Quality Assurance Surveillance Plan (QASP)

Version 1 – 13 January 2026

FOR:	Inspection, Testing, Certification, and Repair of Aboveground and Underground Storage Tanks
CONTRACT NUMBER:	
CONTRACT DESCRIPTION:	Maintain continuous and safe operations for underground storage tanks (USTs) and aboveground storage tanks (ASTs)
CONTRACTOR'S NAME:	

1. **VISION.** This QASP details how the inspection/testing, certification and repair of aboveground and underground storage tanks Services will be managed upon award, throughout its life cycle. This QASP will provide the Contracting Officer's Representatives (CORs) with an effective tool for assessing the contractor's performance and provide CORs the information in which he/she can identify acceptable and potential reasons for any non-conforming performance. The complexity of this plan should match the characteristics of the services. For every performance objective listed in the Services Summary (SS) of the Performance Work Statement (PWS), a performance threshold and method of surveillance must be determined and identified in this document. This QASP is a planned process for surveying those requirements. This QASP is a living document and shall be revised or modified by members of the acquisition team as circumstances warrant throughout the life of the contract, to ensure adequate oversight of contractor performance is maintained.

2. **MISSION.** The contractor shall provide all management, personnel, equipment, materials and tools necessary to inspect, test, certify, and repair to maintain continuous and safe operations for 12 Underground Storage Tanks (USTs) and 7 Aboveground Storage Tanks (ASTs) at Joint Base McGuire-Dix-Lakehurst (JB MDL). Tanks are located on Dix/McGuire areas of the joint base, there are no tanks located on Lakehurst side of the base. The scope of performance includes, but is not limited to inspection, testing, certification, repairs, and environmental protection requirements of the USTs listed in Appendix A and ASTs listed in Appendix B of the PWS. The contractor shall comply with applicable federal, regional, state and local laws/regulations, manufacturer's requirements, in accordance with (IAW) Unified Facilities Criteria (UFC) 3-460-03, Air Force Manual (AFMAN) 24-604, Department of Air Force Manual (DAFMAN) 32-1067, 40 Code of Federal Regulation (CFR) Part 280, 40 CFR 112, NFPA 30 and 31, IFC 5704, STI SP001, and the Petroleum Equipment Institute (PEI) RP900-21 & RP600-24. The contractor shall maintain records of all inspections, testing, and repairs to tanks as required within this PWS and related regulations.

3. **PURPOSE.** DAFI 63-138 Acquisition of Services (revision dated 2 January 2024) states that the purpose of a QASP is to provide a documented process for surveilling the contractor's actual performance and comparing that to the technical requirements of the contract. The DAFI further states in paragraph 6.2.2 that while the SS is releasable to the contractor, the **QASP is an internal Government document**.

The QASP is based on the premise that the Contractor, NOT the Government, is responsible for management and quality control actions to successfully meet the terms of the contract.

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 monitoring will take place
- Who will be conducting the monitoring
- How monitoring efforts and results will be captured/documented

The contractor is responsible for implementing and delivering performance that meets contract standards using their existing quality control systems, or, if required by the PWS, their submitted contractor Quality Control Plan (QCP). 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.

4. **AUTHORITY.** Authority for issuance of this QASP is provided under Federal Acquisition Regulation (FAR) Part 12, Acquisition of Commercial Items, which provides for inspection, acceptance and documentation of the service called for in the contract or order. This acceptance is to be executed by the Contracting Officer or a duly authorized representative, such as a Contracting Officer's Representative (COR).

5. ROLES & RESPONSIBILITIES OF THE ACQUISITION TEAM

5.1 Installation Contracting Division Chief

- Serves as Business Advisor to senior leadership, providing sound business solutions/strategies to optimize resurces and to enhance the quality and timeliness of acquisitions for services.
- Manage for the Installation/Center Commander the contract Quality Assurance Program (QAP) and appoint a Quality Assurance Program Coordinator IAW AFFARS MP 5346.103
- Ensures the MFT exercises acquisition authorities and responsibilities according to the Federal Acquisition Regulation (FAR), Department of Defense Federal Acquisition Regulation Supplement (DFARS) and Air Force Federal Acquisition Regulation Supplement (AFFARS).

