

Attachment F

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP) (DRAFT)

For Women, Infants and Children Overseas Program Support Services

Contract Number: < upon award, enter contract number >

Contract Description: Provide program support for the WIC overseas program

Contractor's name: < upon award, enter Contractor name > (hereafter referred to as the Contractor).

1. PURPOSE.

This Quality Assurance Surveillance Plan (QASP) provides a systematic method to evaluate performance for the stated contract. This QASP explains the following:

- What will be monitored.
- How monitoring will take place.
- Who will conduct the monitoring.
- How monitoring efforts and results will be documented.

This QASP does not detail how the Contractor accomplishes the work. Rather, the QASP is created with the premise that the Contractor is responsible for management and quality control actions to meet the terms of the contract. It is the Government's responsibility to be objective, fair, and consistent in evaluating performance. In addition, the QASP should recognize that unforeseen and uncontrollable situations may occur.

This QASP is a "living document" and the Government may review and revise it on a regular basis to ensure that the QASP remains a valid, useful, and enforceable document. However, the Government will coordinate changes with the Contractor. Copies of the original QASP and revisions will be provided to the Contractor and Government officials implementing surveillance activities.

The following FAR clauses may apply depending on contract type:

52.246-5 Inspection of Services – Cost-Reimbursement, or

2. GOVERNMENT ROLES AND RESPONSIBILITIES.

The following Government personnel are responsible for overseeing and coordinating surveillance activities.

a. Contracting Officer (KO) - The KO is responsible for ensuring performance of all necessary actions for effective contracting, ensuring compliance with the contract terms, and safeguarding the interests of the United States in the contractual relationship. The KO is responsible for ensuring that the Contractor receives impartial, fair, and equitable treatment under this contract. The KO is ultimately responsible for the final determination of the adequacy of the Contractor's performance.

Assigned KO: <enter name>

Organization or Agency: <enter organization or Agency name>

Telephone: <enter number>

Email: <enter address>

b. Acquisition Manager (AM) - The AM acts as an acquisition consultant and serves as liaison between the TRICARE Procurement Support Office (TPS) and the requesting program office, as well as liaison between the TRICARE Management Activity (TMA) and the supporting contracting office.

Assigned AM: <enter name>
Telephone: <enter number>
Email: <enter address>

c. Contracting Officer's Representative (COR) - The COR is responsible for technical administration of the contract and is responsible for ensuring proper Government surveillance of the Contractor's performance. The COR is responsible for keeping a quality assurance file and at the conclusion of the contract, or when requested by the KO, providing corresponding documentation to the KO. The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf. The Contractor shall refer any changes they deem may affect contract price, terms, or conditions to the KO for action.

Assigned COR: <enter name>
Telephone: <enter number>
Email: <enter address>

d. Other Key Government Personnel - <enter name or delete these lines if not applicable. This may include Performance Monitors, Inspectors, etc. who act on behalf of the COR to monitor performance.>

Title: <enter title>
Telephone: <enter number>
Email: <enter address>

3. CONTRACTOR REPRESENTATIVES:

The following employees of the Contractor serve as the Contractor's Program Manager and Task Manager for this contract. <Communication should occur with the Contractor as soon as possible after contract/delivery order award. It will help if they review the draft QASP and accept the final version.>

a. Program Manager - <upon award, enter name>
Telephone: <enter number>
Email: <enter address>

b. Task Manager - <upon award, enter name>
Telephone: <enter number>
Email: <enter address>

c. Other Contractor Personnel - <upon award, enter name or delete these lines if not applicable>

Title: <enter title>
Telephone: <enter number>
Email: <enter address>

4. PERFORMANCE STANDARDS.

Performance standards define desired services. The Government performs surveillance to determine if the Contractor exceeds, meets or does not meet these standards.

The Performance Requirements Summary Matrix, paragraph 6.8.2 in the Performance Work Statement includes performance standards. The Government will use these standards to determine Contractor performance and will compare Contractor performance to the Acceptable Quality Level (AQL).

