

Quality Assurance Surveillance Plan

The Quality Assurance Surveillance Plan (QASP) is essential to the Government for use in surveillance of service contracts.

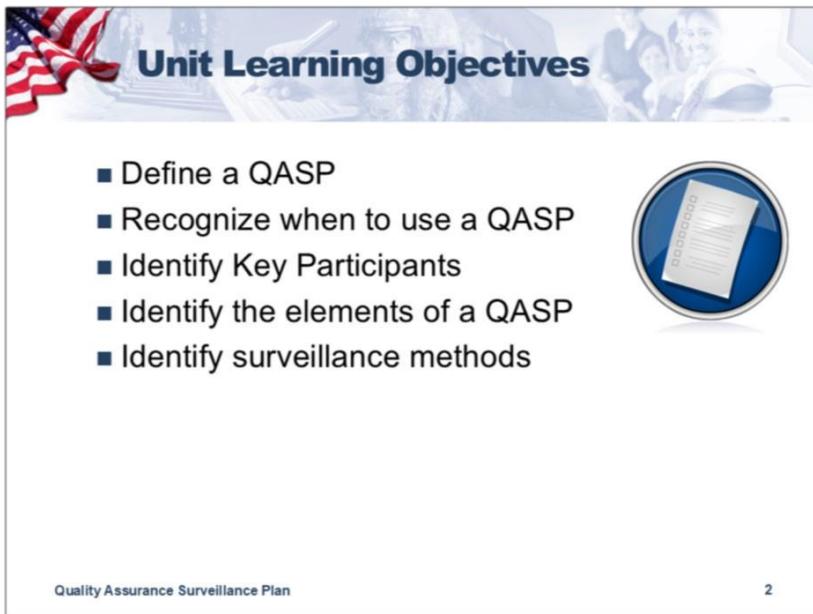
Slide 1: Quality Assurance Surveillance Plan



Slide 1 Text: Quality Assurance Surveillance Plan

Slide 2: Unit Learning Objectives

This unit covers completing a practice QASP by understanding what a QASP is, its elements, the surveillance methods used, and the appropriate time for use.



The slide features a blue header bar with the text "Unit Learning Objectives" in white. To the left of the text is a small American flag graphic. To the right is a circular icon containing a document with the text "QASPs". The main content area contains a bulleted list of learning objectives. At the bottom left is the text "Quality Assurance Surveillance Plan" and at the bottom right is the number "2".

- Define a QASP
- Recognize when to use a QASP
- Identify Key Participants
- Identify the elements of a QASP
- Identify surveillance methods

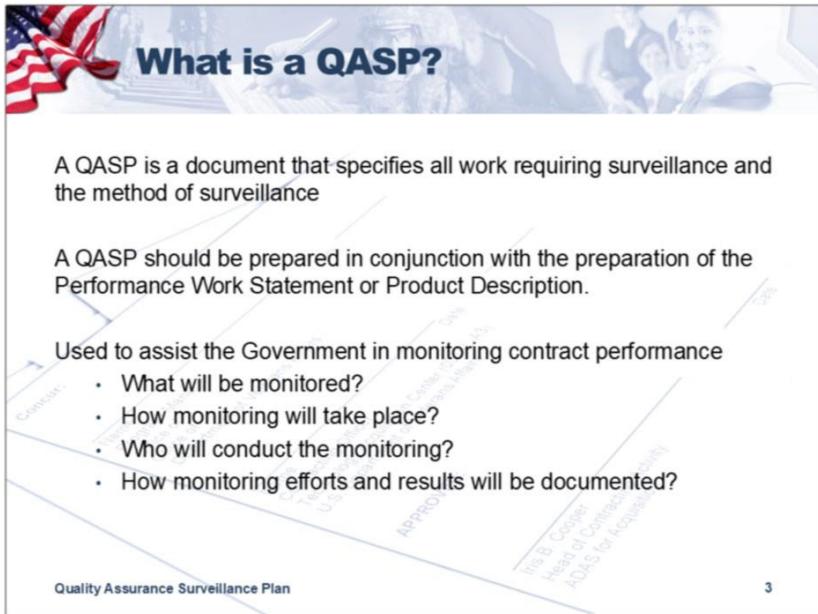
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Slide Text:

- Define a QASP
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Slide 3: What is a QASP?

Before you can create a QASP, you will need to know what is a QASP and its purpose. A QASP is a Quality Assurance Surveillance Plan. The Contracting Officer's Representative (COR) will use it for surveillance of contractor performance.



What is a QASP?

