Subj: CNATRA GUIDANCE FOR CONDUCTING SURVEILLANCE OF CONTRACT MAINTENANCE, GOVERNMENT PROPERTY AND SERVICES

Ref: (a) Federal Acquisition Regulation (FAR Parts 45, 46 and 52.245-1)
(b) Defense Federal Acquisition Regulation Supplement (DFARS) Part 246
(c) NAVAIRINST 3710.1
(d) COMNAVAIRFORINST 4790.2
(e) Applicable ISO Standards
(f) Applicable Contract Documents

Encl: (1) AMMT Aviation Maintenance Inspection (AMI) Flow Chart
(2) QA/PA Program DCMA/CNATRA Contract Surveillance Flow Chart
(3) QA/PA Program Corrective Action Determination Flow Chart
(4) QA/PA Program Non-Conformance Government Correspondence Letter (GCL) Flow Chart A
(5) QA/PA Program Corrective Action Request LEVEL I Chart B
(6) QA/PA Program Corrective Action Request LEVEL II Chart C
(7) Property Management System Audit (PMSA) Flow Chart

1. **Purpose.** To provide guidance for conducting Chief of Naval Air Training (CNATRA) contract surveillance per references (a) thru (f).

2. **Cancellation.** CNATRAINST 4355.4A

3. **Scope.** This instruction applies to CNATRA and its Detachments in conducting surveillance of contractor provided services, Quality Assurance (QA), Government Property (GP) and maintenance processes and procedures.
4. Background. The primary objective of this instruction is to ensure acceptance of products and services that meet contract requirements. Detachment surveillance personnel must use professional judgment to tailor these guidelines to specific contracts and processes for which they are assigned in order to implement effective and efficient surveillance.

5. Policy

   a. Contract Surveillance is the method by which the CNATRA Quality Assurance Specialist (QAS), Industrial Specialist (IS) and the Industrial Property Management Specialist (IPMS) assess contractor controls over product quality, Government Property and overall contract compliance.

   b. CNATRA Detachment Contract Surveillance personnel are the most knowledgeable concerning the contractor’s programs, processes and procedures. The Detachment Officer in Charge (OIC), Assistant Officer-in-Charge (AOIC), CNATRA Quality Assurance Program Management Office (QAPMO) and the CNATRA Property Administrator Program Management Office (PAPMO) shall provide detachment personnel guidance as required and shall conduct oversight of the surveillance program. Standardization at all detachments can only be accomplished through continuous review of data and reports that are received from the detachments. Contract Surveillance personnel should contact the Contract Administration Office (CAO), QAPMO, or PAPMO for guidance and program assistance.

   c. All CNATRA Contract Surveillance personnel are required to comply with the Defense Acquisition Workforce Improvement Act (DAWIA) training/certification requirements for Production Quality and Manufacturing, and/or Industrial Property Management Specialist Workforce (as applicable). In addition to this training, local on-the-job training shall be conducted and documented as directed by the Detachment AOIC. As a minimum, training should consist of applicable required reading and performance of contract surveillance processes per this instruction. Trainees will be accompanied by a DAWIA Certified Level II individual when conducting surveillance; once the trainee achieves Level I certification, surveillances may be conducted unaccompanied at the OIC/AOIC discretion based on the trainee’s experience, knowledge and skill level.
d. If deficiencies or opportunities for improvement are identified in this instruction, forward to CNATRA QAPMO or PAPMO as applicable. Recommendations for improvement are requested and encouraged via written correspondence.

e. All tasks between CNATRA (QAPMO/PAPMO) and Detachment Staff shall be made via the Detachment OIC and/or AOIC.

f. All references to Defense Contract Management Agency (DCMA) in this instruction are applicable to the contracts specified in the CNATRA/DCMA Memorandum of Agreement (MOA).

S. B. STARKEY
Chief of Staff

Distribution:
CNATRA Website
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ACRONYMS

A/C  Aircraft
ABO  Aircraft Breathing Oxygen
ACDP  Acquisition Career Development Program
ACO  Administrative Contracting Officer
ADB  Aircraft Discrepancy Book
AMI  Aviation Maintenance Inspection
ANSI  American National Standards Institute
AOIC  Assistant Officer in Charge
CAO  Contract Administration Office
CAP  Contractor Acquired Property
CAR  Corrective Action Request
CARB  Corrective Action Review Board
CAS  Contract Administration Service
CCA  CNATRA Contract Administrator
CLS  Contractor Logistics Support
CNAF  Commander Naval Air Forces
CQA  Contract Quality Assurance
CSEC  Computerized Self Evaluation Checklist
DAWIA  Defense Acquisition Workforce Improvement Act
DCMA  Defense Contract Management Agency
DET  Detachment
DFARS  Department of Defense Federal Acquisition Regulation Supplement
FAR  Federal Acquisition Regulation
GCL  Government Correspondence Letter
GCP  Government Call Point
GFE  Government Furnished Equipment
GFP  Government Furnished Property
GFR  Government Flight Representative
GGR  Government Ground Representative
GP  Government Property
GOP  Ground Operating Procedures
GSP  Government Surveillance Point
FST  Fleet Support Team
HAZMAT  Hazardous Material
IPMS  Industrial Property Management Specialist
IS  Industrial Specialist
ISO  International Organization for Standardization
JDRS  Joint Discrepancy Reporting System
KTR  Contractor
MCSR  Monthly Contract Surveillance Report
MIRR  Material Inspection and Receiving Report
MPA  Maintenance Program Assessment
MOA  Memorandum of Agreement
TPOC       Technical Point of Contact
VAL/VER   Validation/Verification
WAR       Work Authorization Request
WAWF      Wide Area Workflow
 Glossary

Terms Defined. The following terms and their definitions, listed in alphabetical order, will have singular significance with respect to their use in this instruction:

**Acceptance.** The act of an authorized representative of the Government by which the Government assumes for itself, or as an agent of another, ownership of existing supplies tendered, or approves specific services rendered, as partial or complete performance of the contract on the part of the contractor.

**Administrative Contracting Officer (ACO).** A person with the authority to administer contracts and make determinations and findings.

**Aviation Maintenance Inspection (AMI).** Third Party inspection conducted by CNAF on all CNATRA activities every 24 months.

**Audit.** As it applies to Quality and Property, is a periodic or special evaluation of programs, processes or requirements.

**Characteristic.** A physical, chemical, visual, functional or any other identifiable property or element of a product, material or procedure.

**Computerized Self Evaluation Checklist (CSEC).** Provides a standardized objective measurement tool to conduct audits.

**Contract.** A contract is a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyers to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing.

**Contract Administration Office (CAO).** The office that performs assigned functions related to the administration of contracts and assigned pre-award functions.
CNATRA Contract Administrator (CCA). Individual assigned to the CNATRA Contract Administration Office who is delegated contract administration functions. The CCA is the only individual assigned to CNATRA who is authorized to direct or task the contractor as outlined in the Memorandum of Agreement.

Contractor. Any individual, company, partnership or association holding a contract with a Government purchasing office.

Contractor Quality Data. Any information required by contract to be developed, collected, or maintained and made available to the Government.

Contract Quality Requirements. The technical requirements in the contract relating to the quality of the product or service and those contract clauses prescribing inspection, and other quality controls incumbent on the contractor, to assure that the product or service conforms to the contractual requirements.

Corrective Action. Effective action taken to correct a nonconformance and to identify and eliminate the root cause of that nonconformance.

