



NOAA/NESDIS

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NATIONAL ENVIRONMENTAL SATELLITE, DATA, AND INFORMATION SERVICE (NESDIS)

NESDIS PROCEDURAL REQUIREMENTS

FOR

DIRECTIVES AND CHARTERS

July 2016

COMPLIANCE IS MANDATORY



Prepared by:

**U.S. Department of Commerce
National Oceanic and Atmospheric Administration (NOAA)
National Environmental Satellite, Data, and Information Service (NESDIS)**



**NESDIS
Procedural
Requirements**

NPR 1400.1A

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**NESDIS
Procedural
Requirements**

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**NESDIS
Procedural
Requirements**

NPR 1400.1A

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TABLE OF CONTENTS

PREFACE

- P.1 Purpose
- P.2 Applicability
- P.3 Authority
- P.4 Applicable References and Documents
- P.5 Measurement/Verification
- P.6 Cancellation

CHAPTER 1. NESDIS Directives

- 1.1 Overview
- 1.2 General Provisions Governing NESDIS Directives
- 1.3 Description and Hierarchy of NESDIS Directives

CHAPTER 2. Responsibilities

- 2.1 NESDIS Assistant Administrator
- 2.2 NESDIS Deputy Assistant Administrator
- 2.3 NESDIS Director for Office of System Architecture & Advanced Planning
- 2.4 NESDIS Deputy Director for Office of System Architecture & Advanced Planning
- 2.5 NESDIS Official-in-Charge
- 2.6 NESDIS Directors
- 2.7 NOAA Office of General Counsel
- 2.8 Inspector General
- 2.9 NESDIS CFO/CAO (Chief Financial Officer/Chief Administration Officer)
- 2.10 Human Capital Management
- 2.11 Procurement
- 2.12 NESDIS Assistant Chief Information Officer- Satellites
- 2.13 Responsible Offices
- 2.14 Directives Managers
- 2.15 NESDIS Quality Control Liaison
- 2.16 NESDIS Final Review
- 2.17 NESDIS Records Officer



CHAPTER 3. Requirements for the Content and Structure of NESDIS Directives and NESDIS Charters

- 3.1 Requirement Statements in NESDIS Directives
- 3.2 Responsibility Statements in NESDIS-level Directives
- 3.3 Document Citations in NESDIS Directives
- 3.4 Administrative Elements of NESDIS Directives
- 3.5 Writing Style
- 3.6 Content and Structure of NESDIS Policy Directives (NPD)
- 3.7 Content and Structure of NESDIS Procedures (NESDIS Quality Procedures (NPQ) and NESDIS Procedural Requirements (NPR))
- 3.8 Content and Structure of NESDIS Interim Directives (NID)
- 3.9 Content and Structure of NESDIS-level Charters

CHAPTER 4. Process Requirements for Requesting Relief from NESDIS-level Directives, Establishing New Directives, Cancelling, Revising, Revalidating, or Making Administrative Corrections to Existing Directives, Creating Interim Directives, Hyperlinking, and Case Files.

- 4.1 Introduction
- 4.2 Requesting Relief from NESDIS-level Directives
- 4.3 Establishing New Directives
- 4.4 Cancelling, Revising, Revalidating, or Providing Administrative Corrections to Existing NPDs or NPRs
- 4.5 Creating NIDs
- 4.6 Hyperlinking Other Documentation to the *NESDIS Directives Online Collaboration System (NESDOCS)* Library
- 4.7 Case Files

APPENDIX A. Definitions

APPENDIX B. Acronyms

APPENDIX C. Verification Matrices

APPENDIX D. Relationship between NESDIS Directives and Other NESDIS Documents

APPENDIX E. Sample NPD and NPR

APPENDIX F. Integrated Functional Review Board Process



PREFACE

P.1 PURPOSE

- a. This directive on “NESDIS Procedural Requirements” describes the responsibilities and requirements for creating, revising, reviewing, approving, publishing, and cancelling NESDIS directives and NESDIS-level charters.
- b. This directive provides specific instructions pertaining to the development, content, processing, and waiving of NESDIS-level directives.

P.2 APPLICABILITY

- a. This directive is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support Centers. This directive applies to other contractors only to the extent specified or referenced in applicable contracts.
- b. 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” denotes a good practice and is recommended, but not required, “will” denotes expected outcome, and “are/is” denotes descriptive material.
- c. In this directive, NESDIS Quality Procedures (NQPs) refers to NESDIS quality procedures that have had prior approval in respect to this directive’s effective date.
- d. In this directive, “NESDIS-level directives” refers to directives with NESDIS-specific applicability (e.g., NPDs, NPRs, and NIDs).
- e. In this directive, “NESDIS directives” refers to NESDIS-level directives.
- f. In this directive, “NESDIS Charters” refers to those charters that govern NESDIS-wide councils, boards, committees, panels, and working groups.
- g. In this directive, “NESDIS-level charters” refers to those charters that govern specific NESDIS 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 NESDIS directives developed or revised after the effective date of this NPR.

P.3 AUTHORITY

NPD 1400.1, Documentation and Promulgation of Internal NESDIS Requirements and Charters.



P.4 APPLICABLE REFERENCES AND DOCUMENTS

- a. Inspector General Act of 1978, 5 U.S.C. App. § 4(a)(2), as amended.
- b. Office of Management and Budget (OMB) in Circular A-130 Appendix III, Transmittal Memorandum #4, Management of Federal Information Resources, (November 2000).
- c. Office of Management and Budget (OMB) Memorandum M-10-06 (Dec. 8, 2009); in response to the Presidential Memorandum on Transparency and Open Government (Jan. 21, 2009).
- d. 40 U.S.C. § 11101 et seq., Clinger-Cohen Act of 1996.
- e. P.L. 107-347, Title III, the Federal Information Security Management Act of 2002, as amended by P.L. 113-283, the Federal Information Security Modernization Act of 2014 (FISMA).
- f. Department of Commerce IT Portfolio Management Policy, (June 21, 2012).
- g. NAO 212-13, NOAA Information Technology Security Policy, (March, 2003).
- h. Department of Commerce (DOC) IT Security Program Policy, (Sept, 2014).
- i. Creating Labor-Management Forums to Improve Delivery of Government Services, E.O. 13522, 74 Fed. Reg. 66,203 (Dec. 9, 2009).
- j. NESDIS Governance and Strategic Management Handbook.
- k. NESDIS Organization.
- l. NESDIS Strategic Plan- 2016.

P.5 MEASUREMENT/VERIFICATION

- a. In order to determine if responsible offices follow the required processes specified in this NPR for NESDIS-level directives initiated or revised after the effective date of this NPR, the Office of System Architecture & Advanced Planning (OSAAP) monitors the processing of each NESDIS-level directive through the *NESDIS Directives Online Collaboration System (NESDOCS)* library and the subsequent signature process to ensure that all process steps and requirements have been completed correctly by all of the process participants. See Verification Matrix Table A in Appendix C.
- b. In order to determine if responsible offices prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for NESDIS-level directives initiated or revised after the effective date of this NPR, OSAAP reviews the contents of each NESDIS-level directive during the NESDOCS review and verifies that the content requirements have been satisfied. See Verification Matrix Tables B-1 and B-2 in Appendix C.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

c. In order to determine if NESDIS is following the content and process requirements of this NPR that are applicable to NESDIS-level directives initiated or revised after the effective date of this NPR, NESDIS Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the NESDIS office. OSAAP surveys NESDIS and conducts spot-checks every five years to review NESDIS documentation and implementation of NESDIS-specific verification activity. See Verification Matrix Tables C-1 and C-2 in Appendix C.

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

P.6 CANCELLATION

none.



CHAPTER 1. NESDIS Directives

1.1 Overview

1.1.1 A NESDIS directive is a document that formally prescribes requirements derived from law, the President, Federal regulation, DOC, NOAA, the NESDIS Assistant Administrator, or other senior NESDIS officials. NESDIS directives can apply to all NESDIS activities or to a single NESDIS activity. NESDIS directives: (1) Establish policies, procedural requirements, and organizations; (2) Define purpose; (3) Grant authority to accomplish a task; and (4) Assign responsibilities.

1.1.2 Responsible Offices develop, coordinate, and promulgate NESDIS directives in accordance with this NPR to ensure that NESDIS directives:

- a. Are necessary for the fulfillment of NESDIS'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, or legal risks.
- 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 NESDIS Directives

1.2.1 NESDIS Directives are published in the NESDOCS Library at www.nesdis.noaa.gov.

1.2.1.1 NESDIS-level directives include NPDs that state the NESDIS's policies, NPRs that provide detailed procedural requirements to implement policy, and NIDs that provide an immediate, short-term statement of the NESDIS's policies or procedural requirements.

1.2.1.2 The Assistant Administrator approves all NPDs.

1.2.1.3 The signatory authority for NPRs and NIDs is either the NESDIS Office of System Architecture & Advanced Planning (OSAAP) Director or the NESDIS Deputy Assistant Administrator (Deputy AA).

1.2.2 NESDIS directives may apply to 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 NESDIS directives are applied to other contractors, 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 contracts, grants, or agreements can appropriately identify which requirements apply. See notes under paragraphs 2.12.2 and 2.13.2f for delineating examples.



1.2.3 Approved NESDIS directives are in effect for a maximum of five years. However, revisions can be made whenever a change is warranted.

Note: Updates to change sections of an NPR can be coordinated in NESDOCS if the entire directive does not need to be revised. These updates will be recorded in the NPR's Change Log. There will be an assignment of a new five-year expiration date upon the completion of the changes.

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

Note: It is at the discretion of NESDIS management to determine whether NESDIS-level directives are sufficient or if more specific requirements are needed by the NESDIS.

1.2.5 Requests for Relief (e.g., waivers, deviations, and tailoring) to NESDIS-level directives may be requested. See requirements for waiver requests in paragraph 4.2.

1.2.6 NPDs and NPRs are coordinated in the Document Management System (DMS) in accordance with an established monthly directives review cycle schedule that is accessible in the DMS. The coordination time for NPDs is no more than 60 calendar days. The coordination time for NPRs is no more than 90 calendar days. See the Directives Coordination Cycle in Figure 1-1.

Note 1: The coordination timeline starts on the day the official review commences. The Responsible Office may request up to three 20-day extensions to the coordination cycle. If the third 20-day extension has lapsed, the Responsible Office may request a waiver to receive another extension.

Note 2: Directives in coordination are tracked in the NESDIS Action Information Management System (AIMS) and will appear overdue if submitted after the suspense date. Directives that languish in review with no action taken to respond by the suspense date, may be withdrawn by OSAAP if extensions are not requested.

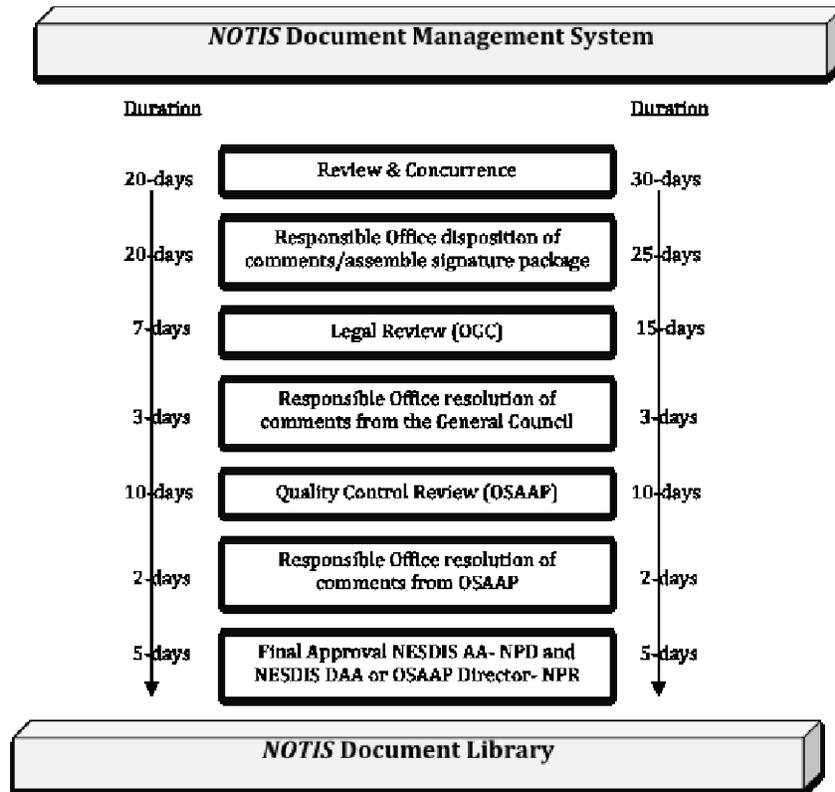


Figure 1-1, Directives Coordination Cycle

1.2.7 However, NPDs and NPRs may be coordinated any time during the month on an out-of-cycle schedule for an expedited review in the DMS as long as the changes are minor with small portions of the document being changed. Timelines for coordination are provided by the Responsible Office. Responsible Offices requesting out-of-cycle expedited reviews of NPDs and NPRs shall include the following in the request:

- a. Purpose/rationale.
- b. Internal or external requirement driving the NESDIS to publish requirements.
- c. Date by which NPD or NPR needs to be published.
- c. Timeline for coordination to include the dates for review, disposition, legal review, quality review, and Assistant Administrator's office approval.

