



DCMA Manual 2303-01, Volume 2 Surveillance: Aircraft Operations

Office of Primary Responsibility:	Contractor Effectiveness Capability Board
Effective:	June 9, 2025
Releasability:	Cleared for public release
Implements:	DCMA Instruction 2303, "Surveillance," July 21, 2020
Internal Control Plan:	Linked on the resource page for this issuance
Labor Codes:	Located on the resource page of this issuance
Resource Page Link:	https://dod365.sharepoint-mil.us/sites/DCMA-BCF-Contractor_Effectiveness/SitePages/DCMA-MAN-2303-01--Surveillance-.aspx?
Approved by:	G. L. Masiello, Lieutenant General, U.S. Marine Corps, Director

Purpose: This manual is composed of several volumes, each containing guidance and requirements for surveillance. In accordance with the authority in DoD Directive 5105.64 and DCMA Instruction 2303, "Surveillance," this volume implements policy, assigns responsibilities, and provides procedures for the planning and execution of Aircraft Operations surveillance.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA Manual (DCMA-MAN) 2303-01:

a. This volume applies to all DCMA personnel assigned to aircraft operations (AO) headquarters, operational unit (OU) staffs, and contract management offices (CMO) performing AO functions pursuant to DCMA Instruction (DCMA-INST) 8210-1D, “Contractor’s Flight and Ground Operations,” and DCMA-MAN 8210-2, “Aircraft Operations.”

b. Special Programs Command must comply with the intent of this volume and other related issuances to the maximum extent practicable for all Special Access Program and Sensitive Compartmented Information contracts.

1.2. POLICY.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

1.3. SPECIFIED FORMS AND INFORMATION COLLECTION.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

1.4. SUMMARY OF CHANGES.

This volume is a new issuance and must be reviewed in its entirety.

SECTION 2: RESPONSIBILITIES

2.1. DCMA COMPONENT HEADS AND CAPABILITY BOARD MANAGERS.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

2.2. OU COMMANDERS, DIRECTORS, AND CENTER DIRECTORS.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

2.3. CMO COMMANDERS AND DIRECTORS.

In addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01, the CMO commander or director must develop and execute the aviation program team (APT) surveillance plan and approve the plan on an annual basis pursuant to DCMA-MAN 8210-2.

2.4. FUNCTIONAL DIRECTORS, DEPUTIES, AND GROUP LEADERS.

The requirements, information, and guidance in Volume 1 of DCMA-MAN 2303-01 are not applicable to AO.

2.5. SUPERVISORS.

The requirements, information, and guidance in Volume 1 of DCMA-MAN 2303-01 are not applicable to AO. AO does not follow the standard functional specialist (FS) and supervisor structure. The primary government flight representative (GFR or ground GFR (G-GFR)) is considered the team lead for the APT. As such, for AO surveillance, they act as a supervisor and must:

- a. Guide the development of the APT surveillance plan policy and schedule.
- b. Ensure the APT surveillance plan is reviewed and approved annually.
- c. Ensure surveillance is performed in accordance with the APT surveillance plan.
- d. Ensure data collection and analysis (DC&A) is conducted along with an APT surveillance plan evaluation, at a minimum, on a semi-annual basis with the entire APT.

2.6. FS.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

a. The GFR is the subject matter expert for flight operations and the primary executor of the surveillance events associated with flight operations, although all APT members may assist. The G-GFR is the subject matter expert for contracts with ground-only (i.e., no flight) operations and the primary executor of the surveillance events associated with ground operations, although all APT members may assist.

b. The government ground representative (GGR) must support the development of the APT surveillance plan through a risk analysis of ground operations. The GGR is the subject matter expert for ground operations and the primary executor of the surveillance events associated with ground operations, although all APT members may assist.

c. The APT assigned contract safety manager (CSM) and quality assurance specialist (QAS) must develop their portion of the surveillance plan pursuant to Volume 7 of DCMA-MAN 2303-01, “Surveillance: Quality Assurance,” and Volume 8 of DCMA-MAN 2303-01, “Surveillance: Contract Safety,” respectively, on surveillance overlaps.

2.7. ADMINISTRATIVE CONTRACTING OFFICERS (ACO).

In addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01, the ACO must support the execution of the APT surveillance plan within the scope of the contract in accordance with DCMA-INST 8210-1D. ACOs may also coordinate with the program office to and alert the customers to cost, schedule, or technical performance impacts indicated by APT findings. Additional responsibilities for ACOs and contract administrators at geographic CMOs with no AO personnel may include delegation of AO work to a CMO with an assigned APT.

