



**DRYDEN  
PROCEDURAL  
REQUIREMENT**

Directive: DPR-1420.1-001-3  
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**Compliance is mandatory.**

**SUBJECT:** Forms Management Program  
**RESPONSIBLE OFFICE:** XM/Management Systems Office

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## **P.1 Purpose**

a. This Dryden Procedural Requirements (DPR) document serves to identify the mandatory, Dryden-specific requirements basic to implementing Center procedures. It also provides a foundation for achieving the Agency's Forms Management program goals of increasing the usefulness of forms as tools that maximize business efficiency and/or fulfill NASA's vision, mission, and external mandates.

## **P.2 Applicability**

a. This DPR is applicable to the Dryden Flight Research Center and other NASA employees, including those from Component Facilities and Technical or Service Support Centers, visiting, detailed, or assigned to DFRC on a temporary basis.

b. The scope of this DPR covers all forms developed for use by employees and organizations at Dryden. It does not include business forms developed for and used specifically by individual contractor organizations.

## **P.3 Authority**

- a. NPD 1420.1, NASA Forms Management
- b. NASA -STD-2804, Minimum Interoperability Software Suite

## **P.4 Applicable Documents**

- a. 29 U.S.C. § 794d, Rehabilitation Act of 1973, Section 508
- b. 44 U.S.C. § 3501, et seq., Paperwork Reduction Act of 1995
- c. NPR 1441.1, NASA Records and Retention Schedules
- d. NPR 1600.1, NASA Security Program, Chapter 5

**P.5 Measurement/Verification**

- a. Forms used by organizations that have not been approved by the Forms Manager and/or posted to the On-line Forms portal are subject to action by the Management Systems Office through findings discovered during audits and document reviews.
- b. Forms that do not comply with the requirements in this DPR or forms that do not have a waiver on file with the Forms Manager shall not be approved for dissemination through the Dryden On-line Forms portal (as of the date this DPR is approved).

**P.6 Cancellation**

None

/S/  
Gwen Young, Associate Director for Management

4/17/07  
Date

## **CHAPTER 1: RESPONSIBILITY**

### **1.1 Chief Information Officer**

1.1.1 Provide IT infrastructure to support the forms management program at Dryden

1.1.2 Communicate decisions affecting forms and IT changes planned to the Forms Manager to avoid adverse impacts and lost data

### **1.2 Forms Manager (FM)**

1.2.1 Document the Center's forms management program through this DPR and appropriate Center and organizational procedures

1.2.2 Coordinate with IT services to ensure compliance with NASA-STD-2804 and software upgrades when available

1.2.3 Serve as the approving authority for the creation, revision, and cancellation of all Center and organizational forms

1.2.4 Ensure external mandates, such as the Paperwork Reduction Act of 1995, are reflected in the Center's forms management program

1.2.5 Promote the use of existing forms such as NASA forms and Standard forms over initiating a new form that serves the same purpose

1.2.6 Minimize costs by acquiring forms that are not in an electronic format through the appropriate acquisition channels

1.2.7 Maximize the use of electronic forms for business efficiency

1.2.8 Ensure that forms that collect Privacy Act data contain the pertinent statements required by the Privacy Act of 1974

1.2.9 Ensure administrative/grammatical changes are updated when identified

### **1.3 Management Systems Office (MSO)**

1.3.1 Coordinate the review cycle of forms and process documents to ensure approvals are concurrent

### **1.4 Office of Primary Responsibility (OPR) for Form(s)**

1.4.1 Consult with the Forms Manager when proposing a new and/or revised form

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1.4.2 Notify the Forms Manager when assigning a POC to carry out the responsibilities of the OPR in submitting a new form or revising an old form

1.4.3 Eliminate or reduce costs by proposing new forms adaptable to an electronic format

1.4.4 Ensure forms and Management System document approval cycles are coordinated

1.4.5 Notify the Forms Manager or Management Systems Office when the OPR has changed due to transfer of responsibility or reassignment

1.4.6 Notify the Forms Manager or Management Systems Office when a form can be cancelled due to change in or elimination of a process