Note 1: The minimum timeline for coordination is no less than 40 calendar days. See the Out-of-cycle Coordination Cycle in Figure 1-2.



Note 2: Extensions may be requested directly with the responsible office who can determine if an extension is necessary in accordance with Note 1 under paragraph 1.2.6.

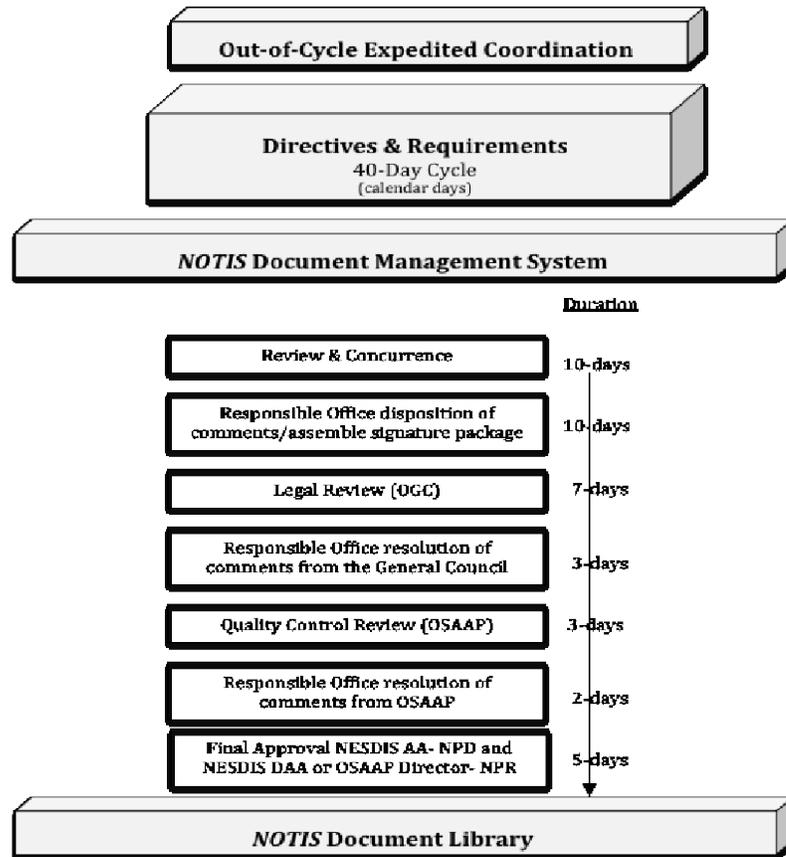


Figure 1-2, Out-of-Cycle Coordination Cycle

1.3 Description and Hierarchy of NESDIS Directives

1.3.1 In the event of a conflict among the top-level Non-NESDIS directives, the information provided in the highest ranking directive takes precedence; (i.e. law, the President, Federal regulation, DOC).

1.3.2 In the event of a conflict among the top-level directives and one or more NESDIS NPDs and/or NPRs, the information provided in the top-level directive(s) takes precedence.

1.3.3 In the event of a conflict between a NESDIS NID, NPD, and a NPR, the information provided in the NID takes precedence.

Note: NIDs are included in the hierarchy at the same level of the directive it is intended to replace (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).



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

1.3.4 In the event of a conflict between a NOAA and NESDIS-level directives (NPD, NPR, or NID), the information provided by NOAA takes precedence.

1.3.5 In the event of a conflict between a NPD and a NPR, the information provided in the NPD 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** (policy) establishes the order of flow and precedence and displays the hierarchical relationship between directives and NESDIS internal requirement documents.*

Note 2: Readers may report conflicts to the Directives Manager to initiate resolution. See paragraph 2.13.1f.



CHAPTER 2. Responsibilities

2.1 NESDIS Assistant Administrator

Only the Assistant Administrator signs NPDs.

2.2 NESDIS Deputy Assistant Administrator

The Deputy Assistant Administrator, or designee, serves as the NESDIS-level Directives Resolution Official to resolve impasses, such as non-concurrences and other issues that cannot be resolved at the organizational level.

2.3 NESDIS Director for Office of System Architecture & Advanced Planning (OSAAP)

2.3.1 Director for the Office of System Architecture & Advanced Planning (OSAAP):

- a. Has overall responsibility for the NESDIS Directives System.
- b. Is the Chair of the Integrated Functional Review Board (IFRB) responsible for examining proposed unfunded mandates derived from NESDIS-level directives and elevating unresolved, unfunded mandates to NESDIS and directing to the appropriate NESDIS council (e.g., NESDIS Strategy and Resources Management Board (SRMB)) for resolution, in accordance with the Board's process described in Appendix F.

2.4 NESDIS Deputy Director for OSAAP

2.4.1 The Deputy Director for OSAAP implements and maintains the NESDIS Directives System and establishes and enforces the policies and requirements in NPD 1400.1 and this NPR. The Deputy Director:

- a. Verifies compliance with the requirements contained in this NPR by:
 - (1) Monitoring the processing of each NESDIS-level directive through NESDOCS and the subsequent signature process to ensure that the process participants have completed all process steps and requirements of this NPR correctly. Verification Matrix Table A in Appendix C is used to verify compliance with process requirements.
 - (2) Reviewing the contents of each NESDIS-level directive during the NESDOCS review by:
 - (a) Verifying that the content and structure requirements have been met using Verification Matrix Tables B-1 and B-2 in Appendix C.
 - (b) Forwarding results to the Responsible Office for corrective action.
 - (c) Confirming that corrective actions are completed.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

(3) Conducting spot checks to review NESDIS-specific directives and implementation of NESDIS-specific verification activity every five years. Verification Matrix Tables C-1 and C-2 in Appendix C are used to verify that NESDIS-level directives comply with the requirements of this NPR.

b. Assists and supports the Deputy Assistant Administrator in the role as NESDIS-level Directives Resolution Official.

c. Verifies the completeness of the NESDIS-level directive signature package when it goes to the responsible NESDIS official for signature to ensure that:

(1) All comments received from reviewing organizations during the review and approval process for NESDIS-level directives are dispositioned and that the dispositions are provided to the reviewing organizations.

(2) An explanation for non-concurrences is documented and available in the directive's signature package.

d. Concurs on NESDIS-level directives when submitted for signature.

e. Tracks, monitors, and reports activities associated with processing NESDIS-level directives.

f. Ensures that NESDIS-level directives are coordinated, approved, and published within established timelines, withdrawing directives from coordination if not submitted for approval by established suspense dates and approving requests for extensions on established suspense and expiration dates.

g. Notifies Responsible Offices when NESDIS-level directives under their authority are approaching expiration and requests that directives be revalidated, revised, or cancelled as follows:

(1) Notifies Directives Managers (DM) six months prior to expiration.

(2) Notifies Officials-in-Charge two months prior to expiration if no action is taken.

h. Distributes notifications when new, revised, and revalidated directives are approved and when interim directives are issued.

i. Ensures document control for NESDIS-level directives through maintenance of the NESDOCS library, the NESDOCS database, and signed approval packages.

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

k. Monitors identified conflicts among directives to ensure resolution.

l. Maintains and disposes of all official files associated with approved NESDIS-level directives, in accordance with NPR 1441.1. See paragraphs 4.3.8.1 through 4.3.8.3 for a list of official files.

2.5 Officials-in-Charge (OIC)



2.5.1 OICs, within each NESDIS Program, have overall responsibility for directives promulgated by offices within their respective organization and are responsible for:

- a. Determining their organization's need for establishing new NESDIS-level directives.
- b. Ensuring that staff responsibilities are assigned to create or revise directives.
- c. Submitting directives for official review and secure concurrences through NESDOCS. The NESDOCS Manual provides instructions for electronically coordinating NPDs and NPRs for official review and concurrence. The NESDOCS Manual is accessible at: www.nesdis.noaa.gov
- d. Ensuring that NESDIS-level directives under their responsibility are reviewed for continuing need, applicability, and accuracy at least once every five years.
- e. Cancelling NESDIS-level directives under their responsibility when they are no longer needed.
- f. Designating a DM to assist, guide, and monitor the organization's directives activities.
- g. Determining which NESDIS-level directives their office should review during the official review and approval process.
- h. Evaluating and dispositioning all waivers to NESDIS-level directives under their responsibility, in accordance with the process described in paragraph 4.2 of this NPR.
- i. Ensuring compliance with NESDIS-level directives and ensuring that directives under their responsibility do not conflict with material provided in other NESDIS-level directives.

Note: The OIC may delegate the Responsible Office designation and responsibilities. Directives considered as under their responsibility for OICs include all directives for which the Responsible Office reports to the OIC.

2.6 NESDIS Directors

2.6.1 NESDIS Directors, or designees, are responsible for:

- a. Ensuring compliance with NESDIS-level directives and ensuring that NESDIS-level directives do not conflict with material provided in NESDIS-level directives.
- b. Designating a NESDIS DM as a point of contact to assist, guide, and monitor directives activities.
- c. Determining which NESDIS-level directives the NESDIS should review during the official review and approval process.
- d. Signing NESDIS-level directives.



2.7 NOAA Office of General Counsel

2.7.1 The NOAA Office of General Counsel, Weather, Satellites and Research Section is responsible for:

- a. Reviewing for compliance with the law and commenting on all NESDIS-level directives during the process for coordinating and approving new or revised NESDIS-level directives.
- b. Confirming that authorities, applicable documents, and references cited in NESDIS-level directives are formatted correctly, per paragraph 3.3.2.
- c. Concurring on NESDIS-level directives prior to signature by the approving NESDIS official.

2.8 Inspector General

The Inspector General, in accordance with 5 U.S.C. App. § 4(a)(2), as amended, is responsible for reviewing and commenting on each NESDIS-level directive during the official review and approval process to identify possible impacts on effectiveness of and efficiency in the administration and operations of NESDIS programs to prevent fraud, waste, and abuse in NESDIS programs.

2.9 NESDIS CFO/CAO (Chief Financial Officer/Chief Administration Officer)

2.9.1 The Chief Financial Officer (CFO) is responsible for:

- a. Reviewing to ensure proper financial, resource (including budget, strategic planning, and performance), and acquisition consideration and comment on all NESDIS-level directives during the process for coordinating and approving new or revised NESDIS-level directives.
- b. Concurring on NESDIS-level directives prior to signature by the approving NESDIS official.

2.10 Procurement

The NESDIS CFO is responsible for reviewing and concurring on all NESDIS-level directives to determine if there are acquisition law or regulation impact requirements.

2.10 Human Capital Management

The NESDIS CAO (Chief Administration Officer) is responsible for coordinating the review of all proposed NESDIS-level directives with the national offices of Federal labor organizations in addition to conducting its own review and submitting a concurrence on these documents.

2.12 NESDIS Assistant Chief Information Officer- Satellites



The NESDIS Assistant Chief Information Officer (CIO)- Satellites is responsible for reviewing and concurring on all NESDIS-level directives to determine if there are any requirements related to information systems and information technology, information collections, forms, records, Privacy Act, Paperwork Reduction Act, American with Disabilities Act (508 Compliance), IT Security, and Sensitive But Unclassified information that need to be addressed.

2.13 Responsible Offices

2.13.1 Responsible Offices, as subject matter experts, shall prepare NESDIS directives in accordance with the requirements in Chapters 3 of this NPR to include the following:

- a. Consulting the Procurement, or designee, 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 NESDIS may issue a NPR if there is an approved NPD, NPR, or NPD that provides the authority for the NPR.

Note: There need not be a separate NPD for each NPR or NPD for each NPR. An NPD may provide the authority for more than one NPR, respectively.

- c. Submitting, at the time of request for official review and approval of directives, cost/benefit impacts (e.g., financial, human resources, and technical) to implement new requirements to avoid the potential for unintended consequences (see paragraph 4.3.6.1f).
- d. Mitigating and resolving unfunded mandates with NESDIS Programs during the comment/disposition period of directives and presenting unresolved proposed unfunded mandates to the IFRB in accordance with the Board's process described in Appendix F.
- e. Maintaining currency for the directives they publish.
- f. Ensuring that compliance with the requirements contained in NESDIS-level directives under their responsibility is verified.

Note: Spot checks, checklists, internal/external audits, or self-assessments may be used to ensure compliance.

- g. Ensuring that NESDIS-level directives under their responsibility meet the requirements of this NPR, including responding to corrective actions.
- h. Submitting directives signature packages for the Office of the Assistant Administrator's approval by the established suspense dates.



i. Requesting extensions of a suspense date, ten calendar days prior to the suspense date to submit signature package in order to obtain more time to resolve and respond to substantive issues related to the directive.

2.13.2 The Responsible Offices shall prepare NESDIS-level directives in accordance with paragraphs 2.12.1a-d, 2.12.1g, and 2.12.1i, as well as Chapter 3 of this NPR.

Note: Policy or procedural requirement formulation is done by NESDIS civil servants.

2.14 Directives Manager (DM)

2.14.1 The DM is the point of contact in originating organization for matters pertaining to NESDIS directives. The DM is responsible for supporting OIC, OSAAP, NESDIS senior managers, and NESDIS Directors with directives activities and issues. This includes ensuring that directives are prepared and coordinated in accordance with the requirements in this NPR. Specifically, DMs:

- a. Manage the directives process.
- b. Provide assistance to employees with accessing NESDOCS.
- c. Coordinate the official review of directives.
- d. Determine who should review NESDIS-level directives and ensure that reviewers summarizes significant changes and contains cost/benefit impacts accessible from NESDOCS.
- e. Consolidate the reviewers' comments into the official response.
- f. Document and initiate resolution of conflicts among directives (NESDIS-level) that are identified or reported.

