



NOAA/NESDIS



NESDIS-PD-1100.1 NESDIS ENTERPRISE DIRECTIVES PUBLICATION POLICY

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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
Policy
Directive**

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1. PURPOSE

This policy directive provides standards and guidance for developing and implementing various policy directives, procedural requirements, and interim directives necessary for disciplined functioning of the NESDIS Enterprise.

2. SCOPE

This policy directive applies to NESDIS Offices (as defined in Appendix A) that serve as Process Owners (see Paragraph 3) for NESDIS Enterprise-level interim and final policy directives and procedural requirements documents, referred to herein as “Enterprise Directives.” NESDIS Offices are not required to adhere to this Policy Directive when developing and publishing policy and procedure documents internal to the operations of their office.

3. GENERAL POLICY AND GUIDANCE

a. All NESDIS Enterprise Directives will be:

- (1) Developed and controlled by a documented process as outlined in this policy directive;
- (2) Established to clearly and concisely define applicability and responsibilities of NESDIS Offices and individual employees;
- (3) Available NESDIS-wide and externally, as appropriate, via electronic means;
- (4) Verifiable for internal and external audits;
- (5) Current in content and subject to mandatory periodic review;
- (6) Traceable to internal and external governing documents and directives; and,
- (7) Assigned a document number as detailed in Appendix B.

b. NESDIS Enterprise Directives consist of the following three categories of documents. Detailed descriptions of each type of document is found in Appendix A:

- (1) Policy Directives (PDs): Documents that define official NESDIS policy for all aspects of the NESDIS Enterprise. PDs will generally describe the purpose of the policy, assign roles and responsibilities for NESDIS offices, program offices, and staff functions, and, as appropriate, assign deliverables and compliance metrics. PDs may originate from external sources. For these documents, NESDIS will publish a procedural requirement (PR) to implement the external PD. NESDIS PDs are not required when NESDIS is required to comply with a policy originating from an external source such as, but not limited to:
 - (a) Executive Branch organizational components such as Office of Management and Budget (OMB) or the Office of Government Ethics;
 - (b) Federal agencies with broad statutory responsibilities such as National Archives Records Administration, Department of State, or the Environmental Protection Agency;
 - (c) Public Laws, the U.S. Code and the Code of Federal Regulations; or,



(d) Department of Commerce (DOC) and NOAA HQ Administrative Orders and other policy directives.

A more comprehensive list of external sources can be found in Appendix C.

- (2) Procedural Requirements (PRs): Documents that contain execution details for an associated PD. PRs may also be written to implement an external policy such as, but not limited to: a DOC or NOAA Administrative Order (D/NAO), Chief Information Officer policies, OMB Circulars, Executive Orders or other DOC or NOAA directives which are not part of the DAO or NAO system.
- (3) Interim Directives (IDs): May be either Interim Policy Directives (IPDs) or Interim Procedural Requirements (IPRs). Interim directives may be written and published to document NESDIS policies or procedures in advance of NOAA headquarters or Department of Commerce Administrative Orders or Directives. Examples include: a PD in response to an Office of Inspector General or U.S. Government Accountability Office recommendation or a PD in response to a statutory requirement. IPDs or IPRs may be written to respond to contingency or short-notice issues, such as a PD in response to a personnel accident or injury. Interim documents will have a maximum “shelf life” of one year and will either be rescinded or made permanent as appropriate.

c. General subjects requiring NESDIS Enterprise Directives (PDs, PRs, and IDs) include:

- (1) Governance and Strategic Management
- (2) Administration
- (3) Resource Management
- (4) Information Technology (IT) and Cyber Security
- (5) Space Assets and Data
- (6) Ground Data and Integration Systems
- (7) Applied Science and Stewardship
- (8) Operations
- (9) Commercial Space
- (10) Audits and Investigations

d. NOAA Office of General Counsel (OGC) clearance requirement: All proposed NESDIS Enterprise Directives (PDs, PRs, and IDs) will be cleared by NOAA OGC before being finalized.

