

**Quality Assurance Surveillance Plan (QASP)
for the Engineering and Technical Services Effort
for Identification Systems**

1. Purpose

This Quality Assurance Surveillance Plan (QASP) is a Government developed and applied document used to make sure the systematic quality assurance methods are used in the administration of the performance based service order. The intent is to ensure that the contractor performs in accordance with the performance metrics and the Government receives the quality of services called for in the order.

This contract requirement is to provide engineering and technical services for the Identification Systems (IDS) Division. Specifically, the contractor shall support the Government in research and analysis, performance analysis and design engineering, test bed design and development, system test and evaluation, interface engineering, system integration engineering, installation and checkout planning, field engineering and technical support, engineering documentation and training services. The resulting vehicle will be an order under the Seaport-e multiple award contract. The performance based order will have cost plus fixed fee labor CLINs. The order will be for a base year with four option years. A properly executed QASP will assist the Government in achieving the objectives of this procurement.

2. Authority

Authority for issuance of this QASP is provided under Contract Section E – Inspection and Acceptance, which provides for inspections and acceptance of the services and documentation called for in service contracts, to be executed by the Contracting Officer or a duly authorized representative.

3. Scope

To fully understand the roles and responsibilities of the parties, it is important to first define the distinction in terminology between Quality *Control* Plan and the Quality *Assurance Surveillance* Plan. Within a Quality Control Plan, the contractor, and not the Government, is responsible for management and quality control actions necessary to meet the quality standards set forth by the order.

The QASP on the other hand, is put in place to provide Government *surveillance* oversight of the contractor's efforts to assure that they are timely, effective and are delivering the results specified in the order.

4. Government Resources

The following definitions for Government resources are applicable to this plan:

Contracting Officer - A person duly appointed with the authority to enter into (Procuring Contracting Officer (PCO)) or administer (Administrative Contracting Officer (ACO)) contracts and make related determination and findings on behalf of the Government. The PCO for this contract is Mr. J. Larry Mattingly, 2.5.1.2. The ACO will be designated in the resulting order. Contracting Officers are designated via a written warrant, which sets forth limitations of authority.

Task Order Manager (TOM) - An individual appointed in writing by the PCO to act as their authorized representative to assist in administering the contract. The TOM will be appointed in the resulting task order. The limitations of authority are contained in a written letter of appointment.

Government Project Leads – The TOM designates an individual Government Project Lead to assist in administering a specific project under the contract.

5. Responsibilities

The following Government resources shall have responsibility for the implementation of this QASP:

Contracting Officer – The Contracting Officer ensures performance of all necessary actions for effective contracting, ensures compliance with the terms of the contract and safeguards the interests of the United States in the contractual relationship. It is the Contracting Officer that assures the Contractor receives impartial, fair and equitable treatment under the contract. The Contracting Officer is ultimately responsible for the final determination of the adequacy of the Contractor's performance.

Task Order Manager – The TOM is responsible for technical administration of the contract and assures proper Government surveillance of the contractor's performance. The TOM is not empowered to make any contractual commitments or to authorize any changes on the Government's behalf. Any changes that the contractor deems may affect contract price, terms, or conditions shall be referred to the Contracting Officer for action.

Government Project Leads – The Government Project Lead is responsible for assisting in administering a specific project under the contract. A Government Project Lead cannot, in any manner, alter the scope of the contract, make commitments or authorize any changes on the Government's behalf

6. Methods of QA Surveillance

a. **Contractor Performance Assessment Report System (CPARS)** – The market place for engineering and technical services is very competitive. As such, the successful offeror has a vested interest in the Government generated CPARS under this contract. Additionally, an evaluation using the CPARS format will be performed at the end of each year of performance. This evaluation will be one determinant in exercising an option. The Government for this procurement will address the quality of product or service, schedule, cost control, business relations, management, and other important areas. As this information may affect future source selections throughout DoD, and the continuation of the order, the annual Government assessment will be used appropriately as an additional performance oversight and communication tool with the QASP.

b. **QASP** - The below listed methods of surveillance shall be used by the TOM and Government Project Leads in the technical administration of this QASP. In addition to the below instructions, the form to be used for documentation of quality assurance surveillance is the Surveillance Activity Checklist provided herein.

7. Surveillance

Enclosures (1) and (2) set forth the performance standards, incentives, and surveillance methods for the contractor and Government Project Leads while enclosure (3) provides the checklist and means for the TOM to document on a quarterly basis the results of the surveillance and shall be provided to the Contracting Officer on a quarterly basis.