SECTION 3: SURVEILLANCE OVERVIEW

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

3.1. SURVEILLANCE OVERVIEW.

Before building a surveillance plan, the APT must verify the contract is mission work in accordance with DCMA MAN 4502-02, “Workload Acceptance,” and when applicable, ensure work was properly delegated in accordance with DCMA-MAN 2101-04, “Delegate Surveillance.” Once the workload is accepted, the APT must review the contract and verify the physical places of performance (PoP) requiring surveillance to determine if a delegation, or further delegation, is needed.

a. Before beginning the surveillance process, the APT must complete contract receipt and review (CRR) pursuant to DCMA-MAN 2501-01, “Contract Receipt and Review,” using the AO CRR Checklist. CRR starts with an in-depth review of the contract and its key attachments such as a performance work statement or statement of work. The AO CRR Checklist is on the DCMA-MAN 8210-2 resource page. In addition to identifying key contract requirements (KCR), the checklist provides other guidance to look for, as well as a place to document items found in Section H – Special Contract Requirements, performance work statement, or statement of work. There is also a section in the checklist to document modifications and delivery orders.

b. AO is assigned six KCRs with three complementary contract safety (CS) KCRs:

- KCR-AO-0001 or KCR-CS-0001 – Ground and Flight Risk
- KCR-AO-0002 or KCR-CS-0003 – Mishap Reporting and Investigating Aircraft, Missiles, and Space Vehicles
- KCR-AO-0005 or KCR-CS-0004 – Contractor’s Flight and Ground Operations
- KCR-AO-0014 – Public Aircraft and State AO – Liability
- KCR-AO-A001 – ECARS Service Set
- KCR-AO-A002 – Other Agency Accepted Work Requirements
- KCR-CS-0002 – Arms, Ammunition and Explosives. This KCR may be found on aircraft contracts that involve the use, handling, or storage of arms, ammunition and explosives items.

3.2. SURVEILLANCE GUIDANCE.

The APT will conduct AO surveillance pursuant to the contractual requirements in DCMA-INST 8210-1D as modified within the contract. DCMA-INST 8210-1D is a joint service issuance. Therefore, each APT surveillance plan will consist of only one KCR with multiple associated events. These events are the same regardless of which AO KCR is used. Only schedule surveillance against KCR-AO-0001, KCR-AO-0005, or KCR-AO-0014 and associated CS KCRs.

- a. If KCR-AO-0005 or KCR-CS-0004 is on contract with either of the others, place the surveillance against KCR-AO-0001, KCR-CS-0001, or KCR-AO-0014, as appropriate. Only plan surveillance against KCR-AO-0005 or KCR-CS-0004 if the others are not on contract. The other KCRs capture the surveillance requirements for KCR-AO-0002 or KCR-CS-0003.
- b. KCR-AO-0001 or KCR-CS-0001 should never exist on contract with KCR-AO-0014. If this occurs, contact the OU AO director and DCMA AO for assistance.
- c. KCR-AO-A001 and KCR-AO-A002 are not used by AO at this time.

SECTION 4: RISK ASSESSMENT

4.1. PREPARING FOR RISK ASSESSMENT.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

a. The APT will document completion of CRR in the Integrated Workflow Management System (IWMS). The IWMS only documents contract review completions, modifications, or delivery orders that show up in the FS IWMS tasks. However, IWMS only routes modifications and delivery orders to the FS if the AO KCR is “new,” (i.e., not already on the base contract). Therefore, AO FS must manually check the IWMS worklist for new modifications and delivery orders on a regular basis, which should be monthly at minimum. The FS should document all modifications and delivery orders with a very brief description for enhanced turnover or document a more robust description for modifications or delivery orders that affect the APT oversight.

b. Completion of the AO CRR Checklist provides a list of the contract requirements critical to understanding what service guidance, outside of that specified in accordance with DCMA-INST 8210-1D, has been placed on contract. It will also uncover language in Section C “Description/Specifications/Statement of Work,” the performance work statement, statement of work, or Section J “List of Attachments” in the contract that may affect how procedures are written, potentially influencing the processes requiring surveillance. After completing and uploading the AO CRR Checklist to the DCMA365 APT site, the APT must document the completion in IWMS and begin development of the APT surveillance plan using the AO CRR Checklist and initiate required delegations (See Paragraph 5.6.).

c. In AO, the focus for risk is asset protection and U.S. Government self-insurances in accordance with Part 252.228-7001 of the Defense Federal Acquisition Regulation Supplement and DCMA-INST 8210-1D. AO surveillance is based on those processes designed to mitigate risk to the aircraft. When conducting the risk assessment for each of these processes, the APT will determine the:

- (1) Consequences of a process failure in terms of performance.
- (2) Likelihood of processes failure.
- (3) Resulting risk rating of a requirement for use in prioritization of surveillance.

