



## Goddard Procedures and Guidelines

**DIRECTIVE NO.** GPG 8715.1                      **APPROVED BY Signature:** Original Signed by  
**EFFECTIVE DATE:** April 18, 2002                      **NAME:** A. V. Diaz  
**EXPIRATION DATE:** April 18, 2007                      **TITLE:** Director

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**Responsible Office:** 302 / Systems Safety and Reliability Office

**Title:** Processing of NASA Safety Reporting System (NSRS) Incident Reports

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### PREFACE

#### P.1 PURPOSE

This procedure defines the implementation of the NASA Safety Reporting System at Goddard Space Flight Center (GSFC).

#### P.2 APPLICABILITY

The provisions of this directive are applicable to all GSFC employees and to all GSFC Contractor facilities performing on GSFC contracts which contain NASA FAR Supplement Clause (NFS) 1852.223-70 and provisions implementing this system.

#### P.3 AUTHORITY

NPG 8715.3, NASA Safety Manual

#### P.4 REFERENCES

OMB No. 2700-0063 NASA Safety Reporting Form

#### P.5 CANCELLATION

None

#### P.6 SAFETY

None.

#### P.7 TRAINING

The NSRS Training video is available at <http://www.hq.nasa.gov/office/codeq/nsrsindx.htm> under the category labeled "See a Video explaining the NSRS."

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## **P.8 RECORDS**

None.

## **P.9 METRICS**

See Footnote on Appendix B.

## **P.10 DEFINITIONS**

- a. NSRS (NASA Safety Reporting System) - a confidential, voluntary, and responsive safety reporting system that provides a direct channel for NASA employees and contractors to anonymously notify the Safety and Risk Management Division of safety concerns.
- b. NSRS Contractor - a third party organization that receives NSRS Incident Reports from GSFC employees and contractors, removes information pertaining to the identity of the reporting individual, records in the NSRS system, and forwards the NSRS report to NASA Headquarters.

## **PROCEDURES**

### **1. Background**

The NASA Safety Reporting System has been created to supplement standard safety reporting channels with a confidential means of reporting concerns. The NSRS is available to ensure that safety concerns are reported whenever they are perceived to be ignored, inadequately resolved, or involve extenuating circumstances, such as fear of reprisal from reporting such concerns (see Appendix B for a cross functional map that depicts implementation of NSRS Incident reporting and associated metrics).

All NASA and contractor employees are encouraged to initially use safety-reporting mechanisms available at their work sites. When these systems do not provide satisfactory results, the NSRS should be utilized. All reported NSRS issues will be investigated.

Code 302 will coordinate installation of the NSRS posters and form holders in all facilities at GSFC and at Contractor facilities performing on GSFC contracts subject to these provisions. Code 302 will visit all on site locations quarterly and restock with forms when necessary.

### **1.1 Confidentiality**

To ensure confidentiality, a third party NSRS contractor organization receives the reported safety concern, ensuring that within the NASA organization the source of the report is never known. Although personal information is included on the submittal form, it is physically removed and returned via U.S. Mail, verifying to the sender that the concern has been officially received and entered into the NSRS.

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After that point, the reported concern has no traceability to the reporting individual and there is no further communication with the reporter. For confirmation of process change due to the safety report, the reporting individual will need to look for evidence of procedural change in the area reported.

## 1.2 Report submission

Form OMB No. 2700-0063 is used to report safety concerns to the third party NSRS contractor. Complete instructions and the form are available in each building and on the Internet at: <http://www.hq.nasa.gov/office/codeq/nsrsindx.htm> under the category labeled “Where are NSRS Forms Available?”

## 1.3 Report dissemination and tracking

The NSRS contractor forwards reported issues to NASA Headquarters. The center involved in the issue is then identified and contacted for transmission of the issue. The GSFC contact and recipient is Code 302, System Safety and Reliability Office. NASA HQ maintains a file on all open NSRS issues pending resolution and closure.

