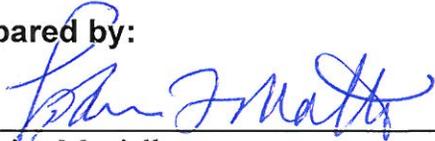


## Surveillance Plan for Environmental Test and Integration Services II Contract

**Prepared by:**



3/11/13

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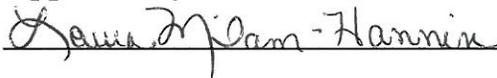
**Concurrence:**



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## **FOREWARD**

Under performance-based contracts such as this one, the contractor assumes more responsibility and greater risk in exchange for more flexibility and less direct Government involvement in contract activities. However, the Government still has a responsibility to conduct surveillance. Surveillance spans a spectrum of Government involvement. Surveillance may be as simple as inspecting a delivered support or service at acceptance or as complex as continually monitoring contractor performance. To meet this responsibility, the Government needs to understand the risks involved in the Contractor's activity and how the Contractor is managing those risks.

This Surveillance Plan has been prepared to describe the Government's surveillance of this contract. It is a "living" document that will be tailored to the contractor selected. The Government welcomes suggestions for improving this Plan. Of particular interest are ideas on what information the Government should monitor (i.e., metrics) and how the Government can most cost-effectively obtain the relevant performance data it needs.

## 1.0 INTRODUCTION

### 1.1 Purpose

The purpose of this document is to define the overall approach the National Aeronautics and Space Administration's (NASA's) Goddard Space Flight Center's (GSFC) intends to use to monitor and survey contractor performance under the GSFC Environmental Test and Integration (ETIS) II Services Contract, Contract **TBD**. The contract provides on-site support services in support of GSFC's Applied Engineering and Technology Directorate (AETD), Code 500. This plan defines the process the Government expects to follow to obtain data, evaluate the Contractor, and determine if contract performance is acceptable. The goal is to balance the level of Government surveillance with perceived impacts and risks associated with performance hereunder. The Government reserves the right to modify this plan at any time during the contract.

Throughout this Surveillance Plan, the term ETIS Contractor is used. Unless explicitly stated, this term is applicable to both the ETIS Contractor and any and all of its Subcontractor(s).

### 1.2 Scope

This plan identifies program requirements, strategy, resources, review and control processes, and surveillance activities for continuous measurement of contractor performance under Contract No. **TBD**. It is intended to be a "living" document from which resources and activities will evolve from one phase to another during the life of the contract. The plan will be updated as required. The surveillance program addresses all elements of the contract.

### 1.3 Program Definition and Contract Description

The purpose of this contract is to provide support to NASA GSFC's programs and enterprises under a performance based contracting arrangement. The ordering period of this Indefinite Delivery Indefinite Quantity (IDIQ) contract is 5 years, and will be performed on-site in Greenbelt, MD, Wallops Flight Facility, and other NASA centers and field sites.

The principal purpose of this IDIQ contract is to provide engineering and technician test and integration support services for the study, design, development, fabrication, integration, testing, verification, and operations of space flight and ground system hardware and software, and operations of facilities supporting the development of spaceflight hardware under task ordering arrangements. Each task order issued may have a performance period within the contract's ordering period limitation of 5 years. The required support services include performing tasks in the following Statement of Work (SOW) Elements: (1) Environmental Test Engineering and Technical Facilities Operation (2) Mechanical Integration (3) Optical Integration (4) Electrical Cable Harnesses and Thermal Blankets (5) Facility Maintenance (6) Cleanroom Operations and

Contamination Control (7) Advanced Manufacturing (8) Pressure Vessels/Systems and Lifting Devices/Equipment (9) Facility Engineering (10) Information Systems Management (11) Management and Functional Support (12) Engineering Support

#### 1.4 Guiding Directives

The guiding documents for this surveillance effort include the contract Statement of Work (SOW), the Performance Evaluation Plan, the functional description of the work identifying the objectives or results desired from the Task Orders issued against this contract and the deliverable requirements specified therein. These are key elements in the Government's effort to ascertain whether the work is being performed in a high quality, timely, and cost-efficient fashion.

## **2.0 SURVEILLANCE STRATEGY DEFINITIONS**

### **2.1 Insight**

Insight is an assurance process that uses performance requirements and if definable, performance metrics to ensure process capability, product quality and end-item effectiveness. Insight relies on gathering a minimum set of product or process data that provides adequate visibility into the integrity of the product or process. The data may be acquired from contractor records, 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 contract deliverables and existing contractor procedures and working documents, if available.

### **2.2 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 gather information pertaining to the contractor's process through on-site involvement and/or inspection in the process and will monitor the process itself.

### **3.0 RESOURCES**

#### 3.1 General

All surveillance activities will be implemented using Government personnel at Goddard Space Flight Center (GSFC). The surveillance team may be composed of:

- a The Contracting Officer's Representative (COR) accompanied by the Contracting Officer (CO) and the Contract Specialist
- b GSFC Applied Engineering and Technology Directorate (AETD) technical and support personnel (i.e., task monitors (TM), resource analysts (RA)).
- c Other GSFC technical and support personnel (i.e., Health & Safety support personnel, IT security personnel).

