Appendix C: ESPC QASP Template Sample (DON)

Quality Assurance Surveillance Plan (QASP)

1. Overview

This Quality Assurance Surveillance Plan is a government-developed document used to determine if the contractor's performance meets the performance standards contained in the task order in terms of timeliness, accuracy, and completeness. The QASP establishes procedures on how this assessment/inspection process will be conducted. It provides the detailed process for a continuous oversight process:

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

The contractor is responsible for implementing and delivering performance that meets contract standards using its Quality Control Plan. The QASP provides the structure for the government's surveillance of the contractor's performance to assure that it meets contract standards. It is the government's responsibility to be objective, fair and consistent in evaluating contractor performance.

The QASP is not part of the contract nor is it intended to duplicate the contractor's quality control plan. This QASP is a living document. Flexibility in the QASP is required to allow for an increase or decrease in the level of surveillance necessary based on contractor performance.

The government may provide a copy of the QASP to the contractor to facilitate open communication. In addition, the QASP should recognize that unforeseen or uncontrollable circumstances might occur that are outside the control of the contractor.

Bottom line, the QASP should ensure early identification and resolution of performance issues to minimize impact on mission performance.

Authority for issuance of this QASP is provided under Part 46 of the Federal Acquisition Regulation. This acceptance is to be executed by the Contracting Officer, Contracting Technical Representative or a duly authorized representative.

2. Roles and Responsibilities

The following personnel shall oversee and coordinate surveillance activities.

Contracting Officer (KO) – The KO shall ensure performance of all necessary actions for effective contracting, ensure compliance with the contract terms, and shall safeguard the interests of the United States in the contractual relationship. The KO shall also ensure that the contractor receives impartial, fair, and equitable treatment under this contract. The KO will determine the final assessment of the contractor's performance.

Assigned KO:
Organization or Agency:
Telephone:
Email:

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Contracting Officer's Representative (COR) – The COR is responsible for providing continuous technical oversight of the contractor's performance. The COR uses the QASP to conduct the oversight/surveillance process. The COR shall keep a Quality Assurance file that accurately documents the contractor's actual performance. The purpose is to ensure that the contractor meets the performance standards contained in the contract. The COR is responsible for reporting early identification of performance problems to the KO. The COR is required to provide an annual performance assessment to the KO which will be used in documenting past performance. The QASP is the primary tool for documenting contractor performance. The COR is not empowered to make any contractual commitments or to authorize any contractual change on the Government's behalf.

Assigned COR:
Organization or Agency:
CI Telephone:
Email:

Other Key Government Personnel This may include performance monitors, inspectors, technical experts, or others who provide information that helps the COR monitor contractor performance.

Subject Matter Expert:
Organization or Agency:
Telephone:
Email:

Contractor Representatives The following employees of the contractor serve as the contractor's point of contact for this contract.

Program Manager:
Organization or Agency:
Telephone:
Email:

TASK Manager (as applicable):
Organization or Agency:
Telephone:
Email:

3. Performance Requirements and Method of Surveillance

3.1 Contractor Surveillance

The goal of the QASP is to ensure that contractor performance is effectively monitored and documented. The COR's contribution is their professional, non-adversarial relationships with the KO, PM and the contractor, which enables positive, open and timely communications. The foundation of this relationship is built upon objective, fair, and consistent COR evaluations of contractor performance against contract requirements. The COR uses the methods contained in this QASP to ensure the contractor is in compliance with contract requirements. The COR function is responsible for a wide range of surveillance requirements that effectively measure and evaluate the contractor's performance. Additionally, this QASP is based on the premise that the contractor, not the government, is responsible for management and Quality Control/Quality Assurance actions to successfully meet the terms of the contract.

3.2 Surveillance Methods

The any of the following surveillance methods may be utilized by the Government to perform the Quality Assurance duties of the QASP to ensure that the Contractor is performing as required by the Task Order.

Inspection of Deliverables/Reports - All deliverables shall be reviewed upon receipt for compliance with the requirements of the task order. The reviewer will document any flaws in the document and categorize

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the flaws (Editorial, Format, and/or Substance) and provide them to the contractor.

Periodic Sampling – Periodic sampling requires a pre-determined plan for assessing contractor performance using frequency as the applicable assessment level. The frequency of scheduled performance assessments will be every 4 months or as specified in the task order or QASP.

Random Sampling – Random sampling is a standard performance assessment made at the discretion of the COR, or KO for contractor non-conformance issues or standard performance assessments.

Verifiable Customer Complaints – Verifiable customer complaints will be maintained by the COR and recorded on Customer Complaint Forms. Verifiable Complaint Forms will be gathered and submitted to the COR. COR will maintain customer complaints forms for a period of one year. See Section 4.2 below for further details.

3.3 Surveillance Matrix

The Surveillance Matrix is the list of performance objectives and standards that must be performed by the contractor. This matrix details the method of surveillance the COR will use to validate and inspect these performance elements. Inspection of each element will be documented in the COR file.