4.2. RISK ASSESSMENT PROCESS.

a. APTs perform risk assessment on the processes that the contractor uses to comply with KCRs. The APT identifies and documents KCRs during the CRR process in IWMS. AO will only schedule surveillance against one KCR at a given facility (See Paragraph 3.2.). Regardless of which KCR is used, the APT must assign the applicable contractor processes in the Product

Data Reporting and Evaluation Program (PDREP). The level of detail expected for an AO surveillance plan is only to the process level with exception of foreign object damage (FOD) prevention, where it is recommended to schedule both General FOD Audit and General Tool Control Process Audit sub-processes.

b. Other functional areas may have low risk surveillance and plan surveillance based on risk and resources. AO, however, will perform surveillance in accordance with Part 42.302(a)(56) of the Federal Acquisition Regulation and DCMA-INST 8210-1D. For the APT, damage to the aircraft is the basis of the risk assessment. Therefore, AO only assesses risk to the technical performance standard (i.e., Risk Consequence – Technical Performance, Rationale for Risk Consequence – Technical Performance). Risk is inherent in aircraft flight and ground operations. The AO focus is on mitigating this risk to the asset. Rationale for the Performance Risk Consequence is associated with mishaps and is standardized with:

- 3: Process failure could result in a Class B mishap (i.e., moderate damage).
- 4: Process failure could result in a Class A mishap (i.e., significant damage).
- 5: Process failure could result in loss of aircraft or loss of life.

c. Risk rationale is standardized for a consistent approach across AO. The thresholds and triggers section of the policy portion of the APT surveillance plan may provide further guidance for selection of the likelihood rating:

- 1: Not likely to occur based on past performance and routine adherence to procedures.
- 2: Very low possibility to occur based on past performance and adherence to procedures.
- 3: Low possibility to occur based on past performance and adherence to procedures is common.
- 4: Likely to occur, adherence to procedures is sporadic.
- 5: Highly likely to occur, non-compliance with procedures is common.

d. The APT will prioritize surveillance during development of the surveillance plan schedule based on the risk rating of each process. The minimum elements that must be included and documented in PDREP for each risk assessment are risk consequence, risk likelihood, risk rating, and documented detailed rationale that supports the risk likelihood and risk consequence for that requirement.

SECTION 5: SURVEILLANCE PLANNING

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

5.1. SURVEILLANCE PLANNING.

The APT develops the APT surveillance plan based on a combination of requirements in accordance with DCMA-INST 8210-1D and the risk assessment process, as well as several other factors (e.g., resident or non-resident site, scope of work). Once the APT evaluates these factors and requirements, the APT will prioritize surveillance, select the surveillance approach, and finally schedule the surveillance. The full APT surveillance plan includes two parts: the CMO APT surveillance policy and the CMO APT surveillance plan schedule. The CMO APT surveillance policy is a memorandum describing the plan's administrative aspects such as initial risk assessment, responsibilities, DC&A, surveillance plan evaluation periodicity, thresholds, and triggers. The CMO APT surveillance plan schedule is maintained in PDREP. It also consists of two parts in PDREP: the Contractor or KTR Details section and the KCR Table. Plans continually evolve and need to be flexible enough to tailor to the actual requirement processes as risks change. Other factors to consider are:

a. Plan Coordination.

The APT surveillance plan must address specific customer desired outcomes and state how the APT will support the requirements. These customer requirements are documented by memorandums of understandings, memorandums of agreements, or secondary contract administration requests with the customer or delegating contract administrative services component through delegations. APT surveillance plans include GFR, GGR, and CSM contract surveillance activities. Members of the APT must assist in the plan development in accordance with their assigned responsible areas. Examples of this coordination are as follows: QASs can surveil toolboxes, FOD on aircraft, etc.; GGRs and GFRs can surveil facilities as follow-ups for the CSM; CSMs can help GGRs with fuel servicing surveillance and the GFR with mishap plan reviews.

b. Resident vs. Non-Resident.

The resident status of the APT will greatly affect the structure and frequency of the surveillance plan. Resident surveillance plans must be flexible enough to allow for adjustments on a monthly or quarterly basis while still obtaining credible trend analysis. Non-resident plans may also require more involvement from the resident QAS to support surveillance events or follow-up events particularly for ground operations. Non-resident surveillance plans must build in flexibility for use of non-surveillance triggers that suggest a need for more or less surveillance (e.g., changes in workload or scope, significant program events such as first engine run, first flight).

c. Thresholds and Triggers.

The surveillance plan must define thresholds and triggers associated with the DC&A and evaluation of the surveillance plan. A threshold, typically based on a pass or fail rate, will mandate the APT to take an action (e.g., issue a corrective action request (CAR), add additional surveillance) in a certain area. Similarly, a trigger is an event in contractor operations (e.g., loss of key personnel, new or unfamiliar contract work, Level III CAR) that will require an APT review of the APT surveillance plan to determine whether adjustments need to be made. Defining both thresholds and triggers are completely at the discretion of the CMO. An example of a threshold may be a pass rate of less than 80 percent resulting in an increase of surveillance frequency in that area. An example of a trigger may be to reassess the surveillance plan risks following a mishap.

d. Historical Performance.

