

**Contract Surveillance Plan (CSP)****Air Systems Group (ASG)****Indefinite Quantity Indefinite Delivery****1. Purpose**

This CSP is a Government developed and applied document used to make sure the systematic quality assurance assessment (QA) methods are used in the administration of the Statement of Work (SOW). The intent is to ensure that the Government receives the quality of services and products for tasks identified in the IDIQ.

The IDIQ requirement is for Aeromechanics and Systems Engineering research, development and technical support services Naval Air Warfare Center Aircraft Division (NAWCAD) Air Systems Group (ASG) Flight Controls Branch.

**2. Authority**

Authority for the issuance of this CSP is provided under Section E – Inspection and Acceptance, which provides for inspections and acceptance of the services and documentation called for in task orders, 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 CSP. The contractor, and not the Government, is responsible for management and quality control actions necessary to meet the quality standards set forth by the contract/task order.

The CSP 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 task order.

**4. Government Resources**

Outlined below are the following definitions of the roles and responsibilities for Government resources as applicable to this CSP:

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 task order is Stacey Stone. The ACO will be designated in the resulting order. Contracting Officers are designated via a written warrant, which sets forth limitations of authority.

**Contracting Officer's Representative (COR) / Alternate Contracting Officer's Representative (ACOR)** – An individual appointed in writing by the PCO to act as their authorized representative to assist in administering the task order. The limitations of authority are contained in a written letter of appointment.

**5. Responsibilities**

The following Government resources shall have responsibility for the implementation of this CSP.

**Contracting Officer** – The Contracting Officer ensures performance of all necessary actions for effective contracting, ensures compliance with the terms of the task order 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 and task order. The Contracting Officer is ultimately responsible for the final determination of the adequacy of the contractor's performance.

**COR / ACOR** – The COR / ACORs are responsible for technical administration of the task order and task orders respectively and assures proper Government surveillance of the contractor's performance. The COR / ACORs are 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 task order price, terms, or conditions shall be referred to the Contracting Officer for action.

## **6. *Methods of QA Surveillance***

- a. **Contractor Performance Assessment Reporting System (CPARS)** – The marketplace for logistics and technical service is very competitive. As such, the successful Offeror has a vested interest in the Government-generated CPARS ratings under this contract. For this procurement the Government 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 contract, the annual Government assessment will be used appropriately as an additional performance oversight and communication tool with the CSP.
- b. **CSP**– The below listed methods of surveillance will be used by the COR in the technical administration of this checklist. In addition to the below instructions, the form to be used for documentation of quality assurance surveillance is the CSP Checklist.
- c. **Observation, Feedback, and Review** – Unscheduled observation of products and services provided by the contractor on site and recurring review of contractor submitted reports and documentation identified in CDRLs will be performed by the COR. Feedback from customers will be collected and used by the CORs to document surveillance of technical performance.

## **7. *Surveillance***

The CSP Checklist, Enclosure (1), will be provided to the contractor on a monthly basis, as feedback on the performance of their management and quality control actions for meeting the quality standards set forth by the task order.

## **8. *Documentation***

In addition to providing quarterly reports to the Contracting Officer, the COR / ACOR 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. All such records will be maintained for the life of the contract. The COR / ACOR shall forward these records to the Contracting Officer at termination or completion of the order.

## **9. *Enclosures***

Enclosure (1) – Contract Surveillance Plan (CSP) Checklist  
Enclosure (2) – Annual CPARS Surveillance

## Contract Surveillance Plan Checklist (Enclosure 1)

All SOW/CDRL tasks, including SOW/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 task order 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 task order 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 task order 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.

Management – Assess the integration and coordination of all activity needed to execute the task order or order, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the Contractor’s history of reasonable and cooperative behavior (to include timely identification of issues in controversy), customer satisfaction, timely award and management of subcontracts.

Assess the timeliness, completeness, and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, Engineering Change Proposals (ECPs), the Contractor’s history of reasonable and cooperative behavior, effective business relations, and customer satisfaction. Consider the Contractor’s responsiveness to the program as it relates to meeting task order or order requirements during the period covered by the report.

