Subject: Langley Management System (LMS) Policy Manual

Responsible Office: Office of the Director (OD)

1. POLICY

a. It is the policy of Langley Research Center (LaRC) to:

(1) achieve defined strategic and operational objectives that are aligned with NASA’s Mission and Strategic goals through the implementation of a management system that ensures effective and efficient planning, management and execution of Center roles and responsibilities;

(2) ensure effective and efficient compliance with all applicable higher level laws, regulations, policies and procedures through implementation of a formalized management system;

(3) comply with internally and externally generated requirements that impact the planning, conduct and review of work;

(4) maintain a Langley Management System (LMS), which is a set of processes, procedures, policies, tools, and organizations that support compliance with requirements in the development of products and provision of services, enabling LaRC to achieve its mission; and

(5) seek and act on opportunities to improve the LMS.

b. Langley Policy Directive (LAPD) 1000.1 establishes a framework for governance, strategic management, and management controls to address risks, evaluate performance, and promote ongoing improvements to accomplish the policy objectives described in paragraph 1a (above).

c. Langley’s core values are safety, integrity, teamwork, and excellence. Langley’s work aligns with Agency goals and objectives. NASA’s vision is to discover and expand knowledge for the benefit of humanity. The Center’s Mission Statement shall align with the NASA Strategic Plan and reflect its contributions to all of NASA’s mission directorates (Attachment A).

d. A Center-level strategic framework shall be designed to be an enduring, overarching structure for design, communication, execution and management of the Center Strategy to achieve defined mission objectives (current and future).
(1) The Center’s strategic framework shall flow down from the Agency strategy as defined in the NASA Strategic Plan and be aligned with the Center’s Mission Statement.

(2) The LaRC Strategic Framework is documented and communicated by the Office of Strategic Analysis, Communication, and Business Development (OSACB) and is available via the internal Center website: http://strategy.larc.nasa.gov/.

(3) The Office of Director/Center Leadership Council (CLC) shall identify Center-level strategic goals to highlight our 10-15 year business objectives that focus on what we seek to deliver for our primary customers, and strategic priorities to highlight those areas of emphasis for the near-to-mid-term work portfolio that are in alignment with the Center’s Vision. These strategic goals and priorities shall guide investment decisions that enable the Center to successfully “Deliver on Today’s Commitments and Create Tomorrow’s Opportunities.” Where needed, strategic initiatives will be established to ensure that the Center has the right capabilities available at the right time to deliver outcomes essential to moving its Vision forward.

(4) Priorities (both for program execution and business development) and Initiatives shall be evaluated and updated on an annual basis to ensure a “living strategy” that is adaptive and reflective of changes in the Center’s strategic environment. Office of Director concurrence on Center priorities will normally occur as part of the senior leadership retreat cycle (see paragraph h), but they may also be updated if warranted by significant changes to the strategic environment.

e. It is Langley’s policy to accomplish work through a matrixed organization of Mission and Mission Support Organizations (Attachment B).

(1) Each Langley organization is led by a Director responsible for leadership, management, and operations. Each Director has the responsibility to ensure that their organization has the capability to manage and perform work.

(2) Mission Organizations focus on meeting Center Program/Project objectives now and in the future. There are two types of mission organizations, Product Unit Directorates (PUDs) and Core Resource Unit Directorates (CRUDs).

(a) PUDs commit the Center to new work in accordance with LPR 7510.1, “Project Initiation and Proposal Procedural Requirements” and with CLC approval for more significant commitments. PUDs can also (with written delegation from the Center Director) commit the Center to new work in accordance with LAPD 1050.1 via Space Act or Economy Agreements, as appropriate, with outside commercial organizations and other local, state and Federal Agencies. PUD Directors shall develop external and internal agreements required to meet customer and stakeholder requirements. When Project Plans necessitate agreements and when work will be for outside organizations, PUD Directors shall coordinate with Mission Support organizations to develop appropriate contractual, grant, cooperative, Space Act or other agreements to clearly identify customer and stakeholder requirements. Each Director shall ensure agreements are in place prior to commencing work, employees executing the work
understand those requirements, and LaRC is meeting its commitments. PUDs, in conjunction with the CRUDs and appropriate Mission Support Organizations, shall develop project cost estimates and determine the procurement strategy, if applicable.