1.4.7 Ensure requirements of this DPR are implemented and practiced

## **1.5 Form Users**

1.5.1 Ensure classified national security information and Sensitive But Unclassified (SBU) information collected on forms is protected in accordance with NPR 1600.1, NASA Security Procedural Requirements

1.5.2 Utilize the Dryden on-line electronic forms portal and other websites to obtain Standard and Optional forms as required

1.5.3 Check available form portals for existing forms prior to submitting a new form to the Dryden Forms Manager

## **CHAPTER 2: DRYDEN FORMS MANAGEMENT PROGRAM**

**2.1** The Dryden Forms Management Program is constructed to meet the requirements of NPD 1420.1, NASA Forms Management, and other applicable documents. The requirements found in this document are to be used in developing procedure documents for the initiation, revision, standardization, control, and reproduction of all forms at Dryden. Form owners shall consult with the Forms Manager early in the process to ensure requirements are met when initiating or revising a form.

**2.2** Forms approved for use at Dryden shall be designed following the Form Standards in Appendix D.

**2.3** Forms that do not adapt to an electronic format shall be approved and revised following DCP-X-038, Forms Management: Creating, Revising, and Cancelling. These forms are identified on the Dryden On-Line Forms portal by use of a placeholder that describes the method for obtaining the form.

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**2.4** Forms created for one-time use shall be approved, documented, and controlled by the FM. These forms will be made available to employees through the Dryden On-Line Forms portal and will display an expiration date.

**2.5** Forms shall be designed in the current software package as per NASA-STD-2804. Exceptions will be addressed on a case-by-case basis and approved by waiver only.

**2.6** On-line forms shall be designed compliant with Section 508 of the Rehabilitation Act.

**2.7** Organizations shall submit forms, new or for revision, to the Forms Manager when the intent of the form is to be used by more than one person.

**2.8** Organizations shall submit requests to cancel a form to the Forms Manager when the form is no longer required due to elimination of an established procedure or completion of a project.

**2.9** The Forms Manager shall classify forms as Center (DFRC) or organizational (D-WK) by providing a form designator and number or by returning the proposed form to the OPR with alternative suggestions such as utilizing logs or databases or a currently existing form.

### **CHAPTER 3: FORMS ACCESS AND AVAILABILITY**

**3.1** Authorized forms used at the Center are posted in an electronic format on the forms portal available by link from the Dryden Xnet page. Form users shall ensure they are using the current version of a form by accessing the on-line portal.

a. Dryden employees and organizations shall not duplicate blank electronic forms in large quantities on office copying equipment for the purpose of storing blank forms for future use. To ensure the latest version of a form is being used, always access the form from the portal.

**3.2** Authorized NASA forms are located and accessible at the NASA HQ Forms website by selecting the HQ Forms button found on the Dryden On-line Forms portal. Users shall access NASA Headquarters forms and most Optional and Standard forms from this site.

a. Dryden employees and organizations shall not duplicate blank Headquarters electronic forms in large quantities on office copying equipment for the purpose of storing blank forms for future use. To ensure the latest version of a form is being used, always access the form from the portal.

**3.3** Air Force and DOD forms are available in electronic format or in paper format. For more information on how to access Air Force and DOD forms, contact the Forms Manager.

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a. Air Force forms shall not be duplicated on the Dryden on-line portal for the convenience of the user. They may be placed on line at the discretion of the FM for convenience of the Center.

**3.4** Tags, labels, stickers, and other forms (faux forms) that require printing by the Government Printing Office (GPO) are controlled in the forms management program and numbered with the Dryden designator "DFRC". These forms are available from store stock and instructions on how to order are found on the Dryden On-line Forms portal.

a. The Dryden Forms Manager shall be assigned as OPR for all forms printed by the GPO.

### **3.5 Paper-only Forms**

**3.5.1** A limited number of paper-only forms can be authorized by the Forms Manager for reasons of security or practicality of use. An authorized paper-only form must be approved by the Forms Manager and controlled in the same manner as an electronic form as per this DPR. To have a paper-only form authorized, contact the Forms Manager with a written request to waive the requirement for an electronic form. When a waiver is granted, the OPR is responsible for copying and distributing the form to the Dryden community authorized to use the form. The OPR shall submit form revisions to the Forms Manager and ensure only the authorized version of the form is accepted.

