CENTER ADMINISTRATIVE AND TECHNICAL SUPPORT SERVICES (CATSSII) SURVEILLANCE PLAN

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Attachment 3

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INTRODUCTION

This Surveillance Plan sets forth procedures and guidelines that NASA Neil A. Armstrong Flight Research Center (AFRC) will use in evaluating the performance of the Contractor, _____, Contract Number _____. A copy of this plan will be furnished to the Contractor so that they will be aware of the methods that the Government will employ in evaluating performance and to address any concerns that the Contractor might have prior to initiating work. This plan, including procedures and forms, may be revised unilaterally by the Government at any time during the contract period of performance.

This QASP is Government developed surveillance tool prepared in accordance with Federal Acquisition Regulation (FAR) 46.601 and NASA FAR Supplement (NFS) 1846.401. It is not part of the contract, per NFS 1846.401, but provided to the Contractor for informational purposes only.

A. PURPOSE OF THE SURVEILLANCE PLAN

This Surveillance Plan is a Government developed and applied document used to verify that systematic quality methods are used in the administration of the standards and metrics included in this contract. This QASP defines the process the Government expects to follow to obtain data, evaluate the contractor, and determine if contract performance conforms to contract requirements. The goal is to balance the level of Government surveillance with perceived impacts and risks associated with performance hereunder. The intent is to ensure that the Government receives the quality of services called for in the contract and that the Government only pays for the acceptable level of services specified.

The QASP is intended to accomplish the following:

1. Define the roles and responsibilities of participating Government officials;

2. Identify the types of work to be performed;

3. Describe the evaluation methods that will be employed by the Government in assessing the Contractor's performance;

4. Define how the performance evaluation results will be applied during the preparation of the semi-annual assessment of their performance.

5. Provide copies of the monitoring forms that will be used by the Government in documenting and evaluating the Contractor's performance.

B. SCOPE

This QASP identifies the program requirements, strategies, resources, review and control processes, surveillance activities, and metrics for continuous measurement of Contractor

performance. This plan provides effective and systematic surveillance methods for evaluating the Contractor services, processes, and products provided under this contract. The Government may evaluate work at any time during the Contractor's work performance.

The intent of the QASP is to ensure that the Contractor performs in accordance with acceptable quality levels and the Government receives the quality of services and products called for in the contract. This QASP does not detail how the Contractor accomplishes the work. Rather, the QASP is based on the premise that the contractor, not the Government, is responsible for managing its quality controls and ensuring that performance meets the terms of the contract. The role of the Government is quality assurance to ensure contract standards are achieved.

The QASP 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, and will be updated as required and defined in this document.

This plan is applicable to any service or product provided, as well as all areas in which work is being performed by the CATSS Contractor(s). Throughout this QASP, the term CATSS Contractor is used. In terms of this plan, it should be known that unless explicitly stated, this term is applicable to both the CATSS Contractor and any and all subcontractors.

The surveillance program shall be a collaborative and integrated effort that includes all areas of contract management, including the following:

a. Quality Assurance
b. Procurement/Subcontracting/Purchasing
c. Finance
d. Property
e. Environmental
f. Export Control
g. Safety and Health
h. Security

C. ROLES AND RESPONSIBILITIES OF PARTICIPATING GOVERNMENT OFFICIALS

The following Government officials will participate in assessing the quality of the Contractor's performance. Their roles and responsibilities are described as follows:

1. **Task Monitors** (TMs) assist the Contracting Officer's Representative (COR) and act as the authorized representative for the technical administration of specific tasking under the contract. The TM provides detailed technical oversight of the Contractor's performance and reports their findings to the COR. TM findings are to be complete and impartial in nature to help assure proper Government surveillance of the Contractor's performance. While the TM may serve as a direct conduit to provide Government guidance and feedback to the Contractor on technical matters, he or she is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's