Corrective Action Request (CAR). A formal written notification from the Government to the contractor of a contractual nonconformance.

Corrective Action Review Board (CARB). A joint board (CNATRA/DCMA) to determine if the CAR is a violation of contract compliance and referenced correctly prior to recommendation to CNATRA N4 for issuance or closure. (CARB voting members consists of: Chairman CNATRA QAPM, CNATRA N4A, DCMA ACO, and DCMA QA/PI – PAPMO when CAR is PA related).


Defect. Any non-conformance of the unit or product with specified requirements.
Deviation/Waiver Request. A formal document prepared by the contractor, or his subcontractor, and submitted by the prime contractor to the Government for the purpose of deviating from a specific contract requirement.

Industrial Property Management Specialist. Individual who performs a range of industrial property administration functions over an assigned contract or group of contracts involving property management by one or more contractors.

Industrial Specialist. Individual who plans, evaluates and surveys contractor’s production of services and management of industrial resources with respect to aircraft and simulator maintenance through on-site liaison and reporting systems.

Limited Audit. Review of one or more areas of the contractor’s Property Management System (PMS).

Government Correspondence Letter (GCL). Standard letter submitted to the contractor by the detachment OIC/AOIC for a CAR, letter of acceptance/rejection, closure and final summation for audits, monitors, or investigations. (Appendix C)

Maintenance Program Assessment (MPA). Assessment conducted by CNATRA Detachment using the CSEC and Supplemental CSEC (as applicable) at least 6 months or 180 days prior to the scheduled AMI to determine areas of deficiency and assist in performance improvement. Additionally, the MPA serves as CNAF certification that the contractor is prepared to support CNATRA mission readiness.


Memorandum of Agreement (MOA). The relationship between Naval Air Systems Command (NAVAIR), PMA-273, Defense Contract Management Agency (DCMA), Aircraft Integrated Maintenance Operations (AIMO) and the Chief of Naval Air Training (CNATRA) in terms of contract administration, as it applies to the administration of Contractor Logistics Support (CLS) contracts.

Monitor. An abbreviated evaluation of a program or process.
Non-conforming Supplies and Services. Those supplies and services that contain one or more departures from the contractual requirements (Reference DFAR Part 246.407 Non-conforming supplies or services).

Objective Quality Evidence. Any documented statement of fact pertaining to the quality of a product or service based on observations, measurements or tests that can be fully verified. Evidence must be expressed in unbiased terms of specific quality requirements of characteristics. These characteristics are identified in drawings, specifications, and other documents that describe the item, process or procedure.

Observation. Any unscheduled observance of Contractor operations during daily surveillance (not to include observations from audits).

Over-and-above Work. (DFAR PART 252.217-7028): Work discovered during the course of performing overhaul, maintenance, and repair efforts that is within the general scope of the contract, but is not covered by a line item for the basic work under the contract.

Prime Contractor. A person who has entered into a prime contract with the United States.

Process. Any set of conditions or set of causes that work together to produce a given result. While it often refers to the combination of people, materials, machines, and methods used to produce a given product or service; it is also capable of assuming other meanings, such as a method of assembly, a group of people, such as a work center, or a method of measurement.

Process Review. Evaluation of current practices, which is done through a thorough analysis of people, process and technology.

Property Administrator. Authorized representative of the Contracting Officer appointed per Agency procedures, responsible for administering the contract requirements relating to Government property in the possession of Contractors.
Property Administrator Program Manager. An organizational title assigned to the individual responsible for the Government Property program and assures consistent management and oversight by validating processes of the Property Program and overall contract compliance.

Property Management Plan. Written processes, procedures, and methodologies that provide effective control, accountability and management of Government property.

Property Management System Audit. Systematic objective review and evaluation of the Contractor’s property management system including both the procedures, compliance with the Government Property Clause, and Terms and Conditions of the Contract.

Quality. The composite of material attributes including performance, features, and characteristics of a product or service to satisfy a given need.

Quality Assurance (QA). A planned and systematic pattern of all actions necessary to provide adequate confidence that the items or products conform to established technical requirements.

Quality Assurance Program Manager (QAPM). An organizational title assigned to the individual ultimately responsible for the Government quality program and assures consistent quality of production by validating processes of the Quality/Maintenance Program and overall contract compliance.

Quality Assurance Specialist (QAS). An organizational title assigned to the individual responsible for the Government quality program and assigned designated authority for oversight of the contractor’s Quality/Maintenance Program and overall contract compliance.

Quality Assurance Surveillance Plan (QASP). Government developed document used to ensure systematic quality assurance methods are used in the administration of the CLS effort.

Quality Investigation. A primary tool for resolving customer reported problems, it is an investigation conducted to determine cause and chain of events for contract non-compliance.
Root Cause. Any identifying reason for the presence of a defect or problem. The most basic reason, which if eliminated, would prevent recurrence. The source or origin of an event.

Safe for Flight (SFF). The material condition of an aircraft which, considering mission requirements and environmental conditions, permits it to be launched, flown and landed safely and ensures the aircrew has, as a minimum, the operable equipment for safe flight required by: NAVAIR 01 Series manual, Aircraft NATOPS: OPNAVINST 3710.7, general NATOPS; and MESM (provided on COMNAVAIRFOR’s web portal), Subsystem Capability and Impact reporting (Safely Flyable Column).

Safety of Flight (SOF). Defects (finding) found during an audit, monitor, observation or surveillance activity that could possibly cause harm to personnel and/or result in failure of equipment, supplies, and services; or to materially reduce the usability of the equipment, supplies, or services for their intended purpose.

Special Audit. Special audits are performed to investigate suspected or known compliance problems in specific programs or work centers.

Standard Government Property Audit. Complete review of the Contractor’s Property Management System where all outcomes, processes, and procedures are reviewed.

Subcontract. Any contract calling for supplies or services required for the performance of any one or more prime contracts.

Subcontractor. Any supplier, distributor, vendor, or firm that furnishes supplies or services, to or for a prime contractor.

Testing. An element of inspection that generally denotes the determination by technical means of properties or elements of supplies or components thereof, including functional operation and involves the application of established scientific principles and procedures.
CHAPTER 1

Contract Surveillance Concepts

1. General. This operating instruction implements the CNATRA Contract Surveillance Program. The concepts and procedures outlined in references (a) through (f) are the basis for the program. They are intended to ensure that standardized Quality Assurance, Government Property audits and Contract Surveillance methodologies are used at all Detachments. The primary program objectives are to ensure acceptance of conforming products, ensure the Contractor maintains strict accountability of Government Property, and services that meet all contractual requirements.

2. Communications

   a. Communications with the Customer. A fundamental objective of Contract Surveillance is customer satisfaction. CNATRA Detachment personnel shall meet as required with the Contract Administration Office, Defense Contract Management Agency and other Chief of Naval Air Training Quality Assurance Specialists and Industrial Property Management Specialist, customer technical representatives and program site managers to discuss the status of contractor quality performance and processes impacting program or products.

   b. Communications with the Contractor. The CNATRA QA Program Manager (QAPM) and CNATRA Property Administrator Program Manager (PAPM) will develop open communications with all levels of contractor management personnel and provide feedback to DET OICs/AOICs of correspondence as required. CNATRA Detachment OICs/AOICs and contract surveillance personnel will maintain direct communication with the contractor as required and will provide assistance to the contractor when quality, property or technical problems are discovered.