DCMA surveillance in AO focuses on system or process evaluations (S/PE). When developing the surveillance plan, frequency of these S/PEs is heavily influenced by conducting a risk assessment based on past contractor performance.

e. Scope of Operations.

A surveillance plan must consider the scope of operations at the facility (e.g., footprint, employees, equipment, operational tempo). As an example, the frequency of toolbox verifications may be drastically different for a facility with 1,000 toolboxes versus a facility with 10 toolboxes.

f. Other Planning Factors.

Annual surveys, and semi-annual surveys for non-resident sites, are required in accordance with DCMA-INST 8210-1D. The APT should schedule the annual CMO APT surveillance plan update for just after the annual survey. This provides structure to the annual cycle. For a new contractor facility, recommend conducting a comprehensive post-award survey. Develop a risk-based plan based on this initial survey. The APT must balance the resource requirements for each plan with the risk and number of facilities over which they have oversight. The plan needs the flexibility to adjust based on the data analysis and thresholds but remain mostly consistent in order to develop reliable trend data. The APT should make any major updates to the plan after the annual survey, thus restarting the cycle.

5.2. PRIORITIZE SURVEILLANCE.

This is a repetitive process, particularly for establishing surveillance for a new site. Each KCR requiring surveillance utilizes the same list of AO processes. The AO inspection (AOI) sub-elements match these processes in order to compare routine surveillance with AOI results. An AO plan requires at least this level of detail as applicable to the contract. If the contract does not require a process, do not schedule that process. For example, if the contract does not require contractor crewmembers or non-crewmembers, do not schedule the crewmember or non-

crewmembers records surveillance. Some processes have several associated sub-processes. This level of detail is optional. If DC&A indicates a sub-element with many discrepancies, recommend adding specific sub-processes to the plan. This same concept applies to the surveillance location data field in PDREP. Splitting surveillance by location at a large site will make the plan very long; however, if issues arise in an area like tool control that shows a negative trend in one specific location, adding surveillance with a location is prudent until the process is back under control.

5.3. DETERMINE TYPE OF SURVEILLANCE.

a. For the APT, all AO surveillance falls into the S/PE category, whether the formal survey, individual process, or individual sub-process surveillance. S/PE surveillance evaluates the adequacy of the procedures (i.e., is it current, accurate, complete, and meets the requirement), compliance (i.e., is the contractor adhering to contractual and procedural requirements), and process effectiveness (i.e., are the processes safe and effective).

b. For DCMA aircrew, test and acceptance flights may be considered in the Deliverable Product Evaluation category but are conducted as part of quality contract administrative services pursuant to Part 42.302(a)(38) of the Federal Acquisition Regulation and are outside the scope of the APT surveillance plan.

5.4. DEVELOP SCHEDULE.

The APT surveillance plan includes two parts: the CMO APT surveillance policy and the CMO APT surveillance plan schedule.

a. CMO APT Surveillance Policy.

This portion of the APT surveillance plan must be signed and approved by the CMO commander, added as an attachment to PDREP, and:

- (1) Describe the purpose and scope of the plan.
- (2) List responsibilities of the APT members.
- (3) Describe the data analysis frequency, minimum semi-annually.
- (4) Set thresholds and triggers to aid in data analysis.
- (5) Set standardization requirements to normalize data collection (e.g., data entry rules, what constitutes a failure or a pass). Standardizing these local data entry rules is a critical first step for meaningful data analysis.

b. CMO APT Surveillance Plan Schedule.

This portion of the APT surveillance plan will lay out the specified frequency and intensity of the scheduled surveillance. The plan in PDREP consists of both the KTR Details and the KCR Table sections. The schedule is risk-based and may require several iterations. AO uses a facility approach to surveillance as the processes are common across a facility and are planned at the PoP contractor and government entity code (CAGE). The facility approach allows the plan to cover multiple contracts at a single location with one plan. AO are process-level assessments of flight, ground, and safety program elements.

(1) Mandatory Data Fields for KTR Details.

The surveillance plan schedule must include these data fields in the KTR Details section of PDREP. Follow additional guidance on AO specific PDREP requirements pursuant to the AO “PDREP Surveillance Plan Data Entry Guidebook,” located on the DCMA-MAN 8210-2 resource page.

- Program Name(s) if planning program surveillance
- Contract Number(s) or unique item identifier if planning contract surveillance
- CAGE at the PoP where surveillance will be performed

(2) Mandatory Data Fields for KCR Tables.

The surveillance plan schedule must include these data fields in the KCR Table section of PDREP. For additional guidance on AO-specific PDREP requirements, see the AO “PDREP Surveillance Plan Data Entry Guidebook.”

