



# Ames Procedural Requirements

APR 8735.1

Effective Date: December 8, 2020

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**COMPLIANCE IS MANDATORY**

**Subject: Procedures for Preparation and Handling of NASA Advisories and Government-Industry Data Exchange Program (GIDEP) Alerts, Safe Alerts, and Problem Advisories**

**Responsible Office: Code Q / Safety and Mission Assurance Directorate**

## CHANGE LOG

Status [Baseline /Revision /Cancelled]	Document Revision	Date of Change	Description
Baseline	0	8/2/2018	Baseline release.
Revision	1	12/8/2020	Updated / revised Preface, Chapter 1, Chapter 3, and Chapter 4; removed reference to NF 1544; added training requirement for directorate GIDEP reps; and updated Appendix B and Appendix C.

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## **PREFACE**

### **P.1 PURPOSE**

- a. The purpose of this document is to describe how the Ames Research Center (ARC) implements the requirements of NASA Procedural Requirements (NPR) 8735.1, Exchange of Problem Data Using NASA Advisories and the Government-Industry Data Exchange Program (GIDEP).
- b. This procedure establishes the process for evaluation, disposition, preparing and handling GIDEP Alerts, GIDEP safe-Alerts, GIDEP Problem Advisories, GIDEP Agency Notices, and NASA Advisories that affect or potentially affect the suitability of electronic or mechanical parts, equipment, materials or software for use in Ames Research Center (ARC) products or that affect or potentially affect personnel or system safety. NASA Advisories, Notices and Alerts Distribution and Response Tracking System (NANADARTS) is used to maintain and distribute NASA Advisories and GIDEP Notices for closed-loop assessment and response by NASA projects and programs.

### **P.2 APPLICABILITY**

- a. The work covered by this APR includes safety-critical parts, equipment, software, and materials used in:
  - (1) Category 1 and 2 programs and projects governed by NPRs 7120.5 and 7120.8.
  - (2) New or existing institutional infrastructure, facilities, and ground support equipment; and institutional infrastructure/facility programs/projects over \$500,000 in value and/or affecting more than one Center.
  - (3) Payloads with risk classification levels A-D (reference NPR 8705.4).
- b. This directive is applicable to all ARC organizations, programs, projects, and operations and associated facilities (e.g., contractor facilities).
- c. 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 an expected outcome, and "are/is" denotes descriptive material.
- d. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

### **P.3 AUTHORITY**

- a. NPR 8735.1, NASA Procedural Requirements (NPR) Exchange of Problem Data Using NASA Advisories and the Government-Industry Data Exchange Program (GIDEP)
- b. APR 8730.2, Ames EEE Parts Control Requirements
- c. APR 8705.1, System Safety and Mission Assurance

#### **P.4 APPLICABLE DOCUMENTS AND FORMS**

- a. NRRS 1441.1, NASA Records Retention Schedules
- b. APR 1440.1, Records Management Program Requirements
- c. NF 1707, Special Approval and Affirmations of Requisitions
- d. Government-Industry Data Exchange Program (GIDEP) Operations Manual<sup>1</sup>
- e. NASA Purchase Card Procedures and Instructions (PCPI) <sup>2</sup>

#### **P.5 MEASUREMENT/VERIFICATION**

- a. Verification of conformance to requirements in this directive are measured through Center and Responsible Organizational management reviews, self-assessments, and subsequent analysis and reports of conformance to requirements, as well as periodic internal audits.
- b. Compliance with the requirements contained within this APR is continuously monitored by the ARC SMA and Technical Authority. GIDEP Alert response and closure rates for projects are tracked and reported by the ARC GIDEP Alert Coordinator.

#### **P.6 CANCELLATION**

None.

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Eugene Tu  
Director

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#### **DISTRIBUTION STATEMENT:**

Internal and external distribution.