3. CNATRA Quality Assurance and Government Property Policies

   a. It is the Government’s responsibility, as the customer, to establish clearly defined contractual quality and Government property management requirements. It is the contractor’s responsibility to control quality/Government property and to offer to the Government for acceptance, only those supplies and
services that conform to contract requirements, and when required, to maintain and furnish substantiating evidence of conformance. It is the Contract Administration Office (CAO) and the Detachment Contract Surveillance Personnel’s responsibility to determine if contractual requirements have been met before accepting supplies or services.

b. CNATRA is structured to operate on the precept that quality cannot be inspected into a product or service but must be designed and built in. This concept is recognized by the procuring activity when higher-level quality requirements, such as COMNAVAIRFORINST 4790.2, Federal Acquisition Regulations (FAR) and ISO Standards, are included in the contract. When contractors have valid written instructions outlining their processes and procedures and have adequate quality and Government property management controls, discrepancies in products and services presented to the Government will be minimized.


a. CNATRA Quality Assurance Program Manager (QAPM) and CNATRA Property Administration Program Manager (PAPM) are located at CNATRA Headquarters, Corpus Christi, Texas and have the overall responsibility for the CNATRA Contract Surveillance Program and efforts. CNATRA N4 has five detachments which are located at NAS Corpus Christi and NAS Kingsville, Texas; NAS Meridian, Mississippi; NAS Whiting Field, Milton and NAS Pensacola, Florida. Contract Surveillance Personnel at each of these sites consist of the Detachment OIC, AOIC, QAS, IPMS, and IS.

b. The CNATRA QAPM and PAPM are responsible for:

(1) Developing, planning, and maintaining the CNATRA Contract Surveillance Program for quality and Government property.

(2) Assuring contractor procedures and processes comply with the contract requirements.

(3) Participating in CAO pre-award surveys, technical evaluations and post-award conferences.
(4) Attending Quality Assurance and Government Property post-award conferences as delineated.

(5) Reviewing new and modified contracts for Government QA and Government property requirements.

(6) Interfacing with contractor corporate management and Defense Contract Management Agency representatives in resolving quality and Government property issues that cannot be resolved at the detachment.

(7) Ensuring contractors impose mandatory quality requirements on their suppliers and subcontractors, and that Government source inspection (i.e. AMI) is imposed when required.

(8) Ensuring Detachments coordinate contractor’s response to Aviation Maintenance Inspection (AMI) external inspection IAW Enclosure (1).

(9) Providing technical advice and assistance to contractors concerning mishap prevention and safety programs.

(10) Providing liaison assistance between the detachments and procuring activities on all matters pertaining to Contract QA, Government property and overall contract surveillance.

(11) Reviewing CNATRA detachment annual contract surveillance and risk profile plan/audit schedule IAW (Appendix B).

(12) Submitting Annual contract surveillance and risk profile plan/audit schedule (Appendix B). Once finalized, submit to DCMA PI IAW Enclosure (2). Changes or updates shall be submitted to DCMA QA at the time of the occurrence.

(13) Ensuring all contract surveillance documents are maintained for the life of the contract IAW FAR and DFARS.

(14) Reviewing Government Correspondence Letter (GCL) (Appendix C), Corrective Action Request (Appendix D) for acceptance/rejection closure and final summation of audits, monitors, or investigations.
(15) Ensuring detachments conduct contract surveillance IAW all QASP requirements.

(16) Reviewing and submitting Monthly Contract Surveillance Report (MCSR) (Appendix E) to DCMA PI.

(17) Promulgating a yearly Property Management System Audit (PMSA) schedule by 15 September annually for those sites that fall into the 18-24 month PMSA window (PAPM only).

(18) Conducting PMSA with the CNATRA DET IPMS every 18 - 24 months (PAPM only). An annual PMSA will be conducted for Contractors identified as high risk.

(19) Ensuring Government property audit questions and worksheets used for all Government property audits are posted to the CNATRA share drive and updated when significant changes occur (PAPM only).

c. CNATRA Detachment OIC and or AOIC are responsible for:

(1) Developing, promulgating and managing the Detachment annual contract surveillance plan/audit schedule (Appendix B-1 and B-2). The schedules will be submitted annually to QAPM and PAPM NLT 15 December per enclosure (2) for review/approval.

(2) Ensuring Contract Surveillance training is conducted for Detachment personnel and indoctrination training for newly assigned personnel.

(3) Serving as the Detachment focal point for all assigned contracts and ensuring the issuance of GCL (Appendix C) for CAR (Appendix D) acceptance/rejection or final summation of audits, monitors, or investigations.

(4) Ensuring that Contract Surveillance is applied equally and equitably on all assigned contracts.

(5) If additional assistance is required, coordinate with DCMA (Local QAS), CNATRA QAPM or CNATRA PAPM as applicable.

(6) Interfacing with contractor site management in resolving contract issues.
(7) Representing the customer on issues involving contractor products and services on all assigned contracts, facilitating and ensuring direct customer feedback regarding disposition deficiencies, problem resolutions and product/process improvements.

(8) Coordinating contractor’s response to AMI IAW (Enclosure 1).

(9) Determining Detachment manning levels, and personnel assignments with regard to contract program requirements.

(10) Ensuring full cross training of all QAS personnel on all platforms and contracts for which the detachment has oversight.

(11) Establishing and maintaining open communication with the CNATRA QAPM, CNATRA PAPM and other Detachment OICs to share information and promote contract surveillance standardization throughout the command.

(12) Conducting Internal Audit of CNATRA Detachments every 18 to 24 months utilizing Appendix A.

**NOTE:** Detachments are highly encouraged to conduct cross audits periodically (at least every 24 months) in the same geographical area. This will provide the opportunity to share best-practices and ideas between detachments.

(13) Assigning Detachment personnel to offsite detachments (shipboard and shore) to conduct contract surveillance.

(14) Reviewing all Government initiated CARs (Appendix D) for validity, accuracy and completeness and ensuring correct entry in Appendix B.

(15) Conducting final review of contractor’s response to Government CARs to assure satisfactory response.

(16) Ensuring Monthly Contract Surveillance Report (MCSR) for the previous month is complete and accurate for all assigned contracts and forwarded to the QAPM or PAPM no later
than the fifth working day of each month. The MCSR shall be completed utilizing Appendix E.

(17) Ensuring Contract Surveillance personnel incorporate ISO elements when conducting program audits/monitors (i.e.; FOD, NDI, Tool Control, Fuel Surveillance, ABO, Government Property, etc.).

(18) Ensuring all contract surveillance documents are maintained IAW FAR and DFARS.

d. CNATRA Detachment Contract Surveillance personnel are responsible for:

(1) Complying with the CNATRA contract surveillance program for contracts within their area of responsibility. Audits and monitor checklists will be initiated and utilized to document contractor compliance with required programs, processes and procedures IAW FAR and DFARS. Government property audit questions, checklists and worksheets are posted on the CNATRA share drive. These documents are required to be used for all GP limited and standard audits.

(2) Mentoring and guiding new detachment employees in Contract Surveillance Methodologies.

(3) Reviewing new and modified contracts for contractor QA, Government Property requirements and forwarding comments/recommendations to the OIC/AOIC.

(4) Reviewing and evaluating contractors’ written procedures to include work/maintenance instructions, quality procedures, Property Management Plan, and applicable documents for compliance with contract requirements.

(5) Determining critical processes and applying risk assessment techniques.

(6) Providing recommendation to OIC/AOIC for Government Surveillance Points (GSP) (Appendix G) as required.

(7) Performing Validation/Verification (VAL/VER) as required.
(8) Assisting OIC/AOIC in the Development of contract surveillance plans.

