

**ATTACHMENT J-14**  
**PERFORMANCE SURVEILLANCE**  
**PLAN**

**FOR**

**MEDICAL AND ENVIRONMENTAL**  
**SUPPORT CONTRACT (MESC)**

## **1.0 INTRODUCTION**

### **1.1 Background.**

The Medical and Environmental Support Contract Performance Surveillance Plan has been developed to describe the Government's general plan in providing effective and systematic surveillance and reporting of all aspects of MESC contract performance. This plan recognizes the responsibility of the contractor to carry out its own quality control obligations in the performance of this contract. Implementation of the surveillance plan is expected to be a dynamic process resulting in frequent updates throughout the life of this contract. Surveillance will be accomplished via a number of mechanisms including insight/oversight into the contractor's performance against requirements listed in the MESC Performance Work Statement (PWS); performance standards listed in Appendix A of this plan; and documented areas of emphasis which will be coordinated between the Government and the MESC contractor upon contract start-up.

### **1.2 Scope.**

This plan identifies surveillance activities and metrics for continuous measurement of contractor performance. It is intended to be a 'living' document, which will be updated throughout the life of the contract based on changing circumstances and needs of the Government.

## **2.0 RESPONSIBILITIES AND REQUIREMENTS**

Surveillance of contractor performance is a Government function. The Government gains insight into contractor performance through contract deliverables, contractor data, the techniques and tools delineated in the surveillance plan, and performance assessments coordinated with the MESC Contractor. Performance standards and metrics will measure how well the contractor provides services to the customers.

Other responsibilities for each entity involved in MESC surveillance and performance evaluation are described below:

**2.1** The MESC Contracting Officer (CO) is responsible for contract management and ensuring compliance with the terms of the contract.

**2.2** The primary Contracting Officer's Technical Representative (COTR) function is to serve as technical liaison between the Contractor and the CO. The COTR is responsible for monitoring the Contractor's performance and delivery of the final product and/or services under the contract. The COTR is responsible for assimilating data summaries into a performance/award fee report and presenting to the Award Fee Board (AFB) including the Fee Determining Official (FDO).

**2.3** The CO/COTR will maintain insight into the MESC contractor performance using performance monitors for their area of responsibility. The COTR provides centralized direction to the various performance monitors, initiates the call for input from performance monitors,

consolidates all findings into a performance assessment, and presents the findings/assessments to the CO, AFB, and FDO.

**2.4 Documentation.** The contractor will provide a performance assessment (DRD1.1-001; Report, Performance Assessment) and contract program metrics (DRD1.3.11-001; Program Metrics) to the COTR.

### **3.0 Surveillance Strategy and Guidelines**

#### **3.1 Surveillance Strategy.**

The MESC performance surveillance is based upon the premise that the contractor has the ability to execute tasks without considerable government oversight. The Government's goal is to follow an insight-driven surveillance strategy, using a risk-based approach which will allow the Government to focus resources on those performance areas of concern. The surveillance decision process used to help determine areas requiring more proactive Government surveillance and insight is documented in Appendix B, Figure B-1. As circumstances change, the surveillance implementation will incorporate more or less invasive methods of surveillance as warranted.

#### **3.2 Insight Definition.**

Insight is an assurance process that uses performance requirements and performance metrics to ensure service delivery, quality, and effectiveness. Insight relies on gathering a minimum set of process data that provides adequate visibility into the integrity of the process.

Insight as applied to the MESC will result in lower levels of Government surveillance and allow the contractor to assume increased responsibility and accountability for the integrity of processes. Insight will rely heavily on evaluating planned contract deliverables and existing contractor procedures and working documents.

#### **3.3 Surveillance Tools.**

The following is a description of the surveillance tools that may be utilized by the Government for performance assessment. This list of tools is not exhaustive; if it becomes evident that additional tools are necessary and available, they may be added to the list. The descriptions are ranked from the least to the most intrusive method. It is anticipated that the type of surveillance method utilized will be based on relative risk of the technical area. For example, the more critical the area, the more intrusive the method of surveillance; however, the Government can use any of these tools at any time for any of the technical areas.

