

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP) TEMPLATE

NATO IMPROVED LINK ELEVEN PROJECT MANAGEMENT OFFICE
LINK 22 TRAINING SERVICES CONTRACT

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QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

1 INTRODUCTION

This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the Performance Work Statement (PWS) entitled North Atlantic Treaty Organization (NATO) Improved Link Eleven Project Management Office (NILE PMO) Link 22 Training Services Performance Work Statement. This plan sets forth the procedures and guidelines NAVWAR will use in ensuring the required performance standards or services levels are achieved by the contractor.

1.1 Purpose

1.1.1 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.

1.1.2 This QASP defines the roles and responsibilities of all members of the team, 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.

1.2 Performance Management Approach

1.2.1 The PWS structures the acquisition around "what" service or quality level is required, as opposed to "how" the contractor should perform the work (i.e., results, not compliance). This QASP will define the performance management approach taken by the NILE PMO to monitor and manage the contractor's performance to ensure the expected outcomes or performance objectives communicated in the PWS are achieved. Performance management rests on developing a capability to review and analyze information generated through performance assessment. The ability to make decisions based on the analysis of performance data is the cornerstone of performance management; this analysis yields information that indicates whether expected outcomes for the project are being achieved by the contractor.

1.2.2 Performance management represents a significant shift from the more traditional quality assurance (QA) concepts in several ways. Performance management focuses on assessing whether outcomes are being achieved and to what extent. This approach migrates away from scrutiny of compliance with the processes and practices used to achieve the outcome. A performance-based approach enables the contractor to play a large role in how the work is performed, as long as the proposed processes are within the stated constraints. The only exceptions to process reviews are those required by law (federal, state, and local) and compelling business situations, such as safety and health. A "results" focus provides the contractor flexibility to continuously improve and innovate over the course of the contract as long as the critical outcomes expected are being achieved and/or the desired performance levels are being met.

1.3 Performance Management Strategy

1.3.1 The contractor is responsible for the quality of all work performed. The contractor measures that quality through the contractor's own Quality Control (QC) program. QC is work output, not workers, and therefore includes all work performed under this contract regardless of whether the work is performed by contractor employees or by subcontractors. The contractor's QCP will set forth the staffing and procedures for self-inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. The contractor will develop and implement a performance management system with processes to assess and report its performance to the designated government representative. The contractor's QCP will set forth the staffing and procedures for self-inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. This QASP enables the government to take advantage of the contractor's QC program.

1.3.2 The government representative(s) will monitor performance and review performance reports furnished by the contractor to determine how the contractor is performing against communicated performance objectives. The government will make determination regarding incentives based on performance measurement metric data and notify the contractor of those decisions. The contractor will be responsible for making required changes in processes and practices to ensure performance is managed effectively.

2 ROLES AND RESPONSIBILITIES

2.1 The Contracting Officer

The contracting officer (PCO) is responsible for monitoring contract compliance, contract administration, and cost control and for resolving any differences between the observations documented by the Contracting Officer's Representative (COR) and the contractor. The PCO will designate in writing the COR as the government authority for performance management. The number of additional representatives serving as technical inspectors depends on the complexity of the services measured, as well as the contractor's performance, and must be identified and designated by the PCO.

2.2 The Contracting Officer's Representative

The Contracting Officer's Representative (COR) is designated in writing by the PCO to act as his or her authorized representative to assist in administering a contract. COR limitations are contained in the written appointment letter. The COR is responsible for technical administration of the project and ensures proper government surveillance of the contractor's performance. The COR is not empowered to make any contractual commitments or to authorize any contractual 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. The COR will have the responsibility for completing QA monitoring forms used to document the inspection and evaluation of the contractor's work performance. Government surveillance may occur under the inspection of services clause for any service relating to the contract.