8. Documentation

In addition to providing quarterly reports to the Contracting Officer, the TOM will maintain a complete Quality Assurance file. The file will contain copies of all reports, evaluations, recommendations, and any actions related to the Government's performance of the quality assurance function, including the originals of the Quality Assurance Checklists. All such records will be maintained for the life of the order. The TOM shall forward these records to the Contracting Officer at termination or completion of the order.

9. Enclosures

Enclosure (1) – Identification Systems Performance Standards and Identification Systems Data Standards

Enclosure (2) - Incentives

Enclosure (3) - Surveillance Activity Checklist

IDENTIFICATION SYSTEMS PERFORMANCE STANDARDS

Description	Performance Standard and Acceptable Quality Level (AQL)	Surveillance Method/Measure	Incentives
Provide research and analysis support of COTS hardware and software products for incorporation into new systems	Based upon feedback from the Government Project Leads, the research and analysis provided are deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide performance analysis, problem identification, and recommend potential solutions	Based upon feedback from the Government Project Leads, the performance analysis, problem identification, and recommendations provided is deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide advanced development models and system laboratory test efforts to evaluate alternate design considerations or provide data upon which to base a decision	Based upon feedback from the Government Project Leads, the advanced development models and systems laboratory test efforts provided is deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide monitoring support and perform tests, evaluations and preparation of test plans for specified CID and ATC systems, subsystems and equipment	Based upon feedback from the Government Project Leads, the monitoring, performance tests, evaluations and preparations of test plans provided is deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide interface engineering with CID and ATC components and combat systems such as radar, NCTR, RTDS, CIFF, AutoID, shipboard navigation systems, data fusion equipment, sensor correlation equipment, displays, tactical data systems, and datalink systems	Based upon feedback from the Government Project Leads, the interface engineering provided is deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback; the average score for Technical Assist Feedback Forms is at least 3.5/4.0 for ratings on Timeliness, Quality of Service, Special Training and Professionalism; and 95% of responses are "Yes" for Appropriate Documentation, Appropriate Personnel, and Requirement Met	See enclosure 2
Provide integration of individual units and equipment into full systems for Fleet introduction	Based upon feedback from the Government Project Leads, the integration provided is deemed comprehensive and technically acceptable. Integrations require only minor follow-up, most of which is done via e-mail or over the phone.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide installation support at Government facilities, aboard ships and various shore sites	Based upon feedback from the Government Project Leads, the installation support provided is deemed comprehensive and technically acceptable. Installations require only minor follow-up, most of which is done via e-mail or over the phone.	Government Project Leads input; quarterly feedback; the average score for technical Assistant Feedback Forms is at least 3.5/4.0 for ratings on Timeliness of service, Special Training and Professionalism; and 95% of responses are YES for Appropriate Documentation, Appropriate Personnel, and Requirement Met.	See enclosure 2
Provide technical assistance in support of CID and ATC systems directly impacting the battle readiness of Naval units	Based upon feedback from the Government Project Leads, the technical assistance provided is deemed comprehensive and	Government Project Leads input; quarterly feedback; the average score for technical Assistant Feedback Forms is at least 3.5/4.0 for ratings on Timeliness of	See enclosure 2

	technically acceptable.	service, Special Training and Professionalism; and 95% of responses are YES for Appropriate Documentation, Appropriate Personnel, and Requirement Met.	
Provide technical inputs to Government to develop life cycle documentation for CID and ATC systems	Based upon feedback from the Government Project Leads, the technical input provided is deemed comprehensive and technically acceptable.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide formal Fleet training for CID and ATC systems	Based on feedback provided from 90% of the student critiques, the training met all objectives.	Government Project Leads input; quarterly feedback	See enclosure 2
Maintain a quality management system per the International Standards Organization ISO 9001:2000 standard for all work performed at the contractor's facilities	The contractor shall maintain a quality management system per the ISO 9001:2000 standard and be able to present verification to a Government Project Leads or the TOM at any time.	Certification confirmation; ISO 9001:2000 registered	See enclosure 2
Shall be Software Engineering Institute/Capability Maturity Model (SEI CMMi) Level 2 assessed and have a goal of CMMi Level 2 assessment for software development.	The contractor shall be assessed at CMMi Level 2 and be able to present verification to a Government Project Leads or the TOM at any time.	Certification Confirmation; Successful assessment at CMMi Level 2	See enclosure 2