5.2 Program Manager (PM)/Functional Service Manager (FSM)

- Execute management and oversight for the delivery of contractually acquired services. The PM or FSM does not have directive authority over the day-to-day contractor performance. Therefore, the PM or FSM works with the contracting officer to ensure the contractual requirements, as defined in the contract Performance Work Statement (PWS), are met.
- Specifically identifies those services within a requirement that are mission essential in accordance with DFARS Clause 252.237-7023, if included in the contract.
- Lead and recommend membership for the MFT through the course of the acquisition (pre and post award) as required in DoDI 5000.74. Keep up-to-date on mission changes that may drive the need for a contract modification. Coordinate with and seek advice from the CO on a possible need for a modification based on changes within the functional mission that could affect the performance requirements of the contract.
- Keep up-to-date on mission changes that may drive the need for a contract modification. Coordinates with and seek advice from the contracting officer on a possible need for a modification based on changes within the functional mission that could affect the performance requirements of the contract.
- Review, approve, and sign surveillance schedules prior to upcoming surveillance periods to ensure there is no unnecessary disruption to contract schedule This required function will be performed by the PM/FSM in SPM using either of two methods of their choice: by 1) Being trained and Appointed as an Alternate COR in SPM or 2) Performing in the role of QAPOC in SPM. Obtain a PIEE account at https://piee.eb.mil/ and register for the SPM Role of either “COR” or “QAPOC”. Contact the QAPC/GAM for further instructions.
- When necessary, fulfill COR appointment and supervisory duties identified in paragraphs 2.12 and 2.14 of DAFI 63-138. Review and approve individual’s nomination as CORs to the CO to enable appropriate contract surveillance. The COR(s) should be organizationally aligned with the PM/FSM whenever possible.
- No less than quarterly, review contractor performance documentation prepared by COR personnel to ensure performance is compatible with contract objectives. The recommended best practice for doing this is for the PM (if Not the COR) or FSM to obtain and use of the Manager Role in SPM to inspect COR Surveillance Files.
- Approve Performance Based Quality Assurance Surveillance Plan (QASP) for contracts greater than or equal to the SAT. Coordinate on Non-Performance Based QASP prior to approval by SDO.
- Ensure a Contractor Performance Assessment Report (CPAR) is accomplished no less than annually and IAW DoD CPAR Guidance.

5.3 **Contracting Officer** The contracting officer is the only person with the authority to obligate the government and direct a contractor’s performance. The contracting officer carries out their duties IAW the Federal Acquisition Regulation (FAR) and its supplements. Broadly, the contracting officer plans for, awards, administers, modifies, interprets, takes corrective action, and terminates a contract on behalf of the government as specified on the contracting officer’s warrant. In accordance with DoDI 5000.72, DoD Standard for Contracting Officer’s (COR) Certification, Enclosure 3, para 1(c), when applicable, the contracting officer designates a properly trained COR in writing before award of all service contracts. Contracting officers shall designate a COR for all service contracts, unless certain conditions are met, IAW DFARS Procedures, Guidance and Information (PGI) 201.602(d)(v)(A).

5.4 **Contracting Officer Representative (COR)** A contracting officer's representative (COR) executes the duties and responsibilities detailed in FAR 1.604, DFARS PGI 201.602, AFFARS MP 5301.602-2(d), and DoDI 5000.72. Specific duties may also be outlined in the COR appointment letter.