#### 3.2 Surveillance Team

The surveillance team will be composed of key government personnel representing the AETD and GSFC Procurement Office. The team's primary purpose will be to provide direction for contract surveillance activities and to serve as the Government's focal point in reviewing and evaluating overall contractor performance under TBD. The team will obtain information from various sources, including deliverable contractor documents, communications with the contractor, and reports by other personnel or representatives who interact with the contractor.

All available information will be evaluated, and any action by GSFC will be determined based upon the scope and magnitude of any particular issue or problem. The surveillance team chairperson (COR) will formally notify the Contracting Officer of situations where it is perceived that the Contractor has failed to take prudent corrective or preventive action, of situations perceived to increase risk, or of findings of continued contractual non-compliance.

### **4.0 SURVEILLANCE STRATEGY AND APPROACH**

#### 4.1 General

The level of risk and the impact of failure are major determinants in helping define the type of 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) is warranted.

GSFC will strive to use an insight-driven surveillance approach through the five-year effective ordering period. 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 rather than detection, 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 collect performance metric data, where applicable, and will participate in contractor review meetings as needed. Information gained from the various types of data collection will be compiled and assessed throughout each performance evaluation interval.

The COR and Contracting Officer will annually complete Contractor Performance Assessment Reporting System (CPARS). It will also be reviewed by the contractor, and become a part of the active GSFC database of Contractor Performance Assessments.

#### 4.2 Forms of Surveillance

Support of the ETIS II contract surveillance will take the following forms:

##### 4.2.1 Communications and Data Collecting

- Discussions with Government and Contractor personnel
- Electronic mail from/to Government and Contractor personnel
- Contractor web-based work monitoring/reporting system (if applicable)
- Progress reviews with the Contractor's Program Manager
- Other communication methods, as needed

##### 4.2.2 Evaluation and Reporting

- Review of deliverables and milestone achievement from contract data requirements list
- Documentation of problems, issues and concerns
- Data collection reporting
- Performance evaluation boards

## 5.0 SELECTED SURVEILLANCE ACTIVITIES

The following selected activities will be performed by various surveillance team members during applicable stages of contract performance:

**Table 1. Surveillance Team Activities**

<i>Area of Risk Identified</i>	<i>Impact to Government</i>	<i>Surveillance Team Activity</i>
Technical Requirements: Quality of environmental test and integration services	Mission delays/lost time/additional costs in redesign	COR/TM will track contractor progress and evaluate contractor deliverables
Information Technology Security	Computer Security: Potential corruption and loss of data; disruption of schedule	Annual review of IT security plans and controls and GSFC vulnerability scans, firewalls and protection software will be used
Configuration Management Documentation	Erroneous use of equipment and possible damage to test articles	The surveillance team will periodically sample the current available baseline documentation, and active management documents to verify compliance with the contractor's Configuration Management Plan.
Property Management, Control, and Maintenance	Loss of or damage to equipment; potential schedule impact	Review contractor property management techniques, compliance with policies, and record-keeping via sampling techniques during Government semi-annual walkthrough inspections.
Safety	Loss of work-time or equipment, with schedule of cost impact	The Government will evaluate the contractor's safety and health plan. The surveillance team will conduct walkthrough inspections to ensure compliance with safety and health requirements.

**Table 1. Surveillance Team Activities (con't)**

<b>Area of Risk Identified</b>	<b>Impact to Government</b>	<b>Surveillance Team Activity</b>
Contractual and Technical Documentation and Archiving	Loss of knowledge of processes and results	The Government will periodically sample documents (review for accuracy and timeliness of contract deliverables).
Quality of Workmanship	I. End-Items: <ul style="list-style-type: none"> <li>a. Inability to meet commitments of scheduled deliverables.</li> <li>b. Additional cost resulting from rework, nonconforming, latent defects.</li> </ul> II. Services: <ul style="list-style-type: none"> <li>a. Delayed data delivery and poor data quality.</li> </ul>	The Surveillance team will perform the following: <ul style="list-style-type: none"> <li>a. Monitor and track scheduled and delivery due dates.</li> <li>b. Conduct/witness testing and inspections, when necessary. Ensure end-item deliverables conform prior to acceptance.</li> <li>c. Monitor quality of data received.</li> </ul>
Cost	Cost Overrun: <ul style="list-style-type: none"> <li>a. Delay or deletion of other work</li> <li>b. Inability of meet data delivery requirements or NASA Performance Metrics</li> <li>c. Funding fluctuations</li> </ul>	The COR, the task monitor(s) and the resource analyst (RA) will evaluate and monitor costs incurred on a monthly basis resulting from NASA financial reporting requirements due from the contractor on a monthly or quarterly basis.
Process Controls	Degradation of work products; potential schedule impact	The Surveillance team, with assistance from DCMA as applicable will periodically monitor the contractor's adherence to key processes and their internal audit schedules/results.
Continuous Risk Management	Technical, cost, schedule, and mission success	Surveillance activities will be conducted to ensure that the ETIS II Contractor is performing a Continuous Risk Management program that identifies, analyzes, tracks, mitigates, controls and reports on ETIS II - related risks.
Quality Management	Technical, cost, schedule, and mission success	The COR and MSP System Assurance Manager will monitor the contractor's internal and external audits for compliance with ANSI/ISO/ASQ 9001-2000.

