



NESDIS  
Policy  
Directive

**NPD 1400.1A**

Effective Date: July 29, 2016  
Expiration Date: July 29, 2021

**NPD 1400.1A**

# NOAA/NESDIS



*DRAFT – Waiting Signatures*

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

## NESDIS POLICY DIRECTIVE FOR DOCUMENTATION AND PROMULGATION OF INTERNAL REQUIREMENTS 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)**



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## Approval Page

Document Number: <b>NPD 1400.1A</b> , Revision 0.X	
Document Title Block: <b>DOCUMENTATION AND PROMULGATION OF NESDIS INTERNAL REQUIREMENTS AND CHARTERS</b>	
<b>Process Owner:</b> Mark Mulholland	<b>Document Release Date:</b> July XX, 2016

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NESDIS Assistant Administrator for Satellite and  
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Date:



### Document Change Record

VERSION	DATE	CCR #	SECTIONS AFFECTED	DESCRIPTION



## **1. POLICY**

a. It is NESDIS policy to establish, document, and promulgate internal NESDIS requirements in order to communicate these requirements in a clear, efficient, and concise manner, and where necessary, to fulfill NESDIS' vision, mission, and external mandates.

(1) An internal NESDIS "requirement" is a statement of mandatory instructions, imposed by NESDIS, that a NESDIS employee or organization will perform or a statement of form "and/or" function that a piece of equipment or system will meet.

(2) An internal NESDIS "requirements document" is any document used to record and communicate the internal requirements and responsibilities necessary to fulfill NESDIS' vision, mission, and external mandates.

b. NESDIS' policy is to also establish charters to govern councils, boards, committees, panels, or working groups mandated by statute, the NESDIS Assistant Administrator, or Officials-in-Charge of NESDIS Offices in order to make decisions for NESDIS.

c. It is NESDIS policy that all internal NESDIS requirements documents are:

(1) Developed and controlled by a documented process.

(2) Clearly labeled as containing requirements.

(3) Available Department wide to those who need them.

(4) Verifiable for internal/external audits.

(5) Current.

(6) Traceable to governing documents.

d. It is NESDIS policy to review all NESDIS-level directives for cost/benefit impacts, as described in NPR 1400.1, NESDIS Directives and Charters Procedural Requirements.

e. It is NESDIS policy that all internal NESDIS charters comply with the provisions of paragraphs 1a and 1c, excluding paragraphs 1c(2) and (4).

f. When internal requirements are consistent with the purpose of an external requirement but meet or exceed those requirements, thereby making internal requirements more stringent, it is NESDIS policy that the internal NESDIS requirements apply. (See Attachment C for examples of external requirements).

g. It is NESDIS policy that NESDIS directives take precedence over all other internal NESDIS requirements. The flow and order of precedence for internal NESDIS documents are described in Figure 1 of Attachment D. Attachment A provides the definition for the documents that constitute NESDIS directives.



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h. It is NESDIS policy that internal NESDIS documents other than directives, such as the examples mentioned in Attachment C, become requirements when a directive specifies its use (by citing the document's title, revision letter/number, and date) or when a NESDIS manager with authority over a NESDIS program, project, or other activity, identifies it as a requirement.

## **2. APPLICABILITY**

a. This NPD is applicable to all of NESDIS including NESDIS Centers, Component Facilities and Technical and Service Support Centers.

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

c. In this NPD, 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 or is" denote descriptive material.

## **3. AUTHORITY**

a. Administrative, 40 U.S.C. 121(c)(2), Pub. L. 107-217, § 1, Aug. 21, 2002, 116 Stat. 1062.

b. 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).

c. Creation, Maintenance, and Use of Records, 41 CFR pt. 102-193.25(c).

## **4. APPLICABLE REFERENCES AND DOCUMENTS**

a. Inspector General Act of 1978, as amended, 5 U.S.C. app.

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) Open Government Directive Memorandum M-10-06 (Dec. 8, 2009); in response to the Presidential Memorandum on Transparency and Open Government (Jan. 21, 2009).

d. NESDIS Strategic Plan- 2016

e. NPR 1400.1, NESDIS Procedural Requirements for Directives and Charters.

