

**Surveillance Plan**  
**for**  
**NASA Comprehensive SMALL BUSINESS Training PROGRAM**  
**(CSBTP)**



**NASA Headquarters**  
**Washington, DC**

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## **1.0 INTRODUCTION AND OBJECTIVES**

This plan defines the overall approach for surveillance of contractor activities on Comprehensive Small Business Training contract which supports NASA Headquarters and all NASA Centers. The objective of contractor surveillance is to measure the quality of deliverables, price, and delivery through collection and analysis of metrics of contractor performance. Traditional oversight methods include Government mandatory inspection of contractors' work through inspection of contractor provided deliverables. This document will be tailored to reflect the final contract award and the Government welcomes suggestions for improving this plan.

## **2.0 SURVEILLANCE STRATEGY DEFINITIONS**

### **Insight**

Insight is an assurance process that uses performance requirements and definable, performance metrics based to ensure training classes cover Federal small business standards and that the training is specific to NASA. Insight relies on reviewing lesson plans, course handouts, and course agenda. The data may be acquired from contractor material, usually in a non-intrusive parallel method.

Insight as applied to this contract and the work to be performed therein will result in lower levels of Government surveillance and allow the contractor to assume increased responsibility and accountability for the integrity of processes and/or products. Insight will rely heavily on evaluating planned Task Order deliverables in the statement of work and existing contractor procedures and working documents.

### **Oversight**

Oversight as applied to this contract and the work to be performed therein will result in higher levels of Government surveillance. The Government will require student surveys and will have the Center Small Business Specialist audit the training. The Government will gather information pertaining to the contractor's process through on-site involvement and/or inspection in the process and will require student surveys to be collected by the contractor before the student receives training credit.

## **3.0 SURVEILLANCE ORGANIZATION AND RESOURCES**

The Government Surveillance Team will consist of the Contracting Officer's Technical Representative (COTR), the Center Small Business Specialists (SBS) and the Contracting Officer (CO). The team's primary responsibility will be to provide insight of contract activities and to serve as the Government's focal point for reviewing and evaluating overall contractor performance.

### **3.1 Interfaces/Information Flow**

Close communications will be maintained between and within the Government Surveillance Team and the contractor management team to ensure that surveillance is performed effectively. Various means will be used to maintain information flow as summarized below:

- a. Planned classes will be summarized and reported in monthly reports
- b. Telephone and email conversations will be held between the Contractor and the COTR/Center Small Business Specialists.

### **3.2 Verification**

The Government Surveillance Team will evaluate contractor provided deliverables. The evaluation will ensure processes are being properly documented and followed and that deliverables comply with relevant technical standards. Deliverables shall be reviewed and approved by the COTR.

### **3.3 Quality Assurance Program**

Contractors are expected to have a quality assurance program in place to determine the adequacy and conformance of processes to the requirements. As an element of the surveillance process, the Government Surveillance Team will participate in joint contractor reviews as appropriate.

### **3.4 Safety**

The contractor has the primary responsibility for monitoring safety issues and documentation. The Government designee will work closely with the Contractor to ensure that all safety requirements are met and that any noncompliance is successfully resolved.

### **3.5 Performance Requirements**

The level of risk and the impact of failure are major determinants in helping define the type of performance surveillance to be conducted. Clearly, if the impact of failure is minor and the level of risk is low, only a small amount of insight-driven surveillance would normally be needed. Conversely, if the impact of failure could be significant and the level of risk is high, more extensive surveillance (including possible oversight surveillance and more course auditing) is warranted.

NASA will strive to use an insight-driven surveillance approach for each deliverable under this contract. The overall surveillance goal will be to obtain objective evidence and data that enable the Government to determine whether the contractor's program and processes are functioning as intended in accordance with the terms of the contract. The focus will be on prevention (review of course material and student feedback) rather than detection (course auditing), i.e., emphasizing controlled processes and methods of operation, as opposed to relying solely upon inspection and test to identify problems.

Surveillance team members will have open access to all areas in which this contract is being performed and will interface directly with their contractor counterparts. They will document problems, concerns and issues, and take note of contractor accomplishments. They will review contractor provided performance metric data, where applicable, will participate in contractor review meetings as needed and a formal review will be held biannually to review activities during this review period and look ahead at new requirements. Information gained from the various types of data collection will be compiled and assessed throughout each performance evaluation interval.

The COTR and Contracting Officer will annually complete a NASA Form 1680, entitled, "Contractor Performance Assessment" which will also be reviewed by the contractor, and become a part of the active NASA data base of Contractor Performance Assessments.

### **3.6 Performance Verification**

The Surveillance Team shall perform audits as described above as considered necessary for performance verification.

### **3.7 Metrics**

Metrics will be developed for this delivery order and will include items such as:

- a. Training schedule;
- b. Class meta data for all class participants; to include procurement experience, FAC-C certification level, job position;
- c. Class evaluation of course

## **4.0 SUMMARY**

This Surveillance Plan describes the approach NASA intends to use to monitor the NASA Comprehensive Small Business Training program support for NASA Headquarters and Centers task order contract efforts and assure that the contractor performs in accordance with terms and conditions of the contract. NASA anticipates using an insight surveillance approach with limited oversight. The goal is to balance the level of Government surveillance with the perceived impacts and risks of mission failure.

NASA plans to utilize a surveillance team to evaluate contractor performance and direct surveillance activities. The team will be supported by monitors to obtain data and provide information on contractor activities.