(9) Performing audits, Special Audits, investigations, monitors, and observations of contractor’s programs, processes, procedures and conducting follow up actions for all noted discrepancies and contractor corrective actions. Utilize Appendix C to document these actions. This includes periodically accompanying contractor QA and IPMS to observe contractor personnel during scheduled and unscheduled maintenance and government property actions.

**NOTE: Documents shall be maintained IAW FAR and DFARS.**

(10) Initiating CAR(s) utilizing Appendix D in accordance with Corrective Action Determination Process Flow Chart in enclosure (3) and guidelines provided in Chapter 2, paragraph 9.a.(2) of this instruction and conducting follow up of contractor corrective actions.

(11) Identifying opportunities for improvement and communicating them to the contractor via the OIC/AOIC.

(12) Notifying the OIC/AOIC when serious issues (i.e. repeat contract and/or systemic procedural deficiencies) exist and recommendation for CAR escalation if necessary IAW Corrective Action Determination Flow Chart enclosure (3).

(13) Preparing and submitting MCSRs utilizing the format in Appendix E pages E-1 or E-2 per this instruction and forwarding to the OIC/AOIC.

(14) Advising the OIC/AOIC of repetitive discrepancies.

(15) Achieving and maintaining all required individual certification and training.

(16) Conducting on-the-job training for new detachment employees.

(17) Participating in post-award surveys, technical evaluations, contract post-award, property and QA conferences.

(18) Accepting or rejecting products and services on behalf of the Government via Wide Area Workflow (WAWF).
CHAPTER 2

Planning For and Conducting
Government Contract Surveillance

1. Objective. The primary objective of the Government Contract Surveillance program is to ensure acceptance of conforming products and services. Additionally, it establishes a fair and equitable quality program for assessing the contractor’s compliance with contractual requirements and measuring the level of contractor performance. A cooperative attitude and spirit of teamwork must be developed between Government and Contractor personnel in order to adequately measure and continuously improve processes.

2. Responsibilities. CNATRA Detachment Contract Surveillance personnel are responsible for using this instruction to apply effective and efficient surveillance plans, risk based processes to review contractor’s daily operations, overhaul and maintenance processes/procedures to verify compliance with contract and respective QMS requirements. CNATRA detachments shall maintain metrics and conduct monthly analysis of contractor’s quality and property data to identify trends. It shall be flexible enough to allow for changes in Government surveillance and compensate for variations in the contractor’s processes and procedures. The following are examples of tools which should be used in developing and adjusting the surveillance plan.

   a. Risk Assessment. Risk is inherent in all acquisition programs and must be controlled at all levels to ensure program objectives are met. Risk is a measure of the inability to achieve overall program objectives within defined cost, schedule, and technical constraints and has two components: One, the probability of failing to achieve a particular outcome. Two, the consequences of failing to achieve the outcome. Risk Assessment techniques should be utilized when developing surveillance plans to assist in prioritizing surveillance schedules. Performance Measurement Matrix and/or Monthly Risk Assessments will be conducted by CNATRA contract surveillance personnel. Monthly Risk Assessments are included in the MCSR and forwarded to the QAPM and PAPM the fifth working day of every month (Appendix E pages E-1 and E-2).

   b. Trend Analysis. When analyzing data for trends, process stability and risk factors, the data may indicate a need for
reduced or increased surveillance activity. It is imperative that only verifiable, objective process data is used for trending. All subjective or non-verifiable process data must be rejected within MCSR.

c. Detachments shall establish procedures to:

(1) Maintain quality and government property audit records.

(2) Ensure follow-ups are conducted on all documented contractor deficiencies to verify implementation and effectiveness of corrective actions.

(3) Review contractor CAR responses to assure validity of each response.

3. Audits, Special Audits, Monitors, Observations, Process Review, Quality Investigations

a. Audits are performed by the QAS, IS and IPMS on a continuing basis. Audit findings shall be documented utilizing a GCL (Appendix C). These are independent evaluations conducted to compare specific aspects of performance with set quality and government property standards. Audits are normally conducted on a regularly scheduled basis and may encompass specific programs, products, processes, procedures, systems or facilities. Audit frequency may be adjusted based on audit results, trend analysis or other quality feedback. The depth of an audit may vary based on objective quality history and product complexity. After completion, the individual who conducted the audit shall enter the required information in the corresponding Appendix B IAW this instruction.

b. Special Audits provide a systematic, coordinated method of investigating suspected or known deficiencies in specific maintenance work centers, programs or personnel. Special audits shall be performed by QAS, IS or IPMS on an “as needed basis” to investigate suspected compliance, or known trend (decline in performance) problems.

c. Monitors are similar to audits, but are more limited in scope. Monitors focus on a specific program or are conducted as an in-process inspection of a specific maintenance or government
property process/procedure and shall be documented utilizing GCL (Appendix C). They may be random or scheduled on a regular basis as abbreviated audits between regularly scheduled program audits. They can also be conducted when a deficiency in contractor performance is noted and specific evaluations are required to verify quality or proper procedures. Monitors may also be conducted as follow-up evaluations to ensure previously noted discrepancies have been corrected. After completion, the QAS who conducted the monitor shall enter the required information in the corresponding (Appendix B) IAW this instruction.

d. Observations are day to day visual sightings of contractor operations. They shall be documented in the local CNATRA Observation Data Base in support of the contract surveillance plan. Examples include: spot checks conducted to ensure proper technical data usage, tool control, FOD prevention, GP receipt inspections, GP inventory procedures, and government property checks during the course of maintenance and ADB “up-gripe” checks.

e. The Monthly Contract Surveillance Report (Appendix E) shall be used to summarize and document all surveillance activities for the month being reported.

f. Process Reviews (PR’s) are scheduled and unscheduled evaluations and observations of contractor’s current practices, and procedures. PR’s are conducted to determine if non-conformances exist beyond audits and monitors.

g. Quality and Government Property investigations are conducted when a known or perceived problem exists. They should be used to identify, correct, and prevent conditions that degrade the quality or reliability of products, processes, or systems. The quality investigation is the primary tool for resolving customer reported problems and should be conducted in sufficient depth to identify all deficiencies.

h. Maintenance Program Assessment (MPA) shall be scheduled by the Detachment OIC/AOIC utilizing CSEC at least 6 months or 180 days prior to a scheduled AMI. Assessment results shall be routed to contracts Quality Manager (QA) for corrective action and CNATRA Det QA follow-up within 45 days.
Note: To ensure standardization, when documenting an observation, the overall process i.e. Flight Operations will be counted as one observation per individual aircraft launch and recovery.

4. Government Surveillance Points (GSP)

   a. GSP (Appendix G). GSP is established government surveillance of contractor maintenance tasks, processes and/or procedures (i.e. phase inspections, corrosion inspections etc.) Similar platforms may have comparable GSPs with the exception of those which have unique maintenance requirements.

   NOTE: CNATRA Detachments shall (when warranted) establish and issue GSPs utilizing (Appendix G) to all contractors and will review and update GSPs annually.

   b. GSP may also be established to monitor, on a recurring basis, an area where a problem has been identified with the contractor’s procedures/processes or as requested by CNATRA CAO, DCMA, NAVAIR or the Fleet Support Team (FST). These GSP will normally be short term. The OIC/AOIC shall establish a strategy for terminating the recurring GSP when no longer required. The Government will provide written notification to the contractor’s site manager of all site specific GSPs. See example provided in Appendix G.