A QASP is a document that specifies all work requiring surveillance and the method of surveillance

A QASP should be prepared in conjunction with the preparation of the Performance Work Statement or Product Description.

Used to assist the Government in monitoring contract performance

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

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Slide Text:

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- How monitoring efforts and results will be documented?

Slide 4: When is a QASP Required?

A study performed by NASA revealed that many service contracts were missing QASPs.

When is a QASP Required?

Slide Text:

A QASP is required for **ALL** service contracts, even those that are:

- Off-site services (Contractor's Facility)
- Small dollar value – Below the Simplified Acquisition Threshold
- Performed by a small business
- Contractor with an established internal quality control plan

Slide 5: Key Participants

There are two key participants required in the development of the QASP. The COR and the CO both actively participate in creating a QASP. Let's see how.

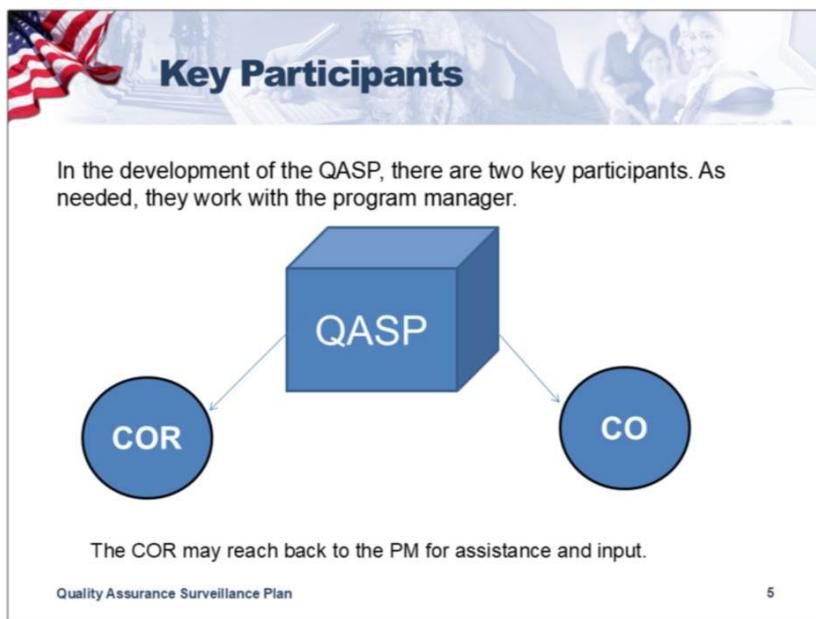
The COR must first determine what tasks require surveilling; this should be done while developing the PWS. The next questions are:

- How can we measure acceptable performance of those tasks in terms of timeliness and quality?
- What are the objective measurable metrics we can use?
- What type of surveillance is appropriate for a particular task (monthly, quarterly, etc.)?

The COR is then responsible to assure proper Government surveillance using the methods identified in the QASP through assessing the performance and documenting results in accordance with their appointment letter. The COR is responsible for reporting any significant performance deficiencies to the CO.

The CO performs a different role, ensuring performance and compliance with the terms of the contract and ensuring the contractor receives impartial, fair, and equitable treatment.

The QASP can only be changed with the concurrence of the COR and CO.



Slide Text:

In the development of the QASP, there are two key participants. As needed, they work with the program manager.

[Image description]: graphics indicating the COR and CO are the two key participants in QASP development.

The COR may reach back to the PM for assistance and input.

