

# Appendix 1

## Miscellaneous guidelines and instructions

This appendix contains one attachment:

Records and Reports

## Appendix 1 Records and reports

### 1. Center-level safety and health records

JSC must keep the records described in the following table. Records are kept in a central location for easy access, and many records have backup copies stored at a federal records retention center. JSC must keep records back to the beginning of the fiscal year of the last OSHA VPP review or longer if required by OSHA or NPR 1441.1, “Records Retention Schedules.” Any format that includes the pertinent information is acceptable unless otherwise noted in the table.

JSC must protect all safety and health records under the Privacy Act of 1974.

<i>Record . . .</i>	<i>Chapter</i>	<i>Required format . . .</i>	<i>Other requirements . . .</i>
Coordination Safety and Health Committee minutes	1.1	None	Coordination Safety and Health Committee keeps minutes
Contractor Safety Forum minutes	1.1	None	Contractor Safety Forum keeps minutes
Tracking completion of tasks assigned by Coordination Safety and Health Committee or Contractor Safety Forum	1.1	None	Coordination Safety and Health Committee and Contractor Safety Forum keep tracking
Tracking completion of center-level goals	1.1 also supports 1.3	None	Coordination Safety and Health Committee keeps tracking
A commitment statement from the current Director, JSC	1.2	None	Safety and Test Operations Division keeps; within 60 days after a change of Center Director, we must send a new statement to OSHA
A letter of support for VPP signed by the current president, AFGE, local 2284.	1.2	None	Safety and Test Operations Division keeps; within 60 days after a change in either the president, AFGE local 2284, or Director, JSC, we must send a new letter to OSHA
JPG 1700.1 and change records	1.4	None	Safety and Test Operations Division keeps document and change records
Variance documentation for both center-level and higher-level variances	1.4	None	Safety and Test Operations Division keeps until the variance expires; we must send yearly summary to NASA HQ, Code Q, of any variances JSC approves to NASA-level requirements

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<i>Record . . .</i>	<i>Chapter</i>	<i>Required format . . .</i>	<i>Other requirements . . .</i>
Center-level financial records showing safety items	1.6; also supports 1.3	None	The Office of the Chief Financial Officer and the Center Operations Directorate keep financial records
Records on JSC contractors to include: <ul style="list-style-type: none"> <li>• Contractor OSHA Form 300, “OSHA Log and Summary of Occupational Injuries and Illnesses,” logs and supporting information</li> <li>• Documentation on contractor selection that shows safety and health was considered in selecting the contractor</li> <li>• Documentation showing contractor evaluation that includes safety and health</li> <li>• Disciplinary action taken on a contractor because of safety and health reasons</li> <li>• Any other safety and health documentation required by an individual contract such as safety and health plans</li> </ul>	1.8 Part 11	OSHA Form 300 must be in the format required by OSHA  Any format that includes the pertinent information is acceptable for the other items	Safety and Test Operations Division keeps current logs  Office of Procurement keeps all other records
JSAT minutes	1.9	None	JSAT keeps the minutes
Safety and health program self-evaluation	1.10	As required by OSHA VPP Region VI	Safety and Test Operations Division keeps the self-evaluation
Documentation on tracking self-evaluation actions to closure	1.10	None	Coordination Safety and Health Committee keeps documentation
PEP results	1.10	None	Safety and Test Operations Division keeps results
Information for NASA’s annual report to OSHA	1.10	None	The Safety and Test Operations Division will send its information for this report to NASA Headquarters when Hheadquarters requests it, using OSHA publication 2014 as a guide. This must include documentation required by NPR 8715.1 and NPR 8715.3
Industrial hygiene records – sampling and analysis	2.2	None	Occupational Health Branch keeps records
Safety and Health design comments	2.3	None	The Safety and Test Operations Division keeps safety comments; the Occupational Health Branch keeps health comments