3 IDENTIFICATION OF REQUIRED PERFORMANCE STANDARDS/QUALITY LEVELS

The required performance standards and/or quality levels are included in the PWS and in Attachment 1 to this QASP, entitled "Performance Requirements Summary Table." If the contractor meets the required Performance Levels for assigned Tasks (see Attachment 1), it will be rated as SATISFACTORY on the annual Contractor Performance Assessment (CPAR) report. If the contractor exceeds the Quality Level, it is eligible to receive an EXCELLENT on the

annual CPAR report. Failure to meet the required Quality Level will result in an UNSATISFACTORY rating in the annual CPAR.

4 METHODOLOGIES TO MONITOR PERFORMANCE

4.1 Surveillance Techniques

In an effort to minimize the performance management burden, simplified surveillance methods shall be selectively used by the government to evaluate contractor performance when appropriate. The primary methods of surveillance include:

- Random monitoring, which shall be performed by the COR.
- 100% Inspection – Each month, the COR, shall review the generated documentation and enter summary results into the **Surveillance Activity Checklist (attached)**.
- Periodic Inspection – COR typically performs the periodic inspection on a quarterly basis.

4.2 Customer Feedback

The contractor is expected to establish and maintain professional communication between its employees and customers. The primary objective of this communication is customer satisfaction. Customer satisfaction is the most significant external indicator of the success and effectiveness of all services provided and can be measured through customer complaints (or lack thereof).

Performance management drives the contractor to be customer focused through initially and internally addressing customer complaints and investigating the issues and/or problems but the customer always has the option to communicate complaints to the PCO and/or COR, as opposed to the contractor.

Customer complaints, to be considered valid, must set forth clearly and in writing the detailed nature of the complaint, must be signed, and must be forwarded to the COR. The COR will accept those customer complaints and investigate.

Customer feedback may also be obtained either from the results of formal customer satisfaction surveys. The PCO may also consider informal customer complaints that have not been signed and formalized.

4.3 Acceptable Quality Levels

The acceptable quality levels (AQLs) included in Attachment 1 (Performance Requirements Summary table) for contractor performance are structured to allow the contractor to manage how the work is performed while providing negative incentives for performance shortfalls. For certain critical activities such as production of training materials, and delivery of classroom-based, online self-paced, online instructor-led, and train the trainer courses, the desired performance level is established at 100 percent. Other levels of performance are keyed to the relative importance of the task to the overall mission performance at the NILE PMO.

5 QUALITY ASSURANCE DOCUMENTATION

5.1 The Performance Management Feedback Loop

The performance management feedback loop begins with the communication of expected outcomes, which will begin at the contract kick-off meeting. The contract kick-off meeting will include a review of the QASP to ensure a common understanding between the Contractor and the Government, clarification of quality-related roles and responsibilities, and a review of quality-reporting requirements on the contract. Performance standards are expressed in the PWS and are assessed using the performance monitoring techniques shown in Attachment 1.

5.2 Monitoring Forms

The government's QA surveillance, accomplished by the COR will be reported using the monitoring forms in Attachments 2 and 3. The forms, when completed, will document the government's assessment of the contractor's performance under the contract to ensure that the required results (or quality levels) are being achieved.

5.2.1 The COR will retain a copy of all completed QA surveillance forms.

6 ANALYSIS OF QUALITY ASSURANCE ASSESSMENT

6.1 Determining Performance

6.1.1 Government shall use the monitoring methods cited to determine whether the performance standards/service levels/AQLs have been met. If the contractor has not met the minimum requirements, it may be asked to develop a corrective action plan to show how and by what date it intends to bring performance up to the required levels. Failure to meet the AQL may result in an UNSATISFACTORY CPARS. Likewise, if the contractor exceeds the performance standards, an EXCELLENT CPARS rating can be awarded.

6.2 Reporting

6.2.1 At the end of each month, the COR will prepare a written report summarizing the overall results of the quality assurance surveillance of the contractor's performance. This written report, which includes the contractor's submitted monthly report and the completed quality assurance monitoring forms (Attachment 2), will become part of the QA documentation. It will enable the government to demonstrate whether the contractor is meeting the stated objectives and/or performance standards, including cost/technical/scheduling objectives.