NSRS issues are securely transmitted via fax from NASA HQ. Code 302 is contacted about the report, and will coordinate confidential transmission and receipt of the fax. The Code 302 recipient advises HQ upon successful receipt. Received NSRS Incident Reports are kept in a secure file as part of Code 302’s required records.

## 1.4 Issue Investigation

Code 302 assesses and validates issues upon receipt to determine the appropriate investigation approach and notifies NASA HQ within thirty (30) days of receipt that the investigation has been initiated or completed. Code 302 will typically investigate relatively simple or non-critical issues, where a team will investigate complex or critical issues. Code 302 will identify members of such a team, who will be officially tasked by the Assistant Director For Safety and Security or his designee in a letter of appointment (see Appendix A).

The owner of the process (affected area / activity supervisor or manager) under investigation will support the investigation, ensuring that the context within which the issue exists is clearly understood. The process owner will also participate in the identification of corrective actions.

The investigation will culminate in an Investigative Report containing findings, recommended actions, and the names of the investigators are required. The Investigative Report is submitted to the Assistant Director for Safety and Security, and upon acceptance is submitted to NASA HQ. The responsible contracting officer for contract matters and the Assistant Director for Safety and Security for all other matters, are ultimately responsible for ensuring corrective actions of issue(s) on the Incident Report. They will rely on Code 302 to perform an evaluation of the corrective action(s) and the effectiveness of these action(s) to ensure the issue(s) reported in the NSRS Incident Report have been adequately addressed and resolved.

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## 1.5 Verification

Within a three-month period after development of the investigation report, Code 302 will evaluate the effects of corrective actions recommended. If the corrective action(s) are not adequate or not implemented, a report will be issued to the Assistant Director for Safety and Security to re-start the corrective action process. For satisfactory resolution of issue(s), Code 302 will send the investigation report to headquarters recommending that the issue be closed. Copies of the report will also be kept in secure file storage by Code 302, and submitted to the Code 205.2 Workman's Compensation Safety Program Analyst.

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## Appendix A – Sample Appointment Letter

March 2, 2001

**TO:**            Investigation Team Members  
**FROM:**        100/Assistant Director For Safety and Security  
**SUBJECT:**    NASA Safety Reporting System (NSRS) Investigation Board  
                    Appointments--System Incident Report

On January 26, 2001, Goddard Space Flight Center (GSFC) received an incident report through the NASA Safety Reporting System. The incident report covers slips and falls due to hazardous conditions connected with flooring material installed in Building 11 stairwells. In addition, there have been numerous other slips and falls connected with floor conditions inside of GSFC buildings during inclement weather. We are convening a team, under the direction of the NSRS Program Coordinator, to investigate the NSRS reported incident and the other recent incidents of slips and falls. The team shall investigate these and determine the conditions and causes of this hazard and recommend viable ways of eliminating or at least greatly reducing this problem. The team members are:

Member 1, Code 300, Team Leader  
Member 2, Code 227  
Member 3, Code 205.2  
Member 4, Code 220 (LB&B)

In addition, Mr. Jay Garvin, NSRS Program Coordinator, will serve as a consultant to your team.