Note: Conflict resolution for NESDIS-level directives is initiated by contacting the DM of the Responsible Office(s) for the directive(s) in conflict and notifying the OSAAP.

- g. Coordinate quality reviews of their organization's NESDIS-level directives with the respective NESDIS 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 NESDIS-level directives for review.
- i. Coordinate their organization's interim directives and requirement waivers for approval and publication. See paragraph 4.2 for waiver requirements and paragraph 4.5 for interim directives requirements.
- j. Participate in DM meetings to remain aware of changes in the NESDIS directives process and NESDOCS.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

k. Coordinate with their organization's Audit Liaison Representative (ALR) in order to acquire information on any Government Accountability Office (GAO) and/or Office of Inspector General (OIG) audit recommendations that impact the revisions to directives so that this information can be captured prior to acceptance of directives in NESDOCS.

Note 1: Senior management makes the final determination on acceptance of OIG/GAO recommendations. Also, events may occur after the release of the audit report that change the management plan's actions to address the finding(s). The ALR performs an advisory role in the process.

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

2.14.2 In addition to the responsibilities listed in paragraph 2.13.1, excluding paragraphs 2.13.1g-i, NESDIS DMs:

- a. Manage and maintain a current online repository of NESDIS-level directives.
- b. Maintain a master list of NESDIS-level directives.
- c. Ensure that NESDIS-level directives are approved and published in accordance with established procedures.
- d. Track and monitor activities associated with processing NESDIS directives.
- e. Train and assist directives writers and reviewers in the performance of their duties.
- f. Maintain and dispose of case files for all NESDIS-level directives in accordance with Department/ Agency-wide requirements.

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

2.15 Quality Control Liaisons

Quality Control Liaisons for Responsible Offices are responsible for ensuring that NESDIS-level directives signature packages and the Action Document Summary (ADS) are properly prepared (e.g., grammar, formatting, and timeliness).

2.16 OSAAP Executive Secretariat

2.16.1 OSAAP Executive Secretariat, or designee, is responsible for:

- a. Conducting final quality reviews of NESDIS-level directives prior to approval and signature by the NESDIS official.
- b. Providing all editorial changes and ensuring incorporation by the Responsible Office.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

2.17 NESDIS Records Officer

The NESDIS Records Officer, or designee, in the Office of the Chief Information Officer is responsible for coordinating with the OSAAP on decisions affecting the numbering of NESDIS directives in accordance with the ten NESDOCS functional categories defined.

Note: NESDIS DMs should contact their respective NESDIS Records Officer for assistance.



CHAPTER 3. Requirements for the Content and Structure of NESDIS Directives and NESDIS Charters

3.1 Requirements Statements in NESDIS Directives

3.1.1 Criteria for writing requirements statements in NESDIS directives:

- a. Identify all requirements statements by using the word “shall” to denote mandatory compliance, unless advised otherwise by NOAA Office of General Counsel.
- b. Designate at least one official (by position title) or organization as responsible and accountable for development, implementation, maintenance, and verification of the requirement.
- c. Identify what action should be accomplished or what product should be provided to demonstrate compliance with the requirement.
- d. Specify specific requirements, not general responsibilities with broad application
- e. Separately state each individual requirement statement (i.e., one “shall” statement per paragraph or sub-paragraph).

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

3.1.2 Do not replicate existing internal or external policy statements or procedural requirements in directives. However, cross-referencing may be used to cite existing requirements. NESDIS directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements.

3.1.3 Do not include technical requirements in NESDIS directives. Technical requirements may be included in NESDIS technical standards, which may then be cited in NESDIS directives.

Note 1: Technical requirements are those requirements that discuss the design, performance, operational parameters, and constraints of equipment and systems. These are requirements that would typically be contained within a system or equipment specifications.

3.2 Responsibility Statements in NESDIS-level Directives

Use official position titles and office titles as identified in NESDIS Organization Plan for consistency when assigning or documenting responsibilities in NESDIS-level directives.

3.3 Document Citations in NESDIS Directives



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

3.3.1 NESDIS directives have three types of document citations: authority documents, applicable documents and forms, and references. Cite these documents in accordance with 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.
- b. Applicable document and form citations consist of documents and forms incorporated by reference in the text of the directive and contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive.
 - (1) Cite all applicable documents and forms listed in paragraph 4 (for NPDs) or paragraph P.4 (for NPRs) at least once within the text of the directive. Use statements to introduce applicable documents and forms (e.g., as required by, in accordance with, according to, or per).
 - (2) Conversely, list all applicable documents and forms cited within the text of the directive in paragraph 4 for NPDs or paragraph P.4 for NPRs.
- c. Reference documents are documents that are not incorporated by reference in the text of the directive. These documents may consist of internal and external requirements and other resources considered by the Responsible Office to be useful as background information for the reader (to help in understanding the subject matter), but do not constitute requirements of the directive. In NPDs, reference document lists are contained in an Attachment. In NPRs, reference document lists are contained in an Appendix.

3.3.2 Within each document citation list (authority documents, applicable documents and forms, and references):

- 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, NPDs, NPRs, NESDIS Technical Standards, Forms, non-NESDIS Government standards, and other documents.
- b. Format document citations using the following examples when listing in the authority, applicable documents and forms, and references sections:
 - (1) United States Code (Statutes) - Reorganization Plan No. 4 of 1970, 3 C.F.R. xx (1970), reprinted in 84 Stat. 2090-93 (1970), and in 35 Fed. Reg. 15627-30 (1970), and reprinted with amendments in 5 U.S.C. app. at 1557-61 (1994).
 - (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: Only cite if not already codified in the U.S. Code.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

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

Note: Includes codification of the Executive order in the Code of Federal Regulations.

(4) Code of Federal Regulations (Agency Regulations)

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

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

(7) NESDIS Policy Directive - **NPD 1400.1**, NESDIS Policy Directive for Documentation and Promulgation of Internal Requirements & Charters.

(8) NESDIS Procedural Requirements - **NPR 1400.1**, NESDIS Procedural Requirements for Directives and Charters.

(9) NESDIS Directive Request Summary.

Note 1: The document type and number (e.g., NPR 1400.1) appears first and the name (e.g., NESDIS Directives and Charters Procedural Requirements).

c. Cite documents within the text of directives as follows:

(1) Use the document citation location and omit the name when citing within the text of directives for documents described in paragraphs 3.3.2b(1)-(5) (e.g., 51 U.S.C. § 20113 (a)).

(2) Use the document type and number and omit the name when citing within the text of directives for citations described in paragraphs b(6)-(10) (e.g., NPR 1400.1).

d. Within each category, list documents in numerical order or alphabetical order by title if documents are not numbered.

e. When citing or listing NESDIS directives within NESDIS directives, exclude the revision letter designation (see Figure 2A).

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



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

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- f. Ensure that documents cited in the directive are approved documents that are available to the reader.
- g. If a cited document is not a Federal statute or regulation, a NESDIS directive, or is not available in the NESDIS Technical Standards System, include footnotes (or URLs that allow public access) to show readers precisely where to find the cited documents.
- h. Refer to one or more of the following resources to ensure that citations are current and accurate:
- (1) United States Code Citations:
 - (a) Office of Law Revision Counsel - <http://uscode.house.gov/>.
 - (b) Government Publishing Office (GPO) Access - <http://www.gpoaccess.gov/uscode/index.html>.
 - (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 - <http://www.gpo.gov/fdsys/browse/collection.action?collectionCode=FR>.
 - (4) Code of Federal Regulations citations - <http://www.gpoaccess.gov/cfr/index.html>.
 - (5) NESDIS Directives - <http://www.nesdis.noaa.gov/NESDOCS/>
 - (6) NESDIS Standards - <http://www.nesdis.noaa.gov/NESDOCS/>
 - (7) NESDIS Forms - <http://www.nesdis.noaa.gov/NESDOCS/>
- 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.
 - (8) Section - §, Sections - §§
 - (9) 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)).

(10) Executive Order - EO

(11) Public Law - Pub. L.

3.4 Administrative Elements of NESDIS Directives

3.4.1 NESDIS Directives Numbering Scheme

3.4.1.1 The NESDIS directives numbering scheme is composed of six elements that create a unique identifier. The six elements are: three letters indicating the NESDIS directive type, four numbers indicating the functional category, a separator (period), the NESDIS directive serial number, and letter(s) indicating the revision level designation (see Figure 2A).

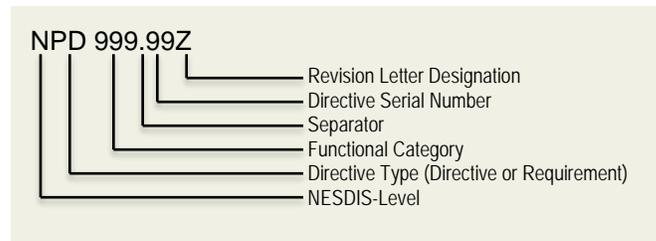


Figure 2A. NESDIS Directives Numbering Scheme

Note: Include the full directive number in the file name and masthead section of the draft and final documents. Functional Categories are listed in Figure 2B.

0000-0999	--- GOVERNANCE & STRATEGIC MANAGEMENT
1000-1999	--- ADMINISTRATION
2000-2999	--- RESOURCE MANAGEMENT
3000-3999	--- IT AND CYBER SECURITY
4000-4999	--- SPACE ASSET & DATA
5000-5999	--- GROUND INTEGRATION AND INTEGRATION SYSTEMS
6000-6999	--- APPLIED SCIENCE AND STEWARDSHIP
7000-7999	--- OPERATIONS
8000-8999	--- COMMERCIAL SPACE
9000-9999	--- AUDITS AND INVESTIGATION

Figure 2B. NESDIS Functional Areas

Note: NQPs (NESDIS Quality Procedures) are legacy procedural documents and will be categorized in the online NESDOCS library with respect to their functional area; upon expiration, the NQP will follow the NPR guideline and renumber to the appropriate functional category.



3.4.1.2 The subject category numbers used to classify NESDIS directives are the same subject categories found in in NRRS 1441.1. The serial numbers are automatically generated when the directive is approved.

3.4.1.3 For NESDIS-level directives, the OSAAP works with the Responsible Office to ensure that directives numbers are assigned in accordance with NRRS 1441.1.

3.4.1.4 For NESDIS-level Directives, the NESDIS DM works with the Responsible Office to ensure that directives numbers are assigned in accordance with the NESDIS Directives Numbering Scheme.

3.4.2 Effective and Expiration Dates for NESDIS Directives

3.4.2.1 A NESDIS directive takes effect on the date that it is signed by the approving official.

3.4.2.2 NPDs, and NPRs expire within a maximum of five years after signature or revalidation.

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

3.4.2.4 NPDs, NPRs, and NQPs will automatically be removed from the NESDOCS Library upon expiration, unless (1) an NPD or NPR replacing the directive being removed has been submitted for revalidation or for review and approval, or (2) the Responsible Office has requested an extension with justification. The current NPD or NPR will be granted an extension and remain effective until its revision is approved. See paragraph 4.4.2 for provisions to allow NESDIS-level directives to remain effective.

3.4.2.5 NIDs will automatically be removed from the NESDOCS Library upon expiration, unless an NPD or NPR replacing the NID is submitted for review and approval through NESDOCS.

Note: A NID may be revised once, and the expiration date will be 12 months after the effective date of the revised NID. If an extension on a NID's expiration date is needed, a waiver request can be submitted.

3.4.2.6 NPDs and NPRs will automatically be removed from the NESDIS Directives Library upon expiration, unless (1) a NPD or NPR replacing the directive being removed has been submitted for revalidation or for review and approval, in accordance with the NESDIS's established process, or (2) the Responsible Office has requested an extension with justification. The current NPD or NPR may be granted an extension and remain effective until its revision is approved.

3.5 Writing Style

3.5.1 Apply the following writing style rules:

a. Use NPR 1450.10 to supplement the style requirements in this NPR.



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- b. Exclude caveat phrases (e.g., “as applicable,” “as appropriate,” “whenever possible,” “etc.”) within requirements statements.
 - c. Use page numbers (e.g., 1, 2, 3) in NPRs, but exclude indexed table of contents that correspond to page numbers.
 - d. Align all text along the left margin (i.e., left justify or flush left).
 - e. Indent and italicize notes.
 - f. NESDIS figures and tables. Number all figures (e.g., Figure 1) and add the figure number and title at the bottom of the figure. Letter all tables (e.g., Table A) and add the table letter and title above the table.
 - g. Use the correct phrasing to denote mandatory action or other forms of action, per paragraph P.2b.
 - h. Number/letter all paragraphs. If there is not a second paragraph immediately following at the same level, do not number/letter the paragraph. Exclude periods behind numbered paragraphs (e.g., use 3.5.1, not 3.5.1.), but include periods behind lettered paragraphs (e.g., use i., not i).

3.5.2 Responsible Offices that write NESDIS-level directives will adhere to the requirements in paragraphs 3.5.1a-b and 3.5.1g-h. Adherence to paragraphs 3.5.1c-f is under the discretion of the NESDIS official responsible for the writing styles for NESDIS-level directives.

3.6 Content and Structure of NPDs

3.6.1 NPDs document NESDIS- and NESDIS-level policy statements, assignment of responsibilities for policy implementation, delegations of authority, approach for verification of compliance with the NPD, and the official’s approval.

