

## **ENCLOSURE D - SAMPLE Quality Assurance Surveillance Plan (QASP)**

Quality Assurance Surveillance Plan (QASP)

For

***(title of requirement)***

*NOTE: This example is applicable to commercial services only. If you have a non-commercial service, contact your contract liaison for further information.*

## 1. Purpose.

This Quality Assurance Surveillance Plan (QASP) is a government developed and applied document used to provide a standard of surveillance for monitoring the **(description of services)** contract. This QASP establishes the approach the government will use to conduct surveillance of the contractor's quality control. The intent is to ensure that the contractor performs in accordance with performance metrics set forth in the contract documents, that the government receives the quality of services called for in the contract, and that the government only pays for the acceptable level of services received.

## 2. INTRODUCTION

2.1. This QASP has been developed to evaluate contractor performance while implementing the Performance Work Statement (PWS). It is designed to provide an effective surveillance method of monitoring contractor performance for each listed objective on the Performance Requirement Summary (PRS) in the support contract.

2.1.1. The QASP is based on the premise the government desires to maintain quality and standards. The QASP is a tool for use in government administration of the PWS and remains subject to revision at any time by the government throughout the contract performance period.

2.1.2. The contractor is responsible for management and quality control actions to meet the terms of the contract. The role of the government's quality assurance (QA) representative is to ensure the contractor performs quality control to adequately meet contract standards.

2.1.3. The contractor's quality control plan/program is the mechanism for evaluating product quality. The contractor is required to maintain a comprehensive program of inspections and monitoring actions.

2.1.4. From the start of the contract, all contractor operational procedures and quality assurance measures will be tested and implemented. As the performance period progresses, the levels of surveillance may be altered for service areas in cases where performance is either consistently excellent or consistently unsatisfactory. If observations reveal consistently good performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented.

3. Government Roles and Responsibilities. The purpose of QA is to ensure that the contractor is fully performing its QC responsibilities and meeting its obligations to the government. The roles and responsibilities of the stakeholders involved in QA are described below.

3.1. Contracting Officer (KO). The KO 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 KO will designate a COR as the government representative for performance management. The number of additional government representatives serving as inspector depends on the complexity of the services measured, as well as the contractor's performance, and must be identified and designated by the KO.

3.2. Contracting Officer Representative (COR). The COR is designated in writing by the KO to act as his or her authorized representative. The COR will assist the KO with the technical administration of the contract to ensure proper government surveillance of the contractor's performance. Any COR limitations will be identified with the designation letter. The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the government's behalf. Any changes the contractor deems may affect contract price, terms, or conditions shall be referred to the KO for action. The COR is responsible for quality assurance (QA) monitoring and completion of forms/reports used to document the inspection and evaluation of the contractor's work performance. Government surveillance will occur under the terms and conditions of the contract for inspection.

3.3. Quality Assurance Evaluators (QAE). If applicable, the COR will work with the Quality Assurance Evaluators (QAEs) to execute some administrative duties in order to ensure that the QA function is properly executed. The Government QAEs play a key role in contract administration. They provide technical assistance to the COR, perform the actual contract surveillance, and report to the COR.

3.4. Other Key Government Personnel. Upon award, the government may utilize performance monitors, clinical quality experts, etc., who may provide input to the COR for reporting purposes.

#### 4. SCOPE OF GOVERNMENT QUALITY ASSURANCE SURVEILLANCE

4.1. The procurement of commercial services under FAR Part 12, Acquisition of Commercial Items, provides the basis for quality assurance. Pursuant to FAR Clause 52.212-4, Contract Terms and Conditions-Commercial Items, (a) Inspection/Acceptance:

"The Contractor shall only tender for acceptance those items that conform to the requirements of this contract. The Government reserves the right to inspect or test any supplies or services that have been tendered for acceptance. The Government may require repair or replacement of nonconforming supplies or re-performance of nonconforming services at no increase in contract price. If repair/re-performance will not correct the defects or is not possible, the government may seek an price reduction or adequate consideration for acceptance of nonconforming supplies or services. The Government must exercise its post- acceptance rights-

(1) Within a reasonable time after the defect was discovered or should have been discovered; and

(2) Before any substantial change occurs in the condition of the item, unless the change is due to the defect in the item.”

