



Attachment D

QUALITY ASSURANCE SURVEILLANCE PLAN Technical Assistance for Graphic Design National Institute for Literacy RFP#ED-NIL-09-R-0001

I. INTRODUCTION AND GENERAL PURPOSE OF THE QASP

This performance-based Quality Assurance Surveillance Plan (QASP) sets forth the procedures and guidance that the National Institute for Literacy (NIFL) will use in evaluating the technical performance of the contractor. A copy of this plan will be furnished to the contractor so that the Contractor will be aware of the methods that the Government will use in evaluating performance. This QASP is in place to enable the Government to address any concerns that the contractor may have prior to the evaluation of the contractor's performance.

A. Purpose of the QASP

The QASP provides the Contracting Officer's Representative (COR) the ability to conduct surveillance activities of contractor performance during the life of the order. The QASP details how and when COR will monitor, evaluate, and document contractor performance under the Task Order.

The QASP is intended to accomplish the following purposes:

1. Define the roles and responsibilities of participating Government officials and/or outside experts
2. Define the key deliverables to be assessed
3. Describe the rating element and standards of performance against which the contractor's performance will be assessed
4. Describe the process of quality assurance assessment; and
5. Provide copies of the quality assurance monitoring forms that will be used by the Government in documenting and evaluating the Contractor's performance

1. Roles and Responsibilities of Participating Government Officials and/or Outside Experts

- a. The **Contracting Officer's Representative (COR)** will be responsible for monitoring, assessing, recording, and reporting on the technical performance of the Contractor on a day-to-day basis. The COR will complete the Key Deliverable Evaluation Form (described below) that will be used to document the evaluation of the Contractor's work performance on the key deliverables per Task Order(s) assigned.

- b. The **Contracting Officer (CO)**, or his representative, will have the overall responsibility for overseeing the Contractor’s performance. The **CO and/or COR** will also be responsible for the day-to-day monitoring of the Contractor’s performance in the areas of contract compliance, contract administration, cost control and property control.

The **CO** will have the overall responsibility of reviewing the **COR**’s assessment of the Contractor’s performance; and resolving all differences between the **COR**’s version and the Contractor’s version of any dispute. The **CO** may call upon the expertise of other Government Officials as required.

The **Contracting Officer’s (CO)** procurement authorities include the following:

- SOLE authority for any decisions which produce an increase or decrease in the scope of the contract;
- SOLE authority for any actions subject to the “Changes” clause;
- SOLE authority for any decision rendered under the “Disputes” clause;
- SOLE authority for negotiation and determination of indirect cost rates applied to the contract;
- SOLE authority to approve the substitution or replacement of the Project Director and other key personnel;
- SOLE authority to approve the Contractor’s invoices for payment, subject to the “Limitation of Costs” clause and the “Limitation of Funds” clause;
- SOLE authority to monitor and enforce Department of Labor promulgated labor requirements;
- SOLE authority to arrange and supervise quality assurance activities under this contract;
- SOLE authority to approve the Contractor’s Quality Control program; and Signatory authority for the issuance of all modifications to the contract.

2. Key Deliverables To be Assessed

Though the Government, through its **COR**, will monitor the Contractor’s performance on a day-to-day and continuous basis, the volume of tasks performed by the Contractor makes technical inspections of every task and step impractical. Accordingly, the National Institute for Literacy (the Institute) will use a quality assurance review process to monitor the contractor’s performance under this contract.

Specifically, the **COR** will assess the contractor’s performance across a set of uniform rating elements for each of the following key deliverables.

