

Aviation Combined Arms Tactical Trainer  
(AVCATT) UH-72A Upgrade

Contract Number W900KK-09-D-XXXX

Delivery Order XXXX

Quality Assurance Surveillance Plan (QASP)

U.S. ARMY PEO STRI Acquisition Center

12350 Research Parkway, Orlando, FL 32826

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29 January 2013

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## AVCATT UH-72A Upgrade Quality Assurance Surveillance Plan

Contract Name: AVCATT UH-72A Upgrade

Type of Contract: Primarily Firm Fixed-Price with two Cost-Plus-Fixed-Fee Line Items

Contract Number: W900KK-09-DXXXX, Delivery Order 00XX

COR: Cindi Slepov

DATE: 29 January 2013

1. **Purpose** Pursuant to DFARS 246.401, the requirement for a Quality Assurance Surveillance Plan (QASP) shall be addressed and documented in the contract file for each contract except for those awarded using simplified acquisition procedures. For contracts for services, the Contracting Officer should prepare a QASP to facilitate assessment of contractor performance. For contracts for supplies, the Contracting Officer should address the need for a QASP.

In compliance with DFARS, AFARS and local policy, this QASP has been uploaded to the Army Contracting Command online Contracting Officer's Representative (COR) Management Tool (<https://arc.army.mil/COR/>) to provide the standard of surveillance for monitoring Program Executive Office for Simulation, Training, & Instrumentation (PEO STRI) Acquisition Center contract actions and to provide a systematic approach for conducting the surveillance. The Contracting Officer (KO) appointed a Contracting Officer's Representative (COR) for Delivery Order 00XX issued under PEO STRI Omnibus Contract II (STOC II), Indefinite Delivery Indefinite Contract W900KK-09-D-00XX. The COR appointed will also serve as the Quality Assurance Evaluator (QAE) and will use this QASP to ensure the standards of the contract are being met. The COR/QAE will be referred to as COR throughout this QASP.

2. **Performance Standards.** The QASP provides a systematic method to evaluate Contractor performance. The COR will assess the Contractor's performance to ensure the Contractor is performing up to the specified standards; performance standards for the Statement of Work as well as standards in the Contractor's Technical Proposal, both of which shall be placed in the COR's file.

3. **Management and Oversight.** The QASP is based on the premise that the Contractor and not the Government, is responsible for the management and any Quality Control action required to meet the terms of the Contract and delivery order.

The performance requirements recognize that the Contractor is not a perfect manager and that unforeseen requirements and uncontrollable problems do occur. Good management and use of an adequate quality control measures will allow the Contractor to operate within specific performance requirements. QASPs are designed to be objective, fair and consistent in evaluating Contractor performance.

4. **Acceptable Quality Levels.** Acceptable Quality Levels (AQLs) have been established to provide performance standards that the Contractor will meet in performing the delivery order. In the event the Contractor does not meet the established AQLs, the Contracting Officer has the right to exercise the negative incentives stated in this QASP.

5. **Primary Method of Surveillance/Evaluation.** The COR will perform evaluation based on using one of the various methods outlined in the table included in this QASP. The following methods may be incorporated into the monitoring of the Contractor's performance:

**100% inspection:** Inspection where specific characteristics of every performance unit are examined and tested to determine conformance with requirements. For PEO STRI ACTT this may include periodic checks for safety, reliability and user friendliness of the AVCATT UH-72A Upgrade being built at periodic points during the design, development, manufacturing, production, testing, installation and retrofits.

**Random inspection:** Sampling method in which each unit of the population has an equal chance of being selected. For PEO STRI ACTT this may include more or less frequent checks (i.e., sampling) for safety, reliability and user friendliness of the AVCATT UH-72A Upgrade being built at periodic points during the design, development, manufacturing, production, testing, installation and retrofits.

**Customer Surveys and Feedback:** A review method where customers and end users are surveyed to provide input on specific performance requirements.

6. **Negative Incentives.** If any of the required performance does not meet the AQL standards set in the table below, the COR shall document the discrepancy(s) and shall notify the Contractor promptly, and the Contracting Officer, on a monthly basis, for appropriate action. When the performance is below the AQL standard, the Government may implement a negative incentive that includes increased surveillance and/or Contractor reporting, as well as, documentation on the Contractor's interim and annual past performance reviews (per FAR 42.15).

