Quality Assurance Surveillance Plan

For

Welding, Machining, Painting, and Fabrication Support

Contract Number: TBD

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1. Overview.

1.1. Purpose. The purpose of this Quality Assurance Surveillance Plan (QASP) is to identify the methods and procedures the Government will use to ensure it receives the services under this contract as identified in the Performance Work Statement (PWS).

1.2. Intent. The intent of this QASP is to: 1) ensure Contractor performance meets or exceeds contract terms, conditions and specifications; 2) hold the Contractor accountable for quality control; and 3) encourage the Contractor to take appropriate steps to control and improve quality. Accordingly, the Government will perform surveillance on the contract in accordance with this QASP, but reserves the right to monitor the contract in any manner necessary, at any times necessary, and at all places necessary to ensure that the rendered services conform to contract requirements. The Government also reserves the right to perform quality assurance at the Subcontractor level and perform quality assurance at the contractor's place of business, if applicable. Resolution of non-conforming services discovered at the Subcontractor level will be addressed with the prime Contractor.

2. Description of Services.

2.1. Scope of Work. The Contractor shall provide non-personal service(s). The objective of this PWS is to provide US Army Aberdeen Test Center (ATC), Aberdeen Proving Ground (APG) Welding Fabrication, Machining and Paint Shops with high quality welding, fabrication, machining and painting support services at a reasonable price while maximizing innovation and cost reduction initiatives.

2.2. Type of Contract. TM – Time and Material

3. Roles and Responsibilities.

3.1. Government.

3.1.1. Contracting Officer (KO). The KO is the only person with the authority to enter into, administer, and or terminate contracts, and make related determinations and findings on behalf of the Government. Note: The only individual who can legally bind the Government.

3.1.2. Contracting Officer's Representative (COR). The (COR) will be identified by separate designation letter. The COR monitors all technical aspects of the contract and assists in contract administration. The COR is authorized to perform the following functions: assure that the Contractor performs the technical requirements of the contract: perform inspections necessary in connection with contract performance: maintain written and oral communications with the Contractor concerning technical aspects of the contract: issue written interpretations of technical requirements, including Government drawings, designs, specifications: monitor Contractor's performance and notifies both the Contracting Officer and Contractor of any deficiencies; coordinate availability of Government furnished property, and provide site entry of Contractor personnel. A letter of designation issued to the COR, a copy of which is sent to the Contractor, states the responsibilities and limitations of the COR, especially with regard to changes in cost or

price, estimates or changes in delivery dates. The COR is not authorized to change any of the terms and conditions of the resulting order.

3.1.3. Technical Monitor(s) (TM). The TM provides detailed technical oversight of the Contractor's performance and reports his or her findings to the COR in a timely, complete and impartial fashion to support the COR's administration activities. While the TM may serve as a direct conduit to provide Government guidance and feedback to the contractor's program manager or working lead on technical matters, he or she is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf.

3.1.4. ATC Contracts Branch. The Contracts Branch provides centralized contracts management support to all ATC activities to include, but not limited to, the following: technical advice in the preparation of Acquisition Request Packages, QASP preparation and implementation, training, development of internal policies and procedures, and serves as the liaison office between contracting activities and ATC.

3.2. Contractor.

3.2.1. Project Manager. Shall be present during normal duty hours to conduct overall management coordination and have the authority to act or make decisions for the Contractor on all matters pertaining to the contract with the Government. Alternate. The contractor shall designate an alternate representative who shall be authorized to act on the contractor's behalf during absence of the designated program manager

4. Contract Quality Requirements.

4.1. Contractor's Quality Control Program. The Contractor's quality control program (IAW FAR Part 46 and applicable 52.246 Clause(s)) is the means by which the Contractor assures that work complies with the requirement of the contract. The Contractor shall ensure services are performed in accordance with this PWS. The Contractor shall identify, prevent, and ensure non-recurrence of defective services.

4.2. Government Quality Assurance. The Government shall evaluate the Contractor's performance under this contract in accordance with this QASP. This plan is primarily focused on what the Government must do to ensure that the Contractor has performed in accordance with the performance standards. It defines how the performance standards will be applied, the frequency of surveillance and minimum acceptable defect rate(s).

5. Government Surveillance.

5.1. Methods of Surveillance. The following Methods of Surveillance will be utilized in monitoring the Contractors' performance:

5.1.1. 100% Inspection: Per PWS requirements**.** Will be completed monthly over 2 working days.

5.1.2. Random Sampling Per PWS requirements**.** Will be completed per COR inspection.

5.1.3. Periodic Inspection Per PWS requirements**.** Will be completed monthly over 2 working days.

5.1.4. Customer Feedback. The following procedures will be followed when a complaint is received regarding the Contractor/Contractor Employees.