e. Flow and Order of Precedence: NESDIS Enterprise 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 Appendix C.

f. Change Process:

- (1) Periodic updates and substantive changes to NESDIS Enterprise Directives will be accomplished using current NESDIS staffing procedures such as the AIMS system or successor. All changes will be recorded in the Document Change Record which immediately follows the signature page. The original document approval authority must approve substantive changes. Substantive changes include, but are not limited to:



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- (a) A change in NESDIS mission or core functions;
 - (b) New or revised external policies or guidance from the executive or legislative branches forcing a change to the NESDIS Enterprise; or,
 - (c) Revised public laws, U.S. Code or Code of Federal Regulations changes requiring NESDIS implementing policies.
- (2) Administrative changes that do not affect the substance or purpose of a NESDIS Enterprise Directive are permitted. These changes can be made without formal staffing and upon approval of the Director, Office of Systems Architecture and Advanced Planning (OSAAP). Changes will be recorded in the Document Change Record. Examples of administrative changes include:
- (a) Typographical errors discovered after approval and publication;
 - (b) Organizational name changes not affecting roles and responsibilities;
 - (c) Internal NESDIS reorganizations in which offices or staffs are merged, resulting in the combined organization having the same roles & responsibilities of the formal individual organizations; or,
 - (d) Changes in the numbering scheme without affecting content.
- (3) NESDIS Enterprise Directives will have a maximum term of five years. Process Owners (Paragraph 6.b) may assign a shorter term as appropriate. As a minimum, all NESDIS Enterprise Directives will be reviewed no later than six months before expiration.

4. AUTHORITY

- a. NESDIS-PD-1000.1, NESDIS Governance and Strategic Management.

5. APPLICABLE DOCUMENTS

- a. NESDIS-PD-1001.1, NESDIS Strategic Plan.
- b. NESDIS-PR-1200.1, NESDIS Enterprise Directives Procedural Requirements. (Implementing procedure)

6. RESPONSIBILITY

- a. Director, OSAAP:
 - (1) Establishes and maintains policy and procedural requirements program, including requirements for future PD development;
 - (2) Establishes a logical and consistent framework for organizing NESDIS Enterprise Directives;
 - (3) Approves administrative changes to NESDIS Enterprise Directives;
 - (4) Authorizes Interim Directives (IDs) as necessary;
 - (5) Approves NESDIS PRs that are linked to a NESDIS or external directive.



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- (6) Ensures that internal requirements are traceable to official policy or external authority; and,
 - (7) Ensures that Process Owners conduct the periodic review with sufficient time to avoid a lapse in a PR's effectivity.

b. **Process Owner:** The Process Owner is an individual from the appropriate NESDIS Office who is the subject matter expert for the specific NESDIS Enterprise Directive being written or reviewed. For most subjects, the Process Owner for the PD and implementing PR are the same individual. For external policy directives passed down to NESDIS for implementation, the Process Owner for the implementing PR would come from the office containing the most relevant subject matter expertise. The Process Owner's responsibilities include:

- (1) Conducting all aspects of an assigned directive's development, contents, format, staffing and comment resolution, including OGC clearance;
- (2) Providing a statement in the "scope" section designating a NESDIS Enterprise Directive as either "internal" (not publicly available) or "public;"
- (3) Developing change packages as appropriate;
- (4) Proposing and executing administrative changes when appropriate;
- (5) Ensuring timely periodic reviews no later than six months before expiration.

c. **Chief Financial Officer / Chief Administrative Officer (CFO/CAO):** The CFO/CAO responsibilities include:

- (1) Assessing and identifying any financial or human resource impacts to an internally-generated proposed NESDIS Enterprise Directive;
- (2) Providing guidance concerning the need for and content of NESDIS PRs written in response to external fiscal requirements, such as OMB, DOC or NOAA policy documents.

d. **NESDIS Offices:** Individual NESDIS offices, including those specifically identified in this section, are responsible for:

- (1) Proposing new NESDIS Enterprise Directives to OSAAP, and drafting new NESDIS Enterprise Directives when they are the subject matter experts;
- (2) Informing OSAAP that a new PR will be required in implement an external policy directive;
- (3) Providing Process Owners when appropriate;
- (4) Conducting timely reviews of proposed NESDIS Enterprise Directives;
- (5) Complying with approved NESDIS Enterprise Directives;
- (6) Proposing changes to existing or proposed NESDIS Enterprise Directives, as appropriate; and,



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(7) In a format of their choosing and as required, publish internal policies and procedures in response to a NESDIS Enterprise Directive.

e. Chief of Staff (COS): The COS is responsible for developing and maintaining the on-line and internal capability to publish and maintain all NESDIS Enterprise Directives.



APPENDIX A

Definitions

NESDIS Enterprise: Satellite Systems Acquisition, Operations and Maintenance, Science, Data Stewardship and Preservation required to execute NOAA's mission in support of NOAA's Primary Mission Essential Functions. (Derived from NESDIS-PD-1000.1, NESDIS Governance and Strategic Management.)

NESDIS Office(s): A term used in the widest sense to include NESDIS Headquarters elements, NESDIS Operations and Acquisitions offices, the Center for Satellite Applications and Research (STAR), and the National Centers for Environmental Information (NCEI).

NESDIS Enterprise Directives: Directives with NESDIS-wide applicability, consisting of NESDIS Policy Directives, NESDIS Procedural Requirements, NESDIS Interim Policy Directives and NESDIS Interim Procedural Requirements.

NESDIS Policy Directives (PDs): Policy statements by NESDIS management that provide direction to NESDIS Offices necessary to achieve NESDIS' vision, mission, and external mandates, as well as indicating who is responsible for carrying out that direction. A PD may be referenced in one or more PRs, or other internal requirements. PDs apply to all NESDIS Offices.

NESDIS Procedural Requirements (PRs): Instructions necessary to implement NESDIS policy as delineated in an associated PD. PRs may also be published in response to external directives and policies. PRs may relate to one or more PDs. PRs apply to all NESDIS Offices.

NESDIS Interim Directives (IDs): Documents written to provide an immediate, short-term statement of NESDIS' policies and responsibilities for policy implementation. IDs are issued with a mandatory expiration date, not to exceed 12 months from the date of issuance, unless an extension is granted by the document approval authority. IDs apply to all NESDIS Offices.



APPENDIX B

NESDOCS Numbering Scheme

- The generic NESDOCS numbering scheme is as follows:
 - {Office} - {Document Type} - [Functional Category].[Version#] [Revision Letter]
 - Example: This document is NESDIS-PD-1100.1

Document Types

| Major Document Types | Additional Document Types: |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PD: Policy Directive PR: Procedural Requirements PLN: Planning Document TEC: Technical Document IPD: Interim Policy Directive IPR: Interim Procedural Requirements IPLN: Interim Planning Document ITEC: Interim Technical Document | PMP: Project Management Plan SEMP: Systems Engineering Management Plan FIN: Finance ADM: Administration REQ: Requirements document ICD: Interface Control Document IRD: Interface Requirements Document SCH: Schedule plan IMS: Master Schedule CONOPS: Concept of Operations STD: Standards document HBK: Handbook, Manual, Guide |