(b) CRUDs provide the technical workforce needed to execute the Center’s commitments. CRUD Directors have lead responsibility for determining how work is to be completed, how much workforce is required, what workforce competencies are required, whether the required people and facility resources are available, and assigning employees to perform the work. They shall work closely with the PUDs and Project Managers in developing appropriate project/task plans and specify the funding resources required.

(c) PUD and CRUD Directors have the responsibility to ensure technical performance is consistent with the milestones of program and project plans. The Project Support Office within the Office of Director provides subject matter expertise and guidance on project management policies and practices, primarily to support the Center’s flight projects by serving to ensure alignment and compliance with NASA project management and program, planning, and control (PP&C) requirements.

(3) Mission Support Organizations provide a broad spectrum of specialized functional support essential to enabling achievement of mission objectives (e.g., procurement of goods and services). They also play an important role in facilitating Center compliance to a diverse landscape of both functionally focused and cross-cutting external laws and regulations and internal Agency policies. Therefore, all Directors shall collaborate via the CLC to promote awareness of developing priorities, activities, and requirements that will foster timely coordination between Mission Support and Technical workforce to meet mission requirements and ensure compliance with laws and regulations.

f. The Center Director (CD) shall appoint a LMS Management Representative to provide strategy and guidance to the CD and Center senior leadership on LMS design and implementation.

(1) The Management Representative shall have the freedom to work with Directors to resolve all matters relating to the overarching LMS, ensuring that processes, implementation subsystems, and products/services effectively fulfill defined requirements. The role involves management of the LMS, resolution of issues relating to the overall system, and performance reporting to senior leadership as appropriate.

(2) The Management Representative shall review and recommend approval of Directives, and Center and Organizational Procedures (see Figure 1) to ensure effective and efficient operations, continual improvement, and desired strategic direction of the Center.

(3) The Management Representative shall ensure that the integrity of the LMS is maintained as new initiatives or other changes are planned and executed at the Center level.
(4) The Management Representative shall work with the Director of the Safety and Mission Assurance Office (SMAO) to ensure that elements of the LMS that involve “critical and complex” work (as defined in NPD 8730.5) conform to the requirements of International Aerospace Quality Group (IAQC) AS9100, “Quality Management System - Requirements for Aviation, Space and Defense Organizations.”

g. Center senior leadership shall establish and oversee the necessary Governance structure to ensure the goals and objectives outlined in this LAPD are met. Formal review mechanisms are defined in LAPD 1150.2, Councils, Boards, Panels, Committees, Teams, and Groups. These official boards, councils, or teams conduct monthly, quarterly, semi-annual, or annual meetings as defined in their charters. The primary key senior leadership councils are the Center Leadership Council (CLC) and Center Management Council (CMC).

(1) The CLC serves as the executive body that provides strategic and tactical leadership to the Center. The CLC addresses issues of significant importance, to include providing advice to the Office of Director regarding decisions and actions regarding Center policy, strategy, planning, goals, metrics, and resources. The CLC deploys risk-based thinking to advise the Office of Director to set priorities, ensure balance of resources and integration of activities across the Center; resolve conflicts; authorize new business; promote strategic and systems thinking as well as product/customer-focused business approaches; and maintain an ongoing focus on technical excellence. The specific focus of CLC meetings will vary weekly to ensure ongoing management attention to the Center’s technical portfolio (both present performance and creation of future work), institutional health, technical excellence, and other timely strategic topics. Monthly CLC meetings are generally conducted around the following thematic areas: Open CLC, Monthly Institution Review (MIR), and Tech Portfolio. The agenda for the Open CLC and MIR meetings shall be managed by the Office of Director’s Executive Officer. Agendas for the Tech Portfolio meeting shall be managed by the Director of OSACB.

(2) The CMC focuses on delivering on current program/project commitments as well as progress on Center priorities and meets the third Monday of each month with special CMCs scheduled as required. The CMC has responsibility to:

- Provide a forum for LaRC management to review and assess the progress, status, risks, issues, and appropriate compliance (i.e., tailoring) of LaRC programs and projects with relevant NASA program and project management policy and other governing documents. Facilitate LaRC management decisions, actions, and recommendations relative to LaRC programs and projects.
- Facilitate the identification of systemic Center issues or policies needing corrective, preventive, or improvement actions.
- Assess program and project readiness to enter into the implementation phase.
- Ensure each program and project is assessed for “critical and complex” designation using LMS-CP-7122.5, “Critical and Complex Work Designation.”

