, comply with the requirements in the requirements, along with Table A also below? (Right click to download table) If yes, compliant. If no, not compliant. a. Identify all requirements statements by using the term "shall" to denote mandatory compliance. b. Designate at least one official (by position title) or organization or office title as responsible and accountable for development, implementation, maintenance, and/or verification of the requirement set forth in the "shall" statement. c. Identify what action should be accomplished or what product should be provided to demonstrate compliance with the requirement. d. Identify specific requirements, not general responsibilities with broad application. e. Provide a description of how requirements will be measured/verified in the measurement/verification section of the directive. f. Separately state each individual requirement statement (i.e., one "shall" statement per single paragraph and one "shall" statement per paragraph with subparagraphs). g. Exclude replication of existing internal or external policy statements, procedural requirements, responsibilities, or text from other documents. However, paraphrasing or cross-referencing may be used to summarize information in a way that is significantly different from the original text (i.e., responsible office's own words). NASA directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements. h. Exclude technical requirements in NASA directives. Technical requirements may be included in NASA technical standards, then cited in NASA directives. **AVOID REPETITIVE USE OF THE TERM "SHALL"** / **INSTEAD, USE THE TERM ONCE** 2.15.1 Responsible Offices shall prepare NASA directives in accordance with the requirements in Chapters 3 of this NPR. 2.15.2 Responsible Offices shall consult the Office of Procurement when drafting new or revised requirements directed toward contractors to determine acquisition law or regulation impacts requirements. 2.15.3 Responsible Offices shall submit 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. / 2.15.1 Responsible Offices, as subject-matter experts, shall prepare NASA directives in accordance with the requirements in Chapters 3 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 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. **AVOID USE OF TERM "SHALL" MORE THAN ONCE IN A PARAGRAPH** / **INSTEAD, USE THE TERM ONCE OR USE ANOTHER TERM TO DENOTE ACTION** 2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and shall concur on Agency-level directives when submitted for signature. / 2.4.1 The DAA for MSD shall: a. Review Agency-level directives to verify compliance with requirements. b. Concur on Agency-level directives when submitted for signature. *OR* 2.4.1 The DAA for MSD shall review Agency-level directives to verify compliance with requirements and will concur on Agency-level directives when submitted for signature. **AVOID USE OF THE TERM "SHALL" FOR GENERAL RESPONSIBILITIES** / **INSTEAD, BE DESCRIPTIVE** 2.3 The Associate Administrator for the Mission Support Directorate shall be responsible for Directives Management. / 2.3 The Associate Administrator for the Mission Support Directorate is responsible for Directives Management. **AVOID USE OF THE TERM "SHALL" FOR ACTIONS THAT ARE NOT REQUIRED** / **INSTEAD, USE TERMS TO DENOTE DISCRETIONARY PRIVILEGE OR A GOOD PRACTICE** The OIC shall delegate this approval authority to a lower level. *OR* NASA Centers shall issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction / The OIC may or can delegate this approval authority to a lower level. *OR* NASA Centers may or can issue directives to ensure successful and repeatable local business operations when no Agency-level directive exists that provides the required policy or instruction. **AVOID USING THE TERM "SHALL" WITH NO ACCOUNTABILITY** / **INSTEAD, IDENTIFY WHO (BY POSITION TITLE) OR WHAT OFFICE (BY OFFICE OR ORGANIZATION TITLE)** NASA shall…, The Program shall…, The Council shall…, The System shall… / The manager shall…, The division shall…, The employee shall…, MSD shall…		
3.3.1	Are the NPR's document citations cited according to their purpose as described below? If yes, compliant. If no, not compliant. a. Authority document citations list the higher-level document(s) that authorize establishing the policy or requirements contained in the directive. Authority documents can be cited in the text of directives in order to provide the context, as determined by the Responsible Office. b. Applicable documents and forms citations consist of documents and forms incorporated by reference in the text of the directive, contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive, and use only controlled and current forms. (1) Cite all applicable documents and forms listed in P.4 at least once within the text of the NPR. Use statements to introduce applicable documents and forms (e.g., as required by, according to, under, or per). (2) Conversely, list all applicable documents and forms cited within the text of the		

