HM&E FTA Support Solicitation N5523626R0007
Attachment J-4

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)
Southwest Regional Maintenance Center

Introduction. This Quality Assurance Surveillance Plan (QASP) sets forth the guidelines and processes the Government will employ to ensure the contractor achieves the required standard of performance, as it relates to carrying out the tasks described in the Statement of Work (SOW). This QASP contains a Service Delivery Summary (SDS) that summarizes the performance objectives, identifies the performance standards, and states how performance will be evaluated. The SDS identifies those services considered most important for mission accomplishment and the minimum acceptable performance level. This QASP is a "living document" and the Government may review and revise it on a regular basis. The Government will coordinate any changes with the contractor. Updates will ensure that the QASP remains a valid, useful, and enforceable document.

Purpose. The QASP provides a means for the Government to determine if the contractor is meeting the specified performance standards.

Roles and Responsibilities. The Government will monitor contractor performance on a continuing basis, throughout the period of performance. The Government may elect to monitor contractor performance through the use of a surveillance team or assign the responsibility to one individual. The surveillance team may consist of the following members: Contracting Officer, Contracting Officer's Representative (COR), Requirements Holder, and other Government staff or components as applicable.

Performance will be assessed by the members of the surveillance team, and this information will be used to rate the contractor's performance. Information will be recorded in the contract file and will provide input for the Contractor Performance Assessment Reporting System (CPARS). CPARS is the Department of Defense (DoD) Enterprise Solution for collection of Past Performance Information (PPI).

CPARS is a web-enabled application that collects and manages contractor quality/performance, in essence a "report card". Information on CPARS can be found at http://www.cpars.gov/. The contractor is responsible for the management of its personnel and quality control, and fulfilling the terms of the Contract in a timely manner, with quality services and products.

Service Delivery Summary (SDS). The SDS at the end of this document summarizes the expected service objectives (outcomes), and identifies the metrics that will be used to determine whether the outcomes are achieved at the appropriate levels of performance. In determining the evaluation criteria, the Government has considered specific contract requirements, how performance can be surveyed, and if the proposed method of surveillance is adequate to ensure the required level of performance has been achieved.

The contractor's performance will be a factor affecting application of the plan (i.e., surveillance frequency may be increased or decreased based upon contractor demonstrated and documented performance). The Government will monitor the contractor's performance using the surveillance

methods identified in the SDS, but may choose to change or add methods from the list described below if performance requires closer surveying.

The Government retains the right to inspect any item performed or delivered under this effort, to include required tasks not shown in the SDS. In addition, the Government reserves the right to add new, delete existing, or change any of the existing tasks identified in the SDS if the contractor's performance in any area of this effort is less than satisfactory. These items will be inspected using one or more of the surveillance methods described below and will be documented by the COR in the contract file. If necessary, findings will be provided to the Contracting Officer for action. The Contracting Officer will handle each documented discrepancy on a case-by-case basis.

- Periodic Surveillance. Periodic surveillance inspection is the type of surveillance that is based upon selecting samples for evaluation on other than 100% inspection or on a statistically random basis. Selecting this tool to determine a contractor's compliance to contract requirements can be quite effective and allows the COR to establish confidence or lack of confidence in the contractor without consuming a significant amount of time. An example of periodic surveillance is weekly inspections when the COR chooses the location and time on other than a statistically random basis.
- Sampling. This is the most appropriate method for frequently recurring tasks. Random sampling is done to determine whether to accept or reject the contractor's performance of the total effort for a particular task for a given period of time, using the premise that the statistically selected sample is representative of the entire effort. Sampling may be on-the-spot, periodic or random.
- Inspection/Review. This surveillance type is preferred for those tasks that occur infrequently. It is also used frequently for those tasks having very stringent performance requirements. When this type of surveillance is used, the COR must inspect and evaluate the contractor's performance each time it is performed to determine acceptability. This type of surveillance consists of the evaluation of samples selected on any other than 100% or statistically random basis. This will occur frequently at the beginning of the contract and is expected to decrease as standards are consistently met, but may increase if performance becomes substandard. The results of periodic surveillance inspections may be used as the basis for actions against the contractor. In such cases, FAR 52.246-5 Inspection of Services – Cost-Reimbursement, becomes the basis for the Contracting Officer's actions.
- Customer Feedback. Feedback will periodically be gathered and documented regarding contractor performance. This information may be obtained via a formal inquiry/survey or monitored by customer complaints. To be considered valid, customer complaints must explain the detailed nature of the complaint in writing, and be signed and submitted to the COR. The COR will coordinate with the Contracting Officer for resolution, as needed, and will include all documentation in the contract file.