(3) In all venues of Center-level management review, it is the responsibility of the Chair to determine which actions should be formally tracked and to ensure they are tracked to closure.
(4) Center-level metrics shall assess LaRC’s overarching Mission, Technical and Institutional Health in terms of performance and readiness to support future programs and projects. The Office of Strategic Analysis, Communication and Business Development (OSACB) is responsible to provide this Integrated Center Assessment to the CLC on an Annual basis.

h. The LaRC Office of Director shall conduct periodic senior leadership retreats throughout the year. The OSACB has responsibility for the planning and facilitation of these senior leadership focused analyses in order to provide valuable context for leadership decision-making. These analyses are specifically designed to align with the agenda for each retreat.

(1) The annual Strategic Management Retreat validates/revises the Center Strategic Goals and evaluates performance. The annual Priorities Management Retreat establishes the near to mid-term capture and execution priorities and can result in Center-level initiatives to address newly identified strategic risks or improve performance to achieve near, mid and longer term objectives. Various pre-retreat information as well as focused customer input/feedback is presented in advance of this annual retreat in order to facilitate leadership discussions and decisions.

(2) Additional retreats are held as appropriate to address strategic topics as well as to assess performance on Center initiatives/metrics.

i. Senior leadership shall establish and maintain an internal control framework designed to enable effective and efficient operations and compliance with applicable laws and regulations. Where required by Agency level policies, or when management deems appropriate, procedures and instructions shall be developed to ensure that work activities are performed according to specified controls.

The types of LMS procedures and instructions are identified in Figure 1 are defined within LMS-CP-1410.2, “Langley Management System (LMS) Document Control.”

(2) Employees are responsible for preventing use of obsolete documents for the performance of work. Where previous versions of external documents are required to be used, the circumstances necessitating their use shall be identified by the customer as part of defining/documenting overall requirements.

(3) Methods have been established to ensure periodic review of LMS documentation for ongoing relevance and accuracy as well as to determine whether improvement opportunities exist. Where appropriate, the period and method of the required review are documented in the relevant procedure. These regular reviews are not intended to eliminate the need for continued updating of documents to reflect changes to requirements or to establish needed management controls. The internal process to define appropriate review periodicity and to ensure effective flow down of Agency level policies and procedures is embedded in LMS-CP-1410.1, “Agency Directives Management System Review and Comment Procedure for Langley Research Center.”
(4) All LMS policies, procedural requirements, and forms used to perform, verify, and manage work at LaRC are controlled through the LMS web site. Employees may access the LMS Web site through @LaRC or directly at: [https://lms.larc.nasa.gov/index.cfm](https://lms.larc.nasa.gov/index.cfm).

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**Figure 1, Langley Management System Document Categories**

- **Internal Documentation**
  - **Category 1**
    - LAPD 1000.1 – Langley Management System Policy Manual
  - **Category 2**
    - Document Category:
      - LAPD – Langley Policy Directives
      - LPR – Langley Procedural Requirements
      - CID – Center Interim Directives
      - LMS-CP – Center Procedures
      - LMS-OP – Organizational Procedures
      - LF – Langley Forms
  - **Category 3**
    - Document Category:
      - LMS-BP – Branch Procedures
      - LMS-TD – Task Description
      - SOD – Standard Operation Documents
      - LOPs – Langley Operating Procedures

- **External Documentation**
  - **Agency Documentation**
    - NASA Policy Directives
    - NASA Procedural Requirements
    - NASA Standards
    - Executive Orders used by NASA
  - **Other External Documentation**
    - External documents used to perform Work are referenced in LaRC work authorization documents (e.g., Memorandum of Agreement, Task Agreement, Fabrication Work Requests). The use of these documents must be controlled by the responsible Organizational Director.

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**Figure 1- Internal documentation categories:**

- Category 1 is a document that establishes the framework for Center governance, strategic management, and management controls.
- Category 2 documents establish Center-wide policies and procedures, and require approval at the Center Director or Organizational Director level.