3.6.2 NPDs should be no more than five pages, excluding attachments. The NPDs consist of the following elements:

- a. Masthead: Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).
- b. Change Log that describes administrative changes to an NPD.

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

- c. Body consisting of 8 required paragraphs: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents and Forms; 5. Responsibility; 6. Delegation of Authority; 7 Measurement/Verification; and 8. Cancellation.

Note: Governing NPDs may request relief from content and structure requirements. See paragraph 4.2 for requirements to request relief from NESDIS-level Directives.



- d. Signature Block.
- e. Attachments.
- f. Graphics.
- g. Distribution statement (e.g., NESDOCS or another system).

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

3.6.3 Include the following content requirements when developing NPDs:

- a. Change Log - Date and description of updates or administrative changes made to an NPD.

Note: A change log can be added when the NPD is developed or added after the NPD is revised.

- b. For Paragraph 1, Policy - General statement of the principles, fundamental values, and general direction of the NESDIS office is used to determine present and future decisions. Therefore, use appropriate language to introduce the policy (e.g., “It is NESDIS Policy” or “This directive establishes policy for...”) and do not include “shall” statements.

- c. For Paragraph 2, Applicability - The statement of the scope of the required application of the NPD. Include the following applicability statement: “This NPD is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support centers.”

(1) If the NPD applies to an FFRDC, other contractors, recipients of grants or cooperative agreements, or parties to other agreements, add the following applicability statement in Paragraph 2, Applicability, in addition to the applicability statement in paragraph 3.6.3c. “This language applies to a Federally-Funded Research and Development center, other contractors, recipients of grants, cooperative agreements, or other agreements only to the extent specified or referenced in the applicable contracts, grants, or agreements.” However, 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: 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 paragraph 2.12.2 or 2.13.2f for examples of delineating requirements between civil servants and contractors or recipients of grants.

- (2) For NPDs, include a statement similar to 3.6.3c above to ensure applicability at the NESDIS and associated facilities.

- (3) For NPDs, include a statement that describes terms that denote action. See paragraph P.2b.



-
- (4) For NPDs, include the following statement: “In this directive, all document citations are assumed to be the latest version unless otherwise noted.” See paragraph P.2h.
- d. For Paragraph 3, Authority - List the NPD and external authority(ies) or requirements that justify establishing the NPD. This latter category includes only those external sources that are the authority for the NPD. Place all other external sources in the Applicable Documents or References sections.
- e. For Paragraph 4, Applicable Documents and Forms - 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. Apply the requirements in paragraph 3.3 to document citations.
- f. For Paragraph 5, Responsibility - An explanation of who (by position or organization) is responsible for implementing the policy stated in the NPD. Write responsibility statements for implementation by the highest organizational level possible. Use “shall” statements only to specify specific actions, not general responsibilities with broad application. Do not dictate how an organizational leader is to organize or assign responsibilities within the leader’s organization.
- g. For Paragraph 6, Delegation of Authority - Paragraph reserved for direct delegation from the Assistant Administrator, Official-in-Charge, or NESDIS Director to a specific position (e.g., NESDIS Regulatory Policy Officer).
- h. For Paragraph 7, Measurement/Verification - An explanation of how compliance 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.
- Note: This information may be presented as text within the paragraph, as a verification matrix, as an attachment to the NPD that includes details of data and report of data; such as formats and timelines; or as a citation to an NPD, NPD, or another requirements document.*
- i. For Paragraph 8, Cancellation - A list of directives that will be cancelled upon issuance. If the 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.”
- j. Signature block for the approving official’s signature.
- k. Attachments for information related to the directive (i.e., definitions, acronyms).
- l. Graphics to illustrate information related to the directive.
- m. Numbered paragraphs in accordance with Figure 3.

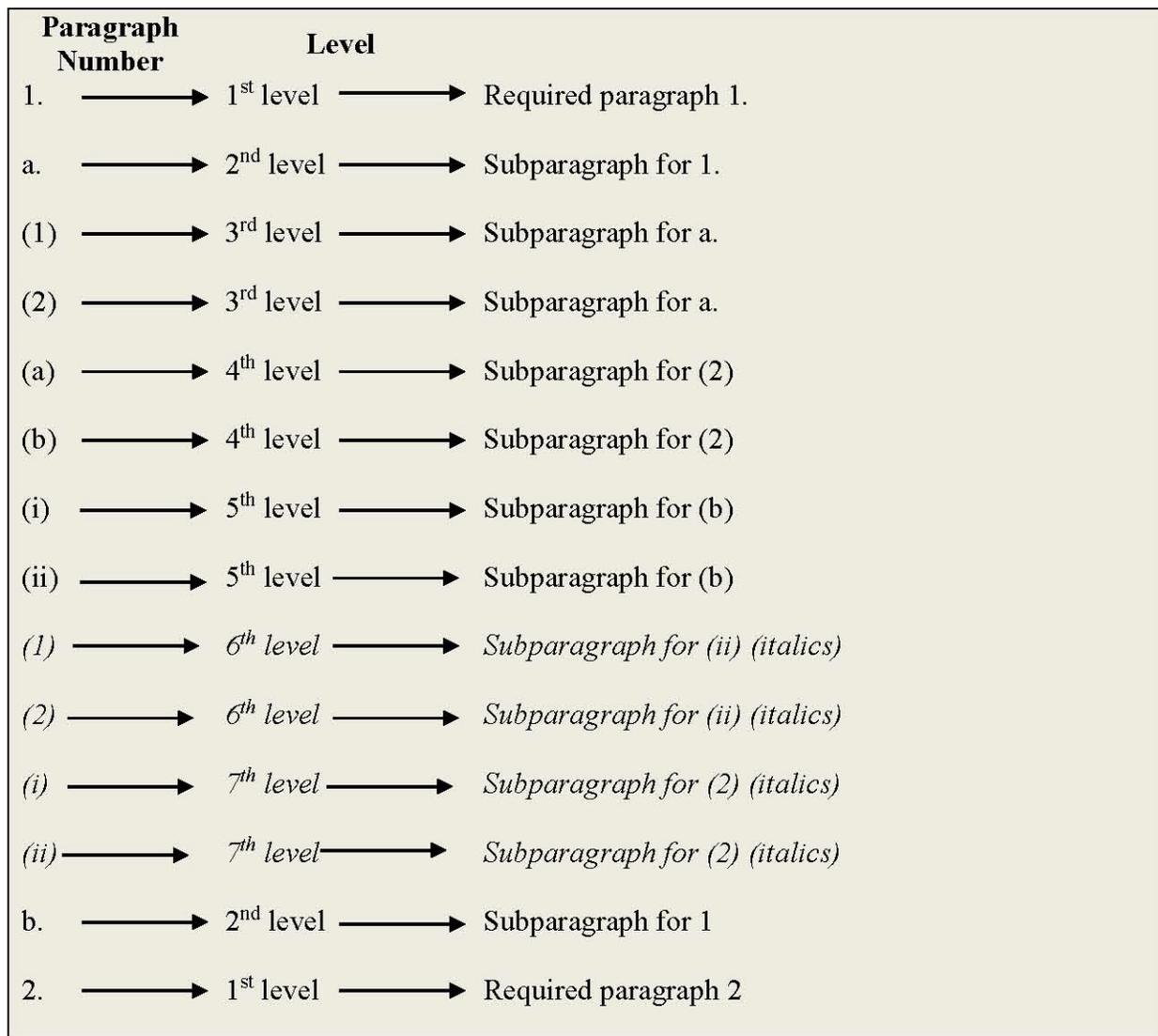


Figure 3, NPD and NPD Paragraph Numbering/Lettering

n. If there is a need to include definitions or other material such as details regarding measurement/verification to support the NPD, document the supporting material as an attachment.

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

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

p. Document any definitions for words and phrases used in the NPD in Attachment A.

(1) List the definitions in alphabetical order.



(2) 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.

q. Document any acronyms used in the NPD in Attachment B and list in alphabetical order.

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

3.6.4 Do not document procedural information or instructions in an NPD.

3.7 Content and Structure of NESDIS Procedures (NESDIS Quality Procedures (NQP) and NESDIS Procedural Requirements (NPR))

3.7.1 NESDIS Quality Procedures (NQPs) refers to NESDIS quality procedures that have had prior approval in respect to this directive's effective date. NQPs were established for reasons of health, safety, security, efficiency, and effectiveness. The expiration date of NQPs, if not specified, will not exceed either five years from their last revision date or the expiration date of this directive. Following the expiration date, if procedure is to remain effective, the procedure must follow the NPR guidelines defined in the directive. The reference to NQP will be replaced with NPR, if there is a conflict in the directive number, the Directive Manager will facilitating getting a new number assigned.

3.7.2 NESDIS Procedural Requirements (NPRs) document procedural direction for essential or otherwise mandated items only. This includes procedural requirements that are established for reasons of health, safety, security, efficiency, and effectiveness. NPRs consists of the following elements:

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

b. Change Log that describes administrative changes made to an NPR.

Note: A change log can be added when the NPR is developed or added after the NPR is approved.

c. Table of contents consisting of the preface, chapter titles, second-level paragraph titles (only if the second-level paragraphs exist in the directive), and appendices. Refer to this NPR's table of contents for formatting instructions.

d. Distribution statement. (This statement is populated by NESDOCS or other respective NESDIS-level systems.)

Note: If distribution of the NPR is to be restricted to only NESDIS, include a distribution statement to identify the restrictions for release of the NPR.



e. Preface consisting of six required paragraphs: P.1 Purpose; P.2 Applicability; P.3 Authority; P.4 Applicable Documents and Forms; P.5 Measurement/Verification; and P.6 Cancellation. See paragraph 3.7.3a-f for Preface content requirements.

f. Chapters - Divided sections separated by page breaks that describe the directive's requirements and responsibilities that can be subdivided into paragraphs.

g. Appendices - Supplementary material or contractor requirements that are attached at the end of the directive.

Note: Governing NPRs may request relief from content and structure requirements. See paragraph 4.2 for requirements to request relief from NESDIS-level directives.

3.7.3 Include the following content requirements when developing NPRs:

a. For Paragraph P.1, Purpose - Describe the rationale for establishing the NPR and what will be accomplished by implementing it.

b. For Paragraph P.2, Applicability - State the scope of the required application of the NPR. Include the following applicability statement: "This NPR is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support Centers."

(1) If the NPR is to apply to an FFRDC, other contractors, recipients of grants or cooperative agreements, or parties to other agreements, add the following applicability statement in P.2, Applicability, in addition to the applicability statement in paragraph 3.7.4b. "This language applies to a Federally-Funded Research and Development Center (FFRDC), other contractors, recipients of grants and cooperative agreements, and parties to other agreements only to the extent specified or referenced in the applicable contracts, grants, or agreements." However, 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 the "contract or agreement" to indicate the directive's applicability.

Note: This statement alone is not sufficient to stipulate requirements for the contractor, recipient of the grant or cooperative agreement, and other agreements. See paragraph 2.12.1a for an example of delineating requirements for contractors or recipients of grants.

(2) For NPRs, include a statement similar to 3.7.3b above to ensure applicability to the NESDIS and associated facilities.

(3) For NPRs, include a statement that describes the terms that denote action. See paragraph P.2b.

(4) For NPRs, include the following statement: "In this directive, all document citations are assumed to be the latest version, unless otherwise noted." See paragraph P.2h.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

- c. For Paragraph P.3, Authority - List the NPD and the higher level external authority(ies) or requirement(s) that justify establishing the NPR. For the latter category, include only those external sources that are the authority for the NPR. Place all other external sources in the Applicable Documents or Reference sections.
- d. For Paragraph P.4, Applicable Documents and Forms - Refer to description in paragraph 3.6.3e.
- e. For Paragraph P.5, Measurement/Verification - Refer to description in paragraph 3.6.3h.
- f. For Paragraph P.6, Cancellation - Refer to the description in paragraph 3.6.3i.
- g. Number NPR Preface paragraphs in accordance with Figure 4.

Preface:

P.1 PURPOSE

a.

(1)

(a)

(b)

(2)

b.

P.2 APPLICABILITY

P.3 AUTHORITY

P.4 APPLICABLE REFERENCES AND DOCUMENTS

P.5 MEASUREMMENT/VERIFICATION

P.6 CANCELLATION

DISTRIBUTION STATEMENT (e.g., NESDOCS or another system).

Note: If the distribution of the NPR is to be restricted to only NESDIS, include in the distribution a statement to identify the restrictions for release of the NPR.

Figure 4, NPR Preface Paragraph Numbering/Lettering

- h. Number NPR chapter paragraphs in accordance with Figure 5.



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 5, NPR Chapter Paragraph Numbering/Lettering

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

i. Ensure that appendices do not contain requirements for civil service employees, only supporting information for the NPR.

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

k. Document any definitions for words and phrases used in the NPR in Appendix A.

(1) List the definitions in alphabetical order.

(2) 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.

l. Document any acronyms used in the NPR 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.

m. If a verification/measurement matrix appendix is included within the NPR, include it in 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.

Note 2: See Appendix C of this NPR for examples of verification/measurement matrices.

3.8 Content and Structure of NIDs

3.8.1 Document the following when developing NIDs:

- 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 (e.g., NESDIS-wide or NESDIS-specific).

Note: For NIDs, include the following statement: “In this directive, all document citations are assumed to be the latest version, unless otherwise noted.” See paragraph P.2h.