- The COR will investigate and determine the validity of the complaint.
- If the complaint is determined to be invalid, the COR will inform the person who submitted the complaint of the reason(s) as soon as practical.
- For validated complaints that are true contractual non-conformances, the procedures in paragraph 6 below will be followed.

5.2. Surveillance Schedule. A Surveillance Schedule will be created for each month of Contractor performance and filed in the Procurement Integrated Enterprise Environment (PIEE), Surveillance and Performance Monitoring (SPM), Surveillance Documents Section of the Contract File using the Add Smart Form function. The schedule is "FOR OFFICIAL USE ONLY" and is not releasable to anyone other than authorized Government personnel

5.3. Surveillance Instructions/Checklists. Surveillance Checklists will be completed when surveillances are conducted and filed in the PIEE, SPM, Surveillance Documents Section of the Contract File using the Add Smart Form function.

5.4. Surveillance Documentation. No later than the 15th of each month surveillance documentation for the preceding month will be filed in the PIEE, SPM, Surveillance Documents Section. Surveillance documentation includes a COR Status Report, the Surveillance Schedule, all completed Surveillance Checklist(s) for the period the COR Status Report covers, Nonconformance Reports, if any, and Contractor Deliverables, if any.

6. Nonconformance Reports (NCRs). Nonconformance occurs when a Contractor fails to meet Contract or Task Order terms, conditions and/or specifications or the services are defective in some manner. All instances of nonconformance will be documented via a Nonconfomance Report Worksheet, Attachment 2 and the Contracting Officer will notify the Contractor of the nonconforming performance via Letter. Resolution of nonconformance discovered at the Subcontractor level will be addressed with the prime Contractor. Nonconformance is classified as either: Level 1 (Minor); Level 2 (Major); or Level 3 (Critical). NCRs may contain multiple nonconformances, each characterized by a level and type. The level of the NCR should normally correspond to the highest level of nonconformance listed in the NCR. For example, if a NCR had one Level 3, one Level 2, and three Level 1 nonconfomrances, the NCR level would be Level 3. The exception might be when the aggregate of multiple nonconformances considered in whole associate to a more serious type of nonconformance defined in FAR 46.101 (e.g. if a NCR

had three Level 2 nonconformances but the definition of critical nonconformance better describes the impact/effect when considered in whole, the NCR level would be 3).

6.1. Level 1 (Minor). Level 1 nonconformances are those that are 'minor' in nature such that they can be promptly corrected by the contractor, present no need for root cause analysis or determination if other contract requirements are affected, present no need for further preventive action, and do not materially reduce the usability of the supplies, services, construction, or deliverables. While the contractor must correct the nonconformance, further actions and Government follow-up are not required, and no written response from the contractor is needed.

6.2. Level 2 (Major). Level 2 nonconformance(s) are those that are 'major' in nature such that they are not promptly correctable, and/or warrant root cause analysis and preventive action, and/or need action by the contractor to determine if other contract requirements are affected. These nonconformances are serious enough to warrant not only correction of the nonconformance, but also a written response from the contractor in the form of a Corrective Action Plan (CAP), and Government follow-up. The qualifying distinction between a Level 1 and Level 2 nonconformance is the need for a CAP and Government follow-up. A NCR identifying a Level 2 nonconformance may also be issued after repetitive Level 1 instances of the same or similar nonconformance demonstrate the contractor is failing to institute effective corrective action and/or failing to implement effective quality and/or internal control(s). Repetitive Level 1/minor nonconformance of the same or similar requirement(s) increases the risk to the Government that continued, repetitious, or cumulative failures may materially reduce the usability of the supplies, services, construction, work, or deliverables for their intended purpose or is an indicator that root cause analysis and a CAP is required to fix the underlying conditions creating the nonconformance. Further, serious individual contractor employee misconduct discovered by the Government and traceable to contract requirements should normally result in a Level 2 nonconformance because the serious nature of misconduct necessitates contractor management conduct root cause analysis, take preventive actions, and requires Government follow-up (characteristics of a Level 2 NCR). Further, issue a NCR with a Level 3 nonconformance for serious contractor employee misconduct only when there is a trend demonstrating a breakdown in contractor management or processes allowing serious misconduct to repetitively occur, or the misconduct poses a hazardous or unsafe condition for the personnel receiving the contracted supply, service, or construction, and misconduct can be traced to nonconformance of contract requirements.

