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# NASA Procedural Requirements

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## Subject: Safety and Mission Assurance (SMA) Audits, Reviews, and Assessments

Responsible Office: Office of Safety and Mission Assurance

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## Chapter 2. SMA Audits, Reviews, and Assessments

### 2.1 Overview

2.1.1 In addition to the main objectives stated in 1.2.1, SMA audits, reviews, and assessments are conducted to achieve the following objectives:

- a. Verify applicable NASA SMA requirements are appropriately documented and implemented.
- b. Verify documented processes and practices are in place, operating as intended, and achieve the intent of the NASA SMA requirements.
- c. Provide NASA with an independent, objective, and constructive evaluation of the institution, facilities, operations, programs, or projects compliance with the applicable requirements.
- d. Identify areas for continual improvement of NASA SMA requirements to better serve mission objectives or accommodate unique applications or conditions.

2.1.2 The objectives stated in 1.2.1 and 2.1.1 are accomplished by the following activities, which include but are not limited to:

- a. Reviewing the NASA Center, program, or project organizations' SMA requirements and documented procedures to ensure that applicable NASA SMA requirements are appropriately documented and implemented.
- b. Reviewing documentation and records of completed work and training.
- c. Interviewing NASA Center, program, or project organizations' personnel responsible for implementing and executing processes and procedures required to meet NASA SMA requirements.
- d. Assessing the NASA Center, program, or project organizations' procedures, processes, and practices to verify and validate they are in place and operating as intended.
- e. Verifying the effective implementation of corrective actions, including those related to previous audit findings.
- f. Collecting and examining objective evidence that demonstrates compliance with the NASA SMA requirements (see definition in Appendix A).

2.1.3 SMA audit and assessment processes coordinate with and leverage audits, reviews, and assessments conducted by the Center, program, project, other NASA or governmental organizations, or certified nongovernmental organizations to facilitate verification of compliance with SMA requirements.

### 2.2 Roles and Responsibilities

2.2.1 The NASA Associate Administrator and Associate Administrator for the Mission Support Directorate are

responsible for ensuring that NASA Centers have adequate resources to perform regularly scheduled internal SMA audits, reviews, and assessments and support SMA audits, reviews, and assessments.

2.2.2 Mission Directorate Associate Administrators are responsible for ensuring that programs and projects have adequate resources to support regularly scheduled internal SMA audits, reviews, and assessments and support SMA audits, reviews, and assessments.

2.2.3 The Chief, Safety and Mission Assurance is responsible for the implementation of the SMA audit, review, and assessment processes in accordance with NPD 1210.2. The Chief, SMA delegated management of the process to the NASA Safety Center (NSC), which established the Assessments and Investigations Office (AIO) for this purpose. However, the Chief, SMA may direct the AIO to perform out-of-cycle audits, reviews, or assessments if deemed necessary based on problems and deficiencies related to safety and mission success.

2.2.4 The AIO is responsible to the Chief, SMA for managing the SMA audit, review, and assessment processes in accordance with NPD 1210.2.

2.2.5 Center Directors are responsible for supporting SMA audits, reviews, and assessments by providing the logistic and resource support required for successful execution of and response to the SMA audits, reviews, and assessments (e.g., planning and schedule coordination and workspace and information technology support), and for preparing and implementing a response.

2.2.6 Center SMA Directors are responsible for supporting and participating in SMA audits, reviews, and assessments by providing subject matter experts and team members, ensuring all necessary materials needed to support the events are provided, and ensuring CAPs are addressed and status is provided, as required.

2.2.7 Program and Project Managers are responsible for supporting SMA audits, reviews, and assessments by providing the program and project logistic and resource support required for successful execution of and response to the SMA audits, reviews, and assessments (e.g., planning and schedule coordination and workspace and information technology support), and for preparing and implementing a response.

## 2.3 SMA Audit, Review, and Assessment Requirements

2.3.1 The Office of Safety and Mission Assurance (OSMA) provides an annual letter to the NASA Centers, programs, or projects identifying an audit, review, and assessment schedule and Centers to be audited during the next two years, and requesting that the NASA Center, program, or project identify an audit, review, and assessment point of contact to coordinate scope and facilitate assistance from the NASA Center, program, or project during the SMA audit, review, and assessment.