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<i>Record . . .</i>	<i>Chapter</i>	<i>Required format . . .</i>	<i>Other requirements . . .</i>
Design review documentation and acceptance test and inspection records	2.3	None	COD keeps the records
Operational Readiness Inspection reports and records	2.3 & 10.3	None	The Safety and Test Operations Division keeps the reports and records indefinitely
Records on annual Safety and Test Operations Division safety inspections	2.5	Findings recorded in the Hazard Abatement Tracking System	The Safety and Test Operations Division keeps records of safety inspections; the Occupational Health Branch keeps records of health inspections
Employee reports of hazards and close calls	2.6	Close Call and Safety Action Hotline tracking databases	Safety and Test Operations Division keeps these records
Log of occupational injuries and illnesses  This log records federal employee job-related injuries and illnesses that are OSHA reportable	2.7	OSHA Form 300  Data kept in the facilities request database (FRED), JSC's mishap reporting and tracking system, and printed as necessary	The Safety and Test Operations Division records the information in FRED within 1 working day after finding out about the injury or illness. The log must include cases reported to the Office of Workers' Compensation Programs
Annual Summary of Federal Occupational Injuries and Illnesses	2.7	OSHA Form 300  Must follow OSHA Publication OMB No. 1220-0029, "Recordkeeping Guidelines for Occupational Injuries and Illnesses"	The Safety and Test Operations Division will:  Post copies of the summary where employee notices are posted by Dec. 14 of each year. Copies of the summary must remain posted for at least 30 calendar days  Take steps to make sure no one alters, defaces, or covers the copies  Send a copy of the summary to NASA Headquarters by October 30 of each year
Mishap board reports and records (including supporting evidence, transcripts, and minutes of board meetings)	2.7	NPR 8621.1, Chapter 6	Safety and Test Operations Division keeps records
Mishap Reports	2.7	FRED, IRIS NASA Form 1627	Safety and Test Operations Division keeps reports

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<i>Record . . .</i>	<i>Chapter</i>	<i>Required format . . .</i>	<i>Other requirements . . .</i>
Records to support center-level trend analysis such as minutes where trends are discussed, committee reports on trends are analyzed	2.8	None	Safety and Test Operations Division, Occupational Health Branch, JSAT, Coordination Safety and Health Committee keep records as appropriate
Other OSHA-required records at the center level (e.g., lockout/tagout audit reports, hearing conservation records)	3.2	As required by OSHA	Per OSHA, the Safety and Test Operations Division keeps safety records; Occupational Health Branch keeps health records
Chemical inventory to show we don't fall under the Process Safety Management Standard	3.3	None	Occupational Health Branch keeps inventory
Center-level maintenance schedules, procedures, and records	3.4	None	The Center Operations Directorate keeps the schedules, procedures, and records
HATS	3.5	HATS database	The Safety and Test Operations Division keeps the database
Employee medical records	3.6	None	Occupational Health Branch keeps these records at the JSC Clinic
Log of federal workers' compensation cases	3.6, Appendix 3B	Form CA-1, CA-2, or CA-6	Occupational Health Branch keeps the log
JPR 1040.4, "JSC Emergency Preparedness Plan"	3.8	None	Emergency Operations Office keeps current copy of the plan
Training attendance records and course documentation for JSC Safety Learning Center and Occupational Health Services classes	4.1 – 4.6	None	The Safety and Test Operations Division keeps records for safety training; the Occupational Health Branch keeps records for health training
NRC license and radiation exposure records	6.3	Per NRC requirements	Radiation Safety Officer keeps records
JSC hazardous material inventory and central repository for MSDSs	9.2	None	Occupational Health Branch keeps MSDSs

## 2. Access to JSC's safety and health records and reports

The following individuals may see JSC records and reports on request:

- a. JSC Management Committee, JSC Coordination Safety and Health Committee, JSAT, employees, former employees, and employee representatives may see JSC logs and yearly summaries.

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- b. Authorized representatives from the Department of Labor or Health and Human Services may see any JSC safety and health records or reports.

**3. Safety and health documentation for line organizations**

As a line manager, you must maintain the documentation listed in the following table as it applies to the work your organization does. Documentation may be electronic or hard copy. You may consolidate some documentation at higher levels of management, such as directorate or division, as appropriate. As a minimum, you must keep back to the beginning of the fiscal year of the last OSHA VPP review, or longer if required by OSHA or NPR 1441.1. You are only required to keep a current copy of certain records as indicated in the table. Any format that includes the pertinent information is acceptable unless otherwise noted in the table.