3.8.2 NIDs may include policy memos or any other issuances intended to impose policy or requirements at the NESDIS level.

3.8.3 NIDs are issued for immediate or short-term use (see paragraph 3.4.2.3).

3.8.4 Follow the procedures contained in paragraph 4.5 for issuing NIDs.

3.8.5 Coordinate with OSAAP to ensure that NIDs are added to the NESDOCS Library.

3.8.6 Coordinate with the NESDIS DM to ensure that NIDs are published in accordance with local processes.

Note: NIDs may be formatted as memorandums, directives, paragraphs, or other templates. See your DM for guidance on the preferred format for your organization.

3.9 Content and Structure of NESDIS-level Charters

3.9.1 Charters establish councils, boards, committees, panels, and working groups mandated by statute, the NESDIS Assistant Administrator, or an OIC of NESDIS. 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 NESDIS or a NESDIS program. Councils are comprised of senior management tasked to make decisions regarding policy, strategic direction and planning, goals, or resources. The charters for NESDIS’s governing councils (i.e., Executive Council, Senior Management Council, Mission Support Council, and Program Management Council) are maintained in NESDIS Organization Plan.

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

c. Boards are comprised of senior management tasked to make decisions regarding implementation of policy, strategic plans, goals, and resources. Boards shall only be established in areas of NESDIS-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, panel, or 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 NESDIS leadership, NESDIS programs, and OSAAP.

(1) 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.

(2) 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.

(3) 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 NESDIS, and is established to support and is expected to report out to a council or board.

3.9.2 To publish or revise charters for governing councils, refer to NESDIS Organization Plan for instructions. To publish charters for other councils, boards, committees, or panels, the responsible office shall:

a. Ensure that NESDIS-level charters contain standard paragraphs in accordance with Figure 6.



<p>NAME OF CHARTER</p> <p>1. PURPOSE</p> <p>2. APPLICABILITY/SCOPE</p> <p>3. AUTHORITY</p> <p>4. GOVERNING COUNCIL AFFILIATION</p> <p>5. FUNCTIONS</p> <p>6. MEMBERSHIP</p> <p>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).</p> <p>8. DURATION Unless otherwise specified, the charter will continue until the Chair cancels or amends it.</p> <p>9. ASSESSMENT This paragraph should include the level of assessment as well as who will receive/review 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.</p> <ul style="list-style-type: none">a. Validity - Does it, with reasonable fidelity, measure results due to NESDIS 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? <p>10. RECORDS Identifies who is responsible for maintenance of the charter and all records generated by the chartered group.</p>
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Figure 6, NESDIS-level Charter Standard Paragraphs

b. Submit a hard and electronic copy of the charter with the chair’s approval, along with concurrence from the Office of the General Counsel, to the OSAAP.

3.9.3 NESDIS-level charters are applicable to the issuing NESDIS. To establish and/or publish NESDIS-level charters, contact the NESDIS’s DM.



CHAPTER 4. Process Requirements for Requesting Relief from NESDIS-level Directives, Establishing New Directives, Cancelling, Revising, Revalidating, or Making Administrative Corrections to Existing Directives, Creating Interim Directives, Hyperlinking, and Case Files.

4.1 Introduction

4.1.1 The NESDOCS Document Management System (DMS) is NESDIS's primary tool for creating, revising, reviewing, approving, publishing, and cancelling NESDIS-level directives. The NESDOCS DMS provides an electronic means to create, review, and comment on draft documents, disposition comments, concur on the directives, approve the directives, control revisions, track document history, generate reports, and publish NESDIS-level directives. All NESDIS-level directives are developed through the NESDOCS DMS.

4.1.2 The NESDOCS DMS coordination process will not be used to impede the NESDIS'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.

4.2 Requesting Relief from NESDIS-level Directives

Note: NESDIS Governance and Strategic Management Handbook 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 relief (e.g., waiver, deviation, and tailoring) from requirements that are established by NESDIS-level directives. For NESDIS-level directives, local instructions apply.

4.2.1 Approval Authorities

4.2.1.1 Only the Assistant Administrator or the OIC who is responsible for the NESDIS-level directive, or delegated authority, approves requests for relief from requirements contained in the NESDIS-level directive.

4.2.1.2 The responsible OIC for the directive may delegate this approval authority to a lower level.

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

4.2.1.3 The approval authority shall approve/disapprove a request for relief 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.



c. Requirements are provided justification (see paragraph 4.2.2.c for instructions on how to prepare a justification).

4.2.1.4 The approval authority shall only approve a request for relief from requirements for a specific period or duration.

Note: The specific period or duration may be defined by calendar dates (i.e., From March 2016 to March 2018) or by project milestones (e.g., This waiver is in effect until disposal for XYZ Project).

4.2.1.5 The approval authority maintains a record of requests for relief granted against NESDIS-level directives under their responsibility.

4.2.2 Responsible offices requesting relief from requirements, shall document the following in the request:

a. Identification of the requirement (directive and specific requirement(s)) for which the relief 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 relief 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 circumstance 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 relief sections of applicable NPRs (e.g., NASA 7120.5).

Note: For NESDIS Requirement Waivers, local instructions for creating requirements waivers apply.

4.3 Establishing New Directives

4.3.1 Responsible Offices for NESDIS-level directives shall use the NESDOCS DMS to create, coordinate, and approve any new NPD or NPR within the timeline established in paragraph 1.2.6.

4.3.2 Responsible Offices shall use local processes to create, coordinate, and approve any NESDIS-level directives.

4.3.3 Responsible Offices shall ensure that their DM is notified prior to beginning the process to establish a new directive.

4.3.4 Pre-review Process

4.3.4.1 The pre-review process provides an opportunity for review and comment, prior to the formal review, in NESDOCS, to address substantive issues in order to facilitate the completion of NESDIS directives within the timeframe allotted. Should a Responsible Office choose to conduct a pre-review, the following are standard steps in the pre-review process:

a. The Responsible Office for the directive creates a draft of the new or revised directive and distributes it to those affected by the directive and to those offices that the Responsible Office believes should review the draft.

Note: Local processes for pre-review may have an established distribution list for directives pre-reviews. Consult your NESDIS DM.

b. The Responsible Office for the directive determines the methodology for conducting the pre-review.

Note: The Open Review System is a Web-based tool that may be used to coordinate a pre-review.



c. The Responsible Office coordinates, consolidates, and dispositions comments in preparation for the official review of the directive.

Note: if a pre-review is conducted, the Responsible Office can restrict comments resolved during the pre-review during the official review.

4.3.5 Prior to Official Review and Approval

4.3.5.1 For NESDIS-level directives, the Responsible Office shall:

a. Submit directives (i.e., new or revised) to the CFO/CAO, who will ensure the national union receives a 30-day consultation period, as appropriate, in order to satisfy the NESDIS's obligation to provide this consultation period. Confirmation that this coordination is completed will be required for OSAAP to accept the directive into the NESDOCS system. For NESDIS-level directives, contact the NESDIS DM.

b. Ensure that their respective DMs and Audit Liaison Representatives (ALR) coordinate so that any information related to Government Accountability Office (GAO) and/or Office of Inspector General (OIG) recommendations that require revisions be made to directives is appropriately captured. Confirmation that this coordination has been completed will be required in order for OSAAP to accept the directive into the NESDOCS system.

4.3.6 Official Review and Approval

4.3.6.1 The official review and approval processes for NESDIS-level directives may be different. NESDIS Officials responsible for establishing an official review and approval process 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 by specified organizations. This may include provisions to allow organizations an opportunity to request to be added or removed from the review.

Note: For NESDIS-level directives, the Inspector General is a mandatory reviewing office. The Responsible Office is responsible for completely dispositioning the Inspector General's comments.

c. Review by the NOAA Office of General Counsel, Weather, Satellites and Research Section.

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

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

f. For NESDIS-level directives, the Responsible Office shall:



(1) In the request for review, include cost/benefit impacts to implement new requirements; in terms of financial, human resources, and technical (e.g., associated costs to implement new requirements and what can be gained by implementing the new requirements); and potential for unintended consequences.

(2) Disposition all comments on the directives' technical content and cost/benefit impacts provided by reviewing organizations.

(3) Present unresolved proposed unfunded mandates to the IFRB for resolution in accordance with the Board's process described in Appendix F.

4.3.7 The Concurrence Process

4.3.7.1 DMs shall enter comments and a concurrence decision (e.g., concur, concur with comments, concur dependent upon disposition of comments, or non-concur) in NESDOCS for NESDIS-level directives.

Note: See Appendix A for concurrence decision definitions.

4.3.7.2 Reviewing Offices shall:

a. Review and submit comments and concurrence decision on NESDIS-level directives' cost/benefit impacts, as well as the directive's technical content, to their respective DM.

Note: Reviewing Offices are encouraged not to submit grammatical comments on NESDIS-level directives to prevent discrepancies in grammatical corrections done by OSAAP, prior to approval for issuance.

b. Notify functional organizations when proposed requirements in directives prevent implementation in an effort to mitigate and resolve and elevate unresolved mandates to the IFRB in accordance with the Board's process in Appendix F.

4.3.7.3 The legal office provides a concurrence decision on all directives (NOAA Office of General Counsel, Weather, Satellites and Research Section for NESDIS-level directives).

4.3.7.4 The CFO/CAO office shall record a concurrence decision on all directives (Chief Financial Officer for NESDIS-level directives; NESDIS Chief Financial Officer for NESDIS-level directives).

4.3.7.5 The CFO/CAO shall also record a concurrence decision on all directives (Human Capital Management for NESDIS-level directives; NESDIS Human Resources/Human Capital Management for NESDIS-level directives).

4.3.7.6 The CFO/CAO shall record a concurrence decision on all directives (Procurement for NESDIS-level directives; NESDIS Procurement/Acquisition for NESDIS-level directives).



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

4.3.7.7 If, during the concurrence process, a reviewing official's non-concurrence cannot be resolved with the Responsible Office, the Responsible Office shall document the nature of the impasse in the signature package.

4.3.7.8 The NESDIS Deputy Assistant Administrator shall be the decision authority for any impasse with a mandatory concurring offices.

4.3.7.9 When OICs and NESDIS Directors do not respond (concur/non-concur) on NESDIS-level directives by established suspense dates, OSAAP will notify respective OICs and CDs that a response is past due and grant a one-day extension for a response.

4.3.7.10 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.

4.3.8 Signature Package for NESDIS-level Directives

4.3.8.1 The Responsible Office shall prepare a final signature package that includes the following official files:

a. Action Document Summary (ADS) to include the following:

- (1) Evidence of concurrences from reviewing organizations and the concurrence of the responsible OIC.
- (2) *NESDIS Action Information Management System (AIMS)*.
- (3) AIMS 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.

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) Summary of non-concurrence(s) and attempts toward resolution, per 4.3.8.2 and 4.3.8.3.
- (5) Cost/benefit impacts for new resources that may be needed and a justification for why resources need to be expended to identify unfunded mandates.



Note: Unresolved proposed unfunded mandates are coordinated with the IFRB for resolution.

(6) Strategic impact (if any).

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

c. The original of the proposed directive.

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

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

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

Note: See package assembly instruction in Verification Matrix Table A in Appendix A.

4.3.8.2 If any reviewing official has non-concurred on the directive, the Responsible Office shall document the disagreement as part of the Executive Summary of the signature package, including:

a. An explanation for the non-concurrence.

b. A discussion of how the Responsible Office attempted to resolve the impasse and the outcome of those attempts.

c. The reason(s) the impasse remains unresolved.

d. The recommendation of the Responsible Office.

Note: Impasses related to costs/benefits information will be coordinated with the respective governing council.

4.3.8.3 If an impasse is reached between the Responsible Office and the Inspector General, the Responsible Office shall also document the impasse in the Executive Summary of the signature package.

4.3.8.4 The DM shall process the final package for signature according to approved local procedures.

4.3.9 Signature Packages for NESDIS-level directives. NESDIS Responsible Offices shall use established NESDIS instructions to prepare signature packages for NESDIS-level directives.

4.3.10 Final Approval

4.3.10.1 NPDs are signed by the NESDIS Assistant Administrator. NPRs are concurred on by the requesting OIC after review is complete and prior to receiving approvals by officials within the Assistant Administrator's



office and the NESDIS Assistant Administrator to publish the NPR. NPDs and NPRs are signed by CDs or designees. After receiving all signatures (e.g., approvals and concurrences) a directive becomes an official NESDIS directive and is controlled in an electronic documentation library. NESDIS-level directives are controlled in NESDOCS. NESDIS-level directives are controlled in electronic libraries established at each NESDIS office and are linked to NESDOCS.

4.4 Cancelling, Revising, Revalidating, or Making Administrative Corrections to Existing Directives

4.4.1 Responsible Offices shall submit a written justification via email to OSAAP for the cancellation or expiration of a directive.

4.4.2 Responsible Offices that need to revise an existing directive to reflect changes in policy or procedural requirements shall submit the directive for review and approval in the same manner as a new directive (see paragraph 4.3).

Note 1: If the change to the directive only impacts limited, discrete portions (paragraphs) of the directive, the Responsible Office may elect to only submit the paragraph changes for formal review and approval, as opposed to the entire document. However, if OSAAP determines the changes are too extensive for a paragraph review, a review of the entire document may be required.

Note 2: The cost/benefit impacts (see paragraph 4.3.6.1f) for revised directives need only discuss the impact of the revisions, not existing requirements.