- Provide technical support to the PM/FSM and CO and assist MFT in developing performance requirements in pre-award activities when requested.
- Assists the CO and MFT in determining Quality Management System (QMS) requirements being mindful of the requirements of FAR Parts 12, 46, the contract clause at FAR 52.212-4(a) or FAR 52.246, Chapter 6 of DAFI 63-138, and the PWS.
- Ensure contractor's accepted QMS complies with contract requirement.
- Ensure contractor follows the contractor's QMS as it is written, plus the effectiveness in bring about the desired results—performance equal to or greater than the SS metrics, plus an inspection and corrective action program that identifies and fixes issues without having to be identified by the government.
- Promptly report performance issues to the CO in writing.
- Draft a CPAR evaluation for contractor performance when designated as the CPAR AOR for a contract or task order.
- Complete all COR required training.
- Ensure a COR file is maintained with COR records (COR qualification where applicable, contract, modifications, minutes, invoices and payments, inspection results, QASP, Award Fee or Incentive Plan, Surveillance Schedule, etc., and MFRs on significant issues relating to the contract as required in DoDI 5000.72. These documents are required to be managed in SPM.
- Inform the CO in writing of any required changes to the contract scope/PWS.
- Prior to commencement of the surveillance period, complete coordination on a COR Surveillance Schedule with the PM who will upload the information into Surveillance in SPM.
- Develop and publish monthly/quarterly COR Status Report in SPM for Contracting Officer Approval. Upload any additional optional or required locally devised Performance Assessment Report within the COR Status Report. COR's surveillance documentation will be reviewed by the PM/FSM at least quarterly.
- Draft CARs for submission to the PM/FSM for each area of contractual non-conformity, either immediately or at the end of each surveillance period (as determined by your QASP) and forward to PM/FSM for review and the CO for issuance.
- Assist PM/FSM and CO in verifying adequate corrective actions are taken to resolve problems.
- Notify the CO if there is high risk of the contract costs exceeding the amount programmed (if no PM is assigned).
- Assist CO to validate the accuracy of invoices submitted by the service provider prior to the government paying for services.
- Ensure a CPAR is accomplished no less than annually. The CO may determine an out of cycle CPAR is required to address performance concerns.
- Maintains surveillance over contractor compliance with CTIP requirements IAW FAR 52.222-50, Combat Trafficking in Persons. Informs the PCO if the contractor/subcontractor fails to comply with the requirements of FAR 52.222-50, Combat Trafficking in Persons.
- Reviews contractor's Service Conract Report submitted annually at https://www.sam.gov/SAM/ , by 31 October for the FY ended 1 October, for reasonableness and consistency and informs Contracting Officer if changes are warranted so that Contracting Officer may advise contractor to make changes prior to 31 January of the following year after reporting is required.

5.5 **Quality Assurance Program Coordinator**

- Supports the MFT in the development of contract requirements specifically ensuring that requirements are clearly stated and enforceable.
- Trains CORs on the contracting requirements associated with the quality assurance program.
- Trains PM/FSM and COR Supervisors.
- Provides training and insights into COR's responsibilities:
    - Evaluate and document contractor's performance in accordance with the QASP.

    - Notify the CO of any significant performance deficiencies and provide any recommendations to improve the QASP or PWS.
    - Maintain surveillance documentation.
- Assists in development of quality assurance related training as requested.
- Assists the market research efforts of the MFT in determining commercial quality assurance practices.
- Assists as required with the evaluation of the contractor's Quality Control Plans.
- Provides refresher training if necessary to ensure the CORs are up to date with all required changes.

5.6 **Contractor:** Primarily responsible for complying fully with the terms and conditions of the contract.

- Participate as a member of the MFT in the technical post-award management phase
- As required by the PWS, submit and implement a Quality Control Plan (QCP) to ensure contract compliance
- Ensure that non-conforming contract services are identified, and corrected
- Ensure QCP is revised to prevent recurrence of non-conformance
- Tenders to the Government for acceptance, only those services that conform to contract requirements.

5.7 **Other Key Government Personnel:** These personnel may include performance monitors, inspectors, technical experts, or others who provide information that help the COR monitor contractor performance; e.g., fire department personnel who perform safety inspections, supervisory medical professionals, etc.

6. **CONTRACT SURVEILLANCE.** This section identifies the process that measures success towards achieving defined performance objectives or goals defined within the performance thresholds in the Services Summary (SS) items or the process of assessing progress towards achieving the objectives/goals developed in this QASP. Procedures for observing contractor performance are developed, documented and agreed upon in the QASP. For each SS item, the QASP lists the inspection procedures that have been determined appropriate and must be followed.

6.1 **Surveillance Approach.** The intent of this QASP is to primarily rely on the contractor's internal quality control processes, changing the Government's role from "oversight" to "insight". The team's original surveillance approach may not stay the same throughout the duration of the contract; therefore, all government evaluators should be prepared to periodically update the surveillance approach**.** The goal of our surveillance approach is to gain confidence in the contractor's way of doing business and then adjust the level of insight to a point that maintains that confidence.