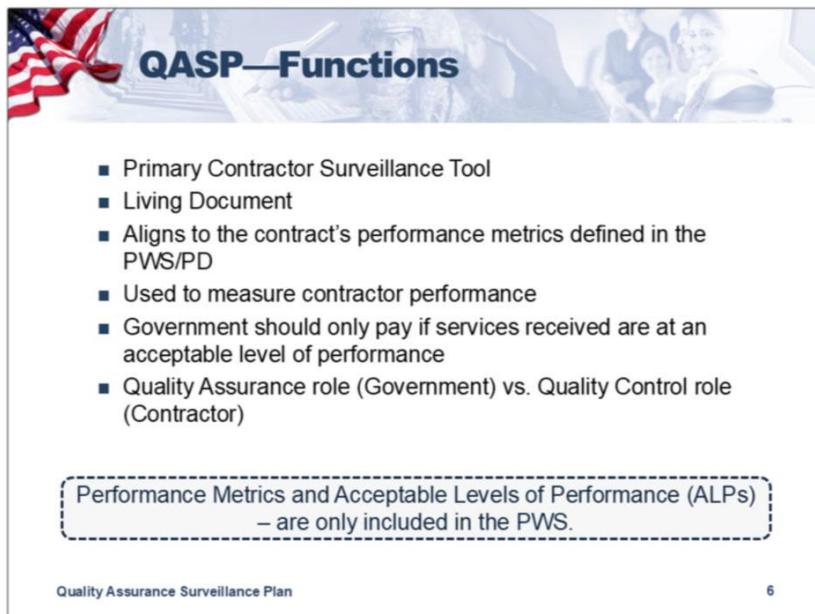
Slide 6: QASP Functions

You already know that the QASP is the primary contract administration tool, but it is also a living document, which means it may be continuously updated. The QASP:

- Corresponds to a contract's specified performance standards
- Is built directly from the performance metrics in the PWS and tailored for each requirement
- Is used to measure contractor performance so it can ensure that the Government receives the quality of services called for under the contract and pays only for those acceptable levels of services received

The Government's role is to ensure quality is being delivered and the contractor's role is to monitor and control the quality of the product or services they are delivering to the Government. This document is often used by auditors to ensure that the Government is monitoring quality correctly. The CO may use the QASP to ensure that the COR is performing their role correctly also.

How do you think the QASP relates back to the PWS? Answer: Performance Metrics and Acceptable Levels of Performance (ALPs) – are only included in the PWS.



QASP—Functions

- Primary Contractor Surveillance Tool
- Living Document
- Aligns to the contract's performance metrics defined in the PWS/PD
- Used to measure contractor performance
- Government should only pay if services received are at an acceptable level of performance
- Quality Assurance role (Government) vs. Quality Control role (Contractor)

Performance Metrics and Acceptable Levels of Performance (ALPs)
– are only included in the PWS.

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Slide Text:

- Primary Contractor Surveillance Tool
- Living Document
- Aligns to the contract's performance metrics defined in the PWS/PD
- Used to measure contractor performance
- Government should only pay if services received are at an acceptable level of performance
- Quality Assurance role (Government) vs. Quality Control role (Contractor)

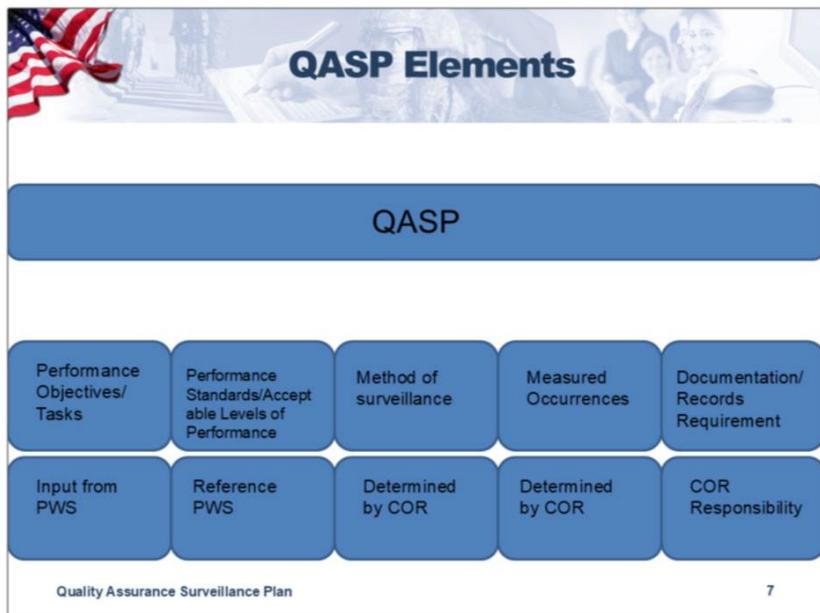
Slide 7: QASP Elements

Of all the PWS tasks to be performed, key outputs (Performance Standards/Tasks) should be selected and measurable objective performance standards (metrics) should be assigned (usually capturing both quality and timeliness). The QASP has specific required elements. They are:

- Performance standards
 - Ensure a level of quality work is performed by the contractor—these should come directly from the PWS.
- Achievable metrics
 - Should not only define the timeliness of a deliverable but also the quality of the level of performance. They are objective not subjective opinions.
- Method of surveillance
- Number of occurrences
- Documentation and records requirements

Example metric for a Help Desk acquisition: 90% of the end-user issues resolved within 24 hours of initial contact. This would determine the Acceptable Level of Performance.

