



# NASA Procedural Requirements

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NPR 8735.1A  
Effective Date: August 22, 2002  
Expiration Date: January 07, 2008

**COMPLIANCE IS MANDATORY**

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## Procedures For Exchanging Parts, Materials, and Safety Problem Data Utilizing the Government-Industry Data Exchange Program and NASA Advisories w/Change 1 (4/23/04)

Responsible Office: Safety & Assurance Requirements Division

### TABLE OF CONTENTS

[Change](#)

[Preface](#)

P.1 PURPOSE  
P.2 APPLICABILITY  
P.3 AUTHORITY  
P.4 REFERENCES  
P.5 CANCELLATION

[Chapter 1. Scope](#)

[Chapter 2. General Process and Requirements](#)

2.1 PROBLEM DATA EXCHANGE PROCESS  
2.2 GENERAL REQUIREMENTS  
2.3 RESPONSIBILITIES

[Chapter 3. GIDEP Alerts, GIDEP Safe-Alerts, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories](#)

[Chapter 4. Release and Distribution of GIDEP Alerts, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories](#)

[Chapter 5. Evaluation and Disposition of GIDEP Alerts, GIDEP Safe-Alerts, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories](#)

[Appendix 1: Definitions](#)

[Appendix 2: Guidelines For Contractual Implementation of GIDEP](#)

[Appendix 3: Instructions for Filling in the Parts, Materials, and Safety Problem Impact Statement \(NASA FORM 1544\)](#)

[Appendix 4: Problem Impact Statement \(NASA FORM 1544\)](#)

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## Change History

NPR 8735.1A, Procedures For Exchanging Parts, Materials, and Safety Problem Data Utilizing the Government-Industry Data Exchange Program and NASA Advisories

Change No.	Date	Description
1	3/31/04	Deletions of paragraphs, references, etc., per Jennings memo dated 12/5/03, and administrative changes made throughout to change NPG to NPR, etc.

Effective Date: August 22, 2002

## **Preface**

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### **P.1 PURPOSE**

These procedural requirements establish common, general requirements and procedures for NASA to ensure that information concerning significant problems involving parts, materials, and safety are exchanged both internal and external to NASA.

### **P.2 APPLICABILITY**

This procedural requirement document applies to NASA Headquarters, NASA Centers, including Component Facilities, and to the Jet Propulsion Laboratory (JPL) and NASA contractors to the extent specified in their contracts.

### **P.3 AUTHORITY**

NPD 8700.1, "NASA Policy for Safety and Mission Success"

### **P.4 REFERENCES**

- a. Office of Federal Procurement Policy Letter 91-3, "Reporting Nonconforming Products."
- b. NPD 2110.1, "Foreign Access to NASA Technology Transfer Materials."
- c. GIDEP S0300-BU-GYD-010, "Government-Industry Data Exchange Program (GIDEP) Requirements Guide."
- d. GIDEP S0300-BT-PRO-010, "GIDEP Operations Manual."

### **P.5 CANCELLATION**

NPR 8735.1, dated November 5, 1998.

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**/s/ Brian D. O'Connor**  
**Associate Administrator**  
**Safety and Mission Assurance.**

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## CHAPTER 1. SCOPE

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It is imperative that NASA activities be cognizant of part and material problems, and unsafe conditions that might adversely effect NASA missions. NPD 8700.1 identifies the requirements to control nonconforming products and to perform corrective and preventative actions. This NASA Procedural Requirements document describes the additional requirements for the exchange of data concerning significant parts, materials, and safety problems internal and external to NASA. This document provides the procedures for the preparation, distribution, and closeout of Government-Industry Data Exchange Program (GIDEP) ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, and GIDEP Agency Action Notices, as well as NASA Advisories. Refer to Appendix A1 for definitions of these documents.

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## CHAPTER 2. GENERAL PROCESS AND REQUIREMENTS

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### 2.1 PROBLEM DATA EXCHANGE PROCESS

The overall problem data exchange process for NASA is shown in Figure 2-1.



### 2.2 GENERAL REQUIREMENTS

NASA shall:

- a. Participate in GIDEP ([Requirement 24024](#)).
- b. Develop, document, and implement a process (or processes) for:
  - (1) The identification, documentation, control and correction of problems and nonconforming items.
  - (2) The exchange of significant problem and nonconforming item data among NASA activities and with GIDEP.
  - (3) The evaluation and disposition of GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories ([Requirement 24001](#)).
- c. Formulate contracts so as to incorporate GIDEP participation and requirements to evaluate GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories, if appropriate ([Requirement 24025](#)). Appendix 2 provides guidelines for contractual implementation of these requirements.