6.1.1 Quality assurance shall be based on the Government's evaluation of contractor's results. All services performed must meet the prescribed performance objectives stated in the Services Summary to be regarded as acceptable.

6.1.2 Surveillance will be accomplished by Customer Surveys, Contractor and Government Data and Documentation Review, and Contractor Meetings.

6.2 **Surveillance Methods.**

6.2.1 One-Hundred Percent (100%) Inspection. 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 the task is performed.

6.2.2 Periodic Inspections. This surveillance type 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 CORs to establish confidence or lack of confidence in the contractor while not consuming a significant amount of time. The results of the periodic surveillance inspections

may used as the basis for action (other than payment deduction) against the contractor. In such cases, the Inspection of Services (as incorporated) clause becomes the basis for the contracting officer's actions.

6.2.3 Customer Complaints. This surveillance type can be a way to validate information obtained through other sources. This surveillance type is useful in those areas that do not lend themselves to other types of surveillance. CORs should furnish written instructions and customer training to each organization receiving the contractor's service. Instructions and training should cover the action that may be expected from the Government, as a result of the complaints, and the limitations on the customers dealing with Contractor personnel. Instructions should also clearly explain what service/level of service the customers should expect from the Contractor, based on what is on the contract.

7. **SERVICES SUMMARY (SS).**

SS No.	PERFORMANCE OBJECTIVE	PWS REFERENCE	PERFORMANCE THRESHOLD	Method of Surveillance
SS-1	UST Basic Service.	2. Inclusive	▪ Excellent: 0 defects ▪ Satisfactory : 1 defects ▪ Unsatisfactory: More than 1 defects	Customer Complaint; Periodic Validation
SS-2	AST Basic Service.	3. Inclusive	▪ Excellent: 0 defects ▪ Very Good: 1 defect ▪ Satisfactory : 2 defects ▪ Marginal: 3 defects ▪ Unsatisfactory: More than 3 defects	Customer Complaint; Periodic Validation
SS-3	Emergency Serivce Calls.	4. Inclusive	▪ Excellent: 0 defects ▪ Very Good: 1 defect ▪ Satisfactory : 2 defects ▪ Marginal: 3 defects ▪ Unsatisfactory: More than 3 defects	Customer Complaint; Periodic Validation
SS-4	Repair	5. Inclusive	▪ Excellent: 0 defects ▪ Satisfactory : 1 defects ▪ Unsatisfactory: More than 1 defects	Customer Complaint; Periodic Validation
SS-5	Reports / Documentation.	8. Inclusive	▪ Excellent: 0 defects ▪ Very Good: 1 defect ▪ Satisfactory : 2 defects ▪ Marginal: 3 defects ▪ Unsatisfactory: More than 3 defects	100% Inspection

SS-6	Conduct and document monthly and annual inspections withing STAR	8.3. Inclusive	▪ Excellent: 0 defects ▪ Very Good: 1 defect ▪ Satisfactory : 2 defects ▪ Marginal: 3 defects ▪ Unsatisfactory: More than 3 defects	100% Inspection
SS-7	Maintain Account withing APIMS and STAR	6.4 inclusive	▪ Excellent: 0 defects ▪ Unsatisfactory: 1 or more defects	Customer Complaint; Periodic Validation

8. **INCENTIVE PLAN.** Positive incentives as a result of performance that continually exceeds the performance objectives as outlined in the PWS may result in favorable Contractor Performance Assessment Reports (CPAR). Negative performance incentives may include re-performance of the defective service in accordance with FAR 52.212-4(a), negative CPAR reporting and/or increased surveillance.

9. **CONTRACTOR QUALITY CONTROL PROGRAM.** Quality control is the responsibility of the contractor, not the Government. The Contractor shall develop and/or maintain an inspection system acceptable to the Government covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the Government during contract performance and for as long afterwards as the contract requires. The contractor shall utilize its own internal quality control processes in the performance of this contract. In order to supplement the contractor's quality control program, government personnel will verify contractor compliance with performance requirements.

9.1 **Performance Feedback:** Documentation is required to record, evaluate, and report contractor's performance. On a monthly basis, utilizing the Online File as required, the COR will complete a narrative summary that includes the following assessment elements of contractor performance and forward it to the CO. The COR will also keep the FC informed of all performance assessments.