5. Government Call Points (GCP) (Appendix H). Address the occurrence of unusual, high visibility situations in which the contractor must notify the government immediately. The detachment OIC/AOIC shall issue GCPs to all contractors, listing at a minimum the call points listed in Appendix H and review/update GCP letters annually and submit to QAPM.

6. Programs/Processes/Procedures Review and Evaluation. CNATRA detachment surveillance personnel are responsible for continuous evaluation of contractor programs, processes and procedures to ensure compliance with contractual requirements. The OIC/AOIC will notify the contractor when procedures fail to meet contract requirements IAW Corrective Action Determination Process Flow Chart, enclosure (3).

7. Validation/Verification (VAL/VER). Is typically required when a new or changed technical procedure or product (i.e.
proposed technical directive change, publication change etc.) is issued by the government. The contractor is tasked to perform the VAL/VER and to report their findings back to the issuing authority via CNATRA Det. Contractor surveillance personnel may be tasked to observe the VAL/VER process to verify effectiveness and accuracy.

8. Government Ground Representative (GGR). The Detachment AOIC is typically designated as the GGR who assists the Government Flight Representative (GFR), in reviewing the contractor’s Ground Operating Procedures (GOP) IAW NAVAIRINST 3710.1.

9. Documenting and Reporting Non-Conformance
   
   a. General. In the execution of a contract surveillance plan, contract surveillance personnel may detect non-conformances in contractor programs, processes and/or procedures. The following methods are used to document non-conformances. The level of the CAR depends on the significance of the noncompliance and the level of contractor management engagement required.

   (1) Government Correspondence Letter (GCL) (Appendix C). GCL is multifunctional and shall be used for CAR acceptance/rejection and closure or final summation of audits, monitors, or government surveillance.

      (a) Utilize Appendix C for general communication with the contractor of findings noted during surveillance and official correspondence activities.

      (b) Notification shall be forwarded to the contractor’s Quality Assurance office via the CNATRA detachment OIC/AOIC.

   (2) Corrective Action Request (CAR) (Appendix D). Is a formal written notification from the Government to the contractor of a contractual non-conformance. All CARs shall be documented utilizing Appendix D as applicable by the individual initiating the CAR.

   (3) Contractor Self-Identified Non-conformance. Is a formal verbal (phone call) or written notification (email) by contractor self-disclosing a non-conformance which includes
serial number of Internal CAR, brief description of immediate and appropriate action taken to correct non-conformance. Note: CNATRA has the discretion to issue a CAR based on the criticality of the non-conformance being reported. **A subsequent CNATRA determination of ineffective contractor corrective actions should result in issuance of a CAR.**

**NOTE:** The format in Appendix F contains the universal numbering system which shall be used to track all CARs.

(a) The following are the four levels of CARs:

1. **Level I:** Is appropriate for issues that can be corrected on the spot and/or are minor in nature. Level I CARs are not to be issued for Safe for Flight/Safety of Flight (SFF/SOF) components/processes. Level I CARs can be initiated and issued by DCMA QA, CNATRA QAS, OIC, AOIC, CNATRA PA, CNATRA DET IS, CNATRA DET IPMS and will be issued to the contractor utilizing CNATRA’s CAR process. A Level I CAR will be used for documentation of a contractor deficiency. As the definition of a Level I CAR states, it is used “for issues that can be corrected on the spot and/or are minor in nature”. If the discrepancy has been corrected on the spot or is minor in nature, a response may be required as determined by the CNATRA DET OIC/AOIC. A repeat discrepancy (systemic in nature) may be escalated to a Level II.

2. **Level II:** Issued when contractual non-conformance could adversely affect cost, schedule, management and accountability of government property or performance if not corrected. Nonconformities associated with critical characteristics (i.e. GCP/GSP) and Safe for Flight/Safety of Flight (SFF/SOF) should be issued at a Level II as a minimum. Level II CARs shall be directed to the supplier management level responsible for the process with a copy to the DCMA ACO and DCMA PI via CNATRA QAPM. Level II CARs can be initiated and issued by DCMA, CNATRA QAPM, PAPM, and CNATRA DET QAS, OIC, AOIC, IPMS and IS to the contractor utilizing CNATRA’s CAR process. CNATRA QAPM or PAPM will notify the DCMA ACO and DCMA QA point of contact within the next business day of issuance of a Level II CAR. CNATRA QAPM or CNATRA PAPM, as applicable, will forward a copy of the Root Cause Corrective Action (RCCA) submitted by the contractor to the DCMA PI immediately upon receipt.
NOTE: Following a CNAF AMI where multiple programs or processes (practical examinations) are graded as non-compliant/UNSAT, consideration will be given to the issuance of a CAR whose level of severity (Critical, Minor, Major) will be determined by the magnitude/severity of the programs or processes graded as non-compliant/UNSAT.

3. Level III and Level IV: Issued to call attention to serious contractual non-compliances to the contractor’s top management. Only DCMA is authorized to issue a Level III or IV CAR.

4. Level I and II CARs will be forwarded to and discussed with the OIC/AOIC for final review/approval. Level II CARs will be submitted to the QAPM for further review and presentation to CARB to determine a recommendation to CNATRA N4 for issuance to the contractor or closure. All CARs must be entered in the Appendix B Audit Schedule. Follow-up actions will also be recorded and supporting documents shall be maintained on file IAW FAR and DFARS.

NOTE: A repeat discrepancy is a non-conformance previously identified for the same system, component, process, procedure or requirement. Refer to applicable contract PWS for CAR Repeat timeline.

5. When initiating a CAR (Appendix D), ensure you annotate a contractor reply response date utilizing the below guidelines:

(a) Level I and II CAR. Contractor response is due to the Government within five to ten working days or earlier depending on the severity of the non-conformance.

6. Upon contractor request, CNATRA Det may grant extensions for CAR response due dates. Such requests should always be in writing and made part of the CAR record. The reply extension response shall be annotated via GCL and shall not exceed a time period greater than the original number of response days originally annotated on the CAR (Appendix D). Additional extensions must be approved by CNATRA QAPM or PAPM.

Note: For CAR extension CNATRA Det shall notify via e-mail, CNATRA QAPM, CNATRA PAPM, CNATRA CCA and DCMA ACO.
(7) If the contractor’s corrective action response is satisfactory, annotate block 12 indicating acceptance of the contractor’s response and issue a GCL (acceptance letter) to the contractor. Ensure to schedule a follow up evaluation of the contractor’s corrective action(s) if required. If the contractor’s response is found to be unacceptable, the OIC/AOIC shall notify the contractor via GCL (rejection letter) specifying reason(s) for rejection and date contractor’s resubmission response is due. Subsequent contractor responses shall be the same number of working days as original response.

(8) Schedule follow-up of all corrective actions to ensure compliance with contract requirements. When all corrective and follow-up actions are complete and are satisfactory, the CAR may be closed out in block 14c (Appendix D). Close outs must also be annotated in the CNATRA data base and provide a close out GCL informing the contractor CAR is officially accepted and closed.

(9) When efforts to achieve CAR resolution fail at the site level, as evidenced by a third rejection of the contractor’s response, escalate the issue to the CNATRA QAPM or CNATRA PAPM as applicable. CNATRA QAPM/PAPM will notify DCMA. Ensure a complete explanation of the problem is included and attach all CAR related documentation with a recommended course of action.

(10) Ensure that all closed files are maintained as a permanent part of the contract file IAW FAR and DFARS.