- Category 3 documents require Branch Head approval or approval at one management level above the point of use.

(5) Requirements to use external documents to perform work are referenced in various LaRC work authorization documents. It is the responsibility of each Director to ensure that employees are provided with authoritative and current versions of pertinent external documents enabling them to meet requirements.

(6) Records generated during work shall be maintained in accordance with LMS-CP-1440.8, Records Management and NPR 1441.1, “NASA Records Retention Schedules.” Assistance for determining what is or is not an official record subject to Center, Agency, and regulatory requirements is available at: https://recordsmanagement.larc.nasa.gov/.

j. LaRC shall use a combination of internal assessments/audits/reviews, agency-driven programmatic and mission support functional assessments, and external evaluations (e.g., Government Accounting Office audits) to verify the effectiveness of the Center’s management controls. Langley strives to minimize multiple assessments/audits of the same functional area to ensure an efficient compliance program while minimizing operational disruptions.

(1) LPR 7130, “Project and Task Review Procedural Requirements,” defines requirements for performing periodic and event-driven reviews for all technical programs, projects or tasks performed or managed by LaRC. This document is used in conjunction with LPR 7120.5, “Space Flight Project Practices Handbook ”, LPR 7123.1, “LaRC Systems Engineering Processes and Requirements“, and LPR 7120.7, “Space Flight Independent Life Cycle Reviews Procedural Requirements.” These reviews provide management with essential information necessary to mitigate potential issues at multiple levels within the organization that could impact the accomplishment LaRC’s mission and the overall quality of products and services.

(2) Attachment C lists the types of compliance-focused internal/external assessments used by management to verify the effectiveness of controls in place to address Agency/Center level policies and procedures/requirements and all applicable laws and regulations.

(3) The SMAO shall implement the Center’s internal AS 9100 compliance assessment program in accordance with LMS-CP-2305, “AS9100 Internal Assessments” to ensure activities that have been characterized as “critical and complex” per NPD 8730.5, are in compliance with the requirements of AS9100.

(4) As part of the Annual Statement of Assurance process the Office of Chief Financial Officer (OCFO) shall ensure the assessments/reviews defined in this section are sufficiently accomplished to support LaRC’s internal control certification. In addition, the
Annual Statement of Assurance process shall serve as verification that the LMS meets requirements defined within NPD 1280.1 for Integrated Management Systems. OCFO will request input from Directors, as required, to ensure that as part of the Statement of Assurance process the Center meets the objectives of effective and efficient operations, reliable financial reporting, and compliance with applicable laws and regulations.

k. Senior leadership shall ensure that methods are in place to support internal communications relating to functions/activities impacting day-to-day operations and strategic priorities.

(1) Regular senior leadership meetings are held to ensure communication. Directors are responsible for relaying pertinent information to their line management, who in turn communicate to employees. The minutes summarizing weekly CLC sessions shall be posted on the @LaRC web site for review by all employees.

(2) Periodic Line and Project Leadership meetings are held to communicate and discuss topics that enable support and execution of Center goals by this first line level of Center management.

(3) Periodic Town Hall Meetings are conducted to provide employees with information and management perspective relating to those activities that impact current and future Center decisions. Additional communications occur through Center-wide emails and periodic “Open Door” sessions where employees have direct access to the CD.

(4) On a weekly basis, organizations submit a summary of key activities that are compiled and posted on the @LaRC web site for review by all employees.

(5) The OSACB manages the methods for internal communications to employees (e.g., @larc web site postings, Center-wide e-mails) to ensure communications are handled in an appropriate manner.

2. APPLICABILITY

This Policy Manual applies to all direct and enabling functions performed by NASA LaRC civil service personnel to accomplish approved research/development programs and projects. Resident Agency functions or program offices are considered as tenant organizations that are established and managed at the Agency level; therefore, their operations (policies, procedures, and practices) are generally considered to be part of NASA HQs Management System. Contractor operations are not included in the scope of LAPD 1000.1. However, each procurement shall be assessed to determine the Langley and Agency policies, procedures, and requirements necessary for incorporation into the contract to ensure the effectiveness of the LMS.