<i>Documentation . . .</i>	<i>Chapter . . .</i>	<i>Remarks</i>
Organizational safety committee minutes (including construction committee minutes and inspection records as appropriate)	1.1 10.1 for construction	None
Tracking completion of tasks or goals assigned by Directorate Safety Committees or other organization-level committees if assigned	1.1	None
You are encouraged to keep documentation on variances granted for your organization	1.4	Keep until the variance expires
Performance plans showing safety and health responsibilities	1.5	Keep current plans only
Performance appraisals that include safety and health	1.7	Keep current appraisals only
Documentation of employee involvement that may include:	1.9	None
a Training records that show employees giving or receiving safety and health training		
b Attendance records for safety and health meetings, especially where employees present safety or health topics		
c Photographs of employees participating in safety and health activities such as Safety and Total Health Day		
d Lists of safety and health activities and names		
e Any other records that show employee involvement in safety and health activities		

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<i>Documentation . . .</i>	<i>Chapter . . .</i>	<i>Remarks</i>
Design review, ORI, URR, and TRR documentation (hazardous material hazard analyses, other hazard analyses and JHAs – Chapter 2.4 – may also support this element)	2.3	None
Job hazard analyses	2.4	Keep only current analysis and update yearly
Hazard analyses and hazard evaluation reports	2.4	Keep for life of system and update every 5 years
Inspections by your organization	2.5	None
Actions taken on employee reports of hazards or close calls directly to you	2.6	None
You are encouraged to keep completed NASA Form 1627 and supporting documentation	2.7	None
You are encouraged to keep records of any trend analysis you do within your organization	2.8	None
Procedures or work instructions that document safe work practices Directives or other documentation that provide safety and health rules for individual work areas or organizations PPE hazard analyses and other PPE documentation required by Chapter 5.6 of this handbook Documentation required for hazard control programs described in the chapters listed in paragraph 7 of Chapter 3.2 Hazard analyses and job hazard analyses (Chapter 2.4) that document hazard controls that support this sub-element	3.2	Keep only current procedures, directives, rules, and analyses.
Other OSHA-required records at the organizational level	3.2	Format and timeline as required by OSHA
Process safety management documentation (if required)	3.3	Format and timeline as required by OSHA
Organizational maintenance schedules and procedures	3.4 or 10.4	Keep only current procedures and schedules
Organizational maintenance records to show completed maintenance	3.4 or 10.4	None

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<i>Documentation . . .</i>	<i>Chapter . . .</i>	<i>Remarks</i>
Tracking for hazards not tracked in HATS to include work requests or other supporting documentation	3.5	None
Posted JF1240s	3.5	Keep only while posted
Current roster of employees requiring enrollment in medical surveillance and screening programs	3.6	None
Records of disciplinary action for safety violations	3.7	None
Organizational emergency action plans and Facility Evacuation Plans	3.8	Keep current plans only
Training and certification plans and records on training or certification by your organization	4.1, 4.2, 4.3, 4.6, & 5.8	Keep current plans and records only
JSC Form 2150 to document employee participation in fire drills or fire evacuation training	4.4	None
Documentation supporting required organizational emergency drills other than fire drills	4.4	None
Canceled confined space entry permits	6.10	Keep for 1 year only
Inventory of hazardous chemicals in your facilities	9.2	Keep current inventory only
Facility baseline documentation records	10.4	Keep for life of the facility
Facility and operations records (such as TRR documentation or documentation on engineering controls)	Parts 5–10	None

**4. Safety and health records and reports management provides employees**

- a Post copies of all safety and health evaluations and inspections, hazard analyses, and job safety analyses in a readily accessible location.
- b Place a copy of the work area hazardous material inventory and MSDS in a readily accessible location (see Chapter 9.2).
- c Provide employees copies of their individual exposure monitoring results when requested to do so by Occupational Health Services.

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**5. Safety and health records and reports for NASA Headquarters**

JSC must make the following records available to NASA Headquarters, Office of Safety and Mission Assurance:

- a Documentation from center-level safety committees.
- b Results of external safety and health reviews.
- c Center-level policy and requirements documents that implement headquarters safety and health requirements.
- d Copies of waivers to NASA requirements granted at the center.