(11) Corrective Action Review Board (CARB) consisting of CNATRA QAPM (Chairman), CNATRA N4A, CNATRA N41, DCMA ACO and DCMA QA/PI (PAPM when CAR is PA related) will determine if the CAR is in direct violation of contract compliance as presented by Detachment OIC/AOIC and DET QAS assigned to investigate. The CARB will present a recommendation to CNATRA N4 as to the disposition of the subject CAR.

10. DD 250/Invoice Verification and Product Acceptance

a. Per FAR Part 46.5, “Acceptance” constitutes acknowledgement that supplies or services conform to applicable contract quality and quantity requirements. Supplies or services shall ordinarily not be accepted before completion of
Government contract quality assurance actions. Acceptance shall ordinarily be evidenced by execution of an acceptance action via Wide Area Workflow or receiving report form.

b. CNATRA QA personnel shall accept contractor products on behalf of the Government for assigned contracts per the below instruction.

(1) Upon receipt of DD 250/invoice from the contractor, verify invoice with the appropriate CLIN of the contract.

(2) If nonconformity is found, reject the DD 250/invoice back to the contractor for correction. The QAS has the latitude to initiate a CAR for repeat similar discrepancies.

(3) Review the government contract surveillance data and determine adequacy of documented actions relative to assessing product conformance to contract requirements. If action is required, do not delay signing the DD 250/invoice for more than one (1) working day from time of receipt, unless absolutely necessary. If more than one (1) work day is needed to verify and document product conformance, notify the CCA via the OIC/AOIC and explain the reason for the delay and estimated time of DD 250/invoice release.

Note: Retain a hard copy of the notification on file.
CHAPTER 3

Over and Above Work

1. Over-And-Above Work. (DFAR PART 252.217-7028): Work discovered during the course of performing overhaul, maintenance, and repair efforts that is within the general scope of the contract but is not covered by a line item for the basic work under the contract.

2. Upon notification from the CLS Contractor of an over-and-above work requirement, the CNATRA DET OIC/AOIC will coordinate with Contract Surveillance personnel to:

   a. Review the work package and applicable specifications for content and report any deficiencies in the work requirement or specifications to the CNATRA Contract Administrator (CCA) and the requiring activity.

   b. Perform surveillance and verification as required for processing the Form DD-250/invoice.

   c. Establish procedures for continuing verification and evaluation if work will be done on a continuing basis.
CHAPTER 4

Contract Files and Documentation

1. Contract Files and Documentation. All Government records generated by the CNATRA Contract Surveillance program will be maintained in an up-to-date and accurate calendar year format. QA files are considered closed when the last contract supplies and services have been delivered.

2. Key files will be retained IAW FAR and DFARS.
CHAPTER 5

Safety

1. Safety Requirements. CNATRA contract surveillance personnel shall adhere to the following safety requirements:

   a. Observe accepted safety standards related to the manufacture, handling, and storage of hazardous or dangerous material.

   b. When required, obtain the necessary Personal Protective Equipment (PPE) (glasses, hard hats, and so forth), through Government channels.

   NOTE: All government contract surveillance personnel are required to wear safety shoes which will be ordered through local supply channels. The Detachment will use their OPTAR for the purchase; however, they must be treated as organizational issue and cannot be replaced without a turn-in.

   c. Advise the contractor of unsafe conditions and practices and request immediate corrective action. Immediately stop any activity that poses imminent threat of injury to personnel or damage to equipment. Annotate unsafe conditions and follow-up as appropriate. Advise the Detachment OIC/AOIC if the condition is outside the contractor’s area of responsibility.

   d. Advise the Detachment OIC/AOIC immediately of any accident or safety related incident that may significantly degrade operational capability, damage Government equipment or aircraft, or is likely to result in unusual interest by the public news media.

   e. When requested, assist the Training Air Wing, Station and other Navy inspection teams in their investigations of mishaps, accidents or other safety related incidents.

   f. Ensuring conformance with all safety requirements is an integral part of CNATRA Contract Surveillance operations.

   g. Know where to locate Federal, State, Local and Station Safety, Environmental, HAZMAT, OSHA and National Fire Regulations (if required).
h. When applicable, obtain and maintain current appropriate safety training/certification as required per type model aircraft, i.e. ejection seat checkout requirements.
## APPENDIX A

### CNATRA QA/PA PROGRAM OFFICE DETACHMENT AUDIT

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tbody>
<tr>
<td>1. Are sufficient Contract Surveillance personnel assigned in relation to DET requirements?</td>
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<td>2. Does the OIC/AOIC ensure newly assigned Contract Surveillance personnel complete DAWIA training and site specific OJT? Ref: CNATRAINST 4355.4 Series</td>
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<td>3. Are Contract Surveillance personnel certified within the specified time frame and certification level as required by DAWIA? Ref: QAS, IS &amp; IPMS PD</td>
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<td>4. Are QAS Flight Deck Physicals up to date (Annual)? Ref: QAS PD only</td>
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<td>5. Does the OIC/AOIC rotate QAS for detachments?</td>
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<td>6. Are QAS cross trained to conduct surveillance on various platforms and programs? Ref: QAS PD</td>
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<td>7. Are audits and in process monitor checklist(s) established for all contracts and are they updated to ensure applicability to the contract? Ref: QAS PD &amp; CNATRAINST 4355.4</td>
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<td>8. Are Audits, Investigations and observations conducted by contract surveillance personnel for contractor processes, procedures and programs? Ref: QAS, IPMS PD &amp; CNATRAINST 4355.4</td>
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<td>9. Are Government initiated CARs reviewed by the OIC/AOIC for validity and accuracy prior to issuing to the contractor? Ref: CNATRAINST 4355.4</td>
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<td>10. Are follow-up actions conducted for the contractor’s corrective actions for discrepancies/deficiencies noted during the above and are they maintained on file for the life of the contract? Ref: CNATRAINST 4355.4</td>
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<td>11. Are completed Audits, Observations, Inspections and CARs maintained for the life of the contract (plus 2 years)? Ref: CNATRAINST 4355.4</td>
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<td>12. Are monthly contract surveillance reports clear, concise and forwarded to the CNATRA QAPM and PAPAM in a timely manner as required by CNATRAINST 4355.4</td>
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<td>13. Do QAS periodically accompany contractor’s QA personnel on scheduled and unscheduled maintenance actions? Is this surveillance documented and maintained on file for the life of the contract? Ref: CNATRAINST 4355.4</td>
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<td>14. Are DD250s reviewed for accuracy and accountability in a timely manner? Ref: CNATRAINST 4355.4</td>
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<td>15. Do contract surveillance personnel review the contractor’s maintenance and logistics data for possible positive or negative trends? Ref: IS PD</td>
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<td>16. Are missed events (flights/SIMs) investigated to determine contractor’s performance and is this process documented with results kept on file for the life of the contract? Ref: IS PD</td>
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<td>17. Are JDRS reports reviewed for completeness and accuracy and are they submitted IAW NAMP requirements?</td>
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<td>18. Are electronic reports initiated for tracking and reporting up line on the contractor’s production performance, including RFT rates/flight bands for A/C, engines, simulators, flight/operating hours, sortie completion rates, maintenance cancellations, premium time, WARS and contract performance indicators? Ref: IS PD</td>
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<td>19. Do Industrial Specialists (IS) ensure contractor facilities, equipment, and work force are adequate and functioning to support the contract i.e. surveys performed to identify facility, equipment and work force deficiencies?</td>
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<td>20. Are reviews conducted of the contractor’s quality control plans, procedures and practices in accordance with ISO standards and contract specific directives?</td>
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<tr>
<td>21. Are annual ISO and NAMP, when applicable, Program Audits Conducted for each contractor per contract requirements? Ref: QAS PD</td>
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## APPENDIX B