**3.3.1 Customer feedback** is a reactive tool based on input from the customers, with the primary purpose to provide performance feedback to the Government. This tool may be used as an indicator to increase Government surveillance through use of different surveillance tools. Customer feedback will generally not be the only tool used for critical processes and activities.

**3.3.2 Management Information Systems (MIS)** provide proactive insight into contractor performance through assessment of contractor or government generated data. The data will include performance information provided by the contractor or obtained independently by the Government. The data and output of the MIS will be validated, as necessary, by the Government to assure that it is factual and accurately reflects the contractor's performance.

**3.3.2 Documentation Checks (DC)** are used to ensure Contractor generated policies, plans, procedures and other auditable documents are in place and appropriately implement applicable NASA and regulatory requirements.

**3.3.3 Periodic Inspections/Checklists** are used to conduct surveys and perform audits to gather inputs to determine whether or not a service is being provided. Survey checklists are used to gather subjective inputs to determine whether or not a service was provided. Surveys collect personal judgments and may not necessarily reflect the quality of the service. Audit checklists are used to collect findings of fact related to contract requirements.

**3.3.4 Metrics** are performance indicators provided by the contractor or generated by the Government. In most cases, the contractor will generate this data in order to manage their processes.

**3.3.5 Sampling** is a quantitative approach that involves statistically-based random checks of the contractor's data or work performance. The purpose of these random checks is to validate that data is factual and that work performance meets requirements.

**3.3.6 In-depth observation** entails directly observing the contractor during performance of work. This tool may be used where work involves tasks which present high risk to program assets; however, use of the tool is not limited to such critical activities. This surveillance method does not represent a constraint to the contractor's authority to proceed. In-depth observation allows the Government to have real-time insight into contractor performance.

**3.3.7 Audit.** An audit is a systematic, independent, and documented process for obtaining evidence and evaluating it objectively to determine the extent to which criteria are fulfill.

## **4.0 SURVEILLANCE IMPLEMENTATION**

### **4.1 Insight Process.**

The contractor-provided Program Metrics (DRD1.3.11-001; Program Metrics) are coordinated between the Government and MESC and are the basis of contract insight. These metrics augment other surveillance activities to allow the Government greater understanding of contractor performance and associated processes. These Program Metrics are the minimal level

of surveillance and are aligned with the contract objectives. They are reviewed and modified as required throughout the life of the contract to ensure that performance indicators remain valid and relevant to Government priorities and contractor performance.

MESC contract performance surveillance insight is performed not only through metrics, but also through day-to-day communication with the contractor and customers via the performance monitors and through surveillance of targeted areas of interest.

When the Government has concerns about contractor performance, the Government 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.

#### **4.2 Metrics Validation and Assessment.**

The Government conducts continuous assessments of the contractor's performance. Performance assessments include the review of customer feedback and contractor performance data gathered utilizing the tools referenced in Section 3.3. The data is analyzed to determine the level of performance. The validity and accuracy of contractor provided data will be verified by the Government either through surveillance of activities or through review of each data element. These assessments ensure receipt of the quantity and kinds of products and services required by the contract and will become inputs for the evaluation of contractor performance. The initial negotiated program metrics (DRD1.3.11-001; Program Metrics) will be the basis for a Government and MESC contractor surveillance effort and will become the first official set of performance metrics. Performance/Award Fee metrics will be reviewed and modified as required. Coordination between the Government and the MESC contractor will continue throughout the life of the contract to ensure that Performance/Award Fee metrics remain valid and relevant to government priorities and contractor performance.

Metrics will be validated by either auditing the data collection system for capability of collecting and portraying accurate data, sampling to verify the accuracy of the collection and input process, or reviewing the data to determine that the metric is reflective of the data.

#### **4.3 Corrective Action.**

The MESC contractor shall prepare a Corrective Action Plan (CAP), as directed by the Government. The Corrective Action Plan will describe the contractor's approach to correcting deficiencies identified as a result of surveillance and measures to prevent their recurrence.