behalf. Any changes that the Contractor deems may affect contract price, terms, or conditions shall be referred to the Contracting Officer (CO) for action. The **Contracting Officer's Representative** is responsible for monitoring, assessing, recording and reporting on the day-to-day performance of the Contractor. The COR has the primary responsibility for collecting the TM's assessment forms, summarizing the results and, with the CO, making an independent assessment of the Contractor's work performance. An assessment will be presented to the CO following each semi-annual evaluation period. It is important for the COR to establish and maintain a team oriented partnering line of communication with the Contractor's site manager (or other appropriate personnel) to ensure that required work is accomplished in an efficient and proper manner. Meetings shall be held on a regular basis in order to address in a pro-active manner concerns and problems that may arise during work performance. The COR certifies the contractor's invoices for payment in accordance with AFRC procedures. An Alternate COR may be delegated these responsibilities during the absence of the COR.

2. The **Contracting Officer** is responsible for evaluating overall contract performance to include such items as contract compliance, contract administration, and property control; reviewing the COR's assessment of the Contractor's performance; and resolving all differences between the COR's interpretation and the Contractor's interpretation. The CO may call upon the expertise of other Government individuals as required. The CO must approve all modifications to this plan prior to commencement of the change. All CO determinations regarding this surveillance plan are final.

D. IDENTIFICATION OF THE TYPES OF WORK TO BE PERFORMED

This contract specifies that the Contractor will provide technical and administrative support services. The work to be performed under the contract falls into the categories listed below**:**

The performance-based Firm Fixed Price Indefinite-Delivery, Indefinite-Quantity (IDIQ) contract. PWS requirements in this contract consist of the following: Resources Management Office Services; Financial Management Office Services; Acquisition Management Office Services; Technical Publications Office Services; Research Library Services; Reproduction Center Services; Administrative Office Support; and Business System Support Services.

The cost-no-fee IDIQ elements of this contract are travel, training and Government-directed overtime.

E. METHODOLOGIES TO BE USED TO MONITOR THE CONTRACTOR'S PERFORMANCE

1. **Management/Program Reviews**: Regular reviews will be held with Contractor management to assess overall progress in meeting contract requirements. Appropriate Government and Contractor personnel will attend these meetings to effectively convey and communicate issues and concerns. Government surveillance will be conducted as

needed by TMs, COR or CO. These assessments will be used as a management tool to access overall contract compliance. These assessments will normally take the form of:

- Semi-annual assessment of Contractor's Performance
- Technical Information Meetings
- Review of Deliverables
- Documentation of problems, issues and concerns
- Data Collection
- Performance Requirement Metrics
- Reporting
- Contractor's Adherence to their Management Plan

2. **Inspection and In-depth Observation**: The Government will conduct routine inspections and observations of the work being performed. Formal inspections shall be performed periodically to ensure contract compliance. Inspections will utilize the PWS requirements as its baseline plus other controlling documents, as applicable. Areas of concern and commendation will be highlighted and brought to the attention of the Contractor's management.

3. **Customer Feedback**: Customers will be queried both formally and informally to provide insight into overall performance. When appropriate, a formal customer survey will be used to provide feedback. TMs, COR, and CO will regularly talk to customers and end users to monitor the Contractor's performance. Results will be shared with the Contractor's management.

F. REPORTING AND ANALYSIS OF SURVEILLANCE RESULTS

The Government will use tailored surveillance forms to identify and document the Contractor's performance under this contract. The form when completed will document the evaluator's assessment of the Contractor's performance and the impact or consequences of what was or was not performed in accordance with the contract.

1. Utilizing input from the TMs, the COR will evaluate performance using the following definitions of Contractor performance:

   a) Excellent – Of exceptional merit; exemplary performance in a timely, efficient and economical manner; very minor (if any) deficiencies with no adverse effect on overall performance.

   b) Very Good – Very effective performance, fully responsive to contract requirements; accomplished in a timely, efficient, and economical manner for the most part; only minor deficiencies.

   c) Good – Effective performance; fully responsive to contract requirements; reportable deficiencies, but with little identifiable effect on overall performance.

d) Satisfactory– Meets or slightly exceeds minimum acceptable standards; adequate results; reportable deficiencies with identifiable, but not substantial, effects on overall performance.

e) Poor/Unsatisfactory– Does not meet minimum acceptable standards in one or more areas; remedial action required in one or more areas; deficiencies in one or more areas that adversely affect overall performance

2. The CO and COR will assess the overall contract performance. Examples of areas in which the Government may evaluate and rate Contractor performance include:

   - Quality of Product or Service - compliance with contract requirements, accuracy of reports, and technical excellence.