The final three elements are determined by the COR and can depend upon several variables. This will be discussed later so that you can determine what level of surveillance is required or needed for your requirements.



Slide Text:

QASP

- Performance Objectives/Tasks
- Performance Standards/Acceptable Levels of Performance
- Method of surveillance
- Measured Occurrences
- Documentation/Records Requirement
- Input from PWS
- Reference PWS
- Determined by COR
- Determined by COR
- COR Responsibility

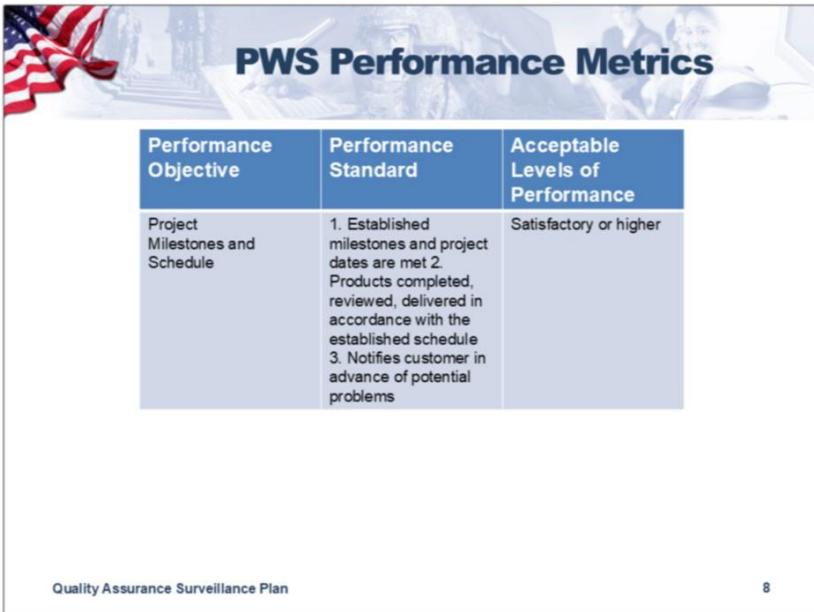
Slide 8: PWS Performance Metrics

As discussed earlier in the PWS, metrics are measures used to indicate progress or achievement and should be considered and developed as part of your contract administrative plan.

Here we have an example of a performance metric which outlines the performance objective, performance standard, and acceptable level(s) of performance.

Key to note:

- The variety, level, and quantity of metrics you need to develop for monitoring the contractor's performance will depend on the acquisition.
- There is no one size that fits all when it comes to metrics.
- Simple acquisitions may have only a few metrics related to cost, schedule, or performance.
- The more complex the acquisition, the more complex and numerous the metrics needed to monitor performance.



PWS Performance Metrics		
Performance Objective	Performance Standard	Acceptable Levels of Performance
Project Milestones and Schedule	1. Established milestones and project dates are met 2. Products completed, reviewed, delivered in accordance with the established schedule 3. Notifies customer in advance of potential problems	Satisfactory or higher
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Slide Text:

Performance Objective:

Project Milestones and Schedule

Performance Standard:

1. Established milestones and project dates are met
2. Products completed, reviewed, delivered in accordance with the established schedule
3. Notifies customer in advance of potential problems

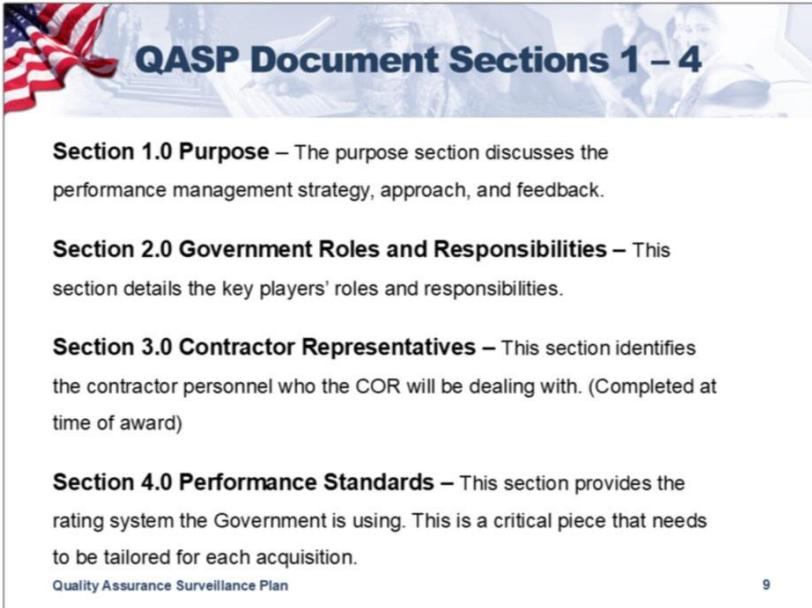
Acceptable Levels of Performance:

Satisfactory or higher

Slide 9: QASP Document Sections 1-4

The QASP is a very simple document to complete, and it is required for all service contracts. The TAC has streamlined the template to make most sections boilerplate. In most cases, you will only need to complete Section 5, which is tailored to your individual requirement. Please remember that the COR will be responsible for completing all of the details within the document and that any section of the document can be tailored. Remember, the performance standards determine if the contractor exceeds, meets or does not meet the Acceptable Levels of Performance.

Let's take a quick look at the first four sections. This is the groundwork for the QASP.



QASP Document Sections 1 – 4

Section 1.0 Purpose – The purpose section discusses the performance management strategy, approach, and feedback.

Section 2.0 Government Roles and Responsibilities – This section details the key players' roles and responsibilities.

Section 3.0 Contractor Representatives – This section identifies the contractor personnel who the COR will be dealing with. (Completed at time of award)

Section 4.0 Performance Standards – This section provides the rating system the Government is using. This is a critical piece that needs to be tailored for each acquisition.

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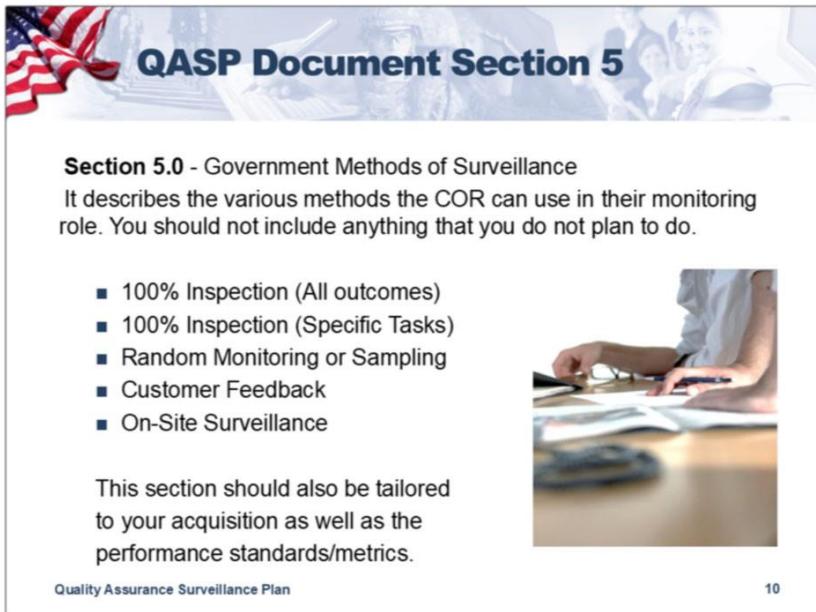
Slide 10: QASP Document Section 5

This section of the QASP describes the various methods or combination of methods the COR shall use to monitor contractor performance. The COR must document the file for all inspections. There are several accepted methods the Government uses in the surveillance of contractor performance. These methods are:

- 100% Inspection (evaluates all tasks and deliverables) The monitoring of one or more aspects of the requirement with every occurrence. This information is always documented.
 - Always when risk to life, safety, or health
- 100% Inspection (of a specific type of deliverable) in a Random Sample of Specific Area
- Random Monitoring or Sample
 - Used for production or recurring requirements
- Customer Feedback- Can be obtained from results of formal customer satisfaction surveys or obtained randomly from customers. These results are retained by the COR in the form of a summary log, which is kept in the contract file.
 - Validated Customer Complaint or Validated Below Average Performance in a Specific Area
 - Random Monitoring/Sampling/Reviews
 - Surveys
- On-Site Surveillance

It's very rare to need two or all three inspection methods provided in the template for one effort.

The surveillance method may be changed by the Government at any time. If you are monitoring a task weekly and find that the contractor is performing successfully you might choose to look at that task monthly for a while; conversely, if you believe more oversight is necessary due to issues on another task and it is only being monitored monthly you may choose to monitor them weekly until performance improves.



QASP Document Section 5

Section 5.0 - Government Methods of Surveillance
It describes the various methods the COR can use in their monitoring role. You should not include anything that you do not plan to do.