### 2.3 RESPONSIBILITIES

- a. The Associate Administrator for Safety and Mission Assurance (Code Q) is responsible for:
  - (1) Establishing Agencywide requirements for the exchange of significant problem and nonconforming item data among NASA activities and with GIDEP ([Requirement 31825](#)).
  - (2) Exchanging significant problem and nonconforming item data identified by Headquarters among NASA activities and with GIDEP ([Requirement 31826](#)).
  - (3) Reserved
  - (4) Designating an Agency ALERT Coordinator who serves as the NASA representative to the GIDEP ([Requirement 31828](#)).
- b. Each NASA Enterprise Associate Administrator is responsible for maintaining continuous oversight of their Center's processing of GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories ([Requirement 24003](#)).
- c. Center Directors and the Director of Headquarters Operations are responsible for:
  - (1) Developing, documenting, and implementing Center processes for:
    - (a) The identification, control and correction of problems and nonconforming items ([Requirement 31830](#)).
    - (b) The exchange of significant problem and nonconforming item data identified by the Center among NASA activities and with GIDEP ([Requirement 31831](#)).
    - (c) The evaluation and disposition of GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories ([Requirement 31832](#)).
  - (2) Participating in the GIDEP ([Requirement 31833](#)).
  - (3) Designating a civil service employee as the Center/Headquarters GIDEP ALERT and NASA Advisory Coordinator ([Requirement 31834](#)).
- d. Program, Project, and Functional Managers are responsible for:
  - (1) Reviewing all contracts to ensure incorporation of GIDEP participation requirements to evaluate GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories ([Requirement 31835](#)).
  - (2) Ensuring that all applicable GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories are reviewed and dispositioned ([Requirement 31836](#)).
  - (3) Ensuring that all significant parts, material and safety problems of a general concern are identified and corresponding data exchanged via GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories ([Requirement 31837](#)).
  - (4) Ensuring that the status of all applicable GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories are reviewed at program milestones and readiness reviews ([Requirement 31838](#)).
- e. The Headquarters and Center ALERT Coordinators are responsible for:

(1) Reviewing all GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories and GIDEP Agency Action Notices, and NASA Advisories from their respective facilities for adequacy before release ([Requirement 31839](#)).

(2) Signing and releasing all GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories and GIDEP Agency Action Notices, and NASA Advisories from their respective facilities ([Requirement 31840](#)).

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## CHAPTER 3. GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP PROBLEM ADVISORIES, GIDEP AGENCY ACTION NOTICES, AND NASA ADVISORIES.

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3.1 Significant problem and non-conforming item data shall be documented for exchange among NASA Centers and GIDEP ([Requirement 24007](#)). This data shall be documented and exchanged using the GIDEP unless the GIDEP reporting criteria contained in GIDEP S0300-BU-GYD-010, Chapter 7 cannot be met or there are restrictions on release and distribution of the information ([Requirement 31841](#)). If the data cannot be released via GIDEP, a NASA Advisory shall be used ([Requirement 31842](#)). [Data designated for exchange shall be exchanged using either a GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory, GIDEP Agency Action Notice, or NASA Advisory, but not both.]

3.2 GIDEP ALERTS shall be documented in accordance with the requirements of GIDEP S0300-BT-PRO-010, the GIDEP Operations Manual ([Requirement 24008](#)).

3.3 NASA Advisories shall be documented using a Center unique form (Component Facilities shall utilize the form from their associated Center) that as a minimum contains the following information:

a. General information, which includes the following statements: "This is a NASA Advisory issued in accordance with the requirements of NASA Procedural Requirements 8735.1. For information concerning processing and actions required to be conducted in conjunction with this information refer to your contract or NASA Procedural Requirements 8735.1."

b. Date of issue.

c. Restrictions on Release: Identify any restrictions on release of this information.

d. Identification Number of the NASA Advisory: The standard convention is NA-Center-Year-Sequential Numbers.

e. Nomenclature of the item, part, component, material, specification or process.

f. Manufacturer/Manufacturer's Address(es): Enter the name and address(es) for the manufacturer of the discrepant part.

g. Procurement Specification: Enter the procurement specification number for the discrepant part or the procurement specification number which controls the problem part.

h. Manufacturer's Part Number: Enter the manufacturers part number.

i. Lot/Date Code: Enter the lot/date code of the discrepant part.

j. Serial Number: Enter the serial number of the discrepant part.

k. Problem Situation or Cause.

l. Action Taken: Enter any actions your organization or the manufacturer is taking, plans to take, or suggests taking to preclude recurrence of the problem.

m. Contact Points for Information.

n. References.

o. Alert Coordinator's Signature, Name, Phone Number, and E-mail address ([Requirement 24009](#)). [applies to all of paragraph 3.3]

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## CHAPTER 4. Release and Distribution of GIDEP Alerts, GIDEP Safe-Alerts, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories

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4.1 GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories shall be expeditiously released for action using the most effective means (i.e., mail, facsimile, E-mail) ([Requirement 24010](#)).