The surveillance team members will participate in review meetings. They will provide assistance, as necessary, with the development and approval of technical requirements, flow-

down of requirements, and with design, development, production and test activities. They will also maintain insight into the Contractor's compliance with relevant deliverables submitted under contract. When the Government has concerns regarding Contractor performance, surveillance team members may conduct independent audits of the Contractor's activities, processes, products, documentation and data, in order to provide assurance that the program is being implemented according to all requirements and specifications. These audits will normally be conducted with advance notification and coordinated with the Contractor. However, the Government reserves the right to conduct unscheduled audits when evidence indicates that Contractor performance is deficient.

The following selected surveillance team activities will be performed by various surveillance team members during applicable stages of contract performance:

5.1. Work Area/Floor Checks:

For on-site work at GSFC, the surveillance team members will make physical inspections of the Contractor's on-site work areas. In addition, the COR may make informal inspections, as required. These inspections are made to assure compliance with GSFC regulations regarding:

- a. The Contractor's workspace is physically separated from the Government's workspace and is properly identified by a sign with the Contractor employee & company's name clearly displayed.
- b. All Contractor employees have a GSFC identification badge.
- c. The names and locations (buildings/room numbers) of the Contractor employees match their monthly on-site Personnel Report.
- d. The Contractor knows who the building's Facilities Operation Manager (FOM) is, and what his/her functions are.
- e. The Contractor is familiar with the building emergency evacuation procedures.
- f. The Contractor employees are aware that work area checks may be conducted at any time.
- g. The contractor is familiar with NASA & GSFC Policy Directives and Procedural Requirements as it pertains to ISO 9001 governing on-site performance. These procedures can be accessed via the following GSFC Web site: <http://gsfcmanagementsystem.gsfc.nasa.gov>.
- h. The contractor is aware of the appropriate protection procedures for handling Government planning data and other Contractor confidential or financial data.

- i. The Contractor employees are aware that the use of Government telephones is for official business only.
- j. The Contractor employees are following the proper Checkout Procedures when leaving GSFC (e.g., returning I.D. badges, library books). The LISTS data forms will be checked against the monthly On-site Reports to identify exiting employees.
- k. The Contractor employees are aware of the GSFC IT Security compliance requirements.

In addition to checking conformance with GSFC regulations listed above, the COR may make periodic checks of the contractor's workspace to assess adequacy of facilities, equipment, and materials.

## 5.2. Work Review and Performance Monitoring

The COR and CO, with the assistance of the Task Monitors (TMs), will perform the following functions to evaluate the contractor's performance:

- a. Reviews individual Task Performance Work Statements (PWS) with the task TM to assure that each task is technically within the scope of the contract and its personnel requirements and schedule are within the Contractor's capabilities. Assess the reasonableness of the required milestones and deliverables.
- b. Reviews the Contractor's monthly Progress Report for accuracy and completeness. Consult with TM, as necessary, to assess the fidelity of reports.
- c. Meets monthly, or more often if required, with the Contractor's Program Manager to discuss overall contract management and performance, and schedule issues, and review cost related issues.
- d. Reviews Contractor Task Plans such that individual task performance estimates are acceptable and that all milestones and deliverables have been identified.
- e. Certifies the Contractor's invoices for payment in accordance with GSFC procedures.
- f. Assesses the Contractor's overall contract performance against the metrics (cost, technical, and schedule) established in the contract's Performance Evaluation Plan.
- g. In the event of a discrepancy in the Contractor's performance, the COR promptly notifies both the Contracting Officer, and the Contractor's Program Manager and arranges a meeting to rectify the situation.

- h. Perform Quality Assurance (QA) inspections and QA witnessing/monitoring of tests.

### 5.3. Property Administration

The COR will make informal inspections, as required, to insure Installation-Accountable Government Property (IAGP) is being properly utilized and protected in accordance with the contract terms and conditions.

### 5.4. Staff Monitoring

The COR will ensure that employer – employee relationships do not occur between government and contractor personnel. This is achieved if the following is adhered to:

- a. Only the Contractor interviews prospective employees.
- b. Only the Contractor's Program Manager assigns work directly to the employees.
- c. Only the Contractor approves timecards and absences.
- d. Government personnel do not interfere with the Contractor regarding personnel and administrative prerogatives.

## **6.0 SUMMARY**

This Surveillance Plan describes the approach NASA Goddard Space Flight Center (GSFC) intends to use to monitor the ETIS II IDIQ contract effort and assure that the Contractor performs in accordance with terms and conditions of the Contract. GSFC anticipates using an insight surveillance approach. The goal is to balance the level of Government surveillance with the perceived impacts and risks of mission failure.

GSFC plans to utilize a surveillance team to evaluate Contractor performance and direct surveillance activities. The team will be supported by Technical Monitors to obtain data and provide information on Contractor activities.