Note 3: NPRs do not cancel NPDs, and NPRs may not cancel NPDs.

4.4.3 If a directive is due to expire, but the directive is current, necessary, and requires no changes, or only minor administrative changes (e.g., updates to document citations, office or position titles, references to other established policy or externally mandated instructions that may not be altered or edited, or substantive administrative changes that do not add or change policy or requirement), the Responsible Office shall request a revalidation for a period not to exceed five years, using the following process:

Note 1: Cost/benefit impacts (see paragraph 4.3.6.1f) 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.

- a. The Responsible Office provides an e-mail request to OSAAP with a list of the changes (or an electronic version of the directive showing the administrative changes).
- b. OSAAP reviews the directive for compliance with this NPR and coordinates corrections with the Responsible Office.
- c. OSAAP provides e-mail notification of the intent to revalidate the directive to DMs on an exception-only basis.



d. If there are no objections, OSAAP revalidates the directive, summarizes the administrative changes in the directive's change log, and extends the expiration date for another five years.

e. If there are objections, OSAAP determines whether the objections are valid and either approves the revalidation or requests that the document be submitted for formal review and approval.

4.4.4 If the Responsible Office needs to make minor administrative corrections (e.g., fixing typographical errors) during the life cycle of the directive, the Responsible Office may submit a request for administrative changes, via e-mail to OSAAP.

Note: Only the review and concurrence of OSAAP is needed to make administrative corrections. Administrative corrections should not change requirements. However, if OSAAP determines that these corrections do change requirements, a limited review of the changes/corrections may be required.

4.4.5 For NESDIS-level directives, NESDIS instructions apply.

4.5 Creating Interim Directives

4.5.1 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 interim directive (policy/requirement).

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

c. Submit the interim directive to the DM or designated organization for processing.

d. Obtain concurrence from the Office of the General Counsel for legal review.

e. Obtain concurrence from the Office of Human Capital Management to satisfy the NESDIS's obligation, in accordance with E.O. 13522, to provide the NESDIS's union representatives with a 30-day national consultation period.

f. Obtain concurrence from the Office of Procurement if the NID impacts NESDIS contracts, contractors, grants, or grantees.

g. Obtain concurrence from the Office of the Chief Financial Officer to ensure proper financial consideration.

Note: For NESDIS-level interim directives, responsible offices should consult OSAAP or the DM when preparing NIDs.

4.5.2 OSAAP shall include NIDs in the NESDOCS Library.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

4.5.3 For NIDs, Responsible Offices shall follow NESDIS instructions for coordinating and publishing, to include satisfying the requirements in accordance with E.O. 13522, to provide local union representatives with consultation period.

Note: Consult your NESDIS DM when preparing NIDs.

4.6 Hyperlinking Other Documentation to the NESDIS Directives Online Collaboration System (NESDOCS) Library

4.6.1 When a Responsible Office determines that a NESDIS Plan, Procedure Manual, Technical Standard, Work Instruction, or Other Policy Document is useful, but not appropriate for inclusion as a directive, the Responsible Office may use hyperlinking to make the related documentation available through NESDOCS. See Appendix D for description of these document types.

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

4.7 Case Files

4.7.1 OSAAP shall manage NESDIS-level directives case files that include all the material included in the Approving Official's Signature Package.

Note: See paragraph 4.3.8.1 for a list of materials that are included in a signature package and Appendix C Verification A for assembly of this material.

4.7.2 NESDIS-level directives case files shall be managed according to the NESDIS's process.



APPENDIX A. Definitions

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

Authority. The source from which a requirement is drawn; the responsible organization imposing the requirement.

Directives can be a policy, procedural requirements or an interim directive, and may be assigned wide or specific applicability.

NESDIS-level directives are directive with NESDIS-wide/specific applicability; e.g., NESDIS Policy Directives (NPDs); NESDIS Procedural Requirements (NPRs); and NESDIS Interim Directives (NIDs).

NESDIS Interim Directive (NID). Documents an immediate, short-term statement of the NESDIS's policies, requirements, and responsibilities for implementation.

NESDIS Policy Directive (NPD). Documents NESDIS-specific policy requirements and responsibilities.

NESDIS Procedural Requirements (NPR). Documents/establishes NESDIS-specific procedural requirements and responsibilities to implement the policies and procedural requirements defined in related NPDs, NPRs, or NPDs.

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.
- Non-concurrence. 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.

NESDIS Directive. A NESDIS document that transmits information required by law, the President, the NESDIS Assistant Administrator, or other senior NESDIS official that applies to all NESDIS activities or to a single NESDIS on how they initiate, govern, or control actions. NESDIS directives include: NESDIS Policy



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

Directives (NPD), NESDIS Procedural Requirements (NPR), NESDIS Interim Directives (NID), NESDIS Policy Directives (NPD), NESDIS Procedural Requirements (NPR), and NESDIS Interim Directives (NID).

NESDIS Directives System. The tools and processes used to create and promulgate NESDIS-level directives.

NESDIS Interim Directives (NIDs) provide an immediate, short-term statement of NESDIS' policies and responsibilities for policy implementation. NIDs are issued with a mandatory expiration date, not to exceed 12 months from the date of issuance, unless an extension is granted. NIDs apply to all of NESDIS including NESDIS Centers, Component Facilities and Technical and Service Support Centers. The signature authorities for NIDs is the Director, Office of System Architecture and Advanced Planning for NESDIS or the NESDIS Deputy Assistant Administrator. NIDs are promulgated and can be accessed through the NESDIS Directives Online Collaboration System (NESDOCS) library.

NESDIS Directives Online Collaboration System (NESDOCS). 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 NESDOCS DMS is used for the creation, review, revision, concurrence, approval, publication, and maintenance of NESDIS-level directives, and the generation of associated reports. The NESDOCS Library provides for full text searching of NESDIS- and NESDIS-level directives. It also provides links to other policy documents governing the NESDIS, including: NESDIS 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.

NESDIS Policy Directives (NPDs) are policy statements that describe what is required by NESDIS management to achieve NESDIS' vision, mission, and external mandates and who is responsible for carrying out those requirements. An NPD may be referenced in one or more NPR, Center-level directives, or other internal requirements. NPDs apply to all of NESDIS including NESDIS Centers, Component Facilities and Technical and Service Support Centers. The signatory authority for NPDs is the NESDIS Assistant Administrator. NPDs are promulgated and can be accessed through the NESDIS Directives Online Collaboration System (NESDOCS) library.

NESDIS Procedural Requirements (NPRs) provide NESDIS' mandatory instructions and requirements to implement NESDIS policy as delineated in an associated NPD. All NPRs relate to one or more NPDs. NPRs apply to all of NESDIS including NESDIS Centers, Component Facilities and Technical and Service Support Centers. The signatory authority for NPRs is the Director, Office of System Architecture and Advanced Planning for NESDIS or the NESDIS Deputy Assistant Administrator. However, prior to signature, NPRs are concurred on by NESDIS Directors within NESDIS. NPRs are promulgated and can be accessed through the NESDIS Directives Online Collaboration System (NESDOCS) library.

NESDIS Quality Procedures (NQPs) refers to NESDIS quality procedures that have had prior approval in respect to this directive's effective date. NQPs were established for reasons of health, safety, security, efficiency, and effectiveness. The expiration date of NQPs, if not specified, will not exceed either five years from their last revision date or the expiration date of this directive. Following the expiration date, if the procedure is to remain effective, the procedure must follow the NPR guidelines defined in the directive. The reference to NQP will be replaced with NPR, if there is a conflict in the directive number, the Directive



Manager will facilitate getting a new number assigned. NPQ's are promulgated and can be accessed through the NESDIS Directives Online Collaboration System (NESDOCS) library.

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.

Policy. Describes the philosophies, fundamental values, and general direction of the NESDIS or NESDIS 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 requirement is 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 Responsible Office is the office that has responsibility for the development, maintenance, and verification of a directive.

Revalidation. Revalidation is the process for renewing a NESDIS directive when the directive is current and necessary and requires no changes or only minor administrative changes (e.g., updates to document citations, office or position titles, or references to other established policy or externally mandated instruction that may not be altered/edited).

Unfunded Mandates.

- *Internal UFM*s – An NESDIS-directed action, such as the establishment of a new requirement, a change in charging practices without an adjustment made across accounts at the NESDIS level, or a requirement change that compels recipient organizations to expend any type of resources (procurement or labor) without being provided NESDIS funds to cover the direct and indirect costs of implementing the actions.
- *External UFM*s – 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. Unresolved UFM's are mandates that cannot be successfully resolved between NESDIS Organizations, and the responsible office issuing the mandate.

Verification. Verification is the process of proving or demonstrating that requirements have been satisfactorily met.

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



APPENDIX B. Acronyms

AA	Assistant Administrator
ACIO	Assistant Chief Information Officer- Satellites
ALR	Audit Liaison Representative
AIMS	NESDIS Action Information Management System
APMC	NESDIS Program Management Council
DAA	Deputy Assistant Administrator
DD	Deputy Director
ND	NESDIS Director
CFO/CAO	Chief Financial Officer/ Chief Administration Officer
COR	Contracting Officer Representative
DM	Directives Manager
DMS	Document Management System
DOC	Department of Commerce
EC	Executive Council
FFRDC	Federally Funded Research & Development Center
IFRB	Integrated Functional Review Board (e.g., UFM)
OSAAP	Office of System Architecture & Advanced Planning
NESDOCS	NESDIS Online Technical Information System
NID	NESDIS Interim Directive
NOAA	National Oceanic and Atmospheric Administration
NPD	NESDIS Policy Directive
NPR	NESDIS Procedural Requirements
NRRS	NESDIS Records Retention Schedules
NTS	NESDIS Technical Standard
OGC	Office of the General Counsel
OHCM	Office of Human Capital Management
OIC	Official-in-Charge
QCL	Quality Control Liaison



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

UFM Unfunded Mandates
U.S.C. United States Code



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX C. Verification Matrices

**NPR 1400.1 Verification Matrix Table A
NPDs/NPRs**

Directive ID: _____
Review Date: _____

Do responsible offices follow the required processes specified in this NPR for NESDIS-level directives initiated or revised after the effective date of this NPR? To determine process compliance, the Office of Internal Controls and Management Systems monitors the processing of each NESDIS-level directive through NESDIS Online Directive Information System (NESDOCS) and the subsequent signature process to ensure that all process steps and requirements have been completed correctly by all of the process participants.

1400.1 Req't Para	Process Steps/Requirements	Compliant	Non-Compliant
4.3.5.1a	Requirement - Did the Responsible Office send directive to CFO/CAO for union coordination? <i>Note: Confirmation of completion CFO/CAO's e-mail to the union?</i> If yes, compliant. If no, not compliant.		
4.3.5.1b	Requirement - Did the Responsible Office send directive to the Audit Liaison Representative (ALR) to confirm if there are OIG/GAO recommendations tied the directives? <i>Note: Confirmation of completion?</i> If yes, compliant. If no, not compliant.		
None	Process Step - Did Responsible Office meet suspense date to place directive on the review schedule? <i>Note: View Summary of Actions schedule in NESDOCS?</i> If yes, compliant. If no, not compliant.		
4.3.6.1f(1)	Requirement - Did the Responsible Office provide cost/benefit impacts (e.g., financial, human resources, technical) to implement the new requirements? If yes, compliant. If no, not compliant.		
4.3.7.2	Requirement - Did reviewing offices review, comment, and provide a concurrence decision on cost/benefit impacts described?, in addition to the technical content contained in the directive? If yes, compliant. If no, not compliant.		
4.3.1, 1.2.6	Requirement - Was the directive coordinated, approved, and published within established timeline? If yes, compliant. If no, not compliant.		
2.13.1i	Requirement - Did the Responsible Office request extensions 10 calendar days prior to the suspense date? If yes, compliant. If no, not compliant.		
2.13.1h	Requirement - Did Responsible Office meet suspense date to submit signature package for final approval? <i>Note: View Summary of Actions schedule in NESDOCS and NESDOCS/AIMS tracking for supporting material.</i> If yes, compliant. If no, not compliant.		
4.3.8.1	Requirement - Did the Responsible Office prepare final signature package with the material listed below? If yes, compliant. If no, not compliant.		
4.3.8.1a	Evidence of concurrence and the approval of the responsible OIC.		
4.3.8.1b	The original of the proposed directive.		
4.3.8.1c	Executive Summary to include the following:		
4.3.8.1c(1)	Purpose and justification for new requirement(s).		
4.3.8.1c(2)	Summary of significant changes if directive is being revised.		
4.3.8.1c(3)	Summary of significant comments received during the review.		
4.3.8.1c(4)	Summary of non-concurrence(s) and attempts towards resolution, per 4.3.8.2 and 4.3.8.3.		
4.3.8.1c(5)	Cost/benefit impacts for new resources that may be needed and justification for why resources need to be expended to identify unfunded mandates.		
4.3.8.1c(6)	Strategic Impact (if any).		
4.3.8.1c(7)	Description of Presidential initiative/external action (if any).		
4.3.8.1c(8)	Assistant Administrator's NESDIS Action Tracking (AIMS) ID (e.g., A/2010-00123).		
4.3.8.1c(9)	AIMS due date.		
4.3.8.1c(10)	Quality Control Liaison's (QCL) name, number, and date of QCL review.		
4.3.8.1c(11)	Special Instructions (if any).		
4.3.8.1c(12)	Directives Manager's name and number.		
4.3.8.1d	A copy of the directive's Review Report of all comments and dispositions.		
4.3.8.1e	Any additional documents that convey executive direction and supporting material.		
4.3.8.1f	One copy of each directive to be cancelled by the proposed directive when it is approved.		
4.3.8.1f Note	Did the Responsible Office assemble the signature package according to the attached package assembly instructions checklist?		
4.3.6.1f(2)	Requirement - Did the Responsible Office disposition all comments on the directive's content and cost benefit impacts? If yes, compliant. If no, not compliant.		
4.3.8.2	Requirement - Did the Responsible Office document disagreement with non-concurring offices in the Executive Summary to include the following:		
4.3.8.2a	An explanation for the non-concurrence.		
4.3.8.2b	A discussion of how the Responsible Office attempted to resolve the impasse and the outcome of those attempts.		
4.3.8.2c	The reason(s) the impasse remains unresolved.		
4.3.8.2d	The recommendation of the Responsible Office.		
4.3.8.3	Requirement - If an impasse is reached between the Responsible Office and the Inspector General, is the impasse documented in the Executive Summary of the signature package? If yes, compliant. If no, not compliant.		
4.3.8.1a(4)	Requirement - Did the Responsible Office's Quality Control Liaison sign the ADS? If yes, compliant. If no, not compliant.		
None	Process Step - Did OSAAP distribute notification of new/revised directive? If yes, compliant. If no, not compliant.		
None	Process Step - Did OSAAP update the Standards Update Notification System?		