7. **Notification.** The COR will notify the Contracting Officer, in writing, of unacceptable quality levels. The Contracting Officer will promptly provide written notification of discrepancies on a monthly basis, or immediately if the situation significantly affects the well-being of the project. The Contractor will be given the opportunity to respond, in writing, to each discrepancy.

8. **Response.** The Contractor shall provide a written response to the cause and the corrective action to prevent recurrence within 10 working days after receipt of Contracting Officer's notification. The Contractor should cite specific quality assurance program procedures or new procedures instituted to prevent recurrence.

9. **Records.** The COR will maintain contract surveillance files as directed by the Contracting Officer. Surveillance files will include, in part, the following documentation but may be tailored to the performance of scope of work throughout the delivery order period of performance by PEO STRI ACTT:

- a. COR designation and appointment letters;
- b. A copy of the contract and all contract modifications;
- c. Copies of the delivery order and all delivery order modifications;
- d. QASP and any other tools, checklists, etc.;
- e. All correspondence including Contracting Officer notifications and the Contractor's responses;
- f. Contractor monthly status reports;

- g. Evidence of satisfactory performance provided by Project Officers monthly;
- h. Evidence of cost monitoring: invoices certified and tracked against any contract and/or order ceilings;
- i. Evidence that all materials/equipment obtained under any delivery order is accounted for and remains in Government possession;
- j. Minutes of reviews, trip reports, meeting minutes, etc.;
- k. Surveillance reports and a summary of the Surveillance Logs will be prepared by the COR, and submitted to the Contracting Officer annually;
- l. Out-of-cycle reports may be submitted in support of unacceptable performance identified during the performance period by the COR, or when there is a significant change in performance that alters the assessment in one or more evaluation areas;
- m. Annual in-progress reviews will be conducted;
- n. Validation that the Contractor's employees, including subcontractor employees, requiring access to Army installations, facilities, or controlled access areas shall complete AT Level I Awareness Training;
- o. Validation the Contractor and all associated subcontractors have briefed all employees on the local iWATCH program.

**10. Ratings.** The following criteria will be used for performance evaluations: Exceptional, Satisfactory, Marginal, or Unsatisfactory. Upward or downward arrows may be used to indicate an improving or worsening trend insufficient to change to the assessment status.

- a. Exceptional. Indicates performance clearly exceeds contractual requirements. The area of evaluation may contain a few minor problems for which corrective action appears highly effective.
- b. Satisfactory. Indicates performance clearly meets contractual requirements. The area of evaluation contains some minor problems for which the corrective actions appear satisfactory.
- c. Marginal. Indicates performance meets contractual requirements. The area of evaluation contains one or more serious problems for which corrective actions have not yet been identified, appear only marginally effective, or have not been fully implemented.
- d. Unsatisfactory. Indicates the Contractor is in danger of not being able to satisfy contractual requirements and recovery is not likely in a timely manner. The area of evaluation contains one or more serious problems for which the corrective actions appear ineffective.

**11. Documentation.** Documentation used and referenced to perform surveillance will consist of monthly reports, Contractor plans and procedures, schedules, customer feedback and contract data requirements.

- a. Recording Observations. Use Surveillance Logs to record information on scheduled observations and deficiencies noted. Each observation/inspection is recorded on the log. The documents then become a formal record for reference. The Contractor is to be told each time that a deficiency is found during scheduled observations/inspections. The COR makes a notation on the Surveillance Log of the date and time the deficiency was discovered, and subsequently requests that the Contractor initial the notation, documenting notification of the deficiency only.
- b. Potential Unacceptable Performance. The COR must identify the specific service or supply that is unacceptable and the possible causes, and ask a number of questions which if answered, will probably pinpoint the source of the problem.
- c. Documenting Unacceptable Performance. The COR must attempt to resolve the problem with the Contractor. The original log and the attempted solution (along with an evaluation of results) are forwarded to the Contracting Officer through the COR.

Based on the severity of the discrepancy and the success of the solution, the COR will notify the Contracting Officer. The Contractor shall complete a response to the unacceptable evaluation if requested by the Contracting Officer or by its own choice.