- 100% Inspection (All outcomes)
- 100% Inspection (Specific Tasks)
- Random Monitoring or Sampling
- Customer Feedback
- On-Site Surveillance

This section should also be tailored to your acquisition as well as the performance standards/metrics.



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Section 5.0 - Government Methods of Surveillance

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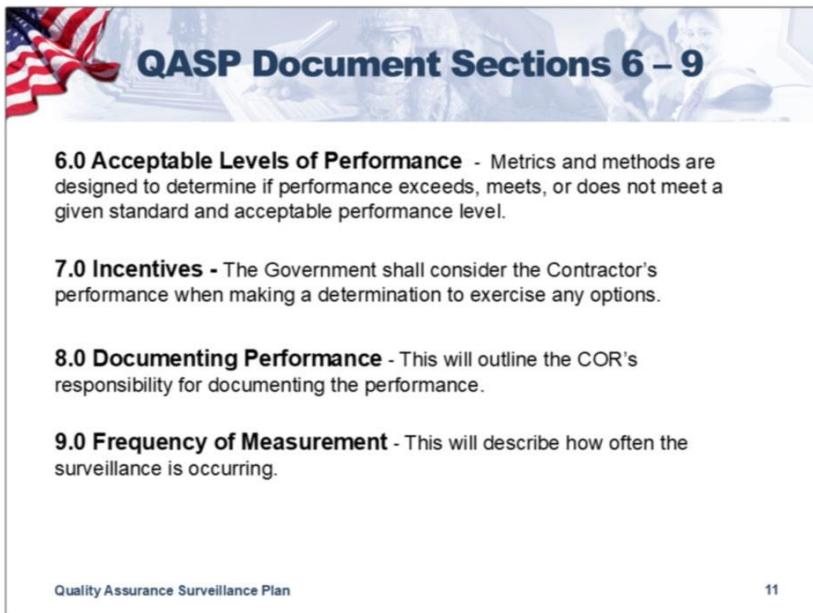
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This section should also be tailored to your acquisition as well as the performance standards/metrics.

Slide 11: QASP Document Sections 6-9

- 6.0 Acceptable Levels of Performance (ALPs) – The ALPs are included in the Performance Metrics Section of the PWS.
- 7.0 Incentives – Negative incentives can be included for performance shortfalls. Because most of our contracts are FFP, the discussion in this paragraph is normally limited to options.
- 8.0 Documenting Performance – This will outline the responsibility for documenting the performance.
- ACCEPTABLE PERFORMANCE - The Government shall document acceptable performance accordingly. Any report may become a part of the supporting documentation for any contractual action.
- UNACCEPTABLE PERFORMANCE - When unacceptable performance occurs, the COR shall inform the CO. This will always be in writing although when circumstances necessitate immediate verbal communication, that communication will be followed in writing.
- 9.0 Frequency of Measurement – This will describe how often the surveillance is occurring.

Again, most of this is boilerplate. You really should focus on Section 5 when completing this document.



QASP Document Sections 6 – 9

6.0 Acceptable Levels of Performance - Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable performance level.

7.0 Incentives - The Government shall consider the Contractor's performance when making a determination to exercise any options.

8.0 Documenting Performance - This will outline the COR's responsibility for documenting the performance.

9.0 Frequency of Measurement - This will describe how often the surveillance is occurring.

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Slide Text:

- **6.0 Acceptable Levels of Performance** - Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable performance level.
- **7.0 Incentives** - The Government shall consider the Contractor's performance when making a determination to exercise any options.
- **8.0 Documenting Performance** - This will outline the COR's responsibility for documenting the performance.
- **9.0 Frequency of Measurement** - This will describe how often the surveillance is occurring.

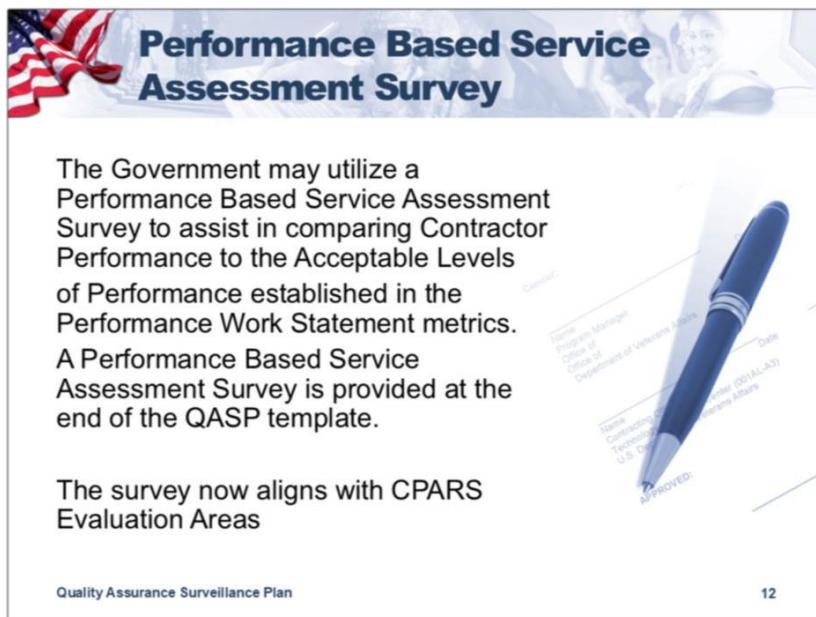
Slide 12: Performance Based Service Assessment Survey