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<sup>1</sup> GIDEP Operations Manual: [http://www.gidep.org/about/opmanual/chap07r\\_mar2015.pdf](http://www.gidep.org/about/opmanual/chap07r_mar2015.pdf)

<sup>2</sup> PCPI: [https://inside.nasa.gov/sites/default/files/system/nasa\\_p-card\\_procedures\\_and\\_instructions.pdf](https://inside.nasa.gov/sites/default/files/system/nasa_p-card_procedures_and_instructions.pdf)

## **CHAPTER 1 ROLES AND RESPONSIBILITIES**

### **1.1 Safety and Mission Assurance Director shall:**

- a. Maintain the currency of this APR and oversee its implementation.
- b. Maintain continuous oversight of ARC's processing and disposition of GIDEP Notices and NASA Advisories.
- c. Designate a civil service employee, and an alternate as the Ames GIDEP Alert and NASA Advisory Coordinator (AGC). (AGC refers to Ames GIDEP Coordinator).

### **1.2 Directorate Directors shall:**

- a. Appoint a Directorate GIDEP Safety-Alert Representative and Alternate (DGR) to receive, distribute, and disposition safety related GIDEP Notices and NASA Advisories.

### **1.3 Program, Project, Operational, and Institutional Managers shall:**

- a. Ensure their work complies with NPR 8735.1 and this APR.
- b. Incorporate requirements for contractor compliance with this APR and participation in GIDEP and the NASA Advisory process in contract statements of work or specifications, when applicable to the contract scope.
- c. Ensure that closed-loop reporting on the status of all GIDEP Notices and NASA Advisories provided by the Ames GIDEP Alert Coordinator are reviewed at program Milestones and Readiness Reviews, or according to contract or other reporting times/events for critical work within their programs.
- d. Ensure that GIDEP Notices initiated by the project are documented in accordance with the requirements of the GIDEP Operations Manual.

### **1.4 Government Purchase Card Holders and Contracting Officer Representatives shall:**

- a. Ensure that procurements of safety critical items are screened for any GIDEP Notice and NASA Advisory impacts. Refer to NF 1707 and NASA Purchase Card Procedures and Instructions.
- b. Provide data, records, and support for the activities described in this APR as required.

### **1.5 Project Systems Safety and Mission Assurance Representatives shall:**

- a. Assure GIDEP and NASA Advisory requirements are implemented on Projects, Programs, and Facilities.
- b. For GIDEP or NASA Advisory dispositions greater than 90 days overdue, assure the project, program and facility documents a risk to cover the potential impact on the project, program, or facility.
- c. For use-as-is dispositions, assure that the Problem Report/Problem Failure Report (PR/PFR) system or equivalent is used to capture and multidisciplinary authorization for concurrence.
- d. For use-as-is dispositions, assure that the risk of using the non-conforming item is in accordance with the project's risk management process.

**1.6 Ames GIDEP Alert and NASA Advisory Coordinators (AGC) shall:**

- a. Ensure that GIDEP Notice and NASA Advisory documentation is maintained and archived in accordance with the requirements of NRRS 1441.1 and APR 1440.1.
- b. Review all Ames-generated GIDEP Notices and NASA Advisories before approving and releasing to GIDEP, or NASA Advisory Reporting System (NARS) and NASA Advisory, Notices, and Alerts Distribution and Response Tracking System (NANADARTS).
- c. Distribute safety related Notices and NASA Advisories to the DGRs for impact evaluation.
- d. Provide GIDEP and NASA Advisory metrics for the Safety and Mission Assurance Directorate as requested.
- e. Provide an annual GIDEP Utilization Report to GIDEP.
- f. Provide GIDEP Alert suspect counterfeit statistics to the NSSC P-Card Program Manager, the Acquisition Division, and other ARC departments, and NASA Office of the Inspector General (OIG) when requested.
- g. Review all usage and impact responses to GIDEP Notices and NASA Advisories and determine whether or not the responses are acceptable, thereby ensuring the robustness of the ARC closed-loop system.
- h. Assist all ARC personnel when requesting GIDEP access, GIDEP training, and facilitate the training of ARC GIDEP personnel in the use of the GIDEP web site.