4.2 GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories shall be released to the GIDEP Operations Center in accordance with the GIDEP requirements of S0300-BT-PRO-010, "GIDEP Operations Manual" ([Requirement 24011](#)).

4.3 NASA Advisories shall be coordinated with the Center Office of Chief Council prior to initial release by the Alert Coordinator. ([Requirement 24012](#)), NASA Advisories should be processed through designated official channels as determined by each Center.

4.4 NASA Advisories shall be distributed to:

- a. The appropriate Center organizations for review ([Requirement 31843](#)).
- b. The Center and Headquarters ALERT coordinators ([Requirement 31844](#)).
- c. The NASA Office of the Inspector General in cases of suspected fraud ([Requirement 31845](#)).
- d. Reserved

4.5 The NASA Office of the Inspector General or another Government agency may identify situations potentially involving fraud, waste, and abuse which may also impact safety and mission assurance. When this information is transmitted to the Office of Safety and Mission Assurance (Code Q), it is converted into a NASA Advisory. Additional caution shall be exercised for processing and distributing these NASA Advisories to ensure distribution only to those people with a need to know the information, as this information is usually associated with an ongoing investigation ([Requirement 24014](#)).

4.6 NASA Programs/Projects that involve an international partner (such as the European Space Agency) require special review prior to distribution to the international partner of the GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory, GIDEP Agency Action Notice or NASA Advisory. Release of GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisory information shall be in accordance with NPD 2110.1, "Foreign Access to NASA Technology Transfer Materials" ([Requirement 24015](#)). Only GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisory information that applies to the international partner's participation in a joint NASA/international partner program may specifically be released. Normally this means that only GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories related to components or parts utilized in the equipment contributed by the international partner can be released. Further guidance may be obtained from the NASA Assessments and Technology Division (Code ID) at NASA Headquarters and GIDEP.

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## CHAPTER 5. EVALUATION AND DISPOSITION OF GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP PROBLEM ADVISORIES AND GIDEP AGENCY ACTION NOTICES, AND NASA ADVISORIES

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5.1 Upon receipt of a GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory, GIDEP Agency Action Notice, or NASA Advisory, Program/Project/Functional Managers shall evaluate and disposition the GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory, GIDEP Agency Action Notice, or NASA Advisory by:

- a. Determining its relevance and impact to programs and projects ([Requirement 31847](#)).
- b. Identifying actions to be taken to reduce or eliminate any detrimental effects on programs and projects or identifying other disposition actions to be taken (e.g., risk accepted after assessment, parts replaced, parts placed in segregated stores, additional testing performed, etc.) ([Requirement 31848](#)).
- c. Preparing and providing a response to the GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory, GIDEP Agency Action Notice, or NASA Advisory in the form of a Parts, Materials and Safety Problem Impact Statement (NASA Form 1544 (Refer to Appendix 3)) or Center designated form ([Requirement 31849](#)). For GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, or NASA Advisories that do not apply to a program or project, a "no impact" response shall be provided on the form ([Requirement 31850](#)). Center-generated processes shall identify how these documents are to be processed and retained ([Requirement 31851](#)). These documents shall be maintained for a minimum of 5 years following completion of the program ([Requirement 31852](#)).
- d. Collecting additional information as requested by the NASA Advisory initiator ([Requirement 31853](#)). For example, NASA Advisories that deal with fraud will generally require additional information on the NASA Form 1544 to assist the NASA Office of the Inspector General in the preparation of any legal casework and to assist in cost recovery action. Such additional information may include:
  - (1) Programs and Projects Impacted (Block 7): In addition to the list of programs/projects affected, the costs incurred in investigation of the impact to the programs/projects should be indicated. If there is no impact, the costs incurred to make that determination should be indicated.
  - (2) Impact on Programs and Projects (Block 8): In addition to the required impact summary, the number of parts involved and their estimated cost should be indicated (e.g., 10 lots of fasteners totaling 135 fasteners with an estimated cost of \$10,000).
  - (3) Action Taken (Block 9): In addition to the summary of actions taken to eliminate or minimize the impact, any additional testing or inspection should be indicated. The results of those inspections or tests should be provided (e.g., Particle Impact Noise Detection test performed on 40 items with 3 failures). If a scrap decision is made, the number of items scrapped and their value should be indicated.
- e. Preparing Lessons Learned reports if appropriate ([Requirement 31854](#)).