APPENDIX C. Verification Matrices (Cont'd)

**NPR 1400.1 Verification Matrix Table A (Cont'd)
Signature Package Assembly Instructions**

Directive ID: _____
Review Date: _____

- Does the signature package contain printable forms from the signature package page in NESDOCS?
- Does the signature package contain the appropriate directives package tabs?
- Is the signature package assembled in a purple folder in the following order?
- Outside of folder, front:
 - Executive Correspondence (clear plastic) cover.
 - Action Document Summary (ADS).
- Inside of folder, left side:
 - Executive Correspondence (clear plastic) cover.
 - ADS Executive Summary.
 - Review Report Tab.
 - Review Report.
 - White Divider Tab labeled "Redline"
 - Track changes version of the directive
 - Additional Comments Tab.
 - Additional documents that convey executive direction and supporting material (e.g., e-mails, verification matrices).
 - NESDIS Directive Request Summary
 - Cancelled Directive(s) Tab
 - Directive(s) cancelled by the approved directive.
- Inside of folder, right side for an NPR:
 - Executive Correspondence (clear plastic) cover.
 - The NPR
- Inside of folder, right side for an NPD:
 - Executive Correspondence (clear plastic) cover.
 - The NPD with the signature tab, preceding the signature page in the NPD.



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX C. Verification Matrices (Cont'd)

**NPR 1400.1 Measurement/Verification Matrix Table B-1
NESDIS Policy Directive (NPD)**

Directive ID: _____
Review Date: _____

Do Responsible Offices prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for NESDIS-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each NESDIS-level directive during the NESDOCS review and verifies that the content requirements have been met.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPD Elements and Structure			
3.6.2a-g	Are the following required elements in the NPD: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents and Forms; 5. Responsibility; 6. Delegation of Authority; 7. Measurement/Verification; 8. Cancellation, Signature Block, Attachment, Graphic, Distribution Statement? If yes, compliant. If no, not compliant. If there is no attachment or graphic, state "None."		
3.6.3b	<u>Paragraph 1. Policy:</u> Policy Statement. Is there a policy statement (e.g., It is NESDIS's policy to) with no requirement "shall" statements? If yes, compliant. If no, not compliant.		
3.6.3c(1)-(3)	<u>Paragraph 2. Applicability:</u> Does the NPD contain the following statement: "This NPD is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support centers." If applicable to FFRDC, state, "This language applies to an FFRDC, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action (e.g., shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.6.3d	<u>Paragraph 3. Authority:</u> Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.6.3e 3.3.1b(1)&(2)	<u>Paragraph 4. Applicable Documents and Forms:</u> Are the applicable documents and forms, cited within the body of the directive, listed in paragraph 4? Conversely, are applicable documents, listed in paragraph 4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-g	<u>Authorities, Applicable Documents, and Reference Documents:</u> Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, NPD, NESDIS Standard, non-NESDIS government standards, and other documents) and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly consistent with how they are listed in paragraph 4? If yes, compliant. If no, not compliant.		
3.6.3f	<u>Paragraph 5. Responsibility:</u> Are responsibility statements for implementation attributed to the highest level possible. Are shall statements used to specify specific actions (not general statements)? Are responsibilities not dictated by the organizational leader?		
3.6.3g	<u>Paragraph 6. Delegation of Authority:</u> Are there any delegations? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3h	<u>Paragraph 7. Measurement/Verification (M/V):</u> Does information support senior management's evaluation of performance for compliance? If yes, compliant. If no, not compliant.		
3.6.3i	<u>Paragraph 8. Cancellation:</u> If NPD cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
NPD Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall?" If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique policy statements (not duplication of existing policy statements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant.		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NESDIS Organization Plan? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used in requirements statement? If no, compliant. If yes, not compliant.		
3.5.1d	Is text aligned along the left margin? If yes, compliant. If no, not compliant.		
3.5.1e	Are notes indented and italicized? If yes, compliant. If no, not compliant.		
3.5.1f	Are figures and tables centered w/figures numbered and tables lettered? If yes, compliant. If no, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
3.5.1h& 3.6.3m	Are paragraphs and subparagraphs numbered in accordance with Figure 3? If yes, compliant. If no, not compliant.		
3.6.3o	Are paragraphs numbered accordingly in the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.3p	Are definitions listed in Attachment A in alphabetical order w/out paragraph numbers and only terms used that are uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.6.3q	Are acronyms listed in Attachment B in alphabetical order w/out paragraph numbers? If yes, compliant. If no,		



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

1400.1 Paragraph	Description	Compliant	Not Compliant
	not compliant.		
3.6.	Are procedural requirements documented? If no, compliant. If yes, not compliant.		
2.13.1g	Did the Responsible Office complete corrective action? If yes, compliant. If no, not compliant.		



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX C. Verification Matrices (Cont'd)

**NPR 1400.1 Measurement/Verification Matrix Table B-2
NESDIS Procedural Requirements (NPR)**

Directive ID: _____
Review Date: _____

Do responsible offices prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for NESDIS-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the content of each NESDIS-level directive during the NESDOCS review and verifies that the content requirements have been met.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPR Elements and Structure			
3.7.2a-g (3.7.3)	Does the NPR contain the appropriate elements (e.g., Table of Contents (TOC), Change Log, Preface, Chapters, Appendices)? If yes, compliant. If no, not compliant.		
3.7.2c	Does the TOC contain a preface and chapter titles with second level paragraphs titles, and appendices? If yes, compliant. If no, not compliant.		
3.7.4h	Are chapter paragraphs numbered in accordance with Figure 5? If yes, compliant. If no, not compliant.		
Preface Elements and Structure			
3.7.2e	Does the Preface contain the appropriate elements (e.g., P.1 Purpose, P.2 Applicability, P.3 Authority, P.4 Applicable Documents and Forms, P.5 Measurement/Verification, P.6 Cancellation)? If yes, compliant. If no, not compliant.		
3.7.4a	<u>P.1 Purpose</u> - Does the Purpose describe the rationale for establishing the NPR and what will be accomplished by implementing the NPR? If yes, compliant. If no, not compliant.		
3.7.4b	<u>P.2 Applicability</u> - Does the NPR contain the following statement: "This NPR is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support Centers." If applicable to FFRDC state, "This language applies to an FFRDC, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action? Does the document contain the description statements for action verbs (shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.7.4c	<u>P.3 Authority</u> - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.7.4d 3.3.1b(1)&(2)	<u>P.4 Applicable Documents and Forms</u> - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph P.4? Conversely, are the applicable documents and forms, listed in paragraph P.4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-g	<u>Authorities, Applicable Documents, and Reference Documents</u> - Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, NPD, NPR, NESDIS Standard, NESDIS Forms, non-NESDIS Government standards, and other documents) and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly consistent with how they are listed in paragraph P.4? If yes, compliant. If no, not compliant.		
3.7.4e	<u>P.5 Measurement/Verification (M/V)</u> - Does information support senior management's evaluation of performance for compliance? If yes, compliant. If no, not compliant.		
3.7.4f	<u>P.6 Cancellation</u> - If NPR cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4g	Are Preface paragraphs numbered in accordance with Figure 4? If yes, compliant. If no, not compliant.		
NPR Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall"? If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant.		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NESDIS Organization Plan? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used in requirements statement? If no, compliant. If yes, not compliant.		
3.5.1c	Are page numbers used and indexed TOC excluded? If yes, compliant. If no, not compliant.		
3.5.1d	Is text aligned along the left margin? If yes, compliant. If no, not compliant.		
3.5.1e	Are notes indented and italicized? If yes, compliant. If no, not compliant.		
3.5.1f	Are figures and tables centered w/figures numbered and tables lettered? If yes, compliant. If no, not compliant/		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
NPR Appendices			
3.7.4i	Do appendices contain requirements? If no, compliant. If yes, not compliant.		
3.7.4j	Are paragraphs numbered accordingly in the appendix (e.g., A.1, A.2) excluding appendices containing acronyms and definitions? If yes, compliant. If no, not compliant		
3.7.4k	Are definitions listed in Appendix A in alphabetical order w/out paragraph numbers, and are the terms used in the NPR uniquely different from the dictionary? If yes, compliant. If no, not compliant.		



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

1400.1 Paragraph	Description	Compliant	Not Compliant
3.7.4l	Are acronyms listed in Appendix B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.7.4m	If there is a verification matrix, is it included Appendix C? If yes, compliant. If no, not compliant.		
2.13.1g	Did the Responsible Office complete corrective action? If yes, compliant. If no, not compliant.		



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX C. Verification Matrices (Cont'd)

**NPR 1400.1 Measurement/Verification Matrix Table C-1
NESDIS Policy Directive (NPD)**

Directive ID: _____
Review Date: _____

Is NESDIS following the content and process requirements of this NPR, that are applicable, for NESDIS-level directives initiated or revised after the effective date of this NPR? To determine NESDIS compliance with this NPR, NESDIS Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the NESDIS. The Office of Internal Controls and Management Systems surveys the NESDIS and conducts spot-checks every three years to review NESDIS documentation and implementation of NESDIS-specific verification activity.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPD Elements and Structure			
3.6.2a-g	Are the following required elements in the NPD: Change Log; 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents and Forms; 5. Responsibility; 6. Delegation of Authority; 7. Measurement/Verification; 8. Cancellation, Signature Block, Attachment, Graphic, Distribution? If yes, compliant. If no, not compliant. If there is no attachment or graphic, state "None."		
3.6.3b	Paragraph 1. Policy - Policy Statement. Is there a policy statement (e.g., It is NESDIS's policy to) with no requirement "shall" statements? If yes, compliant. If no, not compliant.		
3.6.3c(1)-(3)	Paragraph 2. Applicability - Does the NPD contain the following statement: "This NPD is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support Centers." If applicable to FFRDC, state, "This language applies to FFRDC, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action (e.g., shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.6.3d	Paragraph 3. Authority - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.6.3e 3.3.1b(1)&(2)	Paragraph 4. Applicable Documents and Forms - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph 4? Conversely, are the applicable documents and forms, listed in paragraph 4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents - Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, NPD, NESDIS Standard, non-NESDIS Government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly consistent with how they are cited in paragraph 5? If yes, compliant. If no, not compliant.		
3.6.3f	Paragraph 5. Responsibility - Are responsibility statements for implementation attributed to the highest level possible? Are shall statements used to specify specific actions (not general statements)? Are responsibilities not dictated by the organizational leader? If yes, compliant. If no, not compliant.		
3.6.3g	Paragraph 6. Delegation of Authority: Are there any delegations? If not, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3h	Paragraph 7. Measurement/Verification (M/V) - Does information support senior management's evaluation of performance for compliance? If there are no M/Vs, is "None" stated? If yes, compliant. If no, not compliant.		
3.6.3i	Paragraph 8. Cancellation - If NPD cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
NPD Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall"? If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique policy statements (not duplication of existing policy statements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant/		
3.2.1	Are position and office titles used to assign responsibilities, and are these titles consistent with NESDIS Organization Plan? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
3.5.1h&3.6.3m	Are paragraphs and subparagraphs numbered in accordance with Figure 3? If yes, compliant. If no, not compliant.		
3.6.3o	Are paragraphs numbered accordingly in the attachment (e.g., A.1, A.2), excluding attachments containing acronyms and definitions? If yes, compliant. If no, not compliant.		
3.6.3p	Are definitions listed in Attachment A in alphabetical order w/out paragraph numbers, and are only terms used that are uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.6.3q	Are acronyms listed in Attachment B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not compliant.		
3.6.4	Are procedural requirements documented? If no, compliant. If yes, not compliant.		



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021



**NESDIS
Procedural
Requirements**

NPR 1400.1A
Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX C. Verification Matrices (Cont'd)

**NPR 1400.1 Measurement/Verification Matrix Table C-2
NESDIS Procedural Requirements (NPR)**

Directive ID: _____
Review Date: _____

Is NESDIS following the content and process requirements of this NPR, that are applicable, for NESDIS-level directives initiated or revised after the effective date of this NPR? To determine NESDIS compliance with this NPR, NESDIS Directors, or designees, determine and document compliance by applying a verification approach that is tailored to meet the needs of the NESDIS. The Office of Internal Controls and Management Systems surveys NESDIS and conducts spot-checks every three years to review NESDIS documentation and implementation of NESDIS-specific verification activity.