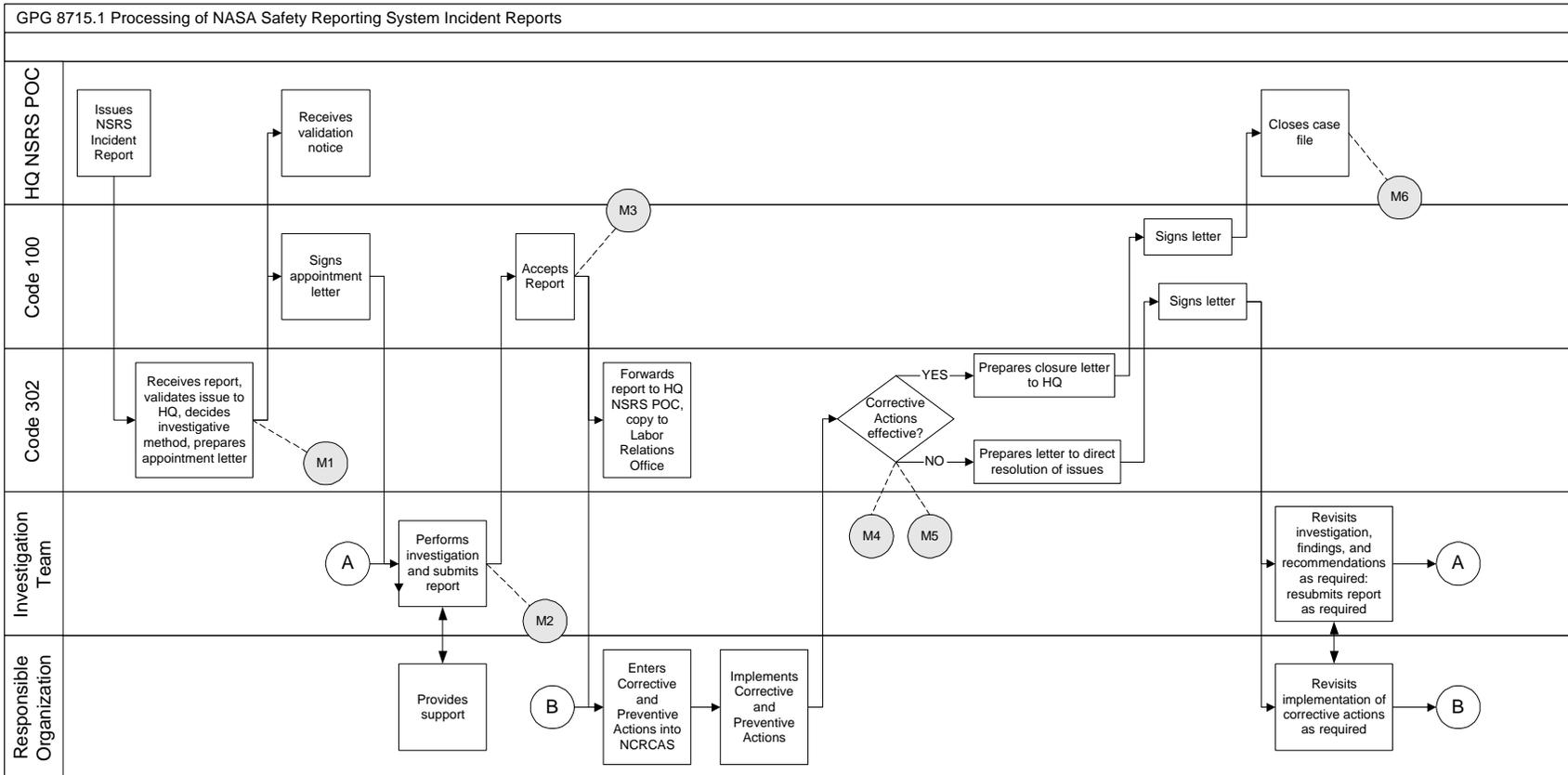
During your team investigation you will report to me. You should consider this task to have a very high priority. If additional resources are necessary, please contact Mr. Garvin or me to resolve the issues.

If you have any further questions about this process, please contact Mr. Garvin on extension 6-6490.

Charles S. Vanek

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### Appendix B – Process Flow Diagram



**Process Metrics**  
 M1: Number of work days between receipt of incident report and transmission of issue validation to HQ (requirement is <30 days)  
 M2: Number of work days between receipt of appointment letter and submission of report  
 M3: Number of time the report is rejected before acceptance  
 M4: Ratio of corrective actions found to be ineffective and total number of corrective actions undertaken  
 M5: Ratio of corrective actions found to be improperly implemented and total number of corrective actions undertaken  
 M6: Number of time the recommendation for closure is rejected before acceptance

Author: David Cleveland  
 Date Revised: 04-09-2001