As stated in Section 4 of the QASP, the Government may utilize a Performance Based Service Assessment Survey, or other method to compare Contractor Performance to the Acceptable Levels of Performance established in the Performance Work Statement metrics.

A Performance Based Service Assessment Survey (PBSA) is provided at the end of the QASP template. The survey now aligns with CPARS Evaluation Areas and requires narratives (even Satisfactory) for each area. This will better utilize the PBSAs to complete the CPARs.

It should be noted that for all T4NG acquisitions, the PBSA will be collected by the TAC through ATOMS and used in Past Performance Evaluations for new T4NG Task Orders.

Please note Acquisition personnel assigned to T4NG orders will reach out to CORs via email for the PBSAs until all T4 Task Orders and their respective option periods expire.



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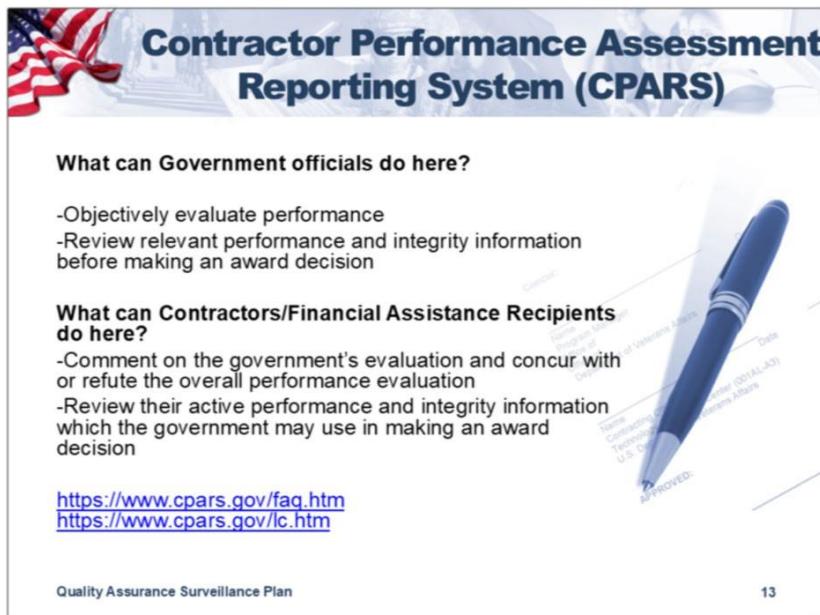
The Government may utilize a Performance Based Service Assessment Survey to assist in comparing Contractor Performance to the Acceptable Levels of Performance established in the Performance Work Statement metrics.

A Performance Based Service Assessment Survey is provided at the end of the QASP template.

The survey now aligns with CPARS Evaluation Areas

Slide 13: Contractor Performance Assessment Reporting System (CPARS)

Past performance information is relevant information, for future source selection purposes, regarding a contractor's actions under previously awarded contracts or orders. CPARS is the repository where performance evaluations that contain both government and contractor comments are used to provide a balanced view of performance, allowing source selection officials to look beyond contractor references. You can find relevant information and training at the links provided.



Contractor Performance Assessment Reporting System (CPARS)

What can Government officials do here?

- Objectively evaluate performance
- Review relevant performance and integrity information before making an award decision

What can Contractors/Financial Assistance Recipients do here?