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	NPR in P.4. c. References are documents that may be cited in the text of the directive, but do not constitute requirements to perform activities in the directive. These documents may consist of internal and external requirements and other resources considered to be useful as background information for the reader (to help in understanding the subject-matter). (1) If citing reference documents listed in an NPR's appendix, cite at least once in the text of the directive. Use statements to introduce reference documents (e.g., additional information on this subject is available at/in..., for additional information, see...). (2) Conversely, list reference documents cited in the text of the NPR in in the appendix.			
3.3.2	Are the NPD's document citations cited and listed in accordance with the formatting requirements below? If yes, compliant. If no, not compliant. a. List documents 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, NIDs, NCs, CPDs, CPRs, CIDs, NASA Technical Standards, NASA Forms, non-NASA Government standards, and other documents. b. List numbered documents in numerical order first and non-numbered documents list in alphabetical order second within each category. c. List document and form citations using the following format: (1) National Aeronautics and Space Act, 51 U.S.C. § 20113 (a). (2) White House Conference on the Arts Act of 1990, Pub. L. 101-509, 104 Stat. 1427 (1990). (3) Regulatory Planning and Review, E. O. 12866, 3 CFR 638 (1993). (4) National Space Grant College and Fellowship Program, 14 CFR pt. 1259. (5) Environmental statements or availability, 71 FR 67389 (Nov. 21, 2006). (6) OMB Circular A-19, Legislative Coordination and Clearance (09/20/1979). (7) NPD 1400.1, Documentation and Promulgation of NASA Internal Requirements. (8) NPR 1400.1, NASA Directives and Charters Procedural Requirements. (9) NID 8000.104, Acquisition of Administrative Office Space. (10) NC 1000.33, Partnership Council. (11) NASA-STD-8709.2, NASA Safety and Mission Assurance Roles and Responsibilities for Expendable Launch Vehicle Services. (12) NHQ Form 184, NASA Directive Request Summary. *Note: For documents listed in paragraphs 3.3.2c(1)-(5), the name appears first and the citation location appears second. For documents listed in paragraphs 3.3.2c(6)-(12), the document type and number appear first and the name appears second.* d. Cite documents and forms within the text of directives as follows: (1) Use the document name and citation location and exclude the name, after first use, when citing within the text of directives for documents described in paragraphs 3.3.2c(1)-(5) (e.g., First use: The National Aeronautics and Space Act, 51 U.S.C. § 20113 (a) - Second use: 51 U.S.C. § 20113 (a)). (2) Use the document type, number, and name, but exclude the name, after first use, when citing within the text of directives for citations described in paragraphs 3.3.2c(6)-(12) (e.g., First use: NPR 1400.1, NASA Directives and Charters Procedural Requirements - Second use: NPR 1400.1). e. Exclude the revision letter designation and change numbers when citing or listing NASA directives or charters within NASA directives or charters. f. Ensure that documents and forms cited in the directive are approved documents that are available to the reader. g. Include a document's title and URL in a footnote if it is not a Federal statute or regulation, a NASA directive, or is not available in the NASA Technical Standards System to show readers precisely where to find the cited document. h. Use resource links in NPR 1400.1 to ensure that citations are current and accurate. i. Use the following abbreviations for citations described in paragraphs 3.3.2b(1)-(5): (1) United States Code - U.S.C. (2) Federal Register - FR. (3) Code of Federal Regulations - CFR. (4) Part - pt., Parts - pts. (5) Subpart - subpt., Subparts - subpts. (6) Appendix - app. (7) Chapter - ch., Chapters - chs.			