2.3.2 The AIO shall:

- a. Coordinate SMA audits, reviews, and assessments and leverage audits, reviews, and assessments conducted by the Center, program, project, other NASA or governmental organizations, or certified nongovernmental organizations to facilitate verification of compliance with SMA requirements.
- b. During the audit, verify each noncompliance is traceable to a clearly identified requirement and that each auditor documents the objective evidence of the NASA Center's noncompliance with the requirements appropriate to the audit objective(s).
- c. Provide the SMA audit, review, and assessment report to the appropriate Center Director, Center SMA Director, Program Manager, NASA Headquarters Mission Directorate Associate Administrator, and affected institutional organizations and OSMA personnel with responsibilities for the areas reviewed.
- d. Provide technical feedback on the initial corrective action plans (CAPs) provided by the NASA Centers, focusing on preventing recurrence of the finding.
- e. Maintain a repository of all SMA audit, review, and assessment information in an Agency approved online repository accessible by all NASA Centers.

2.3.3 Center Directors shall:

- a. Identify and provide NASA Center subject matter experts to the SMA audit, review, and assessment team, as requested, during the SMA audit, review, and assessment activities.
- b. Identify a SMA audit, review, and assessment point of contact for the NASA Center to facilitate assistance during the SMA audits, reviews, and assessments.

2.3.4 Center SMA Directors shall:

- a. Provide to the SMA audit, review, and assessment team lead all necessary review materials including, but not limited to: Center documents; organizational charts; contracts; results of other relevant audits, reviews, or assessments that may have previously verified compliance with requirements; and Center internal SMA audits and assessments to facilitate the planning and execution of the SMA audit, review, and assessment.
- b. Develop and provide a CAP addressing resolution of all Center SMA audit noncompliances to the AIO via the System for Tracking Audits/Assessments and Reviews (STAR).
- c. Provide CAP status annually to the AIO until all Center SMA audit noncompliances have been closed.
- d. Identify and provide NASA Center subject matter experts to serve as SMA audit, review, and assessment team members for SMA audits, reviews, and assessments of other NASA Centers, programs, and projects.

#### 2.3.5 Program and Project managers shall:

- a. Provide results to the AIO of program and project assessments of compliance to Agency SMA requirements since the last SMA audit, review, and assessment, when requested in preparation for SMA audits, reviews, and assessments.
- b. Identify a SMA audit, review, and assessment point of contact for the program and project to facilitate assistance during the program and project SMA audit, review, and assessment.
- c. Provide to the SMA audit, review, and assessment team all necessary review materials including, but not limited to: program and project documents; organizational charts; contracts; results of other relevant audits, reviews, or assessments that may have previously verified compliance with SMA requirements; and program and project internal SMA audits and assessments to facilitate the planning and execution of the program and project SMA audits, reviews, and assessments.
- d. Provide a CAP to the AIO, through the Center SMA Director, addressing resolution of all program and project SMA audit noncompliances.
- e. Provide CAP status to the AIO annually, through the Center SMA Director, until all program and project noncompliances have been closed.

## 2.4 Pre-Audit Discovery

2.4.1 The AIO conducts Pre-Audit Discovery activities approximately 120 days prior to each IFOSA and QAAR to assist the audit teams in a collaborative effort to gather Center documents and records and to conduct a top-level review of select NASA contracts to identify requirement documents included in contract requirements in support of IFOSA and QAAR.

2.4.2 For NASA-designated programs and projects, and as funding permits, the AIO conducts reviews for flow down of NASA SMA requirements into NASA program and project documentation.

## 2.5 Institutional, Facility, Operational Safety Audits (IFOSA)

2.5.1 The AIO conducts IFOSA to verify the implementation of applicable NASA SMA institutional, facility and operational requirements. See Appendix D for a list of documents included in IFOSA.

2.5.2 The AIO shall:

- a. Provide an announcement letter and a team letter to the NASA Center identifying the SMA audit and assessment objective, scope and team.
- b. Conduct IFOSA at NASA Centers and Component Facilities at least once every four years or more frequently per the direction of the Chief, SMA.
- c. Conduct interim Centers assessments at NASA Centers and Component Facilities as driven by Agency and Center indicators approximately midway between the IFOSA schedule, to ensure a review is conducted every other year as necessary.

## 2.6 Quality Audit, Assessment, and Review (QAAR)

2.6.1 The AIO conducts QAARs to verify compliance with NASA SMA quality and software assurance requirements contained in and related to, the SMA requirements documents (NPDs, NPRs, and NASA standards). See Appendix D for a list of documents included in QAARs.

## 2.6.2 The AIO shall:

- a. Provide an announcement letter and a team letter to the NASA Center identifying the SMA audit and assessment objective, scope and team.
- b. Conduct QAARs at NASA Centers and Component Facilities at least once every four years or more frequently per the direction of the Chief, SMA.
- c. Conduct interim assessments at NASA Centers and Component Facilities as driven by Agency and Center indicators approximately midway between the QAAR schedule, to ensure a review is conducted every other year as necessary.

## 2.7 Interim Center Assessment (ICA)

The AIO conducts interim Center assessments as part of the IFOSA and QAAR processes, as stated above, or upon request of the Agency or Center.

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