#### **4.4 Evaluation.**

The COTR, in conjunction with the CO, is responsible for summarizing the contractor's performance utilizing the surveillance inputs to assess and report the level of contractor performance in meeting the MESC objectives. All data gathered as part of this surveillance

process using the methods described will be considered in the Performance/Award Fee evaluation. The COTR will furnish a performance evaluation report to the Award Fee Board that contains a summary of all performance findings from the evaluation period and an award fee recommendation in accordance with the MESC Performance Evaluation and Award Fee Plan (Attachment J-10 of the contract).

**APPENDIX A****Performance Standards Summary  
Standards, Acceptable Levels of Performance (ALPs)**

<b>Task</b>	<b>PWS Section</b>	<b>Minimum Acceptable Performance</b>	<b>Method of Surveillance</b>
<b>Compliance.</b> Compliance with Federal, State and Local Regulations.	1.4.2	100% compliance of Federal, State and Local Regulations.	Metrics, Periodic Inspections, Audits
<b>Timeliness,</b> DRD delivery,	1.1.f, et. al.	100% delivery of DRD's specified in the PWS	MIS
<b>Timeliness/Quality</b> Work plans and procedures	1.1.b	Administrative plans, procedures, policies, are in place within 180 days of contract start	Document review
<b>Compliance/Timeliness</b>	1.7.3	IT Security compliance for all Contractor provided IT systems	Document review
<b>Quality/Accuracy</b> Cost Control	1.5.1	Monthly accrual estimates 95% accurate to actual reported costs	MIS (contractor generated) and Audit
<b>Quality/Accuracy</b> Cost Control	1.5.1	No un-reconciled gaps between the Negotiated Estimated Cost (NEC) and actual costs per period	MIS (contractor generated), And Audit
<b>Safety Performance Data</b>	1.4.2	0 Type A or B Mishaps, TCIR and DARCIR below SIC code average, Lost time and Recordable injury rates below the KSC 3 year contractor average	Metric and MIS review
<b>Property Control</b>	1.3.3		

<b>Timeliness.</b> Medical Certification Turnaround time.	<b>2.3.1 (a)</b>	The time required to process a medical certification following completion of medical evaluation shall be less than 60 days	MIS (contractor generated)
<b>Timeliness/Quality.</b> Patient satisfaction.	<b>2.3.1</b>	In a rating scale of 1 - 5, average rating 4 or better	Customer Feedback
<b>Quality.</b> Conformance with Medical Quality Assurance Program.	<b>2.1 (e)</b>	No significant non-conformances per quarter.	MIS (contractor generated)
<b>Quality.</b> Medication Inventory Discrepancies	<b>2.3.1 (o, p)</b>	No DEA classified controlled drug inventory discrepancies.	MIS, Periodic Inspections
<b>Timeliness.</b> Aerospace Medical Packages.	<b>2.6 (c)</b>	Medical Packages to be prepared at least 5 days prior to spacecraft launch, landing, TCDT or contingency simulation exercise.	Periodic Inspection
<b>Timeliness.</b> Medical Education Program.	<b>2.12</b>	Completion of program checklist and participant evaluation within 30 days upon participant conclusion of program.	Periodic Inspection
<b>Timeliness.</b> On-call response.	<b>3.1</b>	Off-shift response within two hours from notification.	Contractor generated metric. Customer feedback.
<b>Quality.</b> Technical reports meet customer expectations.	<b>3.1.c.</b>	95% customer satisfaction with technical reports.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> Mishap investigation.	<b>3.4.e</b>	Initiate investigation of employee exposures within 24 hrs of notification	Contractor generated metric.
<b>Timeliness.</b> Employee complaint investigations.	<b>3.4.f</b>	98% follow-up to all reported complaints within 30days.	Customer feedback. Contractor generated metric.