IDENTIFICATION SYSTEMS DATA STANDARDS

Description	Performance Standard and Acceptable Quality Level (AQL)	Surveillance Method/Measure	Incentives
Provide research and analysis support of COTS hardware and software products for incorporation into new systems	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide performance analysis, problem identification, and recommend potential solutions	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide advanced development models and system laboratory test efforts to evaluate alternate design considerations or provide data upon which to base a decision	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal technical, typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2.
Provide monitoring support and perform tests, evaluations and preparation of test plans for specified CID and ATC systems, subsystems and equipment	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide interface engineering with CID and ATC components and combat systems such as radar, NCTR, RTDS, CIFF, AutoID,	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government.	Government Project Leads input; quarterly feedback	See enclosure 2

shipboard navigation systems, data fusion equipment, sensor correlation equipment, displays, tactical data systems, and datalink systems	Reports have minimal typographical or grammatical errors. Minor clarification may be required.		
Provide integration of individual units and equipment into full systems for fleet introduction	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide installation support at Government facilities, aboard ships and various shore sites	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide technical assistance in support of CID and ATC systems directly impacting the battle readiness of Naval units	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide technical inputs to Government to develop life cycle documentation for CID and ATC systems	Unless a due date is specified, the deliverable will be completed 30 days after receiving tasking from the government. Reports have minimal typographical or grammatical errors. Minor clarification may be required.	Government Project Leads input; quarterly feedback	See enclosure 2
Provide formal Fleet training for CID and ATC systems	Training synopses and materials are delivered for Government review at least 30 days prior to initiation of any course unless otherwise specified. Training materials are deemed technically accurate and acceptable, and only minor editing or revisions are required.	Government Project Leads input; quarterly feedback	See enclosure 2

INCENTIVES

The following incentives shall apply to performance under this order.

Assessment Period	Acceptable Performance Definition	How Measured	Incentives
Base:	All measurement areas rated at least "Satisfactory". See below	Quarterly using the CPARS evaluation ratings; annually using the CPARS system covering the previous 12 months.	(+) Meet the acceptable performance definition as a condition for exercise of option 1.* (-) Does not meet the acceptable performance definition as a condition for exercise of an option 1.*
Option I:	All measurement areas rated at least "Satisfactory". See below.	Quarterly using the CPARS evaluation ratings; annually using the CPARS system covering the previous 12 months.	(+) Meet the acceptable performance definition as a condition for exercise of an option. 2.* (-) Does not meet the acceptable performance definition as a condition for exercise of an option. 2.*
Option II:	All measurement areas rated at least "Satisfactory". Three or more measurements rated either "Very Good" or "Exceptional". See below.	Quarterly using the CPARS evaluation ratings; annually using the CPARS system covering the previous 12 months.	(+) Meet the acceptable performance definition as a condition for exercise of an option 3.* (-) Does not meet the acceptable performance definition as a condition for exercise of an option 3.*
Option III:	All measurement areas rated at least "Satisfactory". Three or more measurements rated either "Very Good" or "Exceptional". See below.	Quarterly using the CPARS evaluation ratings; annually using the CPARS system covering the previous 12 months.	(+) Meet the acceptable performance definition as a condition for exercise of an option 4.* (-) Does not meet the acceptable performance definition as a condition for exercise of an option 4.*
Option IV:	All measurement areas rated at least "Satisfactory". Three or more measurements rated either "Very Good" or "Exceptional". See below.	Quarterly using the CPARS evaluation ratings; annually using the CPARS system covering the previous 12 months.	Final CPARS ratings.

* The Government will not exercise the next option year term unless all regulatory requirements are met and the contractor meets the acceptable performance definition.

All PWS/CDRL tasks, including PWS/CDRL sub-tasks, will be assessed focusing on the following.

Quality of Product or Service – Assess the contractor's effort to transform operational needs and requirements into an integrated solution. Areas of focus may include the planning and management of program tasks, the quality of support provided throughout all phases of contract execution, the integration of program management specialties, management of interfaces, and the management of a totally integrated effort of all program management concerns to meet cost, performance, and schedule objectives. Assess how successfully the contractor meets program quality.

Schedule – Assess the contractor's adherence to the required delivery schedule by assessing the contractor's efforts during the assessment period that contribute to or effect the schedule variance. Also

address significance of scheduled events (i.e., design reviews), discuss causes, and assess the effectiveness of contractor corrective actions.

Cost Control – Assess the contractor’s effectiveness in forecasting, managing, and controlling contract cost. Is the contractor experiencing cost growth or underrun? If so, discuss the causes and contractor-proposed solutions for the cost overruns. For contracts where task or contract sizing is based upon contractor provided person-hour estimates, the relationship of these estimates to ultimate cost should be assessed. In addition, the extent to which the contractor demonstrates a sense of cost responsibility, through the efficient use of resources in each work effort should be assessed.