- Quality
- Schedule
- Cost Control
- Management
- Utilization of Small Business
- Compliance

10. **PERFORMANCE RATING DEFINITIONS. In evaluating the quality of the contractor's performance, the following performance ratings may be used** (always consult CPARS guidance at cpars.gov for the latest guidance prior to preparing actual CPARS evaluation).

Performance Rating	Criteria
Exceptional	Performance **meets** contractual requirements and **exceeds many** to the government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.
Very Good	Performance **meets** contractual requirements and **exceeds some** to the government benefit. The contractual performance element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were highly effective.

Satisfactory	Performance **meets** contractual requirements. The contractual performance of the element or sub-element being assessed contains some minor problems for which corrective actions taken by the contractor appear to be or were satisfactory.
Marginal	Performance **does not meet some** contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.
Unsatisfactory	Performance **does not meet most** contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element being assessed contains serious problem(s) for which the contractor's corrective actions appear to be or were ineffective.

11. **CPAR PERFORMANCE RATING ELEMENTS**.

Contract Performance Assessment Reporting System (CPARS). All annual reviews will be used as input into the CPARS system. A CPAR assesses a contractor's performance and provides a record, both positive and negative, on a given contractor during a specific period of time. Each assessment is based on objective facts and supported by program and contract management data. Through the system, the contractor will be able to respond to all Government comments. The CPAR is to assist the Government in gathering past performance information on the contractor for future effort. (IAW DAFI 63-138 the MFT also ensures QASP surveillance of SS performance objectives are scheduled and reported in a manner that integrate into CPARS reporting.)

CPARS guidance states that the responsibility (overall) for completing quality CPARs in a timely manner rests with the Assessing Official (AO) and that the responsibility for providing timely, accurate, quality, and complete narratives lies with the Assessing Official Representative (AOR). (Always consult CPARS guidance at cpars.gov for current guidance prior to preparing actual CPARS evaluation). AORs are typically assigned from the technical, functional, quality assurance or program management office and are often COR. The following chart is the data input the Government is required to provide for CPAR completion on the contract effort:

Performance Element	Description
Quality	Assess the contractor's conformance to contract requirements, specifications, and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety health standards).
Schedule	Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedule, and administrative requirements (e.g., efforts that contribute to or effect the schedule variance).
Cost Control	(Not required for Firm-Fixed Price or Firm-Fixed Price w/Economic Price Adjustment (EPA). Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.
Management	Assess the integration and coordination of all activities needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history or reasonable and cooperative behavior, customer satisfaction, timely award and management of subcontracts., and whether the contractor met small/small disadvantaged and woman owned business participation goals.
Management of Key Personnel *(applicable when the contract / order contains a* "Key Personnel" *clause)*	Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.
Utilization of Small Business	Assess compliance with all terms and conditions in the contract/order relating to Small Business participation (including FAR 52.219-8, Utilization of Small Businesses and FAR 52.219-9, Small Business Subcontracting Plan (when required). Assess any small business participation goals which are stated separately in the contract/order.

	Assess achievement on each individual goal stated within the contract/order or subcontracting plan including good faith effort if the goal was not achieved.
Regulatory Compliance	Assess compliance with all terms and conditions in the contract/order relating to applicable regulations and codes. Consider aspects of performance such as compliance with Financial, Environmental (Example: Clean Air Act, Clean Water Act), Safety, and Labor regulations as well as any other reporting requirements in the contract.

12. **UNACCEPTABLE PERFORMANCE.** When the contractor's performance is deemed unacceptable, the COR will determine the cause of the unacceptable performance.

12.1 **Government-Caused.** If any Government action, or lack of action, caused or contributed to the unacceptable performance, the unacceptable performance will not be counted against the contractor. The COR will take action to ensure future Government action, or lack of action, does not interfere with the contractor's performance in the future. The COR will completely document the circumstances.