## **5. RESPONSIBILITY**



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- a. The Director, Office of System Architecture and Advanced Planning (OSAAP) for NESDIS establishes and maintains the requirements for documentation and promulgation of internal NESDIS requirements.
- b. Officials-in-Charge of NESDIS Offices and NESDIS Directors ensure that all internal NESDIS requirements documents developed under their authority comply with the provisions of this NPD.
- c. The NOAA Office of General Counsel, Weather Satellites and Research Section reviews all directives and charters for legal propriety and provide comments during coordination and prior to the release of the document for use.
- d. The NESDIS Chief Financial Officer (CFO for NESDIS-level directives): 1) reviews all directives to ensure proper financial, resource (including budget, strategic planning, and performance), and acquisition consideration, and comment all directives during the coordination process; and 2) concurs on all directives prior to signature by the approving NESDIS official.
- e. The NESDIS Chief Administration Officer (CAO for NESDIS-level directives) responsible for NESDIS Human Capital Management coordinates the review of all directives with the national/local offices of Federal labor organizations in addition to conducting its own review and providing a concurrence on these documents.
- f. The NESDIS CFO responsible for Procurement reviews and concurs on all directives to determine acquisition impacts.
- g. The Inspector General, in accordance with the Inspector General Act of 1978, 5 U.S.C. app. § 4(a)(2), as amended, reviews and, as necessary, comments on each NESDIS-level directive during the official review and approval process to identify its possible impact on effectiveness and efficiency in the administration and operations of NESDIS programs and preventing fraud, waste, and abuse in NESDIS programs.

## **6. DELEGATION OF AUTHORITY**

None.

## **7. MEASUREMENT/VERIFICATION**

- a. The NESDIS Office of System Architecture and Advanced Planning will measure compliance with this directive by:
- (1) Monitoring assessments, audits, and surveillance results from Officials-in-Charge of NESDIS Offices and NESDIS Directors.
  - (2) Monitoring whether issuance, cancellation, and revision of internal NESDIS requirements are being effectively disseminated.



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b. Officials-in-Charge of NESDIS Offices and NESDIS Directors will monitor, at an interval based on the level of risk to NESDIS if their organization's internal requirements, described in Attachment C, comply with the requirements in paragraph 1c by:

- (1) Ensuring that internal requirements are traceable to official policy or external authority.
- (2) Demonstrating that internal requirements are developed and controlled by a documented process as evidenced by an approved written procedure on that process.
- (3) Demonstrating that internal requirement documents are clearly labeled as containing requirements.
- (4) Demonstrating that internal requirements are accessible to the people who use them as evidenced by having them Web-accessible folder- accessible, or accessible by other means suitable to the intended audience.
- (5) Demonstrating that internal requirements are verifiable as evidenced by a stated or obvious method of proving compliance.
- (6) Demonstrating that internal requirements are current as evidenced by having an expiration date that has not passed and having a documented account of periodic reviews to determine if content is up to date.

## **8. CANCELLATION**

None.



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## **ATTACHMENT A: Definitions**

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

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

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 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) is 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 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



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from their last revision date or the expiration date of this directive. Following the expiration date, if a 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.

NESDIS charters are documents that govern councils, boards, committees, panels, and working groups established under the auspices of the NESDIS Governance Council.

NESDIS directives refer to NESDIS-level directives.



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## **ATTACHMENT B: References**

- B.1 40 U.S.C. § 11101 et seq., Clinger-Cohen Act of 1996.
- B.2 44 U.S.C. § 3501 et seq., the Paperwork Reduction Act of 1995, as amended.
- B.3 36 C.F.R. Chapter XII, Subchapter B, Records Management.
- B.4 Revised OMB Circular A-119, Transmittal Memorandum, Federal Participation in the Development and Use of Voluntary Consensus Standards (01/27/2016).
- B.5 NASA NPD 7120.4, NASA Engineering and Program/Project Management Policy.
- B.6 NASA NPR 7120.10, Technical Standards for NASA Programs and Projects.
- B.7 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).
- B.8B.8 Department of Commerce IT Portfolio Management Policy, (June 21, 2012).
- B.9 NAO 212-13, NOAA Information Technology Security Policy, (March, 2003).
- B.10 DOC IT Security Program Policy, (Sept, 2014).



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## **ATTACHMENT C: Other Internal NESDIS Documents**

C.1 Internal NESDIS documents other than directives, such as the examples mentioned below, become requirements when a directive specifies its use (by citing the document's title, revision letter/number, and date) or when a NESDIS manager with authority over a NESDIS program, project, or other activity, identifies it as a requirement. The following are examples of other NESDIS internal documents:

a. NESDIS Technical Standards. NESDIS technical standards are NESDIS documents that contain common and repeated use of rules, conditions, guidelines, or characteristics for products or related processes and production methods and related management systems practices. NESDIS technical standards may contain the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength. Within NESDIS, the broad term "standard" may include the following specific document types: codes, guidebooks, handbooks, specifications, and standards.

b. NESDIS Technical Standards Products. NESDIS technical standards products are NESDIS documents that contain common and repeated use of rules, conditions, guidelines, or characteristics for products or related processes, production methods and related management systems practices. NESDIS technical standards products may contain the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength. The term "NESDIS technical standards products" refers to technical standards, specifications, and handbooks developed and approved by NESDIS offices, assigned a prefix of "NESDIS-STD-," "NESDIS- SPEC-," or "NESDIS-HDBK-," respectively, to the unique document number. NESDIS may adopt standards developed outside NESDIS in lieu of developing a NESDIS directive or standard. These include standards developed by other United States Government agencies or other standards development organizations (See OPM Circular A-119 and NASA NPR 7120.10).

c. Plans. Plans are NESDIS documents that present goals, objectives, and operational details to guide users in achieving NESDIS' mission. NESDIS' planning process starts with long-term vision and mission and flows to more focused near-term plans and documents.