- Functional Area(s)
- Surveillance Category (i.e., S/PE for APT surveillance)
- Surveillance Process(es) or Sub-process(es) associated with requirement(s)
- Risk Rating, calculated from the risk consequence and risk likelihood
- Frequency (e.g., annual, quarterly, monthly)
- Intensity (e.g., full, partial)
- Surveillance Start Date
- Surveillance End Date, optional unless completing the surveillance
- Allocated Hours
- Unallocated Hours, if applicable
- Delegatee CAGE, if surveillance is delegated (i.e., identify the sub-location CAGE(s) where surveillance will be performed)
- Delegator CAGE(s) (i.e., Delegated from location CAGE(s)) as applicable)
- FS(s) Assigned

(3) Additional data fields mandatory for PDREP.

- Surveillance Warranted
- Risk Consequence
- Risk Likelihood
- Rationale for Risk Consequence
- Rationale for Risk Likelihood
- KCR delegation (i.e., yes, no)

(4) Documenting the Schedule.

Build and maintain the surveillance schedule in PDREP in accordance with the AO “PDREP Surveillance Plan Data Entry Guidebook.” This guidebook explains each data field and the expectation for AO implementation. For standardization across the AO enterprise, the guidebook provides the rationales for the Risk Consequence and Risk Likelihood data fields.

(5) Plans with Delegations or Multiple PoPs.

All surveillance plans in PDREP use a CAGE as the basis. For CMOs at a prime contractor location where the CAGE on the contract matches the PoP address, use the prime CAGE. If a delegation is necessary, the prime CMO delegates the appropriate AO KCR pursuant to the AO “PDREP Letters of Delegation (LOD) Data Entry Guidebook,” posted on the DCMA-MAN 8210-2 resource page. The secondary CMO APT will build their plan with the CAGE associated with the PoP. Follow additional guidance in the AO “PDREP Surveillance Plan Data Entry Guidebook.”

5.5. SURVEILLANCE PLAN MODIFICATIONS.

a. Once the APT has completed scheduling the plan, it will likely change during execution. A surveillance plan is not a static entity but is an ever-changing plan made with the intention of adjusting as needed. When contract modifications occur or when there is a need to execute unplanned or unscheduled surveillance, the APT must incorporate and update those items real-time into the surveillance plan and capture the appropriate data.

b. Unscheduled surveillance may be limited but will occur. This is termed an ‘On Demand’ task in PDREP. Only a supervisor may initiate an ‘On Demand’ task. All APT leads (i.e., GFR or G-GFR) must request supervisor access for the surveillance plan module in PDREP to support this function.

c. Rarely do the procedures differ from aviation contract to aviation contract. Therefore, once a facility surveillance plan is established, new contracts and contract modifications are evaluated to determine if new surveillance processes need to be added. The APT will reassess and adjust surveillance as appropriate.

d. Scheduling is complete when all processes associated with requirements have been scheduled.

e. Surveillance planning may be repeated during any stage of the Plan-Do-Check-Act framework of surveillance.

5.6. DELEGATE SURVEILLANCE DECISION.

a. Following CRR, the APT must decide if a surveillance delegation is necessary based on where the contract work will be performed. There are three basic situations where AO work may be delegated:

- The PoP is not geographically near the CMO
- The PoP is on a base, post, camp, or station
- The CMO does not have AO personnel available for the workload

b. Applicable FS or ACO at the prime CMO will begin the necessary coordination with the applicable FS at the CMO covering the PoP pursuant to DCMA-MAN 2101-04. Informal communications are usually a good starting point, but ultimately the authority to issue and accept a delegation rests with the respective CMO commander or director who appoint APT members. Applicable FS or ACO at a geographic CMO without a standing APT will coordinate with DCMA AO for contracts with AO requirements. The ACO or contract administrators will usually be the personnel delegating this AO work to an aviation CMO in PDREP.

c. If delegating to a non-PDREP user (e.g., Services for work on base, post, camp, or station), a Supporting Contract Administration request letter signed by the CMO commander or director is required. Blanket agreements for programs or specific contracts may be established and then leveraged for tailored or full contract administration services, as negotiated.

d. The APT will conduct AO delegation in accordance with the AO “PDREP Letters of Delegation (LOD) Data Entry Guidebook.”

SECTION 6: EXECUTE SURVEILLANCE

6.1. PREPARE FOR SURVEILLANCE.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

a. Determine Surveillance Logistics.

(1) The APT lead must coordinate any travel logistics with the APT for non-resident sites and with additional personnel outside the APT (e.g., OU AO staff), as required.

(2) For surveillance at military base, post, camp, or station locations, the APT must determine installation access requirements.

(3) AO surveillance requires an on-site presence and cannot be performed as remote or virtual surveillance.

(4) The APT must identify and analyze DC&A data (e.g., CARs, most recent DC&A results, contractor semi-annual safety assessments) for accuracy and obtain additional data as necessary. For all surveys and routine surveillance, review applicable policy, contractor's procedures, and the AOI guide or local equivalent to ensure thorough knowledge of surveillance criteria.

b. Determine Surveillance Techniques.