4.2. Customarily, the government will require the contractor to re-perform any services that are found to be nonconforming with government standards. The government may, in addition to requesting re-performance of nonconforming service, seek price reductions or adequate consideration.

4.3. The government's remedies of re-performance and price reduction are applicable to all services outputs covered in the PWS. When the COR detects substandard performance for a particular service output, he/she will bring the deficiency to the immediate attention of the contractor and request the contractor correct the problem. If the number of deficiencies exceeds the level for satisfactory performance (i.e., AQL), the COR will render that service as unacceptable. Any discrepancies created by the government are not to be counted against the contractor's performance.

4.4. When the contractor is exceeds the AQL, the COR may submit a Contract Discrepancy Report (CDR) with recommendations to the KO. The KO will determine the action deemed appropriate for the discrepancy which may include issuance of a CDR, payment deduction, Cure Notice, or contract termination.

4.5. The contractor's routine performance is evaluated objectively against the performance based standards provided in the PWS. The basis of performance based contracting allows for some flexibility in enforcement to encourage innovation by the contractor in achieving the desired results. The Government has the right to inspect and test all services called for in the contract. When services are deficient and cannot be re-performed satisfactorily by the contractor, the Government will refer to the Inspection of Services clause for remediation.

## 5. Methods of Inspection.

5.1. The below listed methods of surveillance may be used in the administration of this QASP. They can occur quarterly, monthly, or as needed:

5.1.1. 100% Inspection. The COR may conduct 100% inspections of the work defined in the performance work statement (PWS). The COR will also review information submitted in the required reports defined in the PWS (if applicable).

5.1.2. Periodic Inspection. The government may conduct periodic inspections monthly, quarterly, or on an as-needed basis. The periodic inspection shall be conducted by the COR.

5.1.3. Random Inspection. The government may conduct random monitoring by reviewing information/reports required and submitted in accordance with the contract. The random monitoring shall be performed by the COR.

5.1.4. Performance Evaluation Meetings. The contractor and the COR will meet as often as necessary to review the contractor’s performance and address any contract discrepancy reports (CDRs) issued during the period. A mutual effort will be made to resolve identified issues.

5.1.5. Customer Feedback – The COR may provide and collect customer surveys or complaints regarding performance. A mutual effort will be made to resolve any problems/issues identified.

5.2. Level of surveillance may be conducted on a monthly, quarterly or as-needed basis and an analysis of the results will determine if the contractor met the standards or did not meet the standards identified in the PWS/contract.

6. Performance Requirements Summary (PRS).

<b>Performance Objective and PWS paragraph</b>	<b>Performance Standard</b>	<b>Acceptable Quality Level (AQL)</b>	<b>Method of Inspection</b>
Para _____ The contractor shall provide credential packets of qualified health care providers (HCPs).	Provide credential packets of qualified HCPs within 30 days after contract award.	Credential packets submitted within 30 days after contract award at least 95% of the time.	Periodic, weekly
Para _____ HCPs shall have a physical exam administered within 30 days of performance start.	Certificate of health shall be provided within 30 days of performance start date.	Certificate of health shall be provided within 30 days of performance start date at least 96% of the time.	Periodic, monthly

Para ____.	Certifications, licenses, and training are monitored and updated monthly.	All certifications, licenses, and training are current 95% of the time.	Periodic, monthly
Certifications, licenses, and training are maintained current and active.			

7. Successful Performance.

7.1. Acceptable services for performance is demonstrated by an accepted and executed certified invoice and receiving report.

7.2. The acceptable quality level (AQL) consists of the performance standards established for the services required by the government to meet contract requirements. The AQL will be measurable and structured to permit an assessment of the contractor's performance.

8. Documentation of Surveillance.

8.1. Effective contract surveillance relies on the COR identifying and documenting discrepancies during performance of routine daily services, or through the contractor's quality control program. The COR will report discrepancies to the contractor for timely resolution. Surveillance may consist of periodic reports, and customer feedback and timeliness of contract deliverables/reports.