| Task | Indicator | Standard | Acceptable Quality Level | Method of Surveillance | Incentive |
|--|---|---|--|---|--|
| Program Operations | Semi-Annual Satisfaction Survey | Program Satisfaction | 85% Program Satisfaction or better. | Satisfaction Survey Reviewed | Positive Past Performance Rating and Exercise Next Option Period |
| Program Operations | Nutritional Counseling and Education Programs | Satisfactory Delivery of Nutritional Counseling and education programs. | 85% or better rating on the satisfaction of the nutritional counseling and education programs. | Satisfaction Survey Reviewed | Positive Past Performance Rating and Exercise Next Option Period |
| Management Reporting and Quality Control | Monthly Status Report | Provide Monthly Reports. | Receiving the reports by the 15 th of each month or earlier 100% of the time. | MPR Reviewed and Verified (Deliverable 2) | Positive Past Performance Rating and Exercise Next Option Period |
| Management Reporting and Quality Control | Monthly Status Report | Ensure all sites are staffed at all times. Administer the resources to support activities within scope. | All sites will be staffed at 90% or higher at all times. | MPR Reviewed and Verified (Deliverable 2) | Positive Past Performance Rating and Exercise Next Option Period |

| Task | Indicator | Standard | Acceptable Quality Level | Method of Surveillance | Incentive |
|-------------------------------------|--|--|--|---|----------------------------------|
| Managing WIC Overseas Drafts | Financial Report | Provide a daily activity financial summary report. | Receiving the daily activity financial summary report every two weeks 100% of the time. | Financial Report Reviewed and Verified (Deliverable 17) | Positive Past Performance Rating |
| Managing WIC Overseas Drafts | Annual Audit Report | Provide an annual audit report. | Receiving the annual audit report by the anniversary date of the first report 100% of the time. | Annual Audit Report Reviewed and Verified (Deliverable 15) | Positive Past Performance Rating |
| Accounting for Government Funds | Monthly Financial Reports | Provide a monthly financial report. | Receiving the monthly financial report by the 1 st workday of the following month 95% of the time. | Monthly Financial Report Reviewed and Verified (Deliverable 16) | Positive Past Performance Rating |
| Information Systems | Monthly Status Report | Ensure PIMS is operational. | PIMS will be operations 95% or higher at all times. | MPR Reviewed and Verified (Deliverable 2) Customer/ Organization Satisfaction | Positive Past Performance Rating |
| Software Management and Development | Track and maintain all PIMS software releases Ensure certifications and accreditation of the PIMS software. | Configuration management document. All certifications and accreditation will be up to date for PIMS. | All configurations will be recorded and all certifications and accreditations will be up to date for PIMS within 3 days of update release 95% of the time. | MPR Reviewed and Verified (Deliverable 2) Customer, Organization Satisfaction. | Positive Past Performance Rating |

5. INCENTIVES.

The Government will use past performance as an incentive. Incentives will be based on exceeding, meeting, or not meeting performance standards.

6. METHODS OF QA SURVEILLANCE.

Various methods exist to monitor performance. The COR will use the surveillance methods listed below in the administration of this QASP.

Regardless of the surveillance method, the COR will contact the Contractor's task manager or on-site representative when a defect is identified and inform the manager of the specifics of the problem. The COR, with assistance from the AM, will be responsible for monitoring the Contractor's performance in meeting a specific performance standard/AQL.

a. **DIRECT OBSERVATION.** (Can be performed periodically or through 100% surveillance.)

b. **MANAGEMENT INFORMATION SYSTEMS (MIS).** (Evaluates outputs through the use of management information reports. Best used for general surveillance and may need to be supplemented by periodic inspections.)

-Provide Monthly Reports by 15th of each month.

-Ensure all sites are 90% staffed at all times. Administer the resources to support activities within scope.

-Ensure PIMS is operational 95% of the time.

-Configuration management document. All certifications and accreditation will be up to date for PIMS.

c. **PERIODIC INSPECTION.** (Uses a comprehensive evaluation of selected outputs. Inspections may be scheduled [Daily, Weekly, Monthly, Quarterly, or annually] or unscheduled, as required.)

d. **USER SURVEY.** (Combines elements of validated user complaints and random sampling. Random survey is conducted to solicit user satisfaction. Appropriate for high quantity activities that have historically been satisfactory. May also generate periodic and 100% inspections.)

-85% Program Satisfaction from WIC overseas participants

-85% Satisfactory Delivery of Nutritional Counseling and education programs from WIC overseas participants

e. **VALIDATED USER/CUSTOMER COMPLAINTS.** (Relies on the user of the service to identify deficiencies. Complaints are then investigated and validated. Highly applicable to services provided in quantity and where quality is highly subjective.)

-85% Program Satisfaction from WIC overseas participants

-85% Satisfactory Delivery of Nutritional Counseling and education programs from WIC overseas participants

f. **100% INSPECTION.** (Evaluates all outputs. Most applicable to small quantity, but highly important services. May be used where there are written deliverables and stringent requirements such as tasks required by law, safety, or security.)