   - Schedules - compliance with milestones; reliable, responsive to technical direction; and actions completed on time.

   - Customer Satisfaction – end user's satisfaction level with Contractor's service.

3. The COR must substantiate all tasks, which he or she judges to be indicative of "poor/unsatisfactory" performance. Performance at the "very good" level is expected from the Contractor. The COR will forward copies of all completed assessment forms to the CO by the 10th business day following the semi-annual being evaluated. The CO will review the semi-annual performance evaluation report prepared by the COR. When appropriate, the CO may investigate any substandard performance further to determine if all the facts and circumstances surrounding the event were considered in the COR's opinions outlined on the performance evaluation form. The CO will immediately discuss every event receiving a substandard rating with the Contractor to assure that corrective action is promptly initiated. The CO will forward a semi-annual assessment report to the Contractor. For any negative findings, the Contractor is required to indicate in writing, the corrective action taken, within 10 working days from receipt of the summarized semi-annual report. When excessive errors in a particular area(s) result in negative findings, the Contractor shall include a corrective action plan in their response to the Government evaluation, identifying specific action to be taken, responsible technical entity, and schedule for implementation. The Government will place increased emphasis on areas of concern in succeeding evaluations to assure improvement in Contractor performance.

4. Upon effective corrective action the COR will close the corrective action plan, and forward copies of all completed actions to the CO. Original assessment forms will be retained in the contract file.

G. PERFORMANCE REQUIREMENT SUMMARY

The Performance Requirement Summary (PRS) lists and defines the tasks that the PM, and or COR determine are most important to monitor and evaluate, the acceptable quality and frequency of inspections. The PRS form is used for recording the inspections. A PRS will be attached to each task order.

Performance Work Statement Paragraph	**Performance Standards**	**Performance Requirement**
4.1 Resource Management	Prepare and update reports, including end-of-month, ad-hoc, and presentation charts	Accuracy: Information shall be clearly articulated. Not more than one report/presentation returned for errors per month. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
	Track labor, procurement, and travel budgets from commitment to disbursement	Accuracy: No inaccurate tracking of budget information at any time. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
4.2 Financial Management	Create, monitor, and reconcile travel authorization using traveler inputs to make reservations; prepare travel vouchers; and route for approval with accuracy and in a timely manner.	Accuracy: Travel documents must be 100% accurate. Timeliness: All established deadlines are met 100% of the time in order to meet mission deadlines.
	Provide voucher examination and payment services.	Accuracy: Not more than one misrouted voucher or payment error per month. All invoices and vouchers are routed to the customer and NSSC in 3 days. Timeliness: All established deadlines are met 100% of the time.

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.3 Acquisition Management Office	Ensure compliance with all procurement procedures and regulations.	Accuracy: 100% compliance with Federal Acquisition Regulations and NASA Federal Acquisition Regulations Supplements, Agency, AFRC, Government Printing Office and other government policies and procedures. Timeliness: All procurement milestone timelines shall be met; Not more than one milestone missed per quarter.
	Process procurement actions within established timelines.	Accuracy: All procurement processes shall be met; Not more than one omitted process missed per quarter. Timeliness—action shall be processed by the timeline listed below; not more than three missed awards per month. MIPRS—15 days Purchase Value Processing (Days) Up to $10,000 10 $10,001 to $25,000 20 $25,001 to $100,000 30 Over $100,000 45