12.2 **Contractor-Caused.** When the unacceptable performance is not the result of Government action, or lack of action, the COR shall promptly notify the contractor and issue a Performance Assessment Review (PAR) to assure corrective action is taken. By initialing and dating the PAR, the contractor is only acknowledging that he/she has been informed of the unacceptable performance, and is not agreeing or disagreeing with the performance assessment. The COR shall direct the contractor to re-perform the service, if possible, without additional cost to the Government. If the contractor challenges the validity of the COR's unacceptable assessment finding, and the COR and contractor cannot come to an agreement, the matter shall be referred to the Contracting Officer for resolution. Unacceptable performance that is re-performed satisfactorily by the Contractor shall still count as unacceptable performance.

12.3 **Repeated Issues/Concerns.** A Corrective Action Report (CAR) will be issued to the contractor for repeated issues/concerns. Issuance of the CAR is a formal request requiring the Contractor provide written corrective action. The contractor shall be required to respond and return all completed CARs to the COR no later than the suspense date indicated on the CAR. The COR is responsible for ensuring the corrective action taken by the contractor is effective. The COR will enter a close date on the CAR form after a determination is made that the contractor's response is acceptable. The COR will then forward the closed CAR to the contractor and report accordingly. This routing remains the same if the contractor's response is unacceptable and the CAR remains open until an acceptable response is received, except that the Contracting Officer (CO) forwards the open CAR back to the contractor for additional information.

12.4 **CAR Log.** The COR shall maintain a log of all CARs issued to the Contractor (a locally devised form may be used). The CAR log shall contain the CAR number, date issued, contractor, description of unacceptable performance, suspense date, and closeout date. All CARs and CAR logs shall be maintained by the COR for the life of the contract. All CARs will be tracked with a Control Number. The Functional Commander/Director (FC/D) is the Issuing Authority for his/her Contracting Officer's Representatives (CORs) generating CARs. By providing the control number to the COR originating the CAR, the Issuing Authority demonstrates concurrence with the finding.

13. **REMEDIES FOR UNACCEPTABLE PERFORMANCE**.
In accordance with FAR 52.212-4(a), Contract Terms and Conditions, Commercial Items, if any of the services do not conform to contract requirements, the Government may require repair or replacement of nonconforming supplies or reperformance of nonconforming services at no increase in contract price. If repair/replacement or reperformance will not correct the defects or is not possible, the government may:

- Seek an equitable price reduction or;
- Seek adequate consideration for acceptance of nonconforming supplies or services.
- The Government must exercise its post-acceptance rights:
  - Within a reasonable time after the defect was discovered or should have been discovered; and

- Before any substantial change occurs in the condition of the item, unless the change is due to the defect in the item.

IAW FAR 52.212-4(m), the Government may terminate the contract for cause if the Contractor fails to comply with any contract terms and conditions, or fails to provide the Government, upon request, with adequate assurances of future performance.

If performance observed is determined to be unacceptable, the documentation flow chart in attachment #1 will be followed.

14. CONTRACTING OFFICER NOTIFICATION

14.1 **Major Finding.** If at any time, the COR identifies a condition as having a significant adverse effect on the quality of the activity repeatedly, such as those stated below, the COR shall document their findings and notify the Contracting Officer immediately in writing. E-mail is acceptable.

a. Contractor failure to meet a Performance Threshold.
b. Failure to provide adequate corrective action to preclude reoccurrence of Government identified findings.
c. Failure to provide corrective action to deficiencies identified by the COR within a prescribed suspense period.
d. Any failure to adhere to security regulations that results in a security incident.

14.2 **Minor Finding.** If at any time, the COR identifies a departure from established standards having little bearing on the service provided, the COR shall document the findings, but is not required to notify the Contracting Officer. However, if the same minor finding is identified three months in a row, it may be an indication that a major finding is occurring or has occurred because the Contractor has not taken proper steps to prevent recurrence. In this case, the COR shall notify the Contracting Officer in writing and it shall be included within the quarterly review meetings.

15. CERTIFICATION/ACCEPTANCE OF SERVICES

15.1 As required, the COR will certify receipt of acceptable contractor services at intervals determined by the contract. The COR will certify that acceptable services were received, in accordance with the terms and conditions of the contract. The COR will certify receipt of contractor services via invoice submitted to the COR three days prior to invoice input to Wide Area Workflow (WAWF). The COR must sign off on services rendered prior to contractor invoice submission. Certification of services shall be accomplished on the first workday following the completion of the contract payment period, to avoid payment of interest penalties. COR are responsible for obtaining, scheduling, and completing WAWF training from the base Accounting and Finance Office.

