

## **Quality Assurance Surveillance Plan (QASP) for Instructional Materials (AIM) Program**

### **1. Purpose**

This Quality Assurance Surveillance Plan (QASP) is a government-developed and applied document used to ensure that systematic quality assurance methods are used in the administration of the requirements included in this contract and in subsequent task orders. This contract is performance-based, and a QASP is the tool used in the administration and oversight of the contract. The intent is to ensure that the contractor performs in accordance with the Performance Work Statement (PWS) requirements and the government receives the quality of services called for in the contract.

The QASP has been prepared to ensure a systematic enforcement of the AIM Performance Work Statement (PWS) #160054 requirements. Contractor support will be monitored by the tasks listed below which are necessary to achieve the program outcomes. Inherent tasks to achieve this outcome include the following:

- software modification coding and testing to include:
  - software delivery, technical assistance, and revisions
  - software Government Acceptance Test Plan creation and support
  - software test/inspection report creation
- software configuration control and quality control to include:
  - AIM Software Functional Requirements Matrix (FRM) maintenance
  - AIM Software Change Request (ACR) maintenance
  - software documentation maintenance
- support to include (but not limited to):
  - technical support
  - customer on-site support
  - software end-user support (help-desk and training)
- analysis and planning for:
  - software change proposals (engineering change proposal)
  - software logistics
  - training media selection and conversion
  - training content and system-related market research
- competency model development and mapping to content authoring toolsets
- user meetings and conferences coordination
- development and/or re-design of:
  - Interactive Multimedia Instruction (IMI) and Interactive Courseware (ICW)
  - Interactive Electronic Technical Manuals (IETMs)
  - Job Performance Aids (JPA)
  - Web-Enabled Relational Database Applications
  - Distributed Learning and Web-based training
  - Instructor Led Training (ILT) course materials
- end-products for:
  - Front-End Analysis (FEA)
  - Training Systems Requirements Analysis (TSRA)
  - Training Systems Design and Development

## 2. Authority

Authority for contract surveillance as stated in this QASP is provided under Section E 1 of the contract. Section E1 of the contract requires the contractor to implement a quality assurance plan for the software engineering, analysis, content development, logistics, life cycle, and management support services and states the government will ensure compliance of the contractor's quality assurance plan through utilization of the QASP. The government quality assurance surveillance of the training services is executed by the Procuring Contracting Officer (PCO) 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*. The contractor, not the government, is responsible for management and quality control actions necessary to meet the quality standards set forth by the contract and follow-on task orders. The QASP on the other hand, is established to provide government *surveillance* oversight of the Contractor's quality control efforts to assure that they are timely, effective, and are delivering the results specified in the contract or task order.

## 4. Government Resources

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

**Procuring Contracting Officer (PCO)** - A person duly appointed with the authority to enter into contracts and make related determination and findings on behalf of the government. The PCO for the U.S. Navy AIM Program is NAWCTSD. PCOs are designated via a written warrant which sets forth limitations of authority.

**Contracting Officer Representative (COR)** – The designated COR is the PCO's authorized representative to assist in administering the contract. The COR will be designated in the resulting contract. The limitations of authority are contained in a written letter of designation.

## 5. Responsibilities

The following government resources are responsible for the implementation of this QASP:

**PCO** – 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 who 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

### PCO:

- Responsible for contractor compliance with all requirements of the contract, contract administration, cost and property control
- Responsible for reviewing the COR assessment of the contractor's performance
- Responsible for administrative actions arising from unresolved differences between the COR and the contractor
- Responsible for decisions that produce an increase or decrease in the scope of the contract or contract payment

**COR** – The COR is responsible for technical administration of the contract and assures proper government surveillance of the contractor’s performance. The COR 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 PCO for action.

**COR:**

- Responsible for verifying that the contractor performs the technical requirements of the contract in accordance with the contract terms and conditions and the PWS
- Responsible for ensuring that all necessary inspections are performed
- Responsible for notifying the contractor of discrepancies observed during surveillance and notifying the PCO and cognizant project manager (PJM) concerning performance of services provided by the contractor
- Responsible for coordinating site entry for contractor personnel (if required) and ensuring that the Government Furnished Information (GFI) and Government Furnished Equipment (GFE) provided for in the PWS is available.
- Responsible for maintaining contract records
- Responsible for maintaining an effective line of communication with the contractor
- Assist in the resolution of issues involving contract execution
- Provide recommendations on contractual policies and processes

In addition to the above guidance, the following restrictions apply to the COR:

- The COR cannot award or sign any contract or contract modification
- The COR cannot obligate payment of monies
- The COR cannot change schedules, funds, or scope of the contract
- The COR cannot make any contractual agreements, commitments, or modifications involving price, quantity, quality or delivery schedule

The COR is not authorized or expected to offer advice to the contractor or to contractor personnel on how the work is performed

**6. Methods of QA Surveillance**

The following methods are utilized by the PCO and/or COR in surveilling the Contractor’s quality control efforts and performance:

- A. **Contractor Performance Assessment Report System (CPARS)** –The government will address the quality of service, schedule, business relations, management of personnel, compliance to small business subcontracting participation plan, and other important areas in CPARS. As this information may affect future source selections throughout DOD, the annual government assessment is used appropriately with the QASP as a complementary performance oversight and communication tool.
- B. **Periodic Inspection** – The government will periodically inspect a number of elements of the PWS (per PWS paragraph):
  - 1) Contractor employs professional and technically qualified personnel (3.1.1)
  - 2) Contractor produces NMCI compliant tools/solutions (3.1.3)
  - 3) Contractor conducts AIM user software training sessions utilizing qualified instructors (3.2.2, 3.2.7.1)