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	(8) Subchapter - subch. Subchapters - subchs. (9) Section - §, Sections - §§ (10) Section - sec.		
3.5.1a-3.5.1b	Does the NPR use the required format and writing styles described below? If yes, compliant. If no, not compliant. a. Format Styles: (1) Use page numbers (e.g., 1, 2, 3) in NPRs, but exclude page numbers from the table of contents. (2) Align all text along the left margin (i.e., left justify or flush left). (3) Indent and italicize notes. (4) Bold chapter, appendix, and second-level paragraph section headings and include a period after each chapter number, appendix letter, and figure and table numbers and letters as follows: (a) **Chapter 1. [Title]**. (b) **Appendix A. [Title]**. (c) **1.1 [Title]**. (d) **Figure 1. [Title]** or **Table 1. [Title]** in Chapters. (e) **Figure A. [Title]** or **Table A. [Title]** in Appendices. (5) Center figures and tables. (a) Number all figures and tables (e.g., **Figure 1.** or **Table 1.**) placed in chapters using the number of the chapter. Add the figure number and title at the bottom of the figure and add the table number and title at the top of the table. If there is more than one figure or table in a chapter, add a dash and an additional number to indicate that it is the first, second, or third figure or table (e.g., Figure 1-1, 1-2, 1-3, or Table 1-1, 1-2, 1-3, etc.). (b) Letter all figures and tables (e.g., **Figure A.** or **Table A.**) placed in appendices using the letter of the appendix. Add the figure letter and title at the bottom of the figure and add the table letter and title at the top of the table. If there is more than one figure or table in the appendix, add a dash and a number to indicate that it is the first, second, or third table (e.g., Figure A-1, A-2, A-3 or Table A-1, A-2, A-3, etc.). (6) Number/letter all paragraphs. If there is not a second paragraph immediately following at the same level or no subparagraphs, do not number/letter the paragraph. Exclude periods behind numbered paragraphs (e.g., use 3.5.1 or 3.5.1h, not 3.5.1. or 3.5.1.h.), but include periods behind lettered paragraphs (e.g., use i., not i). b. Writing Styles: (1) Use NPR 1450.10 to supplement the style requirements in NPR 1400.1. (2) Exclude caveat phrases, ambiguous terms, and vague terms (e.g., “as applicable,” “as appropriate,” “whenever possible,” “as soon as possible,” “in a timely manner,” “etc.”) within requirements statements. (3) Use the correct terms to denote action or other forms of action as follows: "Shall" denotes mandatory actions (i.e., requirements). "May" denotes a discretionary privilege or permission. "Can" denotes statements of possibility or capability. "Should" denotes a good practice and is recommended, but not required. "Will" denotes expected outcome. "Are/Is" denotes descriptive material. *Note: Adherence to paragraphs 3.5.1a(1)-(4) is under the discretion of the Center official responsible for the format styles for Center-level directives.*		
3.7.2c(3)	Are the NPR's appendices separated by page brakes and attached at the end? If yes, compliant. If no, not compliant.		
3.7.2c(3)(a)	Does the NPR's appendices exclude requirements "shall" statement for civil service employees? If yes, compliant. If no, not compliant.		
3.7.2c(3)(b)	Are the NPR's appendix paragraphs 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.		
3.7.2c(3)(c)	Are the NPR's definitions listed in Appendix A in accordance with the requirements below? If yes, compliant. If no, not compliant. (i) List the definitions in alphabetical order. (ii) Provide only definitions for terms used in the NPR and only if the definitions are different than those used in dictionaries or other standard usage. (iii) Use bullets (e.g., “?”) for definitions with extended explanations.		
3.7.2c(3)(d)	Are the NPR's acronyms listed in Appendix B in alphabetical order? If yes, compliant. If no, not compliant.		

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3.7.2c(3)(e)	If there is a measurement/verification matrix, is it included in the NPR's Appendix C? If yes, compliant. If no, not compliant. *Note: To avoid blank appendices, if there are no definitions placed in Appendix A or acronyms placed in Appendix B, a measurement/verification matrices can be placed in either of these appendices only if there are no other appendices that can be placed before the matrices.*		

Download Table C-3

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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, work instructions, Information Technology (IT) documents, and other policy documents. 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, except as follows:

a. NASA Plans (i.e., NASA Strategic Plan (NPD 1001.0), Continuity of Operations Plan, Emergency Preparedness Plan, Safety, Health, Environmental Plan, etc.), derived by law, have Agency-level and Center-specific applicability and are controlled in the NASA Directives System.

b. Plans with discrete functional or programmatic applicability (i.e., Implementation Plans, Program and Project Plans, Software Engineering Improvement Plan(s), and Software Training Plan(s)) are controlled at the appropriate organizational level by the respective responsible NASA Official.

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.

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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. These documents may be included in the directives system's documentation libraries. Refer to NPD 1280.1 for additional information.

D.1.5 Relationship between Directives and Other Policy Documents (i.e., NASA Policy Statements (NPS), NASA Policy Instructions (NPI), and NASA Advisory Implementing Instructions (NAII))

D.1.5.1 NPSs are statements that reiterate the Agency's commitment to its defined course or method of action for adhering to external requirements.

D.1.5.2 NPIs are instructions that describe how to perform a definite course or method of action that guide and determine present and future decisions.