-Provide Monthly Reports by 15th of each month.

- Provide Monthly Financial Report by the 1st workday of the following month.
- Provide Audit Report annually.
- Provide Daily Financial Activity Report every two weeks.

g. PERIODIC SAMPLING. (Variation of random sampling. However, sample is only taken when a deficiency is suspected. Good follow-up to MIS analysis. Sample results are applicable only for the specific work inspected. Since sample is not entirely random, it cannot be applied to total activity performance.)

h. RANDOM SAMPLING. (Designed to evaluate the outputs of the award requirement by randomly selecting and inspecting a statistically significant sample. Highly recommended for large quantity repetitive activities with objective and measurable quality attributes.)

i. Progress or status meetings.

j. Analysis of Contractor's progress reports. (Evaluate cost, schedule, etc.)

k. Performance reporting. (Evaluate metrics for a specific time period. Develop metrics or use metrics found in MIS.)

Surveillance results may be used as the basis for actions (to include payment deductions) against the Contractor. In such cases, the Inspection of Services clause in the Contract becomes the basis for the KO's actions.

7. RATINGS.

Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable quality level. A rating scale shall be used to determine a positive, neutral, or negative outcome. The following ratings shall be used:

| | |
|------------------------|--|
| EXCEPTIONAL: | Performance significantly exceeds contract requirements to the Government's benefit. |
| SATISFACTORY: | Performance meets contractual requirements. |
| UNSATISFACTORY: | Performance does not meet contractual requirements. |

8. DOCUMENTING PERFORMANCE.

a. ACCEPTABLE PERFORMANCE.

The Government will document positive performance. A report template is attached. Any report may become a part of the supporting documentation for fixed fee payments, incentive fee payments, or other actions.

b. UNACCEPTABLE PERFORMANCE.

When unacceptable performance occurs, the COR will inform the Contractor. This notification will normally be in writing unless circumstances necessitate verbal communication. In any case the COR will document the discussion and place it in the COR file.

When the COR determines formal written communication is required, the COR will prepare a Contract Discrepancy Report (CDR), and present it to the Contractor's task manager or on-site representative. A CDR template is attached to this QASP.

The Contractor shall acknowledge receipt of the CDR in writing. The CDR will specify if the Contractor is required to prepare a corrective action plan to document how the Contractor shall correct the unacceptable performance and avoid a recurrence. The CDR will also state how long after receipt the Contractor has to present this corrective action plan to the COR. The Government will review the Contractor's corrective action plan to determine acceptability.

Any CDRs may become a part of the supporting documentation for contract payment deductions, fixed fee deductions, incentive fee non-payment, or other actions deemed necessary by the KO.

9. FREQUENCY OF MEASUREMENT.

a. Frequency of Measurement.

During contract/order performance, the COR will take periodic measurements, **<enter how often>** as specified in the AQL column of the Performance Standards Summary Matrix, and analyze whether the negotiated frequency of measurement is appropriate for the work being performed.

b. Frequency of Performance Assessment Meetings.

The COR will meet with the Contractor every 6 months to assess performance and provide a written assessment.

Prepared by: **<Enter name>**

Signature – Contracting Officer's Representative

PERFORMANCE REPORT

1. CONTRACT NUMBER: <insert number>

2. Prepared by: (Name of COR) <insert name>

3. Date and time of observation:

4. Observation:

<Examples of items to include in a report are:

- Method of surveillance.
- How frequently you conducted surveillance.
- Surveillance results.
- Number of observations.>

Prepared by: <Enter COR's name>

Signature – Contracting Officer's Representative

Date

CONTRACT DISCREPANCY REPORT (CDR)

1. Contract Number: <insert number>

2. TO: (Contractor Task Manager or on-site representative) <insert name>

3. FROM: (Name of COR) <insert name>

4. Date and time observed discrepancy:

5. DISCREPANCY OR PROBLEM:

<Describe in detail. Identify any attachments.>

5. Corrective action plan:

A written corrective action plan < is / is not > required.

< If a written corrective action plan is required include the following. > The written Corrective Action Plan will be provided to the undersigned not later than < # days after receipt of this CDR. >

Prepared by: <Enter COR's name>

Signature – Contracting Officer's Representative

Date

Received by:

Signature - Contractor Task Manager or on-site representative

Date