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

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

f. Work Instructions. Work instructions are NESDIS documents that contain instructional requirements applied to an individual organization. They define the processes used to deliver products to customers or to meet the organization's mission requirements, as defined by directives.

g. Guidance. Guidance is a statement of expectation that does not mandate compliance.



**ATTACHMENT D: Flow and Order of Precedence**

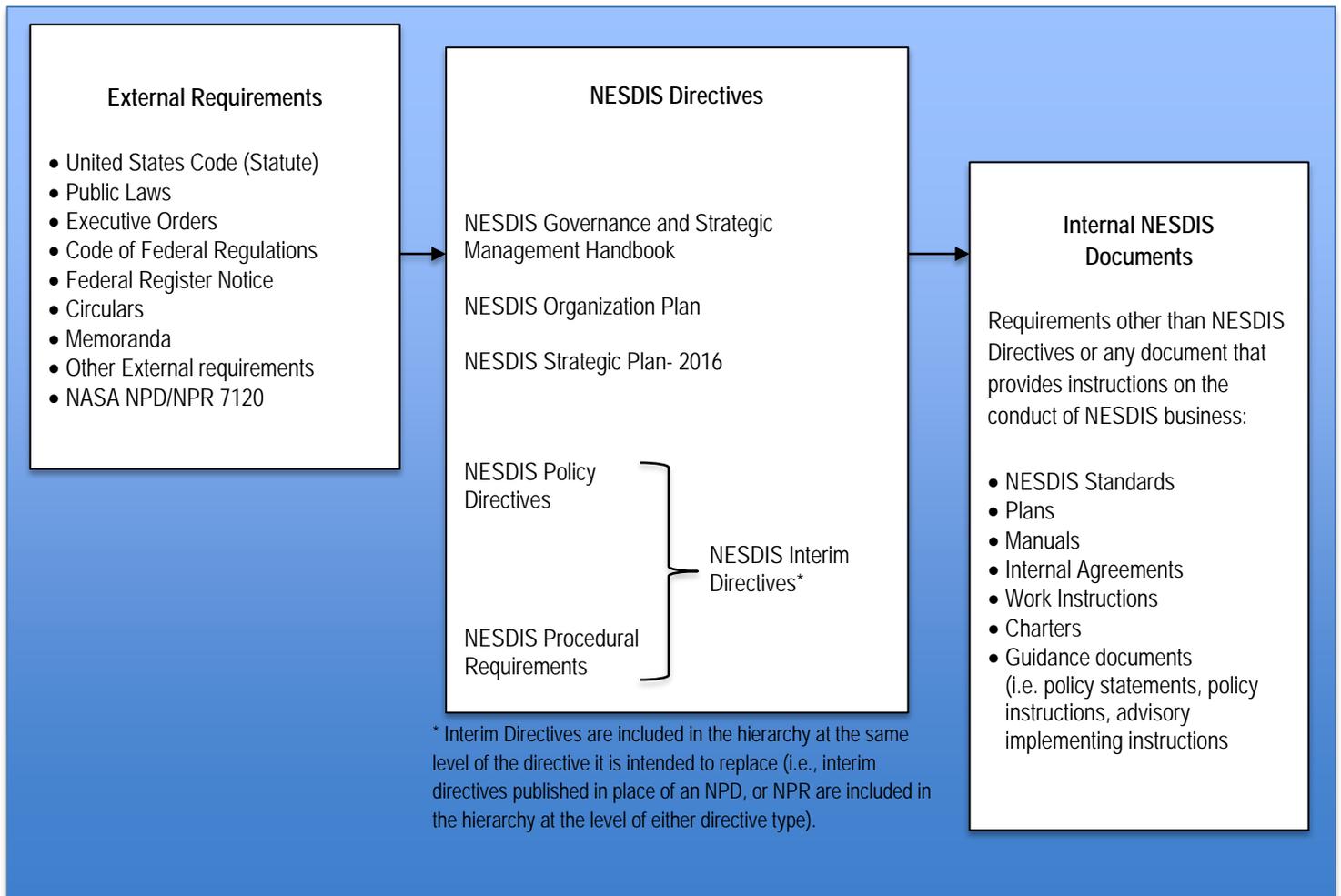


Figure 1. Flow and Order of Precedence

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



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