Assess the extent to which the Contractor discharges its responsibility for integration and coordination of all activity needed to execute the task order or order; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks and actions required by task order or order; communicates appropriate information to affected program elements in a timely manner. Assess the Contractor’s risk management practices, especially the ability to identify risks, and to formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the task order or order, or that cannot be captured elsewhere under the Management element.

Assess the contractor’s performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

Regulatory Compliance – Assess compliance with all terms and conditions in the contract relating to applicable regulations and codes. Consider aspects of performance such as compliance with financial, environmental, safety and labor regulations as well as any other reporting requirements in the contract terms and conditions.

*\*Note\** “The Government reserves the right to not exercise options unless all regulatory requirements are met and the contractor is rated satisfactory or better.”

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

### Monthly Surveillance:

The COR will perform a monthly assessment of Quality, Schedule, Cost Control, Business Relations, Management, and Other Areas as applicable utilizing the CPARS evaluation rating definitions listed below.

The evaluation ratings definitions are as follows:

Exceptional - Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being evaluated 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 element or sub-element being evaluated was accomplished with some minor problems for which corrective actions taken by the contractor was effective.

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

Marginal - Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being evaluated reflects 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 element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.

## Enclosure (1)

## CSP Checklist

Description	Surveillance Method/Measure	Date Planned	Date Completed	Quality	Schedule	Cost Control	Management	Business Relations	Other
Provide services for general administrative support according to the SOW requirements	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide planning, budgeting, scheduling, and execution management support according to the SOW requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide acquisitions logistics engineering, supportability analysis and performance requirements documentation according to the SOW requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide acquisitions logistics maintenance requirements analysis and documentation provided in the Logistics Support Analysis and Management Information Database according to the SOW requirements	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide logistics technical data according to the PWS requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide logistics supply support according to the PWS requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide logistics support and test equipment.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							

Provide integrated logistics support of Engineering Change Proposals (ECP) and Retrofit Configuration Change Technical Directives according to the SOW requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Provide Maintenance data collection and analysis according to the PWS requirements.	Surveillance by the TOCOR; monthly feedback from the cognizant IPT lead.	NLT 4th Friday of each Month							
Monthly Progress, Status, and Management Report, CDRL A001.	100% inspection by TOCOR	NLT 4th Friday of each Month							
Monthly Funding Summary, CDRL A002.	100% inspection by TOCOR	NLT 4th Friday of each Month							
Transition Out Strategy, CDRL A003	100% inspection by TOCOR	NLT last month on last OY of contract PoP							
Operations Security (OPSEC) Plan, CDRL A004	100% inspection by TOCOR; feedback from PMA-276 Security	After receipt of deliverable							

**\* If the 10<sup>th</sup> falls on a holiday, weekend or day of office closure, planned date will be on the first regular business day.**

#### **Monthly Summary of Ratings:**

##### ***Quality***

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 \_\_\_\_\_

##### ***Cost Control***

##### ***Management***

Number of Exceptional \_\_\_\_\_

Number of Very Good \_\_\_\_\_

Number of Satisfactory \_\_\_\_\_

Number of Marginal \_\_\_\_\_

Number of Unsatisfactory \_\_\_\_\_

Number of Exceptional \_\_\_\_\_

Number of Very Good \_\_\_\_\_

Number of Satisfactory \_\_\_\_\_

Number of Marginal \_\_\_\_\_

Number of Unsatisfactory \_\_\_\_\_

***Regulatory Compliance***

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 \_\_\_\_\_

## Enclosure (2)

## ANNUAL CPARS SURVEILLANCE

Surveillance will be completed annually with task order performance. The COR will perform an annual summary of overall contract performance utilizing the CPARS evaluation rating definitions listed above and the monthly CSP summary of ratings.

Assessment Description	Method of Surveillance		Date Planned	Date Completed	Summary Rating	Results
<b>Quality of Service</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			
<b>Schedule</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			
<b>Cost Control</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			
<b>Management</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			
<b>Regulatory Compliance</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			
<b>Other</b>	<ul style="list-style-type: none"> <li>• 100% Inspection by COR</li> <li>• Review of Monthly CDRLS</li> <li>• Review of TOCOR and Customer Feedback</li> </ul>		Assessment complete by NLT the current DoN required deadline			