**1.7 Directorate GIDEP Safety-Alert Representative (DGR) shall:**

- a. Identify and maintain a current list of programs, projects, activities, Contracting Officer's Representatives (COR) along with their Points of Contact (POC) within their Directorate whose work includes safety-critical items that may be impacted by GIDEP Alerts and NASA Advisories.
- b. Distribute as appropriate, GIDEP Alerts received from the AGC to their Directorate POCs if the GIDEP Alert may be applicable to the POC's area of responsibility (e.g., program, project, activity, or contract).
- c. Report within 60 calendar days, the impact on their Directorate resulting from the distributed GIDEP Alert, to the AGC
- d. Participate in scheduled ARC GIDEP meetings.
- e. Complete GIDEP Overview (SMA-QE-WBT-365), and Overview of the NASA Alert System-GIDEP and NASA Advisories (SMA-HQ-WBT-101) training in the NASA Online Training System (SATERN) and the GIDEP Web Based Training (WBT) Module "Utilization" at least every three years.

*Note: Additional GIDEP Training is available through classroom and Web Based Training (WBT) offered by GIDEP at [www.gidep.org](http://www.gidep.org).*

## **CHAPTER 2 DOCUMENTING GIDEP NOTICES AND NASA ADVISORIES**

### **2.1 GIDEP Notices**

2.1.1 Ames GIDEP and NASA Advisory Coordinator shall assist in documenting problem and nonconforming item data for exchange with GIDEP and among NASA Centers.

2.1.2 GIDEP Notices shall be documented in accordance with the requirements of the GIDEP Operations Manual.

*Note: If the data is unique to NASA, a NASA advisory will be issued.*

### **2.2 NASA Advisories**

2.2.1 The Ames GIDEP and NASA Advisory Coordinator shall assist in documenting NASA Advisories using the approved format available on the NASA Advisory Reporting System (NARS) (<https://nars.nasa.gov>).

## **CHAPTER 3 RELEASE AND DISTRIBUTION OF NASA AMES GENERATED GIDEP NOTICES AND NASA ADVISORIES**

### **3.1 GIDEP Notices and NASA Advisories**

a. NANADARTS will be used to distribute all NASA Advisories and GIDEP Notices.

<https://nanadarts.nasa.gov/>

b. For the release and distribution of GIDEP Notices and NASA Advisories, the Ames GIDEP and NASA Advisory Coordinator shall:

(1) Ensure that the nonconformance information was released as a GIDEP Notice or NASA Advisory because data was unique to NASA.

(2) Utilize the NASA Advisory Reporting System (NARS) for entry, approval, and release of NASA Advisories and GIDEP Notices.

(3) Consult with key stakeholders (e.g. Subject Matter Experts, Legal/General Counsel, Export Control, etc.) as necessary prior to the release of NASA Advisories.

(4) Provide a copy of the NASA Advisory to the Deputy Assistant Inspector General for Investigations in the NASA Office of the Inspector General.



## **CHAPTER 4 EVALUATION AND DISPOSITION OF GIDEP NOTICES AND NASA ADVISORIES AND CLOSED-LOOP REPORTING**

### **4.1 Closed-Loop Reporting**

4.1.1 NANADARTS will be used for disposition, assessing, and status closed-loop reporting for all NASA Advisories, and GIDEP Notices.

4.1.2 The Ames GIDEP and NASA Advisory Coordinator shall determine if NASA Advisories should be converted and released to GIDEP.

4.1.3 Coordinate with the ARC Office of the General Counsel, Headquarters, ARC Export Control Official, and / or other Subject Matter Experts (SME).

4.1.4 NANADARTS will be used to release and distribute NASA Advisories and GIDEP Notices to NASA Headquarters and other Center GIDEP and NASA Advisory Coordinators.

### **4.2 Evaluation and Disposition**

a. Upon receipt of a GIDEP Notice or NASA Advisory, the Ames GIDEP and NASA Advisory Coordinator shall evaluate and distribute safety related GIDEP Notice or NASA Advisory to the Code GIDEP Safety Alert Representatives as appropriate.

(1) The Code GIDEP Representative shall provide a usage and/or an impact response to the Ames GIDEP and NASA Advisory Coordinator (AGC) for reviewing and filing.

(2) In cases where a GIDEP Notice or NASA Advisory has a direct impact, a risk assessment shall be provided with the NANADARTS Required Response for all use-as-is decisions.