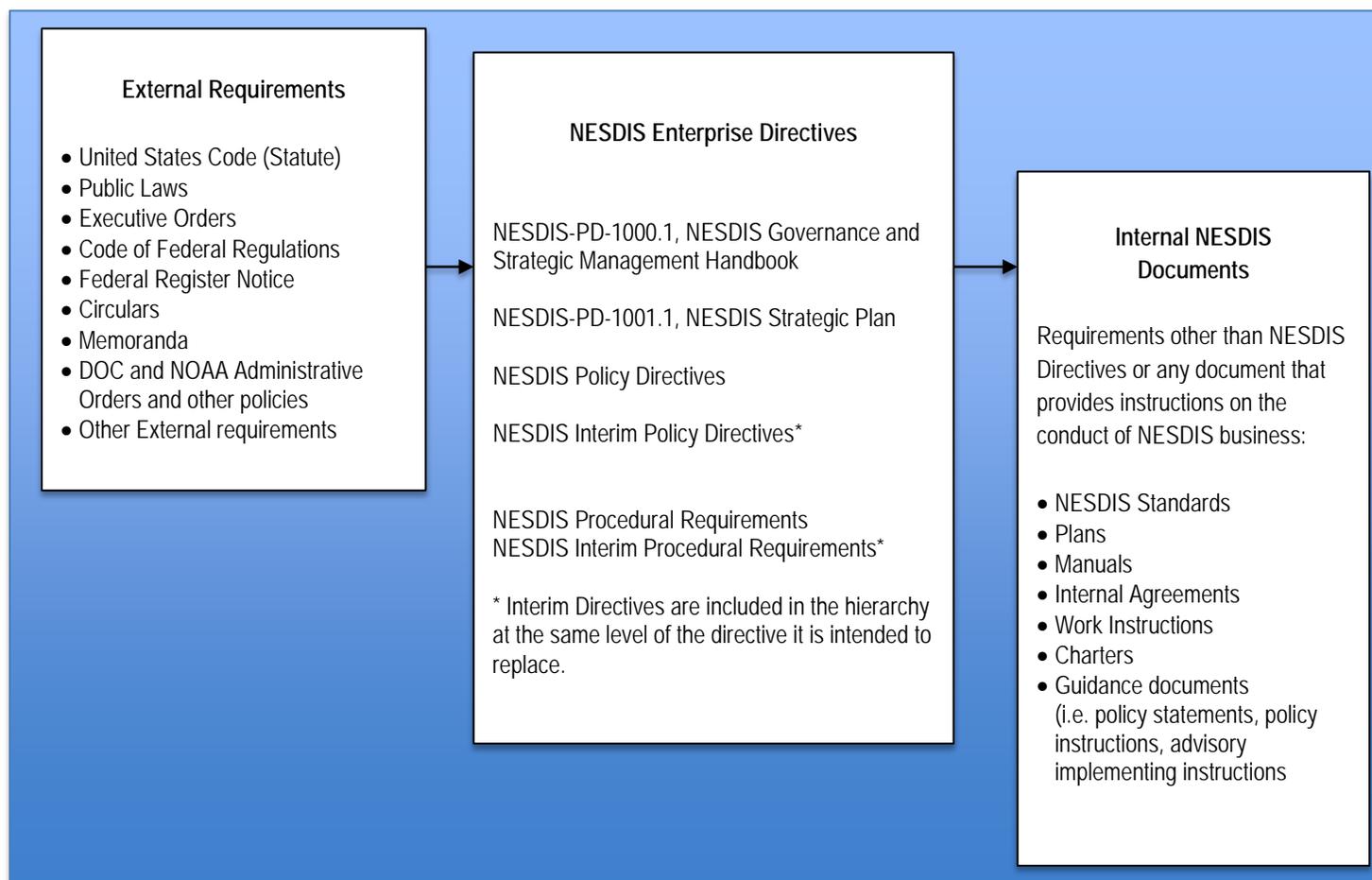
Functional Categories

| SERIES | FUNCTION |
|---------------|-----------------------------------------|
| 1000-1999 | Essential Policies, Plans, & Procedures |
| 2000-2999 | Resource Management |
| 3000-3999 | IT and Cyber-Security |
| 4000-4999 | Space Assets & Data |
| 5000-5999 | Ground Data and Integration Systems |
| 6000-6999 | Applied Science and Stewardship |
| 7000-7999 | Operations |
| 8000-8999 | Commercial Space |
| 9000-9999 | Audits and Investigations |



APPENDIX C

Flow and Order of Precedence



Note: There are multiple PDs, PRs, IDs, 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.