**3.5.2** Paper-only forms ordered through the GPO that are not adaptable to an electronic format based on the design, type of format (microencapsulated), or other unique qualifier are documented in the Dryden On-Line Forms portal through a placeholder identifying the form and how to obtain copies. Waivers are not required for forms ordered through the GPO.

### **3.6 One-Time-Use forms**

Occasionally, a project affecting a large population of the Center (i.e., re-badging) will benefit by using a form to collect data. These forms provide a single purpose and are no longer required at the end of the project.

**3.6.1** Development and distribution of a One-Time Use form shall be coordinated and approved by the Forms Manager prior to implementation.

**3.6.2** One-Time Use forms shall conform to all document control requirements coordinated by the Forms Manager prior to approval, including the prominent display of an expiration date.

## **CHAPTER 4: EXCEPTIONS**

Database entry screens (i.e., created in Filemaker Pro or other database software) are not considered official forms and are not controlled within the Dryden On-line Forms portal unless authorized by the FM for broad distribution. When authorized, entry screens may be posted on the portal for the convenience of the users as web-based access modules.

## **Appendix A. Definitions**

A.1 Checklist. A collection tool with a fixed arrangement defining process steps designed for verification of step completion

A.2 Dryden Form. Any form properly approved by the Dryden Forms Manager and authorized to be distributed on the Dryden On-line Forms portal

A.3 Faux Form. Checklists, notices, tags, labels, and stickers or other form-like tools identified in the Dryden On-line Forms portal when it is advantageous to control them as forms for purposes of reference, printing, stocking, distribution, and use with other forms. A label, tag, sticker or other form-like tool that is printed by the Government Printing Office.

A.4 Form. A data collection tool with a fixed arrangement of captioned spaces designed for entering and extracting information for decision making purposes, generally requiring signature for approval or concurrence.

A.5 Large Quantity. In excess of what will be used for the purpose of completing a task

## **Appendix B. Acronyms**

CK	Checklist
DD	Department of Defense form
DPR	Dryden Procedural Requirements
D-WK	Work related form designator
GPO	Government Printing Office
NF	NASA Form
SF	Standard Form

## **Appendix C. Reference Documents**

ISO 9001:2000	Quality Management Systems — Requirements
NPD 1490.1	NASA Printing, Duplicating, and Copy Management
NPR 1450.10	NASA Correspondence Management and Communications Standards and Style

## Appendix D. Form Standards

### D.1 Identification Elements

During the initial coordination discussions, the Forms Manager and OPR work together to ensure the following identification elements are clearly defined on each new or revised form.

**A. Title** – Simple, understandable, and prominently displayed at the top of the form justified right for DFRC forms and centered for D-WK forms.

**B. Center Name and Logo** – The Dryden logo is authorized for use on forms developed at Dryden. Program or facility logos are not authorized. Use of the Dryden logo is dependent on current policy established by the Agency and subject to change. The Center's name will follow each occurrence of the Dryden logo.

**C. Obsolete Statement** – All electronic forms contain an obsolete statement indicating whether or not previous editions can be used.

**D. Form Number** – Each form will be identified by a unique number consisting of a form designator, a serial number, and a suffix number identifying the NASA Category System. (Note: Older forms with numbers that do not conform to the numbering scheme identified in this DPR will be changed as they are presented for revision or updating.)

**E. Edition Date** – Each form will contain an edition date consisting of the month and year the form was approved for on-line access.

**F. Privacy Act** – All forms developed with fields that request personal or privacy act data are to display a privacy act statement.

### D.2 Numbering Elements

Dryden form numbers are assigned by the Forms Manager using the following protocol

Form Designator	Unique Serial Number	Suffix
DFRC	XXX	1-9
D-WK	XXX	1-9

### D.3 Form Designator

**D.3.1 DFRC (Center level)** – Identifies forms used to authorize the commitment of Center resources or to authorize change to Center programs, funding, staffing, or

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agreements with other NASA Centers or other Agencies. Forms can also be assigned the DFRC designator at the discretion of the Forms Manager.