16. **CONTRACTOR SUPERIOR PERFORMANCE**. The Government may reward superior performance through high ratings in the yearly CPARS. In addition, the Government may recognize superior performance through letters of appreciations, as the situation warrants. This “letter of appreciation” must be coordinated with the cognizant contracting officer who will send it to the contractor. The contracting officer must ensure, prior to coordination, that –

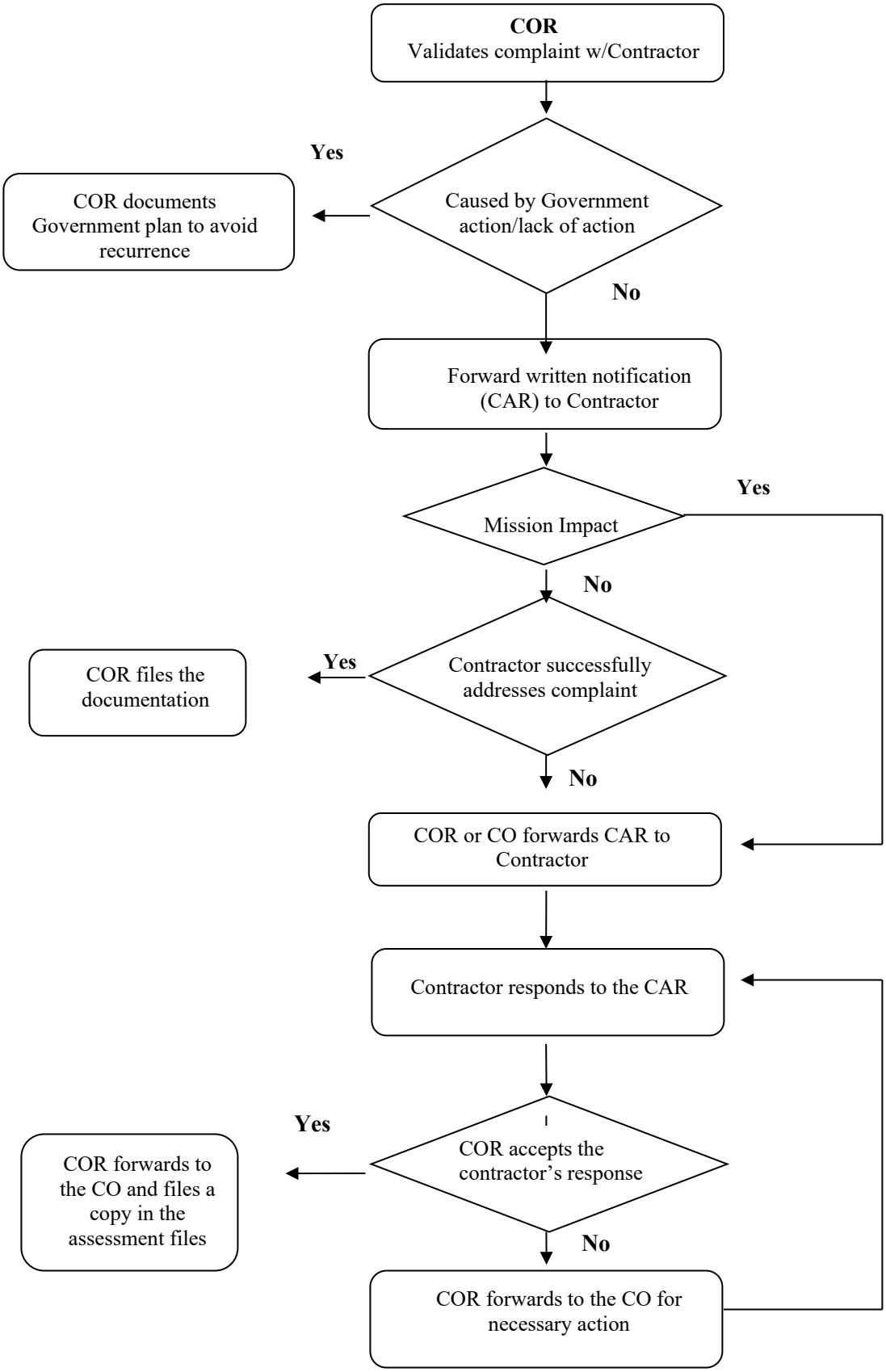
1) the letter of appreciation does not conflict with any CPARs information and the recognition cited does not exceed the scope of the contract.
2) the letter has been reviewed by the local ethics official to ensure the language does not improperly imply endorsement of the contractor.

