Quality Assurance Surveillance Plan (QASP)
Scientific and Engineering Support

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Quality Assurance Surveillance Plan (QASP)

Scientific and Engineering Support

1 Introduction

This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the ATC Scientific and Engineering Support performance work statement (PWS). This plan sets forth the procedures and guidelines Aberdeen Test Center will use in ensuring the required performance standards or services levels are achieved by the contractor.

1.1 Purpose

The purpose of the QASP is to describe the systematic methods used to monitor performance and to identify the required documentation and the resources to be employed. The QASP provides a means for evaluating whether the contractor is meeting the performance standards/quality levels identified in the PWS and the contractor's quality control plan (QCP), and to ensure that the government pays only for the level of services received. It is the government's responsibility to be objective, fair and consistent in evaluating contractor performance.

This QASP defines the roles and responsibilities, identifies the performance objectives, defines the methodologies used to monitor and evaluate the contractor's performance, describes quality assurance documentation requirements, and describes the analysis of quality assurance monitoring results.

The government may provide a copy of the QASP to the contractor to facilitate open communication. In addition, the QASP should recognize that unforeseen or uncontrollable circumstances might occur that are outside the control of the contractor.

Bottom line, the QASP should ensure early identification and resolution of performance issues to minimize impact on mission performance.

This QASP is a living document and the Government may review and revise it on a regular basis. However, the Government shall coordinate changes with the contractor. Updates shall ensure that the QASP remains a valid, useful, and enforceable document.

Copies of the original QASP and revisions shall be provided to the contractor and Government officials implementing surveillance activities.

2 Authority

Authority for issuance of this QASP is provided under Part 46 of the Federal Acquisition Regulation, Inspection of Services clauses, which provides for inspection, acceptance and documentation of the service called for in the contract or order. This acceptance is to be executed by the contracting officer or a duly authorized representative.

3 Roles and Responsibilities

The following personnel shall oversee and coordinate surveillance activities.

3.1 Contracting Officer (KO)

The KO shall ensure performance of all necessary actions for effective contracting, ensure compliance with the contract terms, and shall safeguard the interests of the United States in the contractual relationship. The KO shall also ensure that the contractor receives impartial, fair, and equitable treatment under this contract. Determine and document the final assessment of the contractor's performance in the governments past performance tracking system. The KO will work cooperatively with a Contract Specialist to provide administrative management of the contract.

Assigned Contract Specialist: Noah Lane
Organization or Agency: ACC-APG
Telephone: 520-725-6744
Email: noah.r.lane.civ@army.mil

3.2 Contracting Officer's Representative (COR)

The COR is responsible for providing continuous technical oversight of the contractor's performance. The COR uses the QASP to conduct the oversight/surveillance process. The COR shall keep a Quality Assurance file that accurately documents the contractor's actual performance. The purpose is to ensure that the contractor meets the performance standards contained in the contract. The COR is responsible for reporting early identification of performance problems to the KO. The COR is required to provide an annual performance assessment to the KO which will be used in documenting past performance. The QASP is the primary tool for documenting contractor performance. The COR is not empowered to many any contractual commitments or to authorize any contractual change on the Government's behalf.

Assigned COR: TBD
Organization or Agency:
Telephone:
Email:

4 Performance Requirements and Method of Surveillance

This section describes the special requirements for this effort. The following sub-sections provide details of various considerations on this effort.

4.1 Contract Surveillance

The goal of the QASP is to ensure that contractor performance is effectively monitored and documented. The COR's contribution is their professional, non-adversarial relationships with the KO, Government Project Manager (PM), and the contractor, which enables positive, open and timely communications. The foundation of this relationship is built upon objective, fair, and consistent COR evaluations of contractor performance against contract requirements. The COR uses the methods contained in this QASP to ensure the contractor is in compliance with contract requirements. The COR function is responsible for a wide range of surveillance requirements that effectively measure and evaluate the contractor's performance. Additionally, this QASP is

based on the premise that the contractor, not the government, is responsible for management and QC/QA actions to successfully meet the terms of the contract.

4.1.1 Monthly Reporting Requirements

The following are the monthly reporting requirements for both the contractor and the COR for each task order.