6.3. Level 3 (Critical). Level 3 nonconformance(s) are those that are 'critical' in nature such that they represent a serious weakness in internal controls and/or have actual or potential significant impact(s) on contract performance and/or the supported unit/Government operations. For these nonconformance(s), the qualifying distinction between a Level 2 and Level 3 nonconformance is the seriousness of the issue prompting the need for higher level management to address the nonconformance and resulting corrective action. Due to the nature of a Level 3 nonconformance, these types of nonconformance are candidates for contract remedies. Therefore, before issuance of a NCR with a Level 3 nonconformance, consideration should be made whether an NCR or contract remedy is more appropriate. Issuing a Level 3 NCR in lieu of a contract remedy would normally be considered the Government's final attempt to work with the contractor to resolve a contractual nonconformance before contractual remedies are used.

However, issuance of a Level 3 NCR is not a requirement before using contractual remedies. A NCR identifying a Level 3 nonconformance (or a contract remedy) may be issued after repetitive Level 2 instances of the same or similar nonconformance demonstrate the contractor is failing to institute effective corrective action or failing to implement effective quality/internal controls. Repetitive major nonconformances with the same or similar requirement(s) increase the risk to the Government that continued, repetitious, or cumulative failures may significantly impact the mission, or may result in hazardous/unsafe conditions.

6.4. Documenting NCRs. Use/fill out the Nonconformance Report Worksheet, Attachment 2, when nonconforming performance is identified. Documentation, as a minimum, will include: the Contract or Task Order number; reference to the specific contract requirement; the specific discrepancy to the requirement; where it was discovered; the date and time it was discovered; and the Contractor representative who was notified. Also, include a suspense date for Contractor response/corrective action for Level 2 and Level 3 NCRs. The Contracting Officer must ensure appropriate level review and approval of the NCR Worksheet and then addresses the NCR in Letter Format to the applicable level of Contractor management based on the seriousness of the nonconformance.

6.5. Tracking and Resolving NCRs. All NCRs will be included in the COR's Status Report. The Government considers Level 1 nonconformance closed as of the issuance of the Letter to the Contractor. However, your attention to address Level 1 Minor nonconformance is still required. Repetitive nonconformance of the same or similar requirement would be an indication the contractor failed to institute effective corrective action and/or failed to implement effective quality control and may result in a Level 2 NCR requiring submission of a CAP to the Government. The COR and KO shall track Level 2 and Level 3 NCRs to ensure the Contractor identifies and takes appropriate corrective action to the root cause and the specific nonconformance is corrected within the required timeline. The KO will make a final written determination of the Government's remedies if the non-conformance is not corrected by the Contractor after receiving notice and a reasonable opportunity to correct the work.

7. Deduct Plan. This acquisition does not include a Deduct Plan.

8. Data Analysis. Data Analysis will be performed to identify trends in cost, schedule and/or performance risks. The results of Data Analysis will be documented in COR Status Reports and may be used to make adjustments to surveillance schedules, increase or decrease surveillance, if deemed appropriate. Negative trends noted using Government data/observations could result in issuing the Contractor a Nonconformance Report. Trends noted using Contractor data will not result in a Nonconformance Report unless the Contractor is not addressing the negative trend.

9. Acceptance **of Services**. When all services have been deemed acceptable and there is documented objective quality evidence to support acceptable performance the COR will accept the services provided and authorize payment of the Contractor. This is accomplished by approving the Contractor's Receiving Reports in PIEE, WAWF.

10. COR Status Report. COR Status Reports will be submitted on a monthly basis, no later than the 15th of each month for the preceding frequency, to the Contracting Officer via PIEE,

SPM, Surveillance Documents Section using the Add Smart Form function. COR Status Reports will provide a synopsis of the Contractors performance for the inclusive dates of the report. The synopsis will contain a summary of: surveillances performed; Customer Feedback, if any; Nonconformance Reports, if any; an analysis of the Contractors performance; recommended adjustments to surveillance schedules; and any other pertinent contract information.

11. Contractor Manpower Reporting Initiative. In accordance with Office of the Secretary of Defense Memorandum, Revised Department of Defense Contractor Manpower Reporting Initiative, dated Oct 16, 2019, the Contractor must report contractor manpower to the System for Award Management website at https://www.sam.gov NLT 31 October each year. All data shall be reported in accordance with applicable Federal Acquisition Regulation and supplements. The COR shall verify that the Contactor has complied with the required contractor manpower reporting annually and document the results in their October COR Status Report.