### FY XX CNATRA DET (Det, Platform) Annual Audit/Monitor Schedule

<table>
<thead>
<tr>
<th>Program Area</th>
<th>ISO Elements</th>
<th>Frequency</th>
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<th>Disc</th>
<th>CAR LEVEL</th>
<th>Feb</th>
<th>Disc</th>
<th>CAR LEVEL</th>
<th>Mar</th>
<th>Disc</th>
<th>CAR LEVEL</th>
<th>Apr</th>
<th>Disc</th>
<th>CAR LEVEL</th>
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**Note:** (A) = Audit (M) = Monitor (S) = Special Audit (P) Process (DCMA Scheduled * Slid to Sept.)
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<th>Applicable</th>
<th>Frequency</th>
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**TOTALS**

Ledger

(L)=Limited Audit

(M)= Monitor

(S)= Special Audit

Note (1): CNATRA Det IPMS will conduct an audit of all Government Property Contract Data List Requirements to ensure accuracy.

Note (2): CNATRA DET IPMS will conduct a quarterly Random Sample Inventory for each category of Government Furnished Property using Appendix B page B-3.

Note (3): The CNATRA DET IPMS will perform a monitor for each scheduled inventory IAW the approved inventory plan.
From: Assistant Officer in Charge, Chief of Naval Air Training Contract Administrative Unit Detachment (Location)
To: Quality Assurance Manager, (Name of Contractor)

Subj: CAR (LIST CAR #) LETTER OF ACCEPTANCE/REJECTION (ACCEPTANCE/OR REJECTION OF RESPONSE TO CONTRACTOR CORRECTIVE ACTION REQUEST)

1. Upon review of corrective action response, the Government (accepts or rejects) subject response

   If rejected (List at a minimum areas and reasons for rejection)
   If Accepted (no explanation required)
   Respond By: (if required YY/MM/DD)

2. Follow up - validation for this CAR will be based on the Bench Marks set for completion/incorporation of the elements defined by your response (Based on contractors established bench marks for compilation).

OR

Subj: FINAL SUMMATION FOR (LIST SPECIFIC AUDIT, MONITOR, OR INVESTIGATION)

1. The following discrepancy(s)/observation(s) were discovered during the (list Audit, Monitor, or Investigation):

   List the (findings) non-compliance/or compliances (with applicable references)

2. Follow up - validation for this action (if required
   Respond By: (if required YY/MM/DD)

NAME OF SIGNER

Copy to:
## APPENDIX D

### CORRECTIVE ACTION REQUEST

<table>
<thead>
<tr>
<th>1. DATE ISSUED:</th>
<th>2. CORRECTIVE ACTION REQUEST RCN:</th>
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<table>
<thead>
<tr>
<th>3. TO: (CONTRACTOR NAME, CONTRACT #, AND PLATFORM)</th>
<th>4. FROM: (APPLICABLE DETACHMENT)</th>
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5. DESCRIBE THE NON-CONFORMING DISCREPANCY AND APPLICABLE REFERENCES: (IE. SECTION OF CONTRACT, ISO, CLAUSES, CONTRACTOR WORK INSTRUCTION ETC.)

- REF:
- ENCL:
- DATE OF DISCOVERY:
- DISCREPANCY:

6. IN YOUR REPLY, PLEASE INCLUDE A DESCRIPTION OF:
   - A. Root cause of non-conformance
   - B. Action taken to correct specific deficiency
   - C. Action taken to prevent recurrence of root cause of deficiency
   - D. Action taken to determine if other products or services are affected by same or similar deficiency
   - E. Target date for implementation of identified corrective action

7. CLASSIFICATION OF NON-CONFORMANCE: LEVEL: TYPE:
   - REPEAT DISCREPANCY? If checked, List Previous non-conformance and/or CAR number:

8. REQUEST YOU REPLY WITHIN: WORKING DAYS but NLT:
   - QAS SIGNATURE:

9a. NON-CONFORMANCE DISCUSSED AND RECEIVED BY: (NAME / TITLE)

9b. DATE RECEIVED: 9c. CONTRACTOR’S SIGNATURE:

10. CONTRACTOR’S RESPONSE: (USE THIS DOCUMENT AS A COVER SHEET AND ATTACH RESPONSE).

11a. DATE: 11b. CONTRACTOR’S SIGNATURE:

12. STATEMENT OF GOVERNMENT EVALUATION OF CONTRACTOR’S RESPONSE:

13. STATEMENT OF FOLLOW-UP ACTION:

### BLOCKS 12, 13, AND 14 FOR GOVERNMENT USE ONLY

14a. CAR CLOSED OUT 14b. TYPED NAME OF QAS: 14c. SIGNATURE (QAS)
## QA Monthly Contract Surveillance Report (MCSR)

### Date: (reporting period)

- **Contractor:**
- **Detachment Location:**
- **Contract # and Platform:**

### NUMBER OF COMPLETED AUDITS/MONITORS/OBSERVATION

<table>
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<tr>
<th>O-LEVEL</th>
<th>I-LEVEL</th>
<th>D-LEVEL</th>
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<tbody>
<tr>
<td>A</td>
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<td>O</td>
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<tr>
<td>CARs Level I</td>
<td>CARs Level II</td>
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### Risk Category

- **Low (Green)**
- **Moderate (Yellow)**
- **High (Red)**

**Risk Analysis Comments**

### PROGRAM AUDIT

<table>
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<th>Program/Process Reviews (Only list action for the reporting month)</th>
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<th>I</th>
<th>D</th>
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**Sub Total**

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### Inspections Log

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**Total**

### Additional Comments

- **Note 1:** Level II CARs (1-2 CARs = Green, 3-5 CARs = Yellow, 6 or greater = Red) *(release 1 A/C SFF = Red)*
- **Note 2:** Meeting RFT/SCR contract requirement (above +2%) = Green
  Meeting RFT/SCR contract requirement (at or within +2%) = Yellow Failed to meet RFT/SCR = Red
- **Note 3:** Meeting Turnaround time contract requirement (.5 day less) = Green
  Turnaround time contract requirement (.5 or at) = Yellow Failed to meet Turnaround time = Red
- **Note 4:** Reported contractor induced HAZREPs 4 and up = Red, 3 = Yellow, 2 or less = Green
# APPENDIX E

IPMS Monthly Contract Surveillance Report (MCSR)

Date: (reporting period)

Contractor:

Deployment Location:

Contract # and Platform:

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<th>I-LEVEL</th>
<th>D-LEVEL</th>
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**Risk Category**

- Low (Green)
- Moderate (Yellow)
- High (Red)

CARS See Note 1:

**Risk Analysis Comments**

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Sub Total

**Additional Comments**

Note 1 Level II CARS (1-2 CARS = Green, 3-5 CARS = Yellow, 6 or greater = Red)
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<td>M</td>
<td>Meridian</td>
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<td>W</td>
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### Note 1: Contract Designators

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<td>3 T-34/44</td>
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### Note 2: Type of Action

- **CAR** = Corrective Action Request
- **A** = Audit
- **MON** = Monitor
- **OB** = Observation
- **QI** = Quality Investigation
From: Assistant Officer in Charge, Chief of Naval Air Training Contract Administrative Unit Detachment (Location)
To: Quality Assurance Manager, (Name of Contractor)

Subj: NOTIFICATION OF GOVERNMENT SURVEILLANCE POINTS(S)(GSP) IAW DFARS 246-2 (T-6 GOVERNMENT SURVEILLANCE POINTS)

1. Request notification to CNATRA Detachment via phone (PH#) prior to morning maintenance meeting, or by email for the following maintenance evolutions(s):
   a. Final cable tension or mechanical rigging check.
   b. Final 56 day inspection.

