Appendix B: QASP Template

Quality Assurance Surveillance Plan (QASP) Template
For: *<enter contract title>*
Contract Number: *< upon award, enter contract number>*
Contract Description: *< enter contract description >*
Contractor Name: *< upon award, enter contractor name >* (hereafter "contractor").

1. Overview

This Quality Assurance Surveillance Plan (QASP) is a government-developed document used to determine if a contractor's performance meets the performance standards included in the Task Order (TO) in terms of timeliness, accuracy, and completeness. The following establishes procedures on the assessment/inspection process. It provides the detailed process for a continuous oversight process:

- What will be monitored,
- How surveillance will take place,
- Who will conduct the monitoring, and
- 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 (KO), Contracting Officer Representative (COR) or a duly authorized representative.

2. Roles and Responsibilities

The following personnel shall oversee and coordinate surveillance activities:

Contracting Officer – 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:

Contracting Officer's Representative – 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:
Name:
Organization or Agency:
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:
Name:
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:
Name:
Company:
Telephone:
Email:

TASK Manager (as applicable):
Name:
Company:
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 complies 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 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 *insert timeframe (i.e. annually)* 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)	Timing/Interval
Performance of general and administrative requirements of the Task Order (TO) not covered in the performance objectives below.	TO statement of work (SOW) [page/section XX] and the requirements of the basic contract.	Inspection by the COR as required or customer complaints as applicable.	100% compliance with requirements of Task Order.	As needed.
Submission of contract data requirements list (CDRL)	TO SOW Section C and listed in TO [page/section XX]	Inspection by the COR as required or customer complaints as applicable.	100% compliance with requirements of Task Order.	As needed.
Submission of M&V Plan	*TO statement of work and TO Schedules.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order.*	*Prior to performance period. Once, unless material changes to ECMs.*
Post Installation (PI) Report	*TO statement of work and TO Schedules.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order.*	*Prior to performance period. Once, unless material changes to ECMs.*
Commissioning (Cx) Report (mostly for UESCs)	*TO statement of work and TO Schedules.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order.*	*Prior to performance period. Once, unless material changes to ECMs.*

Recommissioning (RCx) Reports (mostly for UESCs)	*TO statement of work and TO Schedules.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order.*	*At intervals determined by the contract.*
Performance of Measurement and Verification (M&V) Requirements (Examples provided)				
ECM 1 – LED lighting	*Task Order Schedule 4, FEMP Option B.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order Schedule 4.*	*Annual.*
ECM 2 – Water conservation measures	*Task Order Schedule 4, FEMP Option D.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order Schedule 4.*	*Annual.*
ECM 3 – HVAC controls	*Task Order Schedule 4, FEMP Option A.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order Schedule 4.*	*Annual.*
ECM 4 - Microturbine	*Task Order Schedule 4, FEMP option C.*	*Inspection by the COR.*	*100% compliance with requirements of Task Order Schedule 4.*	*Annual.*
Performance of operations and maintenance (O&M) requirements	TO statement of work [page/section XX]	Inspection by the COR or customer complaints as applicable.	100% compliance with requirements of Task Order.	As defined by the contract.
Performance of repair and replacement (R&R) requirements.	TO statement of work [page/section XX]	Inspection by the COR or customer complaints as applicable.	100% compliance with requirements of Task Order.	As defined by the contract.
Combatting trafficking in persons compliance.	TO statement of work [page/section XX]	Inspection by the COR.	100% compliance with requirements of Task Order.	Random.

4. 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 KO 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 KO 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 KO 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 CAR 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.

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:

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

TEMPLATE

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			

TEMPLATE