TASK	DELIVERABLE	DUE DATE	Performance Measures
Task 1	Post-Award Meeting Summary Report	Within one week of Post-award kick-off meeting.	<ul style="list-style-type: none"> ➤ Deliverable is submitted on or before Close of Business on Due Date ➤ Deliverable meets all format, content and performance standard requirements

TASK and	DELIVERABLE	DUE DATE	Performance Measures
3	<i>Catalyst</i> , the Institute's Official Newsletter	Only first of four editions (July 2009)	<ul style="list-style-type: none"> ➤ Deliverable is submitted on or before Close of Business on Due Date ➤ Deliverable meets all format, content and performance standard requirements
5	Spanish-language publications for families (508 Compliant/for Web Only)	Winter 2009/2010	<ul style="list-style-type: none"> ➤ Deliverable is submitted on or before Close of Business on Due Date ➤ Deliverable meets all format, content and performance standard requirements
5	Revised (new size and content/theme for <i>Dad's Playbook: Coaching Kids to Read</i> . Themes: Spanish-language	August 2009	<ul style="list-style-type: none"> ➤ Deliverable is submitted on or before Close of Business on Due Date ➤ Deliverable meets all format, content and performance standard requirements
5	Literature Review Adult Reading	August 2009	<ul style="list-style-type: none"> ➤ Deliverable is submitted on or before Close of Business on Due Date ➤ Deliverable meets all format, content and performance standard requirements

3. Rating Elements and Standards of Performance

The Contractor's performance shall be evaluated by assessing the key deliverables described above. The rating elements and acceptable standards of performance for the key deliverables are described below.

A. Quality of Performance

- Completeness: Contractor addressed all of the requirements relating to the deliverable under review
- Content: The deliverable under review shows evidence of comprehensive research and provides a thorough treatment of the deliverable's topic.
- Professionalism: The deliverable under review is written clearly

B. Timeliness

- Delivered according to schedule established in the contract or as modified by the CO.

C. Cost

- Cost is within budget or at a cost savings to the Government.

D. Internal Quality Control

- Extent to which Contractor identifies problems and/or deficiencies in the deliverables and corrects them

The process by which the contractor's performance will be evaluated is as follows and may be modified in discussion with the contractor at the Post Award Meeting.

4. Process of Quality Assurance Assessment

The COR will use the Key Deliverable Evaluation Form to document and evaluate the Contractor's performance on each of the key deliverables under this contract. Each deliverable will be evaluated in accordance with the following definitions of Contractor performance:

- ◆ Excellent – Level of performance that exceeds the minimum standards of performance for the deliverable
 - Meets all elements for a “satisfactory” performance
 - Ability to stay ahead of schedule
 - Submits deliverables ahead of schedule, needing few or no further revisions
 - All goals as outlined in the Statement of Work are met
- ◆ Satisfactory – Level of performance that meets the minimum standards of performance for the deliverable
 - All Deliverables are prepared and submitted according to required specifications
 - Ability to stay on schedule
 - All Deliverables are submitted on time without delay
 - Deliverables need minimum amount of revisions by Institute Staff, with no more than one revision submitted
 - Quality of staffing is upheld throughout duration of contract
- ◆ Unacceptable – Level of performance that is not acceptable and that fails to meet the minimum standards of performance for the deliverable.
 - Does not meet elements of “satisfactory” performance
 - More than one deliverable submission is required
 - Unable to stay on schedule

The COR must substantiate all individual scores judged to be excellent or unacceptable. Performance at the satisfactory level is expected from the Contractor.

The COR will forward copies of completed evaluation forms to the CO and contractor by the close of 30 business days from the date each deliverable is received by the COR. For the purpose of documentation, the contractor may respond in writing to any unacceptable score within five

working days after receipt of the form. However, this does not mean that the COR will change his/her scores.

The CO will review each key deliverable evaluation form prepared by the COR. When appropriate, the CO may investigate the event further to determine if all the facts and circumstances surrounding the event were considered in the opinions outlined on the forms. The CO will immediately discuss every deliverable receiving an unacceptable rating with the contractor to assure that corrective action is promptly initiated. Discussion with the contractor of the unacceptable deliverable does not negate the Institute's right to terminate the contractor for default for poor performance.

5. QASP Evaluation And Rating Form

Please be advised that the QASP evaluation and rating form will be provided at the Task 1 Post-Award meeting and may be revised at that meeting.