## **CHAPTER 5 RELEASE AND DISTRIBUTION OF DATA RELATED TO NASA ADVISORIES TO INTERNATIONAL PARTNERS**

### **5.1 Distribution**

5.1.1 Sharing with International partners will be done in accordance with Agency MOUs and protocols. There are special considerations for the distribution of data derived from a NASA Advisory to one of NASA's international partners. NASA Ames programs/projects that involve an international partner (such as the European Space Agency) might require special review by the Headquarters Export Control Office prior to distributing to the international partner any data derived from a NASA Advisory.

5.1.2 For distribution to the international partner, the Ames GIDEP and NASA Advisory Coordinator or the Program, Project, or Operations/Institutional Manager shall follow the process outlined in NPR 8735.1.

## APPENDIX A. DEFINITIONS

Alternate GIDEP and NASA Advisory Coordinator	The Center or Headquarters person appointed by their organization responsible for performing the duties of the GIDEP and NASA Advisory Coordinator in cases when the primary Center or Headquarters Advisory Coordinator is not available.
Applicable GIDEPs	Those GIDEPs relating to the work's safety-critical items.
CAGE Code	The Commercial and Government Entity (CAGE) Code is a five-position code that identifies contractors doing business with the Federal Government, NATO member nations, and other foreign governments.
Closed-Loop GIDEP Reporting	Providing an electronic or written response of no impact, no usage or impact with rationale at program milestone and readiness reviews or according to contract or other specified reporting times/events for each GIDEP Notice and NASA Advisory on a Parts, Materials, and Safety Problem Impact statement via NANADARTS to the Headquarters and Center GIDEP and NASA Advisory Coordinator.
Corrective Actions	Changes to design processes, work instructions, workmanship practices, training, inspections, tests, procedures, software, specifications, drawings, tools, equipment, facilities, resources, or material that result in preventing, minimizing, or limiting the potential for recurrence.
Functional Failure	A failure resulting in nonfulfillment of required component functions or capabilities.
GIDEP	Government-Industry Data Exchange Program. GIDEP is a cooperative information-sharing program between the U.S. Government, Canadian Government, and industry participants. The goal of GIDEP is to ensure that only reliable and conforming parts, materials, and software are in use on all Government programs and operations.
GIDEP Agency Action Notice	An Agency Action Notice redistributes problem information issued by a Government agency to notify GIDEP participants of problems and actions taken. Distribution of some Agency Action Notices may be limited to Government agencies only, as determined by the submitter. GIDEP Agency Action Notices are submitted on GIDEP Form 97-3, Agency Action Notice (September 2009) [From the GIDEP Operations Manual (April 2008)].
GIDEP Alert	A standardized report prepared by a GIDEP participant for identification and notification of actual or potential problems on nonconforming parts, components, materials, manufacturing processes, test equipment, construction materials, office equipment, chemicals, or computer software. GIDEP Alerts are submitted on GIDEP Form 97-1, GIDEP Alert (September 2009) [From the GIDEP Operations Manual (April 2008)].