3. AUTHORITY

a. NPD 1280.1, “NASA Integrated Management System Policy”

b. NPD 1200.1, “NASA Internal Control”
c. NPD 8730.5, “NASA Quality Assurance Program Policy”
d. NPR 1441.1, “NASA Records Management Program Requirements”

4. **APPLICABLE DOCUMENTS AND FORMS**
   
a. LAPD 1150.2, “Councils, Boards, Panels, Committees, Teams, and Groups”
b. LMS-CP-2305, “LMS Internal Assessment”
c. LPR 7510.1, “Project Initiation and Proposal Procedural Requirements”
d. LMS-CP-7122.5, “Critical and Complex Work Designation”
g. LMS-CP-1440.8, “Records Management”

5. **RESPONSIBILITY**

Specific responsibilities to implement and comply with this policy are incorporated into requirements as written.

6. **DELEGATION OF AUTHORITY**

None

7. **MEASUREMENT/VERIFICATION**

SMAO and OCFO shall provide to the Center Director and the CLC an annual assessment of the Center’s compliance to the requirements defined within NPD 1280.1 for an Integrated Management System, the policies of LAPD 1000.1, and compliance to the requirements of AS9100 for “critical and complex work.”

8. **CANCELLATION**

LAPD 1000.1 rev E, dated August 11, 2017.
LAPD 1000.1 rev F, dated November 8, 2019.

/s/ Cathy H. Mangum     November 8, 2019
Center Associate Director     Date

Distribution:
Approved for public release via the Langley Management System; distribution is unlimited.

Verify correct revision before use by checking the [LMS Web site](#).
Attachment A

The NASA Langley Mission Statement and Integrated Strategy

Developing an integrated strategy ensures that all the necessary components are in place to achieve the center’s primary purpose. Our integrated strategy helps to define our purpose, what we will pursue and how we intend to achieve our strategic goals.

At NASA Langley we align to the agency’s vision, “To Discover and Expand Knowledge for the Benefit of Humanity.” Our mission is to “Advance aviation, space exploration, and scientific discovery for NASA and the Nation.” The breadth of knowledge and experience holistically across these disciplines at NASA Langley allows us to provide unique value to the agency.

We do so in a competitive, resource-constrained environment. Therefore, we must focus our efforts, consistently execute successfully, and effectively balance our resources. The leadership team has created a structure that includes:

- Strategic analysis to integrate economic, financial, political, mission, capability, and other information with the goal of understanding the Center’s operating environment, customer needs, differentiators, and operational constraints.
- Forums to ensure integration among our directorates, including product unit, core resource, and mission support organizations.
- Time and process to evaluate and update our strategic goals, priorities, and management initiatives aligned with the integrated Center strategy.
- Strategic engagement plans that ensure effective communication with customers, stakeholders, employees, and the general public.

The Office of the Director has established the following tenets:

- The NASA Mission Directorates are our primary customers.
  - We can consider other lines of business if they support an identified agency or national need, are appropriately bounded, and the return on investment is justified.
- We will maintain a diversified portfolio that supports aeronautics, space technology, exploration and Earth science.
- We will continue to manage to the value proposition, which focuses on integrated systems solutions.
  - The core of the value proposition will continue to be research and technology maturation in the mid-TRL range.
  - We will continue to do ground and flight hardware development in support of technology infusion and science measurement acquisition.
- We will develop strategic goals (business objectives over a 10- to 15-year time horizon) that focus on what we seek to deliver for our primary customers.
  - Our positions will be consistent with the agency operating model.
- We will determine investments and divestments of capabilities (workforce, infrastructure, and tools) based on these strategic goals.
Attachment B

Langley Organization

Director's Office (A)
- Director
- Deputy Director
- Associate Director
- Associate Director for Technical
- Chief of Staff
- Executive Officer
- Chief Scientist
- Chief Engineer
- Chief Technologist

Agency Function
- NASA Engineering and Safety Center (C1)

Agency Programs and Support
- Science Office for Mission Assessments (A1)
- Game Changing Development Program Office (A3)
- Earth System Science Pathfinder Program Office (A5)

Procurement (B1)
Chief Counsel (B2)
Equal Opportunity (B3)

Human Capital Management (B4)
Chief Financial Officer (B6)
Chief Information Officer (B7)