Business Relations – Assess the timelines, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor’s reasonable and cooperative behavior, effective business relations, and customer satisfaction.

Management – Assess the contractor’s success with timely award and management of subcontracts, including whether the contractor met small/small disadvantage and women-owned business participation goals. Discuss the extent to which the contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the contractor’s risk mitigation plans. If applicable, identify any other management areas that are unique to the contract.

Other areas – Assess additional evaluation areas unique to the contract or that cannot be captured elsewhere.

The evaluation ratings are as follows:

Exceptional – Performance meets contractual requirements and exceeds many to the Government’s benefit. The contractual performance of the task and sub-task being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

Very Good - Performance meets contractual requirements and exceeds some to the Government’s benefit. The contractual performance of the task and sub-task being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

Satisfactory - Performance meets contractual requirements. The contractual performance of the task and sub-task contain some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

Marginal - Performance does not meet contractual requirements. The contractual performance of the task and sub-task being assessed reflect a serious problem for which the contractor has not yet identified corrective actions. The contractor’s proposed actions appear only 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 of the task or sub-task contains a serious problem(s) for which the contractor’s actions appear or were ineffective.

SURVEILLANCE ACTIVITY CHECKLIST

Quarterly Surveillance:

The TOM will perform quarterly assessments of Quality, Schedule, Cost Control, Business Relations, Management, and Other Areas as applicable utilizing the CPARS evaluation rating definitions listed in enclosure 2.

Description	Surveillance Method/ Measure	Date Planned	Date Completed	Quality	Schedule	Cost Control	Business Relations	Mgmt.	Other
Provide research and analysis support of COTS hardware and software products for incorporation into new systems	Government Project Lead input, quarterly feedback	TBD							
Provide performance analysis, problem identification, and recommend potential solutions	Government Project Lead input, quarterly feedback	TBD							
Provide advanced development models and system laboratory test efforts to evaluate alternate design considerations or provide data upon which to base a decision	Government Project Lead input, quarterly feedback	TBD							
Provide monitoring support and perform tests, evaluations and preparation of test plans for specified CID and ATC systems, subsystems and equipment	Government Project Lead input, quarterly feedback	TBD							
Provide interface engineering with CID and ATC components and combat systems such as radar, NCTR, RTDS, CIFF, AutoID, shipboard navigation systems, data fusion equipment, sensor correlation equipment, displays, tactical data systems, and datalink systems	Government Project Lead input, quarterly feedback	TBD							
Provide integration of individual units and equipment into full systems for fleet introduction	Government Project Lead input, quarterly feedback	TBD							
Provide installation support at Government facilities, aboard ships and various shore sites	Government Project Lead input, quarterly feedback	TBD							
Provide technical assistance in support of CID and ATC systems directly impacting the battle readiness of Naval units	Government Project Lead input, quarterly feedback	TBD							
Provide technical inputs to Government to develop life cycle documentation for CID and ATC systems	Government Project Lead input, quarterly feedback	TBD							
Provide formal Fleet training for CID and ATC systems	Government Project Lead input, quarterly feedback	TBD							
Maintain a quality management system per the International Standards Organization ISO 9001:2000 standard for all work performed at the contractor's facilities	Certification confirmation; ISO 9001:2000 registered	TBD							
Shall be Software Engineering Institute/Capability Maturity Model (SEI CMMi) Level 2 certified and have a goal of CMMi Level 2 certification for software development.	Certification Confirmation; Successful assessment at CMMi Level 2	TBD							

Quarterly Summary of Ratings:

Quality

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Cost Control

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Management

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Schedule

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Business Relations

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Other Areas

Number of Exceptional _____
 Number of Very Good _____
 Number of Satisfactory _____
 Number of Marginal _____
 Number of Unsatisfactory _____

Annual Surveillance:

The TOM will perform an annual assessment of overall contract performance utilizing the evaluation rating definitions listed in enclosure 2. This annual assessment will occur at the end of each period and cover the previous 12 months.

Description	Surveillance Method/ Measure	Date Planned	Date Completed	Summary Rating/Results
Quality of Product or Service	Review of Quarterly Ratings	TBD		
Schedule	Review of Quarterly Ratings	TBD		
Cost Control	Review of Quarterly Ratings	TBD		
Business Relations	Review of Quarterly Ratings	TBD		
Management	Review of Quarterly Ratings	TBD		
Other Areas	Review of Quarterly Ratings	TBD		