4.1.1.1 Contractor Monthly Progress Reports

Monthly Progress Reports submitted by the contractor for each active task order as defined by CDRL A001.

4.1.1.2 Contractor Monthly Financial Status Reports

Monthly Financial Status Reports submitted by the contractor for each active Firm Fixed Price (FFP) task order as defined by CDRL A002.

4.1.1.3 COR Monthly Status Reports

Monthly Status Reports from the Government COR: The status of each task order will be monitored independently by a government COR. As a minimum, the COR will contact the contractor once a month to determine the status of the task order. Any time the COR meets with the contractor he or she will make a written record (minutes) of any significant matters that were discussed. Every month the COR for each active task order will submit a Monthly Status Report to the COR. The report will be due on the fifth working day of the month covering the activity during the previous month. The monthly report will include:

- Task order number, task order name, and date
- Minutes of any meetings with the contractor
- Description of any major accomplishments by the contractor
- Description of any possible problem areas
- An estimate of the percentage of work for the task order that is completed

Customer Complaint Record, CSTE-DTC-AT-CS-RM Form 566R, will be used by CORs to document complaints regarding contractor performance. A copy of Form 566R is attached to this QASP.

4.1.2 Communicating Performance Issues

When unacceptable performance occurs, the COR will inform the contractor. This will normally be in writing unless circumstances necessitate verbal communication. In any case, the COR will document the discussion and place it in the COR file.

When the COR determines formal written communication is required, the COR will prepare a Contract Discrepancy Report (CDR) and present it to the contractor’s task manager or on-site representative. Upon the COR's discretion a courtesy copy of the CDR will be supplied to the KO. A CDR template is attached to this QASP.

The contractor shall acknowledge receipt of the CDR in writing. The CDR will specify if the contractor is required to prepare a corrective action plan to document how the contractor shall correct the unacceptable performance and avoid a recurrence. The CDR will also state how long after receipt the contractor has to present this corrective action plan to the COR. The Government shall review the contractor's corrective action plan to determine acceptability. If any unresolved issues remain, the COR will elevate the concern to the KO at this time.
Any CDRs may become a part of the supporting documentation for contract payment deductions, fixed fee deductions, award fee nonpayment, or other actions deemed necessary by the KO.

4.2 Surveillance Matrix

The Surveillance Matrix (Attachment 1) is the list of performance objectives and standards that will be performed by the contractor. This matrix details the method of surveillance the COR will use to validate and inspect these performance elements. Inspection of each element will be documented in the COR file.

In evaluating the quality of contractor's performance, the following performance ratings may be used.

Performance Rating	Criteria
Excellent / Outstanding	Performance meets contractual requirements and exceeds many to the government's benefits. The contractual performance of the element or sub-element being assessed was accomplished with no problems and contractor actions were highly effective.
Very Good	Performance meets contractual requirements and exceeds some to the government benefits. The contractual performance was accomplished with few minor problems for which corrective actions taken by the contractor were effective.
Good	Performance meets contractual requirements. The contractual performance contains some minor problems for which corrective actions taken by the contractor were satisfactory.
Marginal	Performance does not meet some contractual requirements. The contractual performance reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear marginally effective or were not fully implemented.
Unsatisfactory	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.

Appendix 1 - Surveillance Matrix

PWS Section 3.1 Key Personnel Surveillance Matrix

Statements	Standards/AQLs	Inspections	Ratings
3.1.1 The contractor shall submit a resume for all key personnel, identifying the appropriate minimal qualifications and relevant experience.	**a)** Resumes conform to the PWS, are current, and key personnel meet minimum qualification requirements. **AQL:** 100% compliance **b)** Any replacement to key personnel shall meet or exceed the qualifications of the person being replaced. **AQL:** 100% compliance	**What:** Annual review of key personnel resumes **How:** The COR will perform annual 100% inspection of resumes **Who:** COR **Incentive:** Rework needed due to Contractor negligence or error will result in an unsatisfactory CPARS rating which could impact future contract awards.	