6.3 Reviews and Resolution

6.3.1 The COR may require the contractor's project manager to meet with the PCO, PM and other government personnel as deemed necessary to discuss performance evaluation. The PCO will define a frequency of in-depth reviews with the contractor, including appropriate self-assessments by the contractor; however, if the need arises, the contractor will meet with the PCO, COR or PM as often as required or per the contractor's request. The agenda of the reviews may include:

- Monthly performance assessment data and trend analysis;
- Issues and concerns of both parties;

- Projected performance outlook for upcoming months and progress against expected trends, including a corrective action plan analysis;
- Recommendations for improved efficiency and/or effectiveness; and,
- Issues arising from the performance monitoring processes.

6.3.2 The PCO must coordinate and communicate with the contractor to resolve issues and concerns regarding marginal or unacceptable performance.

6.3.3 The PCO, COR and PM and the contractor should jointly formulate short- and long-term courses of action. Decisions regarding changes to metrics, thresholds, or service levels should be clearly documented. Changes to service levels, procedures, and metrics should be incorporated as a contract modification issued by PCO as soon as practicable.

ATTACHMENT 1: PERFORMANCE REQUIREMENTS SUMMARY

Required Services (Tasks)	Performance Standards	Acceptable Quality Levels	Methods of Surveillance
All deliverables (CDRLs) provided in accordance with projected lead time for all Task Orders	All deliverables specified on a Task Order delivered free from technical, typing, formatting or grammatical errors, on time as per integrated master schedule in the Contractors Progress, Status and Management Report.	80% of deliverables delivered on time as per master schedule. 90% of student per course agree that the training materials (CDRLs J001, J002, J003 and J004) cover the stated course objectives adequately for the purposes of the training course.	COR and NILE PMO review of Integrated Master Schedule, and any Task Order-specific schedules, COR recording formal delivery date against scheduled delivery date. Contractor to include table showing self-assessment of performance against the QASP in every Contractor's Status, Progress and Management Report (CDRL A001)
Deliver Link 22 classroom-based (including in-country) and online instructor-led training courses in accordance with the requirements of the PWS and Task Order	Students participating in the training course agree that the course covered the stated learning objectives	90% of students per course agree that: <ol style="list-style-type: none"> 1. The course they attended successfully met the stated learning objectives; 2. The training materials were suitable, accurate, and complete for the purposes of meeting the learning objectives; 3. The trainer(s) were suitably knowledgeable on the topics covered during the course, were able to answer relevant questions, and delivered the course material in a clear, 	COR and NILE PMO review of student feedback forms. Quantitative and qualitative analysis of the scores and feedback provided. In-person or virtual attendance by COR and/or NILE PMO representatives at any course to observe training course delivery.

		accurate fashion.	
Design, administer, and mark a completion test to be conducted on the final day of each classroom-based (including in-country), online instructor-led, instructor self-paced, and train the trainer courses in accordance with the PWS.	Students participating in the training course agree that the exam tested the stated learning objectives.	90% of students per course agree that the exam tested the stated learning objectives.	COR and NILE PMO review and monitoring of Post Training Course Report (CDRL A006)
Deliver an online platform supporting the online self-paced Link 22 training course within 6 months of contract award	Online platform is readily available to students. The platform is safe and secure from outside agents.	Online platform is available for no less than 28 full days out of every 30 days in a month, 24hrs per day that it is operable. Online platform adheres to security requirements set out in the PWS	COR and NILE PMO review of the Contractors Status, Progress and Management Report (CDRL A001) which should report availability metrics of the online platform for the period covered in the document.

The table above shows the Acceptable Quality Levels (AQL) for each deliverable. The Government plans to further evaluate the Contractor on how often they meet the threshold AQL in the Contractor Performance Assessment Reporting System (CPARS).