GIDEP and NASA Advisory Coordinator	The primary Center or Headquarters person appointed by their organization to represent them to the GIDEP. The Coordinator is responsible for ensuring appropriate documents generated by their organization are submitted to GIDEP; for coordinating and obtaining user authorization to access the database; and for coordinating and submitting annual utilization reports. The GIDEP and NASA Advisory Coordinator is a NASA GIDEP Representative as defined by GIDEP and by the definition for NASA GIDEP Representative below.
GIDEP Notices	Term used to collectively refer to GIDEP Alerts, GIDEP Safe-Alerts, GIDEP Problem Advisories, and GIDEP Agency Action Notices.
GIDEP Notice or NASA Advisory Direct Impact	A direct impact to a GIDEP Notice or NASA Advisory occurs when the item described in the Notice or Advisory and the item proposed for use, or being used as part of a flight system, ground system, facility, or infrastructure have the same manufacturer and part number, and the lot code is either the same or within the identified lot code range.
GIDEP Problem Advisory	A Problem Advisory reports: (a) preliminary information on a suspected problem, or (b) a problem with parts, components, materials, manufacturing processes, specifications, or test equipment that has a potential for causing a functional failure. Problem Advisories that report preliminary information must be followed by updated reports at not less than 30-day intervals until resolved or canceled. GIDEP Problem Advisories are submitted on GIDEP Form 97-2, GIDEP Problem Advisory (September 2009) [From the GIDEP Operations Manual (April 2008)].
GIDEP Safe-Alert	A Safe-Alert is similar to an Alert, except that it identifies and notifies the GIDEP participant of an unsafe condition. GIDEP Safe-Alerts are submitted on GIDEP Form 97-1, GIDEP Safe-Alert (September 2009) [From the GIDEP Operations Manual (April 2008)].
Ground Support Equipment	Ground-based equipment used to store, transport, handle, test, check out, service, or control aircraft, launch vehicles, spacecraft, or payloads (NASA-STD-8709.22).
NASA Advisory	A NASA document for exchanging significant parts, materials, and safety problems or concerns among NASA activities.
NASA Advisories, Notices and Alerts Distribution and Response Tracking System (NANADARTS)	NASA's database for notification and close-loop reporting of GIDEP Notices, NASA Advisories, and other related documents including Special Inquiries (Office of Inspector General, Dept. of Justice, NASA Acquisition Integrity Program etc.).
NASA Advisory Reporting System	The NASA Advisory Reporting System is a community information exchange system and database hosted by, but separate from, the GIDEP system and used to document and store NASA Advisories.

NASA GIDEP Liaison	The NASA Headquarters person that serves as the representative to the GIDEP office in the Department of Defense to communicate with and provide the interfaces between the Agency and the GIDEP. The NASA GIDEP Liaison is a GIDEP Representative as defined by GIDEP.
NASA GIDEP Representative	An individual(s) assigned by NASA who is responsible for the implementation and coordination of GIDEP within the applicable NASA Center. NASA may assign more than one GIDEP Representative when operating groups are not collocated within the same facility or different groups perform different functions.
Safety-Critical Item	A part, assembly, installation equipment, launch equipment, ground support equipment, recovery equipment, or support equipment for an aircraft, launch vehicle, space vehicle or facility if the part, equipment, or assembly contains a characteristic whose failure, malfunction, or absence could cause a catastrophic or safety-critical failure resulting in the loss of or serious damage to the craft/vehicle/facility, loss of mission, an unacceptable risk of personal injury, or loss of life.
Significant Problem	Any problem that is of the highest category of significance by virtue of the problem's impact on personnel safety or mission accomplishment (schedule and objectives).

## APPENDIX B. ACRONYMS

AGC	Ames GIDEP Alert Coordinator
APR	Ames Procedural Requirements
ARC	Ames Research Center
DGR	Directorate GIDEP Representative
COR	Contracting Officer's Representative
GIDEP	Government-Industry Data Exchange Program
NANADARTS	NASA Advisory, Notice, and Alerts Distribution and Response Tracking System
NARS	NASA Advisory Reporting System
NPR	NASA Procedure Requirements
OIG	Office of the Inspector General
PCPI	Purchase Card Procedures and Instructions
PFR	Problem Failure Report
POC	Point of Contact
SA	Safety and Mission Assurance

## **APPENDIX C. REFERENCES**

- C.1 NPD 8700.1, NASA Policy for Safety and Mission Assurance
- C.2 NPR 1441.1, NASA Records Management Program Requirements
- C.3 NPR 7120.5, NASA Space Flight Program and Project Management Requirements
- C.4 NPR 7120.8, NASA Research and Technology Program and Project Management Requirements
- C.5 NPR 8705.4, Risk Classification for NASA Payloads
- C.6 APD 1280.1, Ames Management System (AMS) Quality Manual
- C.7 APR 5100.1, Purchasing
- C.8 APR 8735.2, Deviation/Waiver (D/W) Process
- C.9 APR 8735.3, Control of Nonconforming Products and Services

## APPENDIX D. CENTER CLOSED-LOOP REPORTING PROCESS FLOW

### NASA Advisory, Notice, and Alerts Distribution and Response Tracking System (NANADARTS) Process Closed-Loop Reporting