- 4) Contractor maintains AIM Software Functional Requirements Matrix (FRM)/AIM Change Request (ACR) Maintenance (3.2.4.1)
  - 5) Contractor prepares and delivers the Software Product Document (SPD) (3.1.4, 3.2. 4)
  - 6) Contractor updates the AIM User's Manual to reflect any software corrective action changes (3.2.4.3, 3.2.6.5)
  - 7) Contractor modifies/enhances and integrates AIM software in accordance with Government directed changes (3.2.6.1)
- C. **100% Inspection** – The government will ensure the contractor complies with the following Performance-Based Services Acquisition (PBSA) provisions via 100% inspection of associated tasks, processes, or resulting products (per PWS paragraph):
- 1) Contractor is capable of transferring files electronically (3.1.2)
  - 2) Contractor provides weekly status reports (3.2.1.1.5)
  - 3) Contractor completes required engineering and technical assessments (3.2. 4)
  - 4) Contractor delivers software to the AIM System Support Office (SSO) for Government acceptance testing (3.2.6.4)
  - 5) Contractor develops and delivers a software user test (3.2.2.1.3)
  - 6) Contractor develops and delivers a post Government Acceptance Test (GAT)/inspection report based on GAT inputs (3.2.6.4)
  - 7) Contractor prepares a report on each technical assist visit (3.2.7.2)
  - 8) Contractor prepares agendas, reports, and minutes for conferences and meetings (3.1.5, 3.2.1.1.4, 3.2.1.1.5, 3.2.6.3)
  - 9) Contractor prepares Software Modification/Enhancement Engineering Change Proposals (3.2.8.1)
  - 10) Contractor prepares and delivers the Material Inventory Log (3.2.10.1)
- D. **Random Sampling** – The government will randomly sample the following PWS elements for compliance (per PWS paragraph):
- 1) Contractor implements a software corrective action/modification/enhancement directive process (3.2.6.3)
  - 2) Contractor maintaining the AIM software FRM and ACR matrix. (3.2.4.1)
  - 3) Contractor monitors and manages software configuration and documentation (3.2.6.1)
  - 4) Contractor performs software quality assurance (3.2.4.3)
  - 5) Contractor tests, verifies, and validates software corrective actions (3.2.6.3)
- E. **Progress or Status Meetings** – The government will hold periodic progress/status meetings to ensure compliance with the following PWS elements (per PWS paragraph):
- 1) Contractor implements the initialization phase (3.1.5.1)
  - 2) Contractor implements the transition phase (3.2.5)
  - 3) Contractor implements and maintains the execution is in accordance with Management Plan (3.2.1.1.1)
  - 4) Contractor supports various communication formats (3.2.1.1.3)
  - 5) Contractor supports and attends Functional Requirement Board (FRB) meetings (3.2.1.1.4)
  - 6) Contractor supports the demonstration of software to users and potential user communities (3.2. 3)
  - 7) Contractor provides telephonic or electronic (email, web meeting, etc.) software trouble support to the AIM SSO (3.2.4.2)
  - 8) Contractor provides technical assistance during Government testing of AIM software (3.2.6.4)

- F. **User Course Assessments** – The government will review user online course assessments to ensure compliance with the following PWS elements (per PWS paragraph):
- 1) Contractor collects and delivers training evaluation sheets to the government (3.2.1.2, 3.2.3.1)

## 7. **Ratings**

Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable quality level. Frequency of rating for each PWS element is determined by either Section No, 6 of this document, or by the PWS. The following rating classifications will be used by the government when assuring quality of contractor work on PWS elements identified in Section No. 6 of this document:

**EXCEEDS REQUIREMENT** - Contractor met requirements in a way that added additional benefit to the government above stated requirement.

**MEETS REQUIREMENT** - Contractor met requirement.

**DID NOT MEET REQUIREMENT** - Contractor did not meet requirement in a manner that was satisfactory to the government

## 8. **Documenting Performance**

Each of the elements monitored by the COR and/or PCO (as identified in section 6 of this document) are rated using the aforementioned rating classifications.

ACCEPTABLE PERFORMANCE (meets or exceeds requirements) is documented by the government. Any report may become a part of the supporting documentation for any contractual action.

UNACCEPTABLE PERFORMANCE (does not meet requirements) will normally be communicated by the COR to the contractor in writing unless circumstances necessitate verbal communication. In any case the COR shall document the discussion and place it in the Quality Assurance Surveillance file.

When the COR determines formal written communication is required, the COR shall prepare a Contract Discrepancy Report (CDR), and present it to the contractor's program manager.

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.

Any CDRs may become a part of the supporting documentation for any contractual action deemed necessary by the PCO.

## 9. **Documentation**

The COR will maintain a complete Quality Assurance Surveillance file. The file shall contain such documents as copies of all receiving reports, evaluations, recommendations, and any actions related to the government's performance of the quality assurance function. The COR's file shall contain at a minimum, the following:

- Copies of letters of appointment for the COR
- A copy of the contract and all modifications
- A copy of the QASP and all subsequent revisions
- The names and titles of individuals on the contract administration team
- A record of all accepted receiving reports, reviews, and other contract deliverables
- Memoranda for record or minutes of any pre-performance meetings or conferences
- Memoranda for record or minutes of any meetings and discussions with the contractor, or others, pertaining to the contract or contract performance or changes to the PWS

All such records are maintained for the life of the contract. The COR shall forward these records to the Contracting Officer at termination or completion of the contract.

#### **10. Government Findings**

The government findings resultant to its surveillance of contractor performance are a key variable in the government's decision-making process whether to issue future task orders against this contract.