- Comment on the government's evaluation and concur with or refute the overall performance evaluation
- Review their active performance and integrity information which the government may use in making an award decision

<https://www.cpars.gov/faq.htm>
<https://www.cpars.gov/lc.htm>

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Slide Text:

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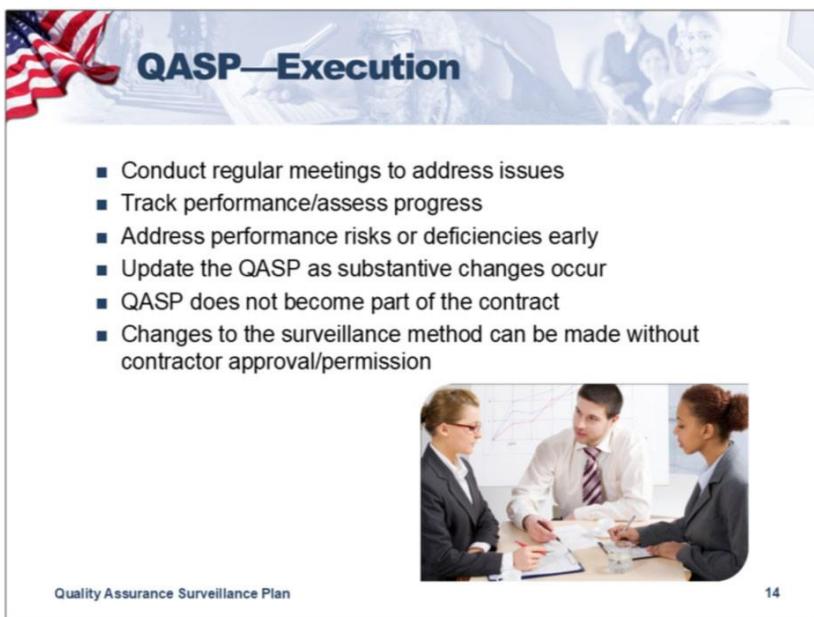
<https://www.cpars.gov/lc.htm>

Slide 14: QASP Execution

After award, what do you do with the QASP? To use the QASP efficiently, here are some facts and steps to follow:

- Meet with all concerned parties on a regular basis to address issues.
- Track performance and assess progress against the QASP.
- Address performance risks or deficiencies early to avoid formal corrective action at a later date.
- Update the QASP as substantive changes to the contract requirements, performance, or contract surveillance approaches occur.
- The QASP can be given to the contractor and is usually provided at the post- award conference.
- Changes to the surveillance method can be made without contractor approval/permission.

Remember, the QASP is not part of the contract. It is a key document for the COR to follow. They are responsible for performing the duties outlined within it.



QASP—Execution

- Conduct regular meetings to address issues
- Track performance/assess progress
- Address performance risks or deficiencies early
- Update the QASP as substantive changes occur
- QASP does not become part of the contract
- Changes to the surveillance method can be made without contractor approval/permission

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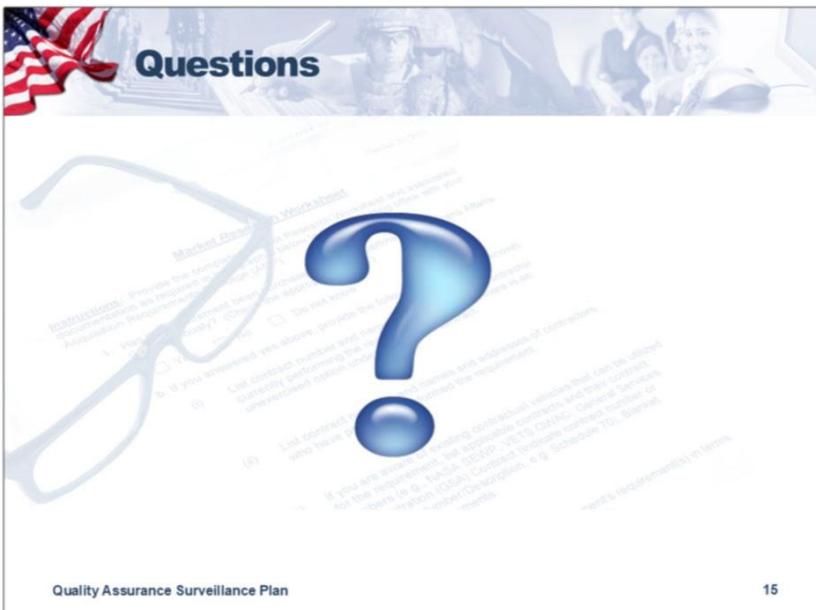
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Slide Text:

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- QASP does not become part of the contract
- Changes to the surveillance method can be made without contractor approval/permission

Slide 15: Questions

We've reached the end of the unit on the Quality Assurance Surveillance Plan.



Slide Text:

Question Mark