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## Appendix 1: Definitions

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GIDEP ALERT - Government-Industry Data Exchange Program (GIDEP) document for reporting a problem with parts, components, materials, specifications, software, facilities, manufacturing processes or test equipment that can cause a functional failure.

GIDEP SAFE-ALERT - A Government-Industry Data Exchange Program document for reporting a non-conforming item, product or situation that creates a safety hazard for personnel or equipment.

GIDEP Problem Advisory - A Government-Industry Data Exchange Program document for reporting a problem with parts, components, materials, manufacturing processes, specifications, software, facilities, or test equipment that has an unknown or low probability of causing problems for other users.

GIDEP Agency Action Notice - A Government-Industry Data Exchange Program document for redistributing problem information issued by a Government Agency to GIDEP participants.

NASA Advisory - A NASA document for exchanging significant parts, materials and safety problems or concerns among NASA activities.

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## Appendix 2: Guidelines for Contractual Implementation of GIDEP

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Each NASA procurement is to be reviewed to determine if participation in the Government-Industry Data Exchange Program (GIDEP) and NASA Advisory Program (NAP) is appropriate.

The following factors should be considered in this determination:

Type of Procurement - consider the commodity being purchased; generally, hardware/software procurements are more suitable for participation than service contracts.

Acquisition Phase - consider the phase of the program and the utility of the GIDEP and NASA Advisory data to support that phase, generally activities after the conceptual design phase can benefit most from participation.

Dollar Value of Contract - consider the amount of the contract and the benefit to be obtained from participation or the risks of not participating. There is no cost to contractors to participate in GIDEP - There is a cost to review and evaluate information.

Criticality of the Equipment - consider the potential for loss or damage to the equipment or personnel if GIDEP and NAP information is not utilized. While the primary focus of reviewing contracts for participation in GIDEP is to ensure that failure experience data is available and utilized, contractual requirements can be established for use of the other GIDEP data types. The following is a suggested GIDEP/NAP participation Statement of Work requirement for failure experience data. This text may be tailored at the facilities discretion.

"The contractor shall participate in the Government-Industry Data Exchange Program (GIDEP) in accordance with the requirements of the GIDEP Operations Manual (GIDEP S0300-BT-PRO-101) and the GIDEP Requirements Guide (S0300-BU-GYD-010), available from the GIDEP Operations Center, PO Box 8000, Corona, California 91718-8000. The contractor shall review all GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories to determine if they affect the contractors products produced for NASA. For GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories that are determined to affect the program, the contractor shall take action to eliminate or mitigate any negative effect to an acceptable level. The contractor shall generate the appropriate failure experience data report(s) (GIDEP ALERT, GIDEP SAFE-ALERT, GIDEP Problem Advisory) in accordance with the requirements of GIDEP S0300-BT-PRO-010 and S0300-BU-GYD-010 whenever failed or nonconforming items, available to other buyers, are discovered during the course of the contract."

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## Appendix 3: Instructions For Filling in The Parts, Materials, and Safety Problem Impact Statement Form (NASA Form 1544)

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1. Subject: Enter the subject of the identified problem report.
2. Date: Enter Impact Statement preparation date.
3. Reference Report: Enter title, source, and identification number of GIDEP ALERTS, GIDEP SAFE-ALERTS, GIDEP Problem Advisories, GIDEP Agency Action Notices, and NASA Advisories or other problem source report.
4. Reference Report Date: Enter date of the problem source report, identified above.
5. Contact Points of Information: Enter the names of responsible individuals and organizations, including phone numbers, to be contacted for further technical details and information.
6. Center ALERT Coordinator: The Center ALERT Coordinator approval for the completed form. (Optional)
- 6.a. Impact Statement Preparer: Enter identification of individual preparing the Impact Statement Form.
7. Programs and Projects impacted: Enter a list of programs and projects that would be impacted as a result of the information received from the referenced report. If there is no impact, use "NO IMPACT."
8. Impact on Programs and Projects: Provide a summary that outlines impact(s) that the reference report has on identified program(s) and project(s).
9. Action Taken: Provide a summary of actions taken to eliminate or minimize impact(s) on the identified program(s) and project(s), including level of impact (i.e., critical, major or minor).

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## Appendix 3: Problem Impact Statement (NASA FORM 1544)

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[Problem Impact Statement \(NASA FORM 1544\)](#) In PDF Format.