D.1.5.3 NAIIs are Agency-level documents that consolidate sets of principles, guidance, and instructions applicable to a particular activity. An NAII should be used when the procedural requirements for conducting the activity are not specified at an Agency level (such as through an NPR), but there are principles, guidance, and instructions that are considered when developing processes at the Center or organization level. An NAII is also used to provide direction relating to the implementation of responsibilities under NPDs or NPRs.

D.1.6 Relationship between Directives and NASA Information Technology Documents (i.e., IT Handbooks, IT Security Handbooks, IT Standard Operating Procedures, and NASA IT Requirements). These documents are developed, approved, and controlled by OCIO and are sometimes referenced in NASA directives that describe IT requirements.

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Appendix E. Sample Cost/Benefit Impacts

E.1 Impact to Headquarters (HQ) and Center Responsible Offices

E.1.1 HQ and Center Responsible Offices will need to exclude requirements (i.e., shall statements) from NPDs and CPDs that have corresponding NPRs and CPRs. The benefit of this requirement is that it allows requirements to be documented in the responsibility section of NPDs and CPDs that do not have corresponding NPRs and CPRs. There are no costs or burdens associated with these requirements, as applicability begins when these NPDs and CPDs are revised.

E.1.2 HQ and Center Responsible Offices, requesting waiver from requirements in NPR 1400.1, will need to complete Table C. The benefit of implementing Table C is to ensure that the information, described in paragraphs 5.4.2a-e, is submitted in order to determine if the waiver is justified. There are no costs associated or burdens associated with this requirement because only the methodology for requesting waivers has changed from submitting memorandum to request waivers to submitting Table C, not the process itself.

E.1.3 Responsible Offices at HQ will need to e-mail the final draft of directives, a redlined version to show where the changes are made, and summaries of the significant changes made to directives to GC for a legal review and HCO to coordinate a 30-day union consultation at the end of the comment and disposition period instead of before the official review begins and prior to submitting the signature package This is a minor adjustment to the current process, as it only changes the point at which drafts are forwarded to HCO for the union consultation, but now includes GC in that distribution. GC's review of the final draft will be done simultaneously with the union consultation, and GC will complete its review of the signature package before approval continues. The benefit of implementing this requirement is that it enables legal review and union consultation on final drafts that incorporate comments received during the comment and disposition period that potentially yield significant changes from the initial drafts. There are no costs or burdens associated with this requirement, as only the process steps are being rearranged.

E.2 Impact to the NMO

The NMO will need to review all directives that reference JPL (an FFRDC) as having applicability, in order to verify if requirements described in directives are also described in the Caltech contract with the FFRDC. The benefit of this verification is that it will enable the Agency to ensure that requirements applicable to FFRDC are consistently described in both directives and in the Caltech contract and will enable the Agency to remove the FFRDC applicability statements from directives that are not applicable. There are no costs or burdens associated with this requirements.

E.3 Impact to Agency DMs

Agency DMs will need to ensure that directive originators adhere to the new changes in NPR 1400.1 as respective directives are created or revised. There are no costs associated with this requirement as processes are already in place to ensure that DMs comply. The benefit of implementing these requirements is that it provides DMs clarification on what they are required to do to manage directives activities in their organizations.

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Appendix F. References

F.1 Inspector General Act of 1978, as amended, 5 U.S.C. App. § 4(a)(2).

F.2 Privacy Act of 1974, as amended, 5 U.S.C. § 552a.

F.3 National Consultation Rights, 5 U.S.C. § 7113.

F.4 Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101, et seq.

F.5 Paperwork Reduction Act, 44 U.S.C § 3501 et seq. (1980).

F.6 Federal Information Security Management Act (FISMA) of 2002, 44 U.S.C. § 3541, et seq.

F.7 NPD 1000.0, NASA Governance and Strategic Management Handbook.

F.8 NPD 1001.0, 2018 NASA Strategic Plan.

F.9 NPD 1000.3, The NASA Organization.

F.10 NPD 1280.1, NASA Integrated Management System Policy.

F.11 NPD 1420.1, NASA Forms Management.

F.12 NPD 9910.1, Government Accountability Office/NASA Office of Inspector General Audit Liaison, Resolution, and Followup Program.

F.13 NPR 3711.1, Federal Employee Labor Management Relations Program.

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