PWS Section 3.2 Reporting Surveillance Matrix

Statements	Standards/AQLs	Inspections	Ratings
3.2.1 The contractor shall submit a monthly Progress Report as described in CDRL A001.	**a)** The report conforms to CDRL content requirements, is up to date and addresses all critical areas of concern. **AQL:** 90% compliance **b)** The report is delivered in a timely manner as prescribed by the CDRL. **AQL:** No more than one late report per task per task order per contract year	**What:** Review by COR and TPOC **How:** The COR and TPOC will review reports as they are submitted and verify that they contain the required information **Who:** COR and TPOC **Incentive:** Failure to disclose issues that may introduce risk of cost, schedule, or performance in a timely manner may result in unsatisfactory CPARS rating which could impact future contract awards.	

3.2.2 The contractor shall submit a monthly Financial Status report as described in CDRL A002.	**a)** The report conforms to CDRL content requirements, is up to date and contains accurate accounting. **AQL:** 90% compliance **b)** The report is delivered in a timely manner as prescribed by the CDRL. **AQL:** No more than one late report per task per task order per contract year	**What:** Review by COR and TPOC **How:** The COR and TPOC will review reports as they are submitted and verify that they contain the required information **Who:** COR and TPOC **Incentive:** Failure to disclose issues that may introduce risk of cost or schedule in a timely manner may result in unsatisfactory CPARS rating which could impact future contract awards.	

PWS Section 4.1 Deliverables Surveillance Matrix

Statements	Standards/AQLs	Inspections	Ratings
4.1.1 Contractor is expected to deliver all technical data including all design files, fabrication files, and computer software code for every task order.	**a)** Documents are accurate, complete and sufficient for meeting goals of task order. **AQL:** 100% compliance **b)** The technical data packages are delivered in a timely manner as prescribed by the task order. **AQL:** 100% compliance	**What:** Review by TPOC **How:** The TPOC will review technical data package of delivery and verify its completeness **Who:** TPOC **Incentive:** Failure to deliver the required documentation may result in an unsatisfactory CPARS rating which could impact future contract awards.	
4.1.1 The Contractor shall perform design work in a pre-approved software design applications to ensure compatibility with existing Government tools and capabilities.	**a)** Documents and digital artifacts are provided in agreed upon formats. **AQL:** 100% compliance	**What:** Review by TPOC **How:** The TPOC will review technical data package of delivery and verify formats are acceptable based on task order. **Who:** TPOC **Incentive:** Failure to deliver the required documentation in the proper formats may result in an unsatisfactory CPARS rating which could impact future contract awards.	

4.1.2 The Government expects to receive unlimited rights in all technical data and computer software code that is funded under this contract. If the Contractor provides other than unlimited rights to technical data or computer software, then they shall specify what rights the Government is expected to receive prior to task award.	**a)** Delivered designs and software are delivered with unlimited government rights unless otherwise negotiated **AQL:** 100% compliance	**What:** Review by COR and TPOC **How:** The COR and TPOC will review rights agreements for all deliverables. **Who:** COR and TPOC **Incentive:** Failure to provide appropriate negotiated rights may result in an unsatisfactory CPARS rating which could impact future contract awards.	
4.1.3 Deliverables will be delivered to the Government on time based on agreed upon task order schedules.	**a)** Deliverables are made in accordance with each task order's schedule **AQL:** No more than one late deliverable per task order per contract year	**What: Technical Data Package** (TDP) delivery schedule **How:** The COR will establish what date an acceptable deliverable was received. Random sampling or 100% inspection. **Incentive:** Failure to deliver in the proper schedule may result in an unsatisfactory CPARS rating which could	
4.2 Deliverables will be defined on individual task orders for all PWS performance requirements. The Government will review the quality of deliverables prior to acceptance. The Contractor will be responsible for addressing quality defects in deliverables.	**a)** Deliverables will be of acceptable quality based on agreed upon task. The TPOC will review and for any deficiencies found the contractor will be given the opportunity to correct the issue. **AQL:** Must have 90% compliance upon initial delivery. Corrected to 99% compliance within 1-30 business days depending upon the complexity of the specific task order.	**What:** Review by COR and TPOC **How:** The COR and TPOC will review delivery quality to ensure it is consistent with task requirements. **Who:** COR and TPOC **Incentive:** Failure to provide appropriate quality deliverables may result in an unsatisfactory CPARS rating which could impact future contract awards.	