Safety & Mission Assurance (C2)
Research Services (D1)
Engineering (D2)

Research (D3)
Center Operations (D4)
Aeronautics Research (E1)

Science (E3)
Systems Analysis and Concepts (E4)
Space Technology and Exploration (E5)

Strategic Analysis, Communications and Business Development (H1)

Verify correct revision before use by checking the LMS Web site.
**Attachment C**

**Compliance-Focused Internal/External Assessments**

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Audit Focus or Description</th>
<th>Conducted By</th>
<th>Underlying Requirements</th>
<th>Center Orgs Involved (if known)</th>
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<tbody>
<tr>
<td>Periodic</td>
<td>Office of Diversity and Equal Opportunity (ODEO) Functional Review</td>
<td>HQs</td>
<td>NPR 2081.1A <em>Nondiscrimination in Federally Assisted and Conducted Programs of NASA</em></td>
<td>Office of Equal Opportunity Programs (OEOP)</td>
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<td>(every 5 years)</td>
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<td>Periodic</td>
<td>Central Office of Record to conduct a physical audit on each NASA Communications Security (COMSEC) Account on a basis not to exceed 36 months.</td>
<td>NASA HQ/COR</td>
<td>Directive: NPR 1600.6</td>
<td>Center Wide</td>
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<td>(started in 2016)</td>
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<tr>
<td>(every 3 years)</td>
<td>- Environmental Management System</td>
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<td>- Multi-media compliance</td>
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<td>- Energy and Water Program</td>
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<td>Periodic</td>
<td>Center Ethics Program (Agency-level audit)</td>
<td>Office of Gov’t Ethics</td>
<td>Title IV of the Ethics in Government Act of 1978, *as amended (Ethics Act) and the implementing regulations at 5 C.F.R. Part 2638</td>
<td>OCC</td>
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<td>(~every 4 years)</td>
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<tr>
<td>Quarterly</td>
<td>Disposal operation</td>
<td>LaRC, COD Logistics Management Branch</td>
<td>NPD/NPR 4300.1 <em>NASA Personal Property Disposal Requirements</em> FMR 102.36 FMR 102.37</td>
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<td>Annual</td>
<td>Export Control Audit (HQs required Center Internal Audit)</td>
<td>SMAO</td>
<td>NPD 2190.1 NASA Export Control Program</td>
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<td>Annual (except in years the HQs Functional Review takes place)</td>
<td>Environmental Management Program – Internal Compliance Review (Required by HQs)</td>
<td>SMAO</td>
<td>NPD 8553.1, NASA Environmental Management System.</td>
<td>Standard Practice and Environmental Branch (SPEEB) COD</td>
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<td>Annual</td>
<td>Facilities Deferred Maintenance Assessment</td>
<td>HQs</td>
<td>NPD 8831.1 Maintenance and Operations of Institutional and Program Facilities and Related Equipment NPR 8831.2</td>
<td>Maintenance &amp; Operations Branch (MOB), COD All facilities subject to assessment</td>
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<td>Annual</td>
<td>Agency mini-reviews of selected HR functions (varied) – this year is the Center’s Performance Management Program</td>
<td>HQs sponsored, conducted by other Centers (GRC will do this years’ mini-review)</td>
<td>Delegated Examining Operations Handbook</td>
<td>OHCM</td>
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<td>Delegated Examining (DE) Program (external hires)</td>
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<td>Delegated Examining Operations Handbook</td>
<td>OHCM</td>
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<td>HQs</td>
<td>FAR 23.103 NASA PIC 12-02</td>
<td>OP</td>
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<td>Annual</td>
<td>Internal Office of Procurement Self-Assessment</td>
<td>LaRC OP</td>
<td>NASA OP Self-Assessment Guide</td>
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<td>Periodic (every five years)</td>
<td>Voluntary Protection Program (VPP)Recertification site visit</td>
<td>OSHA</td>
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<td>Purchase Card Audits</td>
<td>HQs/IGNSSC</td>
<td>NPD 9070.2 Government Charge Cards OMB A-123</td>
<td>TBD – dependent upon scope of each audit</td>
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<td>Institutional / Facility / Operational (IFO) Safety Audit</td>
<td>NASA Safety Center</td>
<td>NPD 8705.6 Safety &amp; Mission Assurance Audits, Reviews and Assessments</td>
<td>SMAO, parts of COD, ED and RD metrology</td>