Surveillance techniques are actions that describe collecting and analyzing information to determine the conclusions through the evaluation of a contractor process. The APT commonly conducts surveillance with techniques such as observe, verify, validate, examine, and inspect.

6.2. EXECUTE SURVEILLANCE.

In addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01, after completing the previous steps, the FS will conduct the surveillance event. The APT focus is on contract and procedures compliance. Risk is determined during surveillance results analysis to decide if the APT surveillance plan requires adjustment. The APT is discouraged from discussing risk directly when communicating the results to the contractor.

6.3. RESCHEDULE OR CANCEL SURVEILLANCE.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

SECTION 7: DOCUMENT RESULTS

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

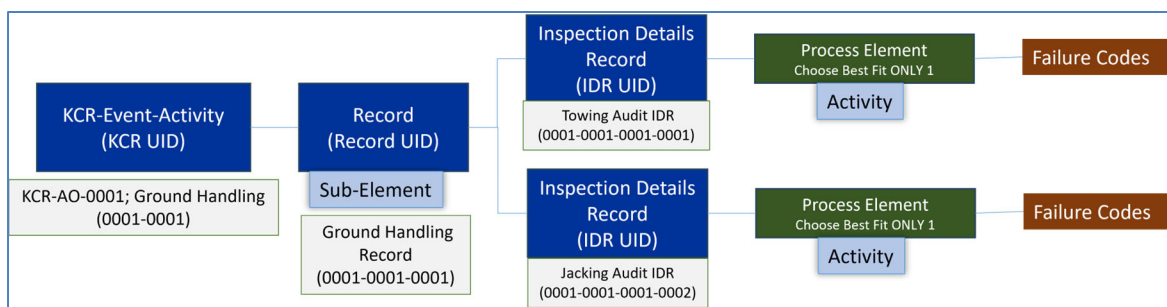
7.1. DOCUMENT SURVEILLANCE RESULTS.

APTs must document surveillance results following each surveillance occurrence. For the annual or semi-annual survey, a formal survey report is required to be generated pursuant to DCMA-INST 8210-1D.

a. Document and route surveys pursuant to DCMA-INST 8210-1D and DCMA-MAN 8210-2. Results from surveys may require additional documenting as a CAR or as a surveillance record if a scheduled surveillance occurrence is conducted as part of the survey.

b. APTs must enter all surveillance into PDREP. See Figure AO1 for the structure. Each line in the KCR Table portion of the plan feeds the PDREP Scheduler to create occurrences based on the start date and set the frequency. Each occurrence requires creation of a record. AO surveillance consists of S/PEs which typically require multiple individual audit points, also considered the sub-processes, to look at different parts of the process being evaluated. These individual audits are captured in an inspection details report (IDR). The FS must select a process element within the IDR that matches any findings noted.

Figure AO1. AO Record Structure



c. The AO process list was intentionally set up to match the sub-elements that correspond to the AOI structure and AOI guides. The APT must ensure that deficiencies are corrected in a timely manner. The APT cannot complete accurate DC&A unless all sample points are recorded. Scope is everything in determining whether there is a systemic process failure or a handful of unrelated failures. The APT must document all surveillance events, even those with no noted issues, to determine if there are any systemic failures. PDREP functionality is updated three times a year, so the step-by-step guidance for each data field is included in the AO “PDREP Surveillance Plan Data Entry Guidebook.” All the mandatory surveillance record data fields from Volume 1 of DCMA-MAN 2303-01 and this volume are included in PDREP and

described in the data entry guide. Processes are labeled “Events” and Sub-processes are labeled “Activities” in PDREP.

d. AO surveillance results are covered over a number of data fields within PDREP. The FS will document a description of the surveillance in the free-text process element notes within the IDR. This process element also has a result of satisfactory (SAT) or unsatisfactory (UNSAT). Regardless of which audit the FS is conducting, if a noncompliance is discovered, select the process element that matches the desired process finding dropdown list. The system allows the user to add multiple process elements to a single IDR in PDREP; **do not add more than one**. Adding more than one process element will cause problems in pulling the data from the system. The IDR result is also documented as SAT or UNSAT. For AO, this equates to “Audit Compliant: Yes or No?” Finally, the overall S/PE receives a record result of SAT or UNSAT. This equates to “Process Compliant: Yes or No?” for AO. If no, issue a CAR. Pursuant to DCMA-INST 8210-1D, not every noncompliance requires a formal CAR. Therefore, an UNSAT process element does not drive an UNSAT IDR nor does an UNSAT IDR drive an UNSAT record. However, if the noted noncompliance requires a CAR to be issued, the expectation is that the S/PE is UNSAT and so documented on the record. The minimum mandatory fields are:

- FS Name(s): Name of person(s) who performed the surveillance.
- Date: Surveillance completion date.
- Contract Number(s) or Unique Identifier(s) as applicable: Not used by AO but may be added if going to issue a CAR.
- Program Name(s) as applicable: Not used by AO.
- CAGE Code(s): CAGE code for PoP where surveillance was performed.
- Surveillance Category(ies): S/PE for AO.
- Details of Scheduled Surveillance: This is the KCR, Process or event, Sub-process or activity combination that makes up the surveillance occurrence.
- Requirement Reference: Use the appropriate Defense Federal Acquisition Regulation Supplement clause to match the KCR.
- Evaluation Criteria: The evaluation criteria for each AO process is defined in accordance with DCMA-INST 8210-1D. This criteria is used to evaluate the process for adequacy, compliance, and effectiveness.
- Actual Hours: Total number of hours to prepare, execute, and document the completed surveillance occurrence.
- Results: Results are captured at several levels within the surveillance record.
 - The preponderance of the information is documented on the IDRs.
 - The record level summarizes the results and documents the data analyzed, nature of observations, conclusions, and actions taken to increase, decrease, or not change the risk or surveillance frequency.

7.2. MULTIFUNCTIONAL COMMUNICATION AND REPORTING.

The annual and semi-annual surveys constitute the official reporting of surveillance results to the ACO and award management team. The APT will complete any other necessary reporting to the

ACO, award management team, and customer on an ad hoc basis by e-mail, letter, or official CAR as appropriate.

SECTION 8: DC&A

8.1. DC&A.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01. DC&A can be performed on a scheduled or unscheduled event based on a risk occurrence. Agency minimum is to conduct DC&A on all processes annually. AO requires the APT to conduct more frequently, on a semi-annual basis, pursuant to DCMA-MAN 8210-2, in conjunction with semi-annual evaluations of the surveillance plan.

8.2. DATA COLLECTION.

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

- a. The data collected for AO analysis includes historical DCMA Audit Results Tracker (DART) surveillance data from 2016-2023.
- b. Other sources of data to gather may include PDREP records from both the surveillance plan and CAR modules, contractor semi-annual safety audits, AOI results, consolidated safety council meeting minutes, etc.

8.3. DATA ANALYSIS.

In AO, there are three primary times to conduct DC&A; as part of a risk assessment, as part of a surveillance occurrence, and in the evaluation of the surveillance plan (See Section 9 for evaluation details.). In addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

- a. When DC&A is done in conjunction with risk assessment, the APT collects and evaluates historical data to determine likelihood of risks being realized.
- b. When DC&A is done in conjunction with a surveillance occurrence, the APT collects and evaluates data through observation, interview, contractor records, etc., to determine the adequacy of the contractor's procedures, the compliance to the procedures, and the effectiveness of the procedures to mitigate risk to the aircraft.

8.4. COMMUNICATION.

This paragraph requires no additional details beyond the requirements, information, and guidance contained in Volume 1 of DCMA-MAN 2303-01.

SECTION 9: EVALUATE SURVEILLANCE PLAN

The following requirements, information, and guidance are in addition to the requirements, information, and guidance in accordance with Volume 1 of DCMA-MAN 2303-01:

9.1. FS EVALUATE SURVEILLANCE PLAN.

The APT must evaluate surveillance based on results of DC&A, at a minimum semi-annually, and document using the AO Surveillance Plan Evaluation Template and upload as an attachment in PDREP. The template is included in the AO “Correspondence Job Aid,” located on the DCMA-MAN 8210-2 resource page. When data analysis indicates a change in contractor performance, positive or negative trend, the APT must make adjustments to surveillance. These adjustments may be a change to risk, change to frequency, change to intensity, or a combination of all three. In addition, the APT will evaluate the APT surveillance plan as a whole and its ability to mitigate risk to the U.S. Government.

a. Conducting Evaluation.

The AO Dashboard page, linked on the resource page for this volume, is the access point for entry, view, and analysis of surveillance entered into PDREP and historic DART surveillance. Surveillance results are found in two dashboards, the AO PDREP Dashboard and the DART Dashboard.

(1) First, the APT must interpret what each chart is displaying. Training for use of the dashboards is available on the resource page for this volume.

(2) Next, the APT will determine if the executed surveillance matched the plan since the last analysis.

(3) Analyze the aggregate data to determine trends within specific sub-elements. The analysis conducted is not a true statistical study, particularly for non-resident sites. A sample size of two on a specific sub-element does not really show a significant trend; however, the APT may be able to tease out an overall trend of compliance or non-compliance over operations that may point to a need for additional oversight. This is where the thresholds and trigger points defined in the policy portion of the plan come into play in helping the team decide if adjustment of the surveillance plan is necessary. This analysis will help the team assess the risk of each of the elements.

(4) The APT must make several decisions based on the results of the analysis.