12. Contractor Performance Assessment Reporting System (CPARS). Documented surveillance data (COR Status Reports, Completed Surveillance Checklists, Customer Feedback, Deliverables, if any, and Nonconformance Reports, if any) will be used to support CPARS ratings. CPARS will be completed in accordance with AFARS, Subpart 5142.15 – Contractor Performance Information. The COR shall document that CPARS, if required, was completed in the COR Status Report for the month in which the CPARS was completed

13. Combating Trafficking In Persons (CTIP). In accordance with PGI 222.17 and FAR 52.222-50, the KO will be notified immediately of any information from any source that alleges a Contractor employee, subcontractor and/or subcontractor employee has engaged in conduct that violates the United States Government "zero" tolerance policy regarding trafficking in persons.

14. COR/Quality Assurance Surveillance Files. The official COR/Quality Assurance Surveillance File will be maintained in PIEE, SPM IAW DoDI 5000.72, DoD Standard for COR Certification.

15. QASP Changes. This QASP is a living document and, as such, may be changed as needed based on Data Analysis (trends), contract modifications, etc. The COR will send any recommended changes to the KO for approval and the KO must approve all changes.

COR'S Signature Block

Contracting Officer's Signature Block

Attachments:
1. Performance Requirements Summary (PRS)
2. Nonconformance Report Worksheet

Attachment 1

Performance Requirements Summary (PRS)

ID	Performance Requirement	PWS Section	Performance Standard	Method of Surveillance	Acceptable Performance Level (APL)
A	Program Management	1.8, 1.10, 5.2.1	Timely and effective communication at all times. Meet with the COR on a quarterly basis. Responsive to needs and accountable for all projects' progress and performance. Effective quality management IAW with Quality Management Plan.	COR and TM quarterly and periodic assessment. Quarterly meetings. Customer feedback.	95% Compliance, Correctable to 100% in 30 days of submission
B	Qualified Personnel	1.10, 1.10.1	Provides an adequate number of appropriate personnel to complete tasks. Provide personnel that meet the minimum requirements specified in Attachment 2 with the appropriate licenses.	COR and TM quarterly and periodic assessment. Customer feedback.	95% Compliance, Correctable to 100% in 30 days of request for personnel
C	Government Furnished Property Accountability	1.27, 3.4.1, 3.4.3	Compliance with the PWS, DoD, APG and ATC SOP and Regulations	COR and TM quarterly and periodic assessment	95% Compliance

D	Contractor Equipment and Services	Part 4	Provides all necessary supplies, parts, materials, tools, support equipment, labor, vehicles and services specified in the PWS except those specifically stated as Government furnished property.	COR and TM quarterly and periodic assessment	90% Compliance Correctable to 100% in 60 days of employee start date
E	Deliverable Timeliness	Technical Exhibit B	All products and services delivered as specified by the contract and the COR/TM	COR and TM monthly and periodic assessment. Customer feedback.	95% Compliance, Correctable to 100% in 30 days of submission
F	Invoicing	5.4, 1.14.1	Timely accounting and invoicing of costs via WAWF ONLY. All cost- reimbursable expenses are pre-approved by the COR. Provide quotes with expense request to ensure prices are fair and reasonable	COR monthly and periodic assessment	70% compliance by 30 days, 90% by 60 days, 100% by 90 days of each invoicing period
G	Training	1.23, 3.7	Ensure all contractor personnel receive the required training in the timeframe specified. Maintain training records for each employee.	COR and TM quarterly and periodic assessment	95% Compliance, Correctable to 100% in 30 days of each employee start date
H	Organizational Conflicts of Interest (OCIs)	1.19	Ensure there are no OCIs and report potential OCIs within 3 working days to the Contracting Officer. Ensure OCI requirements are clear to subcontractors.	COR and TM monthly and periodic assessment.	100% Compliance

I	Safety	1.21	Compliance with the PWS, Federal laws, DoD, APG and ATC SOP and Regulations	COR and TM monthly and periodic assessment	100% Compliance for all issues that could result in serious bodily injury, death or property damage over $5,000; 95% for all other issues
J	Security	1.6	Compliance with the PWS, Federal laws, DoD, APG and ATC SOP and Regulations	COR and TM monthly and periodic assessment	95% Compliance
K	Environmental	1.22	Compliance with the PWS, Federal laws, DoD, APG and ATC SOP and Regulations	COR and TM monthly and periodic assessment	95% Compliance
L	Product Performance	Part 5	Contractor meets specified requirements in regard to machining, welding and fabrication assemblies of assigned work. This includes dimensional tolerance, welded joint quality, fit and fabrication assembly.	COR and TM periodic assessment	95% Compliance, Correctable to 100% in 30 days of request for personnel

Attachment 2

Nonconformance Report Worksheet



NCR Worksheet
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