1400.1 Paragraph	Description	Compliant	Not Compliant
NPR Elements and Structure			
3.7.2a-g (3.7.3)	Does the NPR contain the appropriate elements (e.g., Table of contents (TOC), Change Log, Preface, Chapters, Appendices)? If yes, compliant. If no, not compliant.		
3.7.2c	Does the TOC contain a preface and chapter titles with second-level paragraphs titles, and appendices? If yes, compliant. If no, not compliant.		
3.7.4h	Are chapter paragraphs numbered in accordance with Figure 5? If yes, compliant. If no, not compliant.		
Preface Elements and Structure			
3.7.2d	Does the Preface contain the appropriate elements (e.g., P.1 Purpose, P.2 Applicability, P.3 Authority, P.4 Applicable Documents and Forms, P.5 Measurement/Verification, P.6 Cancellation) If yes, compliant. If no, not compliant.		
3.7.4a	P.1 Purpose - Does the Purpose describe the rationale for establishing the NPR and what will be accomplished by implementing the NPR? If yes, compliant. If no, not compliant.		
3.7.4b	P.2 Applicability - Does the NPR contain the following statement: This NPR is applicable to all of NESDIS, including NESDIS Centers, Component Facilities and Technical and Service Support Centers." If applicable to FFRDC, state, "This language applies to an FFRDC, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements." Is there a statement that denotes requirements or other forms of action? Does the document contain the description statements for action verbs (shall/will/can/may/is)? If yes, compliant. If no, not compliant.		
3.7.4c	P.3 Authority - Does the higher-level document justify establishing the directive? If yes, compliant. If no, not compliant.		
3.7.4d 3.3.1b(1)&(2)	P.4 Applicable Documents and Forms - Are the applicable documents and forms, cited within the body of the directive, listed in paragraph P.4? Conversely, are the applicable documents and forms, listed in paragraph P.4, cited within the body of the directive? If yes, compliant. If no, not compliant.		
3.3.2a-f	Authorities, Applicable Documents, and Reference Documents - Are these citations listed numerically or alphabetically in order by title if number does not exist (e.g., USC, PL, EO, CFR, FR, OMB Circular, NPD, NPR, NPD, NPR, NESDIS Standard, NESDIS Forms, non-NESDIS Government standards, and other documents), and formatted correctly with revision letter designations excluded from directive citations? Are citations formatted correctly consistent with how they are cited in paragraph P.4? If yes, compliant. If no, not compliant.		
3.7.4e	P.5 Measurement/Verification (M/V) - Does information support senior management's evaluation of performance for compliance? If there are no M/Vs, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4f	P.6. Cancellation - If NPR cancels one or more directives, is/are the number(s), title(s), effective date(s) stated? If there are no cancellations, is "None" stated? If yes, compliant. If no, not compliant.		
3.7.4g	Are Preface paragraphs numbered in accordance with Figure 4? If yes, compliant. If no, not compliant.		
NPR Content			
3.1.1a-d	a. Are requirements statements denoted by the word "shall"? If yes, compliant. If no, not compliant. b. Do requirements designate at least one official (by position title) or organization responsible and accountable for completing the requirements? If yes, compliant. If no, not compliant. c. Do requirements identify what action shall be accomplished or what product shall be provided to demonstrate compliance with the requirements? If yes, compliant. If no, not compliant. d. Is each requirements statement separately stated with one "shall" statement per paragraph? If yes, compliant. If no, not compliant.		
3.1.2	Does the document contain unique requirements (not duplication of existing requirements)? If yes, compliant. If no, not compliant.		
3.1.3	Is the document free of technical requirements? If yes, compliant. If no, not compliant.		
3.2.1	Are position and office titles used to assign responsibilities and are these titles consistent with NESDIS Organization Plan used? If yes, compliant. If no, not compliant.		
3.5.1b	Are caveat phrases (e.g., as applicable, as appropriate, whenever possible) used? If no, compliant. If yes, not compliant.		
3.5.1g	Is correct phrasing used to denote requirements or other forms of action (e.g., shall, may/can, should, will, are/is)? If yes, compliant. If no, not compliant.		
NPR Appendices			
3.7.4i	Do appendices contain requirements? If yes, not compliant. If no, compliant.		
3.7.4j	Are paragraphs within appendices 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		
3.7.4jk	Are definitions listed in Appendix A in alphabetical order w/out paragraph numbers, and are the terms used in the NPR uniquely different from the dictionary? If yes, compliant. If no, not compliant.		
3.7.4l	Are acronyms listed in Appendix B in alphabetical order w/out paragraph numbers? If yes, compliant. If no, not		



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

1400.1 Paragraph	Description	Compliant	Not Compliant
	compliant.		
3.7.4m	If there is a verification matrix, is it included Appendix C? If yes, compliant. If no, not compliant.		



APPENDIX D. Relationship between NESDIS Directives and Other NESDIS Documents

D.1 NESDIS directives work in conjunction with other NESDIS documents, such as plans, manuals, NESDIS Technical Standards, work instructions, and other policy documents. NESDIS directives provide the overarching requirements which serve as the framework for lower-level NESDIS internal organizational and task requirements.

D.1.1 Relationship between NESDIS Directives and Plans

D.1.1.1 Planning documents, such as implementation plans or the human capital plans (described in NESDIS 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 NESDIS, while plans describe goals, objectives, and requirements applicable to very specifically defined elements of NESDIS.

D.1.1.2 Plans are typically developed, approved, and controlled outside of the NESDIS Directives System, except as follows:

a. NESDIS Plans (i.e., NESDIS Strategic Plan- 2016, Continuity of Operations Plan, Emergency Preparedness Plan, Safety, Health, Environmental Plan, etc.), derived by law, have NESDIS-level and NESDIS-specific applicability and are controlled in the NESDIS 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 NESDIS Official.

D.1.2 Relationship between NESDIS Directives and Other NESDIS 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 NESDIS 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 NESDIS directives.

D.1.2.3 Manuals are typically developed, approved, and controlled outside of the NESDIS Directives System.

D.1.2.4 Manuals that implement NESDIS directives are typically hyperlinked to their associated NESDIS directives.

D.1.3 Relationship between Directives and NESDIS Technical Standards



D.1.3.1 NESDIS 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.

D.1.3.2 NESDIS Technical Standards may also be referenced as guidance on acceptable methods for meeting requirements of NESDIS directives, lessons learned, and recommended practices.

D.1.3.3 NESDIS Technical Standards are developed, approved, and controlled by NASA NPR 7120.10, Technical Standards for 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 NESDIS's strategic requirements and NESDIS 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 NESDIS Directives System. Typically, the requirements for work instructions fall under the scope of the NESDIS Management System, as defined in NPD 1280.1, NESDIS Integrated Management System Policy. These documents may be included in the directives system's documentation libraries.

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

D.1.5.1 NPSs are statements that reiterate the NESDIS'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 NAIs are NESDIS-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 NESDIS level (such as through an NPR), but there are principles, guidance, and instructions that are considered when developing processes at the NESDIS or organization level. An NAII is also used to provide direction relating to the implementation of responsibilities under NPDs or NPRs.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

APPENDIX E. Sample NPD and NPR

E.1 Sample NPD

View NPD 1400.1, Documentation and Promulgation of NESDIS Internal Requirements as a sample.

E.2 Sample NPR

View this NPR as a sample.



APPENDIX F. Integrated Functional Review Board Process

Rules of Engagement for Elevation and Consideration of new- Policy/Interim Directives, Procedural Requirement &/or Unfunded Mandates

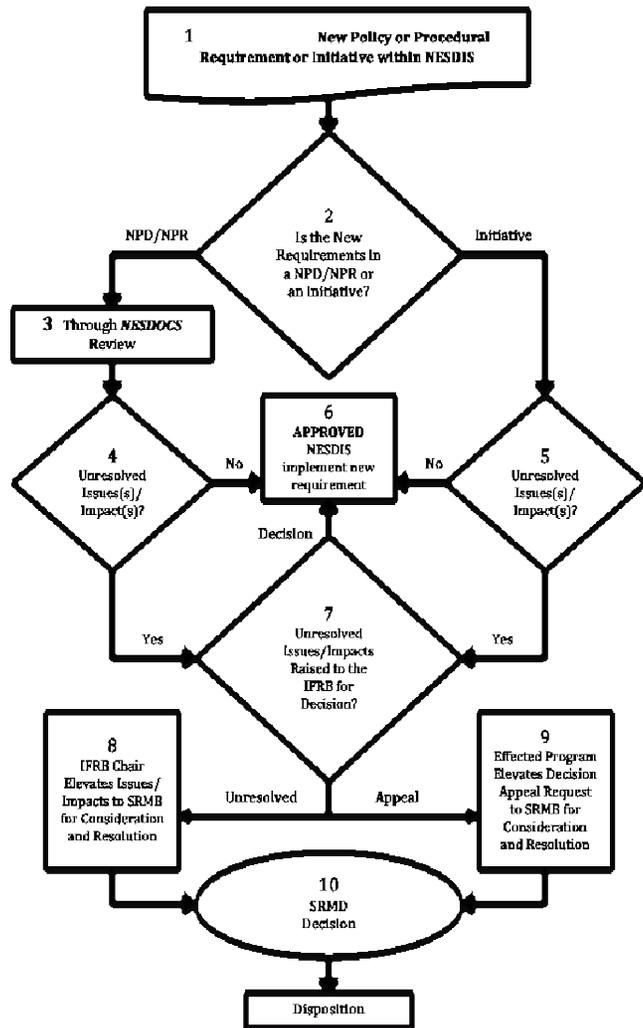


Figure 7, Integrated Functional Review Board Process

The Rules of Engagement (ROE) for Elevation and Consideration of new/updated Policy Directives, Procedure Requirements and/or Unfunded Mandates (UFMs) are to be used for new policy and procedural requirements and new initiatives that meet the UFM definitions as they apply to the NESDIS Appropriation Account. For new/updated policy/interim directives or procedural requirements, the process will follow steps 1 through 6 unless there are unresolved issues or impacts. This process (Steps 7 through 10 on the flow chart) is to be used only after all existing avenues of mitigation and resolution (Steps 4 and 5) have been exhausted by NESDIS functional organization. This process is meant for new requirements and should not be used to address existing requirements unless the magnitude of the existing requirements has grown beyond the ability to be absorbed within the current appropriation account.

UFM Definitions within the NESDIS Appropriation Account:

Internal UFM: A Department/ Agency-directed action, such as the establishment of a new requirement, a change in charging practices without an adjustment made across accounts at the NESDIS level, or a requirement change, that compels recipient organizations to expend any type of resource (procurement, labor) without being provided Department/ Agency funds to cover the direct and indirect cost of implementing the action.

External UFM: Federal statutes, regulations and policies that require parties to expend resources to achieve executive, legislative and judicial goals without being provided the federal funding to cover the costs.

The ROE for UFMs Process Flow is designed to show the relationship between existing processes and the new UFM elevation process. The ROE for UFMs process flow step descriptions are provided to aid understanding in the overall process flow.

Process Flow Step Descriptions

Step 1: A policy or procedural requirement or initiative generates a new requirement(s) that did not previously exist and has implementation impacts on one or more NEDIS organizations.

Step 2: The owning functional organization determines whether the new requirement will be codified in a Policy or Procedural Directive, or whether it will be implemented through some other means, such as a letter of direction.

Step 3: Policy or Procedural requirements are issued through the NESDOCS Review Process. A requirement is determined to be “new” when a “shall statement” that did not previously exist is levied inside the directive.

Step 4: The NESDOCS review process includes existing mechanisms that allow NESDIS functional organizations to concur-with-comment or non-concur with new requirements. This step includes resolution efforts to mitigate or resolve the issue once a concur-with-comment or non-concur is posted. NESDIS functional organizations should maximize efforts to resolve resources and implementation issues during this process step.

Step 5: Initiatives that contain new requirements can be communicated through various methods within NESDIS. During discussions resolution efforts should be maximized to mitigate or resolve resource or implementation issues associated with the new requirements.

Step 6: NESDIS implementation of new requirement

Step 7: When resources or implementation issues cannot be resolved between functional organizations requirements owner(s), OSAAP Deputy Director or the effected Program Director(s) can elevate the issue to the OSAAP Director for consideration. The OSAAP Director will convene the Integrated Functional Review Board (IFRB) which will serve as the NESDIS’ assessment and decision-making body for consideration and disposition of UFMs. The IFRB Chair will have final decision authority on resolution for issues assessed and discussed by the IFRB.

Step 8: If the IFRB Chair cannot reach a decision on UFM issue resolution, the Chair will elevate the issue to the NESDIS Assistant Administrator (AA) for consideration and resolution.

Step 9: If a functional Program Office (PO) does not agree with the issue resolution by the IFRB Chair, and wants to appeal the decision, the PO will request consideration for decision appeal to the NESDIS Strategy and Resources Management Board (SRMB).

Step 10: The SRMD will serve as the Final decision authority should steps 8 or 9 be invoked; with disposition as appropriate.



**NESDIS
Procedural
Requirements**

NPR 1400.1A

Effective Date: July 30, 2016
Expiration Date: July 30, 2021

Last page