17. **NON-SS ITEMS**. Quality performance is expected on all contract requirements (Non-Services Summary) items by the Contractor. All Non-Services Summary items, are to be inspected and documented by the COR, same as the SS Items in the Services Summary (SS).

18. **COMBATING TRAFFICKING IN PERSONS** (IAW DFARS PGI 222.1703) The COR will monitor contractor's performance regarding trafficking in persons such that non-compliance with FAR 52.222-50, Combating Trafficking in Persons (CTIP), is brought to the immediate attention of the Contracting Officer. All DoD military and civilians must receive CTIP awareness training; it is highly recommended that DoD contractors receive CTIP awareness training. The military has zero tolerance for human trafficking. CORs are to report all violations to their Contracting Officers immediately, and keep a log for annual review of all concerns.

Attachment #1

Unacceptable Performance Documentation Flow Chart



Attachment #2

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. CONTRACTING OFFICER'S REPRESENTATIVE (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

CORRECTIVE ACTION REPORT (CAR)

Continuation Sheet

(Number to correspond with applicable Item Number on reverse)

Corrective Action Report (CAR) Instructions

Block 1. Enter Contractor Name.

Block 2. Enter Contract Number.

Block 3. Enter Contract Name or Type of Services.

Block 4. Enter Functional Area of the Contract.

Block 5. Enter the assigned suspense date given the contractor to provide a response to the CAR. A date must be entered for a Major CAR. A date is optional at the discretion of the Contracting Officer's Representative (COR) initiating the CAR if the finding is Minor.

Block 6. All CARs will be tracked with a Control Number. The functional commander/functional director is the Issuing Authority for his/her Contracting Officer's Representatives (COR generating CARs. By providing the control number to the COR originating the CAR, the Issuing Authority demonstrates concurrence with the finding. The control number will be made up of the first two letters of the name of the site or contract, the last two digits of the calendar year, and a three digit number starting with 001 and progressing upward throughout the calendar year (e.g., WP04-001).

Block 7.
1. Check the block that indicates whether the identified deficiency is assigned as a Major or Minor finding. See the Quality Assurance Surveillance Plan (QASP) for the definitions of Major and Minor findings and associated explanations.
2. Finding: Clearly state the details of the finding followed by a reference to the stated contractual requirement. The reference must state the portion of the contract, part, section, paragraph and subparagraph and must make a complete brief quotation of the contract reference.
3. State the impact that the finding has or could have on the accomplishment of the mission that the contract provides.
4. When determining how long to give the contractor to respond to the identified finding, the normal is 10 working days. The suspense date should reflect this unless the finding requires a greater amount of time to come to solution. **Major findings require a contractor response. Minor findings may require a contractor response at the discretion of the COR initiating the CAR and/or the Issuing Authority.**

Blocks 8 and 9. Contract CORs initiating a CAR must sign in Block 8 and the Issuing Authority signs in Block 9. Each annotates the date at the time of signature.

Block 10. Upon review of the contractor's reply, the originator of the CAR will enter comments regarding acceptance or rejection of the contractor's response. This block may also contain any comments regarding follow-on inspections conducted or needed at a later date to validate that the finding has not reoccurred.

Block 11. The COR selects Accept or Reject after reviewing the contractor's response.

Block 12. The COR enters a close date after advising the Issuing Authority that the contractor's response is acceptable and the Issuing Authority concurs. The COR will then forward the closed CAR to the contractor and report accordingly. This routing remains the same if the contractor's response is unacceptable and the CAR remains open until an acceptable response is received except that the Contracting Officer (CO) forwards the open CAR back to the contractor for additional information.

Continuation Sheet. The Continuation Sheet is to be used to expand on any information that will not fit in the applicable numbered block.