**12. Taking Action.**

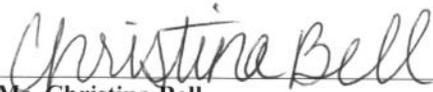
- a. The COR may evaluate the Contractor’s performance and document any non-compliance, but only the Contracting Officer may take action against the Contractor for an unacceptable rating.
- b. When the Contractor’s performance is unacceptable and a formal action is indicated, the COR will determine what action is appropriate for the specific circumstances and make a recommendation to the Contracting Officer.

**13. Documentation.** The COR retains a copy of all inspection schedules and surveillance activity logs during the course of the contract, and forwards them for inclusion in the COR database at the end of the surveillance period. However, when a specific service becomes unsatisfactory during a surveillance period, the inspection documentation supporting the contract discrepancy report is promptly forwarded to the Contracting Officer.

**14.** The performance standards for PEO STRI ACTT CORs are below.

Objective	Standard	Inspection, Type and Frequency	Incentive
Program Management Support	<ul style="list-style-type: none"> <li>• Responsive</li> <li>• Thorough</li> <li>• Comprehensive</li> <li>• Complete</li> <li>• Timely</li> </ul>	<ul style="list-style-type: none"> <li>• Random sampling</li> <li>• Monthly reports</li> <li>• Project officer feedback on the monthly reports</li> <li>• Quarterly reviews</li> <li>• Continuous review Observation</li> </ul>	<ul style="list-style-type: none"> <li>• Option Exercise</li> <li>• Annual Past Performance Report</li> </ul>

Engineering & Analytical Support	<ul style="list-style-type: none"> <li>• Current</li> <li>• Accurate</li> <li>• Complete</li> <li>• Responsive</li> <li>• Scientifically supportable</li> <li>• Experimental design</li> </ul>	<ul style="list-style-type: none"> <li>• Random sampling</li> <li>• Monthly reports</li> <li>• Project officer feedback on the monthly reports</li> <li>• Quarterly reviews</li> <li>• Continuous review Observation</li> </ul>	<ul style="list-style-type: none"> <li>• Option Exercise</li> <li>• Annual Past Performance Report</li> </ul>
IT support <ul style="list-style-type: none"> <li>• Market research</li> <li>• Analysis</li> <li>• Recommendations</li> <li>• Training</li> <li>• Graphic design</li> <li>• Field support</li> </ul>	<ul style="list-style-type: none"> <li>• State of-the-art</li> <li>• Effective</li> <li>• Compatible</li> <li>• Current</li> <li>• Innovative</li> <li>• Efficient</li> <li>• Responsive</li> <li>• Timely</li> </ul>	<ul style="list-style-type: none"> <li>• Random sampling</li> <li>• Monthly reports</li> <li>• Project officer feedback on the monthly reports</li> <li>• Quarterly reviews</li> <li>• Continuous review Observation</li> </ul>	<ul style="list-style-type: none"> <li>• Option Exercise</li> <li>• Annual Past Performance Report</li> </ul>
Contract Management	<ul style="list-style-type: none"> <li>• Cost Control</li> <li>• Efficient use of resources</li> <li>• Adherence to schedule</li> </ul>	<ul style="list-style-type: none"> <li>• Accuracy of budget estimates vs. actual costs</li> <li>• Travel is not abused and best rates acquired</li> <li>• ODCs are in scope; maintain log and receipts</li> <li>• Account for materials and GFE/M/I</li> </ul>	<ul style="list-style-type: none"> <li>• Option Exercise</li> <li>• Annual Past Performance Report</li> </ul>
Contract Management Reporting (CMR)	<ul style="list-style-type: none"> <li>• Current</li> <li>• Accurate</li> <li>• Complete</li> <li>• Timely</li> </ul>	<ul style="list-style-type: none"> <li>• Accuracy of Information</li> <li>• Validated Review</li> <li>• Documented Report</li> </ul>	<ul style="list-style-type: none"> <li>• Annual – No later than 30 Nov first year and annually thereafter until closed out</li> </ul>
Antiterrorism / Operations Security	<ul style="list-style-type: none"> <li>• AT Level I and iWATCH Training conducted</li> </ul>	<ul style="list-style-type: none"> <li>• Validate training reports</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Past Performance Report</li> </ul>



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