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<td>Frequency</td>
<td>Audit Focus or Description</td>
<td>Conducted By</td>
<td>Underlying Requirements</td>
<td>Center Orgs Involved (if known)</td>
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<td>Annual</td>
<td>Fuel Card</td>
<td>HQ, GSA, NSSC</td>
<td>NPD 6000.1 Requirements for Packaging, Handling, and Transportation for Aeronautical and Space Systems, Equipment, and Associated Components NPR 6200.1 OMB-A123</td>
<td>COD</td>
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<td>HQ</td>
<td>NPD 6000.1 NPR 6200.1</td>
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<td>HQ, GSA</td>
<td>NPR 6200.1 NASA Transportation and General Traffic Management</td>
<td>COD</td>
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<td>Annual</td>
<td>SMART Mail Audit</td>
<td>HQS, GSA</td>
<td>NPD 1460.1 Agency Mail Management Program</td>
<td>COD</td>
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<td>Annual</td>
<td>Export Controls Shipping Records (as part of larger Export Controls Audit done by Agency)</td>
<td>HQs Export Control Administrator</td>
<td>NPD 2190.1 NASA Export Control Program</td>
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<td>NASA HQ</td>
<td>NPR 1800.1 NASA Occupational Health Program</td>
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<td>Langley Exchange Program</td>
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<td>NPD 9050.6 NASA Exchange and Morale Support Activities</td>
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<td>Federal Procurement Data System – Next Generation (FPDS-NG) Validation/Verification Audit</td>
<td>LaRC OP</td>
<td>FAR 4.604 NASA FAR Supplement 1804.6</td>
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<td>Underlying Requirements</td>
<td>Center Orgs Involved (if known)</td>
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<td>Annual</td>
<td>OCIO Information Technology “Self-Assessment”</td>
<td>Center OCIO</td>
<td>NASA Business Services Assessment Information Technology Implementation Plan</td>
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<tr>
<td>Ongoing</td>
<td>AS9100 Compliance Assessments</td>
<td>LaRC Safety and Mission Assurance Office (SMAO)</td>
<td>NPD 8730.5 NASA Quality Assurance Program Policy</td>
<td>Work with “Critical and Complex” designation</td>
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<td>Ongoing</td>
<td>Environmental Management System Audits</td>
<td>Standard Practice and Environmental Engineering Branch (COD)</td>
<td>NPR 8553.1, NASA Environmental Management System</td>
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<td>Ongoing</td>
<td>Center Energy Audits “Covered” buildings are all LaRC buildings with the exception of major wind tunnels, steam plants, high pressure compressor station, data center and LN2 plant.</td>
<td>Standard Practice and Environmental Engineering Branch (COD)</td>
<td>NPR 8570.1A, NASA Energy Management Program</td>
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<td>Safety and Industrial Hygiene Audits</td>
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<td>NPR 8715.3C NASA General Safety Program Requirements</td>
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<td>Non-Ionizing Radiation Audits Audits are performed on each permitted operation</td>
<td>LaRC Safety (SMAO)</td>
<td>NPR 8715.3C NASA General Safety Program Requirements</td>
<td>SMAO, RD, ED, SD, COD, RSD</td>
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<td>Underlying Requirements</td>
<td>Center Orgs Involved (if known)</td>
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| Ongoing         | Ionizing Radiation Audits  
*Audits are performed on each permitted operation* | LaRC Safety (SMAO)                  | NPR 8715.3C  
NASA General Safety Program Requirements                                                 | SMAO, ED, RD, COD               |
| Ongoing         | Program Stock Audits                                                                      | LaRC Logistics Management Branch    | NPD/NPR 4200.1  
NASA Equipment Management Procedural Requirements  
NPD 4100.1  
NASA Materials Inventory Management | COD led; various organizations involved                                                  |
| Ongoing         | Controlled Property Inventory                                                            | LaRC Logistics Management Branch    | NPR 4200.1  
NASA Equipment Management Procedural Requirements | COD led; various organizations involved                                                  |
| Annual (every 5 years per permit term) | Water Compliance Program  
• Hampton Roads Sanitation District (HRSD)  
• Virginia Pollutant Discharge Elimination System (VPDES)  