4.4 Unexpected issues affecting cost, schedule, or performance of a task shall be communicated to the COR and TPOC in a timely manner to avoid risk to the task	**a)** Communication of any unexpected issue that may seriously affect cost, schedule, or performance of task shall be communicated within 1 week of discovery by contractor. **AQL:** Government must be notified within 1 week of a critical unexpected issue of the contract.	**What:** Review by COR and TPOC **How:** The COR and TPOC will assess based on routine communications and monthly reporting how critical issues are communicated. **Who:** COR and TPOC **Incentive:** Failure to provide timely status updates may result in an unsatisfactory CPARS rating which could impact future contract awards.	

Appendix 2 - Corrective Action Report (CAR)

CORRECTIVE ACTION REPORT (CAR)

(If more space is needed, use reverse and identify by number)

1. CONTRACTOR	2. CONTRACT NUMBER	3. TYPE OF SERVICES

4. FUNCTIONAL AREA	5. SUSPENSE DATE	6. CONTROL NUMBER

7. DEFICIENCY ☐ MAJOR ☐ MINOR

FINDING:

FINDING IMPACT:

Please respond with a written corrective action plan that details the corrective action of the cited deficiency, the cause of the deficiency, and actions taken to prevent recurrence by Suspense Date in Block 5. If date was not entered in Block 5, the contractor is not required to provide a response.

8. QUALITY ASSURANCE PERSONNEL (COR)

TYPED NAME AND GRADE	**SIGNATURE AND DATE**

9. ISSUING AUTHORITY

TYPED NAME AND GRADE	**SIGNATURE AND DATE**

10. COR RESPONSE TO CONTRACTOR CORRECTIVE ACTION AND ACTION TAKEN TO PREVENT RECURRENCE

11. COR DETERMINATION ☐ ACCEPTED ☐ REJECTED	12. CLOSE DATE

Appendix 3 - Customer Complaint Record

CUSTOMER COMPLAINT RECORD			DATE/TIME OF COMPLAINT
SOURCE OF COMPLAINT			
ORGANIZATION	BUILDING NUMBER	INDIVIDUAL	PHONE NUMBER
NATURE OF COMPLAINT			
CONTRACT REFERENCE			
VALIDATION			
DATE/TIME CONTRACTOR INFORMED OF COMPLAINT			
ACTION TAKEN BY CONTRACTOR			
RECEIVED/VALIDATED BY			

Appendix 4 - Performance Assessment Report (PAR)

PERFORMANCE ASSESSMENT REPORT (PAR)

(If more space is needed, use reverse and identify by number)

1. CONTRACT/TASK ORDER NUMBER	2. CONTRACTOR	3. TYPE OF SERVICES

4. QUALITY ASSURANCE PERSONNEL (COR) SIGNATURE AND DATE	**5. COR PHONE**	**6. SUSPENSE DATE**

I. PERFORMANCE

7. ☐ DEFICIENCY (CHECK ALL BOXES THAT APPLY) ☐ NEW ☐ REPEAT ☐ NO DEFICIENCY NOTED	8. SERVICES SUMMARY or PWS PARAGRAPH ITEM REVIEWED
9. BRIEF DESCRIPTION OF DEFICIENCY (IF DEFICIENCY BOX WAS CHECKED)	10. DETAILED PERFORMANCE ASSESSMENT

II. CONTRACTOR VALIDATION

11. CONTRACTOR REPRESENTATIVE ☐ CONCUR ☐ NON-CONCUR	12. CORRECTIVE ACTION ESTIMATED COMPLETION DATE

13. CONTRACTOR REPRESENTATIVE CORRECTIVE ACTION AND PREVENTION OF RECURRENCE OR REASON FOR NON-CONCURRENCE OF COR CITED DEFICIENCY

III. ACTION CORRECTED

14. ☐ CONCUR ☐ NON-CONCUR COR SIGNATURE AND DATE

15. COR REMARKS (REQUIRED)

6. CONTRACTOR REPRESENTATIVE REMARKS