Evaluation Methodology. This QASP comprehensively guides the surveillance team's activities and has been developed in a format to ensure ease of understanding and implementation. For each performance objective in the SDS, the specific methods of surveillance and performance thresholds are shown in the SDS Summary. The methodology described shall be used as the basis for performing surveillance of the respective performance objectives. The Government will use the

following adjectival scheme to evaluate the contractor's performance in meeting the identified standards:

- **EXCEPTIONAL –** Performance significantly exceeds contract requirements to the Government's benefit.
- **VERY GOOD –** Performance exceeds some contract requirements to the Government's benefit.
- **SATISFACTORY –** Performance meets contractual requirements.
- **MARGINAL –** Performance does not meet some contractual requirements.
- **UNSATISFACTORY –** Performance does not meet contractual requirements.

Established Procedures. Each contractor assessment shall adhere to the following established procedure for surveillance, recording, reporting, and follow-up:

a. The frequency of surveillance will be in accordance with the schedule identified in the SDS.
b. Surveillance will be performed in accordance with the SDS with the results and comments recorded in the contract file (the COR will place the documentation in their file and also forward a copy to the Contracting Officer). The COR may generate his/her own format. The Government will have five (5) working days to accept or reject submissions in writing, and notify the contractor of the acceptance or the cause of the rejection. The contractor shall then have five (5) working days to correct the deficiency and resubmit.
c. Performance/non-performance for particular tasks will be recorded and filed, and addressed with the Contracting Officer, if the COR and contractor cannot reach an agreement on how to resolve an incidence of non-performance. If no deficiency exists in contractor performance, no action is required.
d. If the contractor's performance does not meet the specified criteria, the course of action will be dependent on the severity/impact/frequency of the deficiency. Re-work shall be the first action the contractor shall employ to resolve deficiencies. When the COR determines a deficiency is not Government-related and is significant to the performance of the contract, a DD Form 2772, Contract Discrepancy Report (CDR) may be initiated. The COR will complete Blocks 1 through 6 of the form and send it to the Contracting Officer. The Contracting Officer will evaluate the validity of the CDR and, if appropriate, sign and send it to the contractor to complete Blocks 9 and 10. The contractor shall return the CDR to the Contracting Officer within five (5) calendar days of receipt. Upon receipt of the contractor's response, the Contracting Officer, in consultation with the COR, will evaluate the contractor's response and take the appropriate action. The Contracting Officer must document the evaluation (Block 11) and action taken (Block 12) on the CDR.
e. When the contractor reports corrective action, the COR will follow up with additional surveillance to verify implementation.

In-Process Reviews (IPRs). The Government may schedule In-Process Reviews (IPRs) regularly, or as needed, during the performance of the effort. The purpose of IPRs is to discuss the status of efforts, concerns or issues, etc. The contractor shall be required to record minutes of all IPRs and submit them to the COR no later than five (5) business days after the meeting.

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Service Delivery Summary (SDS).

Table 1

Task	Performance Objective	Performance Standard	Acceptable Quality Level (AQL)	Method of Evaluation	Frequency
All Tasks: Technical Documents	Submission of deliverables/CDRLS is timely. Documents are readable, clear, and accurate. Documents are in the specified format.	Timeliness, accuracy, and quality.	90% of the time deliverables are submitted on-time and in the format required, and minor corrections to documents are required only 10% of the time.	Government evaluation of deliverables received, in accordance with established completion schedule. COR annotates their file and notifies the Contracting Officer if there is a persistent problem.	Reviewed at each delivery – documented monthly as part of the monthly COR report.
All Tasks: Cost Performance Reporting	All documentation regarding incurred costs is accurate and timely.	All required documentation meets contract requirements as to content and submission schedule. Detailed variance reports are provided.	Monthly Progress Report expenditures are accurate. Reported and invoiced costs are timely and accurate.	Government review of Monthly Progress Reports and Invoices.	Monthly
All Tasks: Contract Management	Contractor implements management approach described in their proposal. Contract management is proactive and effective.	Contractor management is responsive to Government input and/or concerns, communications are effective and contractor is proactive rather than reactive in addressing performance issues.	Government intervention is rarely, if ever, necessary to resolve performance issues.	Continuous review by Government personnel (through monthly status report).	Monthly
All Tasks: Customer Feedback	Customer Support – timely addressing of customer inquiries and discrepancy notifications.	Quality	90% of the time, customer feedback obtained or received is positive.	Customer Feedback. COR will solicit and/or receive feedback from receiving offices with regard to the contractor's quality of support (timely, professional, etc.).	Randomly – documented monthly as part of the monthly COR report.