(a) Update risk assessment for each process, if required, and decide if the APT surveillance schedule requires adjustment for the next analysis period. The plan is considered a living document that can be routinely adjusted based upon analysis of surveillance results. The plan must be flexible enough to take immediate action based off the triggers without having to obtain CMO commander or director approval for a revised surveillance plan. For example, a trigger in data will begin the process of evaluation to determine if a change in surveillance

frequency is required. Temporarily increasing surveillance events based off data results do not require the development of a new surveillance plan policy for the CMO commander or director to approve. Reduction in surveillance events due to low risk assessment only require GFR notification to the CMO commander or director.

(b) Determine if CARs were issued appropriately pursuant to DCMA-INST 8210-1D and DCMA-MAN 2303-05, “Addressing Contractor Deficiencies and Corrective Action Request.” For example, if an area only has an IDR pass rate of 60 percent based on 10 audits and no CARs have been issued, a deeper analysis may be necessary to determine if one should have been issued, or if there was a data entry error, etc.

(c) Evaluate the performance of the plan from a perspective of occurrence cancellation and rescheduling rates. These can be indicators of the appropriateness and efficiency of the plan. They can also indicate where surveillance is too frequent for the resources available or the contractor operations tempo will not support the frequency of surveillance (e.g., monthly ground handling when aircraft are not moved for months).

(5) Communicate results, particularly negative trends, to the ACO, award management team, and CMO commander or director.

b. Document Evaluation.

Once the analysis and determinations are complete, the APT must document the results in PDREP using the Surveillance Plan Evaluation Template and upload as an attachment in PDREP. Keep a copy of the surveillance plan evaluation on the APT SharePoint site in Adobe format. Minimum plan evaluation record requirements are the same as those for any DC&A:

(1) Type of Data Analyzed.

Document the objective evidence used to establish the level of confidence needed to determine compliance.

(2) Nature of observations.

Results from contractor process.

(3) Conclusion.

Results based on analysis performed and conclusion of analysis (e.g., trends identified, new risk identified).

(4) Actions Taken.

Actions taken as a result from the analysis to include changes to the surveillance plan and frequency of collection and analysis. If no action taken based on analysis, document justification in using the APT Surveillance Plan Evaluation Template.

9.2. SUPERVISOR EVALUATE SURVEILLANCE PLAN.

The APT lead (i.e., GFR or G-GFR) ensures the APT surveillance plan is evaluated by all members of the APT (See Paragraph 9.1. for requirements.).

GLOSSARY

G.1. ABBREVIATIONS AND ACRONYMS.

ACRONYM	MEANING
ACO	administrative contracting officer
AO	aircraft operations
AOI	AO inspection
APT	aviation program team
CAGE	contractor and government entity code
CAR	corrective action request
CMO	contract management office
CRR	contract receipt and review
CS	contract safety
CSM	contract safety manager
DART	DCMA Audit Results Tracker
DC&A	data collection and analysis
DCMA-INST	DCMA Instruction
DCMA-MAN	DCMA Manual
FOD	foreign object damage
FS	functional specialist
GFR	government flight representative
G-GFR	ground government flight representative
GGR	government ground representative
IDR	inspection details report
IWMS	Integrated Workflow Management System
KCR	key contract requirement
KTR	contractor
OU	operational unit
PDREP	Product Data Reporting and Evaluation Program
PoP	place of performance
QAS	quality assurance specialist
SAT	satisfactory
S/PE	system or process evaluation

UNSAT

unsatisfactory

GLOSSARY

G.2. DEFINITIONS.

These terms and their definitions are for the purpose of this issuance.

TERM	MEANING
AO personnel	This term refers to all DCMA flight personnel, GFRs, G-GFRs, GGRs, and all personnel listed on the resource page for this volume. Other DCMA personnel directly associated with DCMA AO include applicable CMO commanders or directors and CSMs, QASs, or property administrators on APTs.
non-resident site	Non-resident sites are those locations that do not meet the definition of a resident site, but require assignment of a GFR or G-GFR
resident site	Resident sites include the duty locations for the GFR or G-GFR and those locations they can travel to, execute surveillance, and return to their duty location in a standard workday. For a site to be considered resident, the GFR or G-GFR must be able to accomplish persistent and routine surveillance at the site, at least one day each week on average.
threshold	A threshold will mandate the APT to take an action (e.g., issue a CAR, add additional surveillance) for a given process and are typically based on a pass or fail rate. An example of a threshold may be a pass rate of less than 80 percent resulting in an increase of surveillance frequency for that process or sub-process.
trigger	A trigger is an event in contractor operations (e.g., loss of key personnel, new or unfamiliar contract work, Level III CAR) that will require an APT review of the APT surveillance plan to determine whether adjustments need to be made. An example of a trigger may be to reassess the surveillance plan risks following a mishap.

REFERENCES

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