<b>Timeliness.</b> Nonrecurring work	<b>3.4</b>	95% of nonrecurring work shall be performed in accordance with schedule negotiated with customers.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> Recurring work.	<b>3.4</b>	95% of recurring work shall be performed per documented schedule.	Contractor generated metric.
<b>Timeliness.</b> Customer reports.	<b>3.4</b>	95% of reports to customers shall be delivered within 10 working days after task completion.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> Health hazards evaluation turnaround time.	<b>3.4</b>	The number of days between starting a hazard evaluation and completion of the evaluation will be equal or less than the historical two-year average.	Contractor generated metric.
<b>Timeliness.</b> Nonrecurring work	<b>3.5</b>	95% of nonrecurring work shall be performed in accordance with schedule negotiated with customers.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> Nonrecurring work	<b>3.6</b>	95% of nonrecurring work shall be performed in accordance with schedule negotiated with customers.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> Recurring work.	<b>3.6</b>	95% of recurring work shall be performed per documented schedule.	Contractor generated metric.
<b>Timeliness.</b> Customer reports.	<b>3.6</b>	95% of reports to customers shall be delivered within 10 working days after task completion.	Customer feedback. Contractor generated metric.
<b>Timeliness.</b> HP hazards evaluation turnaround time.	<b>3.6</b>	The number of days between starting a hazard evaluation and completion of the evaluation will be equal or less than the historical two-year average.	Contractor generated metric.

<b>Timeliness.</b> PLM turnaround time.	<b>3.7</b>	95% of Polarized Light Microscopy (PLM) bulk material analyses will be reported to customers within 10 working days of sample submission	Customer feedback.  Contractor generated metric.
<b>Timeliness.</b> PCM turnaround time.	<b>3.7</b>	95% of Phase Contrast Microscopy (PCM) clearance samples shall be reported to customers within 24 hours of sample submission.	Customer feedback.  Contractor generated metric.
<b>Timeliness.</b> Routine Hazardous Waste Characterization	<b>4.5.1(a)</b>	Respond to a routine hazardous waste characterization within 14 workdays from the date of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Emergency Hazardous Waste Characterization	<b>4.5.1(a)</b>	Respond to an emergency hazardous waste characterization within one workday from the date of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Routine Waste Pickup/Removal	<b>4.5.1(f)</b>	Respond to a routine waste pickup/removal request within 10 calendar days from the date of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Emergency Waste Pickup/Removal	<b>4.5.1(f)</b>	Respond to an emergency waste pickup/removal request within 2 hours from the time of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Post-emergency Spill Clean-up	<b>4.5.2</b>	Provide post-emergency spill clean-up within one workday of notification.	Customer Feedback, Management Information Systems

<b>Timeliness.</b> Environmental Compliance Sampling, Analysis and Monitoring Reports.	<b>4.6.1</b>	95% of reports completed and submitted to Government on time.	Metric
<b>Timeliness.</b> Routine Waste Characterization Sampling	<b>4.6.2</b>	Respond to a routine waste sampling request within 5 workdays from the date of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Emergency Waste Characterization Sampling	<b>4.6.2</b>	Respond to an emergency waste sampling request within 2 hours from the time of request.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Routine Waste Characterization Sample Analysis	<b>4.6.2</b>	Provide analysis for a routine waste characterization sample within 14 days from sampling date.	Customer Feedback, Management Information Systems
<b>Timeliness.</b> Emergency Waste Characterization Sample Analysis	<b>4.6.2</b>	Provide analysis for a emergency waste characterization sample within 72 hours from sampling date.	Customer Feedback, Management Information Systems
<b>Timeliness Website updates</b>	<b>5.0</b>	100% compliance with updating the website within 4 hours of request for emerging health issues and alerts	Audit

<b>Timeliness/Quality Center health program assessments</b>	<b>5.0</b>	100% compliance with Center assessment results entered into database within 10 days post site visit	Audit
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**APPENDIX B**

**RISK ANALYSIS PROCESS**

Technical performance areas of the contract are assessed for inherent risk using the Risk Decision Process outlined in Figure B-1.

**Figure B-1 Contract Surveillance Risk Decision Process**