2. Notification of receipt of letter is required in writing within two business days.

NAME OF SIGNER
From: Assistant Officer in Charge, Chief of Naval Air Training
Contract Administrative Unit Detachment (Location)
To: Quality Assurance Manager, (Name of Contractor)
Subj: GOVERNMENT CALL POINTS

1. Request immediate notification of the CNATRA Detachment OIC/AOIC upon discovery via phone call during working hours at (PH#) if any of the below listed events occur. If after hours or if you are unable to contact detachment personnel, request you contact the Administrating Contracting Officer (ACO) (PH#) with a follow up call to the detachment the next working day.

   a. Aircraft mishap
   b. Aircraft overstress indication
   c. Animal/bird strike
   d. Engine:
      - Over-temp
      - FOD (including any incident of maintenance or aircrew induced foreign objects in aircraft)
      - Cannibalization
      - High-time/25 hours or less
      - Runaway engine
   e. Missing tools, report all aircraft involved when applicable
   f. Lightning strike/storm damage (including facilities)
   g. Binding/jammed flight controls or engine controls (prior to pilot debrief)
   h. Emergency landings (hard landings, declared emergencies, PEL)
   i. Misc. damage to aircraft or government equipment
   j. Serious injury to personnel
   k. Any condition requiring JDRS reporting
   l. If pilot/student refuses an aircraft
   m. SE misuse/abuse
   n. Safety of/for flight procedure violation (including issuing of NMC aircraft)
o. Any aircrew reported Hypoxic event or OBOGS related discrepancies.
   p. Maintenance Malpractices, overlown components, missed inspection, etc.
   q. Deviation/Waivers
   r. Unusual events (e.g. fuel spills, fires, damage to equipment (aircraft or other)
   s. Aircraft down away from MOB requiring off-site maintenance for recovery
   t. When performance, sustainment, quality and safety fall below contract minimum

2. Please feel free to contact (name) at (ph #) if you have any questions.

NAME OF SIGNER
Officer In Charge

Copy to:
QA/PA Program DCMA/CNATRA Contract Surveillance Flow Chart

START → CNATRA DET initiates the audit and monitoring schedule IAW CNATRAINST4355.4 → DET forwards schedule to CNATRA QAPM/PAPM

QAPM/PAPM reviews schedule and determines if it is acceptable

- NO → DCMA QA Lead returns adjusted audit and monitoring schedule to QAPM/PAPM
- YES → QAPM/PAPM forwards schedule to DCMA QA Lead

DCMA QA lead reviews schedule and makes adjustments to incorporate any additional ISO processes and/or additional QA involvement

QAPM/PAPM forwards revised audit and monitoring schedule to CNATRA DET

CNATRA DET receives document and incorporates into Quality Surveillance Plan

FINISH

Enclosure (2)
QA/PA Program Corrective Action Determination Flow Chart

START

Government QA/IPMS conducts KTR surveillance IAW appropriate instructions or procedures

QA/IPMS discovers KTR non-conformance (NC)

QAS/IPMS logs observations, continues to perform KTR surveillance and follow-up corrective action(s)

Did NC warrant a GCL or CAR IAW CNATRAINST 4355.4?

YES

QAS/IPMS initiates GCL or CAR IAW CNATRAINST 4355.4

Chart A GCL

Chart B LEVEL I

Chart C LEVEL II

FINISH

CNATRA CAR Board Review

CARB Outcome Logged

Enclosure (3)
QA/PA Program Non-Conformance Government Call Letter (GCL) Flow Chart A

* Critical Importance

START

Government QAS/IPMS discovers a KTR Non-Conformance (NC)

QAS/IPMS reviews finding JAW CNATRAINST 4355.4

QAS/IPMS initiates GCL, forwards to OIC/AOIC

OIC/AOIC reviews issues GCL to KTR

Is KTR's response to GCL required?

NO

QAS/IPMS annotates KTR receipt of GCL and continues to perform KTR surveillance and follow-up on KTR corrective action(s)

YES

KTR responds to GCL via KTR Letterhead to OIC/AOIC & QAS/IPMS

QAS/IPMS annotates KTR receipt of GCL and continues to perform KTR surveillance and follow-up on KTR corrective action(s)

FINISH

Enclosure (4)
QA/PA Program Corrective Action Request Level I Chart B

**Critical Importance**

1. **START**
   - Gov't QAS/IPMS discovers a KTR NonConformance (NC)

2. **QAS/IPMS determines the LEVEL of KTR NC IAW CNATRAINST 4355.4A**
   - Is the Level I NC a repeat within a 30 day period?
     - Yes
     - **Chart C LEVEL II CAR**
     - **QAS/IPMS submits Level I CAR to OIC/AOIC for review**
     - **OIC/AOIC reviews/approves CAR & returns to QAS/IPMS**
     - **QAS/IPMS submits CAR to KTR & QAS/IPM to distribute IAW CNATRAINST 4355.4A**

3. **NO**
   - **KTR provides official response via Company Letterhead Document**
   - **GOV'T QAS/IPMS continues to perform KTR surveillance & follow-up on corrective actions**

4. **Is KTR response acceptable to Gov't?**
   - **NO**
     - **QAS/IPMS submits a letter of acceptance to KTR with copy of KTR response**
   - **YES**
     - **GOV'T QAS/IPMS notifies KTR of insufficient response & action required**

5. **Refer to CRB Process**
QA/PA Program Corrective Action Request Level II Chart C

* Critical Importance

START

Gov’t QA/PA discovers a KTR Non-Conformance (NC)  

QAS/PM continues to perform KTR surveillance & follow-up corrective actions  

QAS/PM determines the LEVEL of KTR NC IAW CNATRAINST 4355.4A  

QAS/PM begins a KTR self-disclosure*  

QAS/PM initiates LEVEL II CAR to OIC/AOIC for review  

Finish

Yes

Yes

Yes

QAS/PM coordinates NC & recommend KTR initiate a CAR  

QAS/PM initiates LEVEL II CAR to OIC/AOIC for review  

QA/PA Program Mgr

Process Owner

Gov’t QA/PA

QA/PA Program Mgr

QC/AOIC renews reviews/approves and returns to QA/PA

Yes

NO

KTR provides official response via Company Letterhead Document  

QA/PM/PAPM submit approved CAR to OIC/AOIC for issuance to KTR  

NO

NO

QA/PM/PAPM submit CAR to QA/PM/PAPM for CARB IAW 4355.4A  

OIC/AOIC reviews/approves and returns to QA/PA

Is the level II Safe for Flight (SFF)/ Safe of Flight (SOF)?*  

Is the level II KTR self-disclosed?  

Is the level II A repeat (2x within the last 12mths)?  

NO

NO

NO

Is KTR’s response acceptable to the Gov’t?

QAS/PM submits a Letter of Acceptance to KTR with copy of KTR response  

Gov’t QA/PA remains to perform KTR surveillance & follow-up corrective actions  

NO

Yes

Enclosure (6)