**D.3.2** D-WK (formerly known as organizational forms) – Identifies forms that are related to work conducted by the organization of primary responsibility. They can be used by multiple organizations or only one organization. D-WK forms assist organizations in getting their work completed, documented, and recorded.

**D.3.3** Other designators may be used on the portal for convenience of the user. Some SF, DD, and NF forms have been recreated as a convenience for users. These forms contain hard-coded data relevant to Dryden, such as addresses and filled-out signature blocks. Contractors who use the portal are responsible for the control of their forms.

#### **D.4 Unique Serial Number**

The unique serial number is assigned by the Forms Manager from the list of available numbers identified on the forms log maintained by the Forms Manager in the Management Systems Office.

**D.4.1** When a serial number is assigned for use and then cancelled at a later date, the Forms Manager will retire the number for a minimum of two years.

**D.4.2** Form numbers are not reserved for use by individuals or organizations.

**D.4.3** To maintain the list of serial numbers for sorting purposes, zeros may be used at the left of each serial number as place holders. These zeros are not part of the serial number assigned (i.e., a form numbered DFRC 1-10 may be shown as DFRC 1-010 depending on the software used to list the numbers).

**D.4.4** Faux forms are assigned serial numbers from the list of numbers available in the forms log

#### **D.5 Suffix**

The prefix numbers represent the 9 categories identified in the *Primary Files Subject Identification Codes* used by NASA and documented in NPR 1441.1, NASA Records and Retention Schedules. The suffix numbers, category range, and title used on Dryden forms are listed below.

Prefix	Category Range and Title
1	1000-1999 Organization
2	2000-2999 Legal and Technical
3	3000-3999 Personnel
4	4000-4999 Property and Supply
5	5000-5999 Procurement
6	6000-6999 Transportation

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7	7000-7999 Program Formulation
8	8000-8999 Program Management
9	9000-9999 Financial Management and IG Audits/Investigations

Note: Faux forms and other forms (see D.3.3) are not assigned a Suffix number.

## **D.6 Design Elements**

### **D.6.1 Basic Design**

The following basic design concepts are used for all forms designed and approved for use at Dryden.

- A.** The portrait layout is the preferred mode. Landscape layouts are reserved for forms with linear columns that exceed the capacity of the portrait layout.
- B.** Small forms may be designed two to a page.
- C.** All forms will be designed to incorporate fields as an assembly of connected boxes. Sections are separated by labeled boxes shaded in a light grey.
- D.** Labels will identify the data to be entered into each box. Labels may be numbered for clarity. Labels should be short and descriptive.
- E.** Check boxes are preferred over drop down menus.

### **D.6.2 Advanced Design Capabilities**

The forms software package allows for advanced capabilities to be incorporated in each basic design (e.g., electronic signature, routing, calculations, etc). Use of advanced capabilities is discussed with and approved by the Forms Manager prior to making any design decisions.

### Document History Log

**IPP Review Date: 02-22-07**

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Status Change	Document Revision	Effective Date	Page	Description of Change
Baseline		4/17/07		New Document
Admin Change	Baseline-1	07/23/09	All	<p><b>NOTE:</b> This document was originally approved as DPR-1420.1. The signature page in this minor revision still shows the original number. The content of the document has not changed. The minor revision applies only to the addition of the document serial number.</p> <ul style="list-style-type: none"> <li>• Changed document number from DPR-1420.1 to DPR-1420.1-001.</li> </ul>
Admin Change	Baseline-2	08/13/10	All	<ul style="list-style-type: none"> <li>• Removed reference to cancelled DPD-1400.1</li> <li>• Formatted to comply with Agency standards. Content did not change.</li> </ul>
Admin Change	Baseline-3	10/07/10	2, 11	<ul style="list-style-type: none"> <li>• Moved NPD 1490.1, NASA Printing, Duplicating, and Copy Management and NPR 1450.10, NASA Correspondence Management and Communications Standards and Style from applicable documents to reference documents</li> </ul>

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