• Municipal Separate Storm Sewer Systems (MS4) | HRSD  
VA Dept. of Environmental Quality (DEQ) | (3) LaRC permits | (SPEEB)  
COD Others are TBD |
| Annual          | Agency financial statements, internal control, and compliance with laws and regulations   | CPA Firm – contracted by NASA OIG   | Chief Financial Officers Act of 1990  
Government Management Reform Act of 1994 | Primary: OCFO  
Secondary: OP (contract related testing), COD (property related testing) |
| Annual          | Testing of Agency compliance with requirements of OMB A-123, Appendix A                  | CPA firm – contracted by NASA HQ    | OMB Circular A-123 | Primary: OCFO  
Secondary: OP, OHCM, COD |
| Annual          | Audit of NASA’s Compliance with the Improper Payments Information Act and/or Improper Payments Elimination and Recovery Act | NASA OIG                          | Improper Payments Elimination and Recovery Act of 2010 | Primary: OCFO  
Secondary: OP |
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<th>Audit Focus or Description</th>
<th>Conducted By</th>
<th>Underlying Requirements</th>
<th>Center Orgs Involved (if known)</th>
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<tr>
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<td>LaRC OCFO internal reviews</td>
<td>LaRC OCFO</td>
<td>NPR 9010.3, Financial Management Internal Control</td>
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<td>Periodic (every 3 years)</td>
<td>Compensating Controls Review</td>
<td>HQs</td>
<td>NPR 4000.1, NASA Logistics Management Operations Compensating Controls Reviews</td>
<td>All Logistics Operations</td>
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<td>Periodic (every 3 years)</td>
<td>Procurement Management Review</td>
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<td>Federal Managers Financial Integrity Act of 1982 (FMFIA); OMB A-123; NPD 1000.3</td>
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<td>Inter-Center Aircraft Operations Panel (IAOP)</td>
<td>HQs AMD</td>
<td>NPR 7900, Aircraft Operations Management Manual</td>
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<td>Annual (Site visit conducted every three years; annual self-assessment required)</td>
<td>OCIO Information Technology Center Functional Review (Review team includes Agency OCIO leadership, Program Executives, and other Center Subject Matter Experts)</td>
<td>Agency OCIO</td>
<td>NASA Business Services Assessment Information Technology Implementation Plan</td>
<td>OCIO</td>
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<td>Periodic (every 4 years)</td>
<td>Quality Audit, Assessment and Review (QAAR)</td>
<td>NASA Safety Center</td>
<td>NPD 8705.6, Safety &amp; Mission Assurance Audits, Reviews and Assessments</td>
<td>SMAO, PUDs &amp; CRUDs</td>
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<td>Security Functional Review</td>
<td>HQs</td>
<td>NPD1600.2, NPR 1600.1, NASA Security Program Requirements</td>
<td>Primarily COD and OCIO</td>
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<td>Frequency</td>
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<td>Underlying Requirements</td>
<td>Center Orgs Involved (if known)</td>
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<td>HQs 7120.5 Compliance Survey</td>
<td>Agency Chief Engineer</td>
<td>NPR 7120.5 NASA Space Flight Program and Project Management Requirements</td>
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<td>Air Compliance Program</td>
<td>DEQ</td>
<td>LaRC permit</td>
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<td>Periodic (every 3 years*)</td>
<td>Waste Management Program</td>
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<td>VA regulations</td>
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<td>Periodic (every 2-3 years)</td>
<td>International Standard for Business Aircraft Operations (IS-BAO) Safety Management System</td>
<td>HQ AMD Aviation Safety Officer</td>
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<td>Periodic (every 3 years)</td>
<td>Underground Storage Tank Program</td>
<td>EPA</td>
<td>VA regulations</td>
<td>(SPEEB) COD Others are TBD</td>
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<td>Center’s Staffing and Classification Program Audit</td>
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<td>Inspector General Act of 1978</td>
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<td>GAO performs various audits and reviews of government programs and operations, including certain NASA programs and operations</td>
<td>GAO</td>
<td>GAO work is done at the request of congressional committees or subcommittees or is mandated by public laws or committee reports</td>
<td>Varies</td>
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