8.2. The COR will maintain a complete QA file which will be retained by the COR for the life of the contract. Information in the QA file will be considered when completing the annual CPARS report.

8.3. Documented surveillance will consist of inspections performed by the COR or the QAE. Such documentation may include paperwork that supports contract surveillance such as details of inspections or data gathering, conversations or meetings with the contractor, notes and comments that support inspection paperwork, to include quality assurance surveillance reports. If performance is deemed unacceptable, the COR will inform the contractor. Disagreements or disputes will be referred to the KO for re-address.

8.4. All documentation resulting from surveillance will be made a part of the contract file. The COR will maintain his/her file in the COR Tracking Tool throughout the the contract period of performance. Pertinent documentation flows into the automated official contract file.

9. Certification of Services. Certification of services is performed by the COR via

Invoices Receipt Acceptance and Property Transfer (iRAPT) application in the WAWF suite. . At the end of each billing period, the contractor inputs invoice information into WAWF system. WAWF automatically notifies the appropriate COR via email of pending invoice. COR accesses WAWF and verifies the accuracy of services provided by the contractor. The COR will certify the invoice and payment is conducted by the Defense Finance Accounting System (DFAS). If the COR encounters errors in the contractor's invoice, the COR will reject the invoice, state the reason for rejection and send back to the contractor. If the contractor disagrees with the COR, the issue will be forwarded to the KO for resolution.

## 10. QASP Attachments

### 10.1. QASP Attachment 1 - QASP Checklist

### 10.2. QASP Attachment 2 – DD Form 2772, Contract Discrepancy Report (CDR) (Optional)

# QASP Attachment 1 - QASP Checklist

## QASP Checklist

Service or Standard: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Survey Period: \_\_\_\_\_

Surveillance Method (Check):  
\_\_\_\_\_ 100% Inspection  
\_\_\_\_\_ Periodic Inspection  
\_\_\_\_\_ Random Monitoring (reports)  
\_\_\_\_\_ Performance Evaluation Meetings

Customer Feedback Level of Surveillance: (Check):  
\_\_\_\_\_ Monthly  
\_\_\_\_\_ Quarterly  
\_\_\_\_\_ As needed

Analysis of Results:

Contract Service Provider's Performance (Check): \_\_\_\_\_ Meets Standards \_\_\_\_\_ Does Not Meet Standards

Narrative of Performance During Survey Period: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_

(End of QASP Attachment 1 - QASP Checklist)



QASP Attachment 2 – DD Form 2772, Contract Discrepancy Report (CDR) (Optional)

CONTRACT DISCREPANCY REPORT				
1. CONTRACT NUMBER		2. REPORT NUMBER FOR THIS DISCREPANCY		
3. TO (Contractor or Manager's Name)		4. FROM (Name of QAE)		
5. DATES (YYYYMMDD)				
a. PREPARED		b. RETURNED BY CONTRACTOR	c. ACTION COMPLETE	
6. DISCREPANCY OR PROBLEM (Describe in detail. Include reference to PWS Directive; attach continuation sheet if necessary.)				
7. SIGNATURE OF CONTRACTING OFFICER				
8a. TO (Contracting Officer)		b. FROM (Contractor)		
9. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. (Cite applicable O.C. program procedures or new Q. C. procedures. Attach continuation sheet/s if necessary.)				
10. SIGNATURE OF CONTRACTOR REPRESENTATIVE				DATE (YYYYMMDD)
11. GOVERNMENT EVALUATION (Acceptance, partial acceptance, refusal, continuation, suspension, termination, etc. if necessary)				
12. GOVERNMENT ACTIONS (Reduced payment, cure notice, show cause, etc.)				
13. CLOSE OUT				
	NAME (1)	TITLE (2)	SIGNATURE (3)	DATE (YYYYMMDD) (4)
a. CONTRACTOR NOTIFIED				
b. QAE				
c. ACO				

DD FORM 2772, SEP 1998

REPLACES MTFORM 352-R, WHICH IS OBSOLETE.

Adobe Professional 8.0

(End of QASP Attachment 2 – DD Form 2772, Contract Discrepancy Report)