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.4 Technical Publications Office	Perform technical editing and related assistance such as formatting to pertinent STI and other applicable specifications.	Accuracy: Contractor shall inspect published products prior to release to customer. No more than one error per month. No more than 3 pieces of correspondence returned for errors each month. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
	Required communication material review approvals shall be submitted to or approved by the Contract Manuscript Review process before completed work is sent for reproduction or released to the customer.	Accuracy: Contractor shall ensure material review approvals are performed prior to reproduction or distribution. No more than one missed review approval per quarter. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
4.5 Research Library Services	Identify information resources that support research in science and technology information and deliver those resources to all AFRC personnel.	Accuracy: Contractor shall ensure all customer requirements are met and there is no more than one customer complaint per month. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.6 Reproduction Center Services	Provide duplicating and printing support and safeguard all sensitive, classified or proprietary material.	Accuracy: Duplicating and printing support shall be provided without errors and handling of classified or proprietary material shall be 100% compliant with Agency, AFRC, Government Printing Office and other government policies and procedures. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.7 Office of Strategic Communications	4.7.1: Weekly/Monthly Media Reports. Due: weekly and monthly when scheduled. Agency events calendar updated on a monthly basis. 4.7.2: Response to written public requests. Due within 3 days of request. Delivery (verbal or written) of major tasks and resource requirements for events. Due: within one week of event initiation. 4.7.3: AFRC promotion and exhibits plan. Due: Baseline due by Oct 1 of each year. Quarterly updates due by 5th day of new quarter (govt. fiscal year). End of year report due September 30.Monthly status report on exhibits program consistent with HQ metrics. AFRC X-Press. Due: Monthly Special Publications. Due: As required and time available in consultation with office Chief News Releases, Articles, Fact Sheets and Info Summaries. Due: As requested Written report (i.e. trip report) on results of attendance at conferences and other off-site activities. Due within 10 working days following completion of travel.	Contractor shall ensure all customer requirements are met and there is no more than one missed report/action per month Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.7 Office of Strategic Communications, Continued	4.7.4: Response to information requests. Due: within 3 working days. Articles and monographs. Due: as identified by the Office Chief. Publications, reporting, plans and milestones: as identified in approved schedule. 4.7.5: Ensure that all content distributed via social media accounts is properly reviewed and vetted prior to release. Track and report weekly and monthly metrics in accordance with best practices and NASA requirements. Analyze metrics and implement strategies to maximize reach within available resources. 4.7.6: New Hire Welcome Package sent within 5 days of hire notification Security Instructions for New Hires: as required by Office Chief. List of AFRC POCs for services: Updated quarterly.	Contractor shall ensure all customer requirements are met and there is no more than one missed action per month Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
4.8 Office of Internal Controls and Management Systems	Performance Measures will be identified by the nature of the deliverable, conformance of deliverable to requirements, and scheduled delivery dates.	Accuracy: Final products shall be free of any errors. Contractor shall ensure all customer requirements are met and there is no more than one customer complaint per month Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.

Performance Work Statement Paragraph	Performance Standards	Performance Requirement
4.9 Administrative Office Support	Prepare various office correspondence; perform data processing and other administrative functions.	Accuracy: Final products shall be free of any errors. No more than 3 pieces of correspondence returned for errors each month. No errors in scheduling appointments. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
4.9.3 Human Resource Management and Development Office	Provide a variety of training services and other administrative functions.	Accuracy: Contractor shall ensure all customer requirements are met and there is no more than one customer complaint per month. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.
4.10 Business System Support	Prepare documentation or presentation material, participate in meetings, etc.,	Accuracy: Information shall be clearly articulated. Not more than one report/presentation returned for errors per month. Timeliness: All established deadlines are met 100% of the time. Projected delays are renegotiated with the requiring organization prior to the original deadline.

CONCLUSION

The CO may unilaterally change this plan prior to the beginning of an evaluation period. In addition, the Contractor may make recommended changes to the plan no later than 30 days prior to the beginning of the new evaluation period. The Contractor will be notified of changes to the plan by the CO, in writing, before the start of the affected evaluation period.

CONCUR: _____ DATE: _____

Ellen E. Christmann
Contracting Officer's Representative

APPROVE: _____ DATE: _____

Name
Contracting Officer