Performance objectives define the desired outcomes. Performance Standards define the level of service required under the contract to successfully meet the performance objective. The inspection methodology defines how, when, and what will be assessed in measuring performance. The Government performs surveillance, using this QASP, to determine the quality of the contractor's performance as it relates to the performance element standards. The Performance Requirement Summary (PRS) should be used to form the foundation of the COR's inspection checklist.

Performance Objective	Performance Standards	Surveillance	Acceptable Quality Level (AQL)
Performance of General and Administrative requirements of the Task Order (TO) not covered in Performance objectives below.	TO Statement of Work (SOW) Section C and the requirements of the basic contract.	Inspection by the COR as required or customer complaints as applicable	100% compliance with requirements of the Task Order
Submission of Contract Data Requirements List (CDRL)	TO SOW Section C and listed in TO Section F.4 "Deliverables and Submittals"	Inspection by the COR as required or customer complaints as applicable	100% compliance with requirements of the Task Order
Performance of Measurement and Verification (M&V) Requirements	TO SOW Section C.17	Inspection by the COR as required or customer complaints as applicable	100% compliance with requirements of the Task Order
Performance of Operations and Maintenance (O&M) Requirements	TO SOW Section C.19	Inspection by the COR as required or customer complaints as applicable	100%compliance with requirements of the Task Order
Performance of Repair and Replacement (R&R) Requirements	TO SOW Section C.19	Inspection by the COR	100%compliance with requirements of the Task Order
Combatting Trafficking in Persons	FAR 52.222-50	Random inspection by the COR	100%Compliance with FAR 52.222-50

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4.0 Performance Reporting

4.1 Corrective Action Report

For each item that does not meet AQLs above, the COR may submit a Corrective Action Report (CAR) to the Contracting Officer requiring that the contractor correct, re-perform, or replace work that fails to meet the contract requirements at no additional cost to the government. The Contracting Officer will provide the CAR to the contractor, who must respond with a written corrective action plan detailing the cause and corrective action for the cited deficiencies and actions taken to prevent recurrence by the specified suspense date. The COR will accept or reject the submitted CAR, as well as provide disposition of the corrective actions taken. Based upon the contractor's past performance and plan to solve the problem, the Contracting Officer will determine if any further action will be required.

4.2 Customer Complaint Form

All instances of customer complaints regarding contractor performance will be documented in a Customer Complaint Form and submitted to the COR in a timely fashion. The COR shall validate the complaint on the form, and if validated, require corrective action by the contractor (also documented on the form). All Customer Complaint Forms shall be submitted to the Contracting Office within 5 days of validation. The COR, in conjunction with the contracting office, will determine whether the Customer Complaint form warrants the need to use the Corrective Action Report procedures specified above (especially if the contractor's corrective action is inadequate).

4.3 Remedies and Incentives/Disincentives

Failure to meet the requirements of the task order will result in a CAR or Customer Complaint Form following the procedures set forth above.

Further, if guaranteed savings are not met in accordance with TO SOW Section C.17, the Government will withhold payment in accordance with the appropriate procedures set forth in the Task Order.

Lastly, the COR makes an annual report on Contractor Performance in the Contractor Performance Assessment Reporting System (CPARS). The contractor's failure to achieve satisfactory performance under the task order, reflected in the COR's interim/annual CPARS report, may result in termination of the task order and may also result in the loss of future Government contracts/task orders.

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CORRECTIVE ACTION REPORT (CAR)

(If more space is needed, use reverse and identify by number)

1. CONTRACTOR	2. CONTRACT NUMBER	3. TYPE OF SERVICES

4. FUNCTIONAL AREA	5. SUSPENSE DATE	6. CONTROL NUMBER

7. DEFICIENCY ☐ MAJOR ☐ MINOR

FINDING:

FINDING IMPACT:

Please respond with a written corrective action plan that details the corrective action of the cited deficiency, the cause of the deficiency, and actions taken to prevent recurrence by Suspense Date in Block 5. If date was not entered in Block 5, the contractor is not required to provide a response.

8. QUALITY ASSURANCE PERSONNEL (COR)

TYPED NAME AND GRADE	SIGNATURE AND DATE

9. ISSUING AUTHORITY

TYPED NAME AND GRADE	SIGNATURE AND DATE

10. COR RESPONSE TO CONTRACTOR CORRECTIVE ACTION AND ACTION TAKEN TO PREVENT RECURRENCE

11. COR DETERMINATION ☐ ACCEPTED ☐ REJECTED	12. CLOSE DATE

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CUSTOMER COMPLAINT RECORD

DATE/TIME OF COMPLAINT

SOURCE OF COMPLAINT			
ORGANIZATION	BUILDING NUMBER	INDIVIDUAL	PHONE NUMBER

NATURE OF COMPLAINT

CONTRACT REFERENCE

VALIDATION

DATE/TIME CONTRACTOR INFORMED OF COMPLAINT

ACTION TAKEN BY CONTRACTOR

RECEIVED/VALIDATED BY

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