QUALITY ASSURANCE
SURVEILLANCE PLAN
ITS HARDWARE BPA CATEGORY 2
LAPTOPS AND NOTEBOOKS

United States Department of Agriculture
International Technology Services
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SECTION 1: INTRODUCTION

1.1 Background

The International Technology Services (ITS) was created in November 2004 and is charged with uniformly managing the Information Technology (IT) infrastructure and service delivery to the SCA. The agencies within the SCA comprise the front-line offices within USDA that directly work with its customers – the Nation’s farmers, ranchers, and landowners -- in land and water conservation initiatives and farm assistance programs, to include such activities as defined in legislative farm bills. Since FY 1998, on an approximately annual basis and under competitive single-award acquisitions, USDA has procured, for the benefit of the approximately 3,500 field offices (Field Service Centers, or FSCs) within the SCA, products and services within the sub-categories of IT Equipment, Peripherals, and Ancillary Services specified herein. These USDA Common Computing Environment (CCE) annual acquisitions resulted in purchase and deployment of standardized systems to ensure continued consistency of technology across the SCA.

ITS is looking for this BPA to continue to provide the SCA with standardized IT equipment and peripherals as current equipment becomes due for replacement, newly-supported offices require new equipment, and new technologies become available.

Section 6.2 of the solicitation in the Performance Work Statement (PWS), specifies what configurations are to be available to the USDA customer base. The PWS includes, as a technical exhibit, a Performance Requirements Summary (PRS), which specifies how well the performance standards must be in order to be considered compliant.

When the Blanket Purchase Agreement is awarded to the selected vendor, the solicitation and the contractor’s proposal are incorporated in the contract. Throughout this Quality Assurance Surveillance Plan (QASP), the term “contract” is used to mean contract or Blanket Purchase Agreement.

The Government will have a liaison in place to direct the efforts, monitor and evaluate the performance of the contractor.

1.2 Purpose

This QASP describes the procedures that the Quality Assurance Evaluators (QAEs) will use to monitor the contractors performance. It includes, as Appendix A, the PRS included in the contract. It is important to note the USDA ITS’s primary concern is with the products and services provided by the Contractor and not with the procedures used to produce them. Therefore, the QASP focuses on examining the products and services provided by the Contractor and not the processes used to produce them. It is intended that the QASP be a tool to guide the QAEs in assessing Contractor performance. In some cases, specific metrics are used to measure Contractor performance; in other cases subjective judgment and evaluation by USDA ITS personnel will be the determining criteria. This plan describes the methodology utilized to make both quantitative and qualitative evaluation of the Contractors performance under the contract.

1.3 QASP Relation to the Contract

USDA will retain the right to change the surveillance methods and Quality Assurance (QA) procedures, or to increase or decrease the degree of surveillance efforts at any time necessary to assure contract compliance. A copy of the QASP may be provided to the Contractor to enable the Contractor to enhance its Quality Control (QC) Program, performed in accordance with its Quality Control Plan (QCP)(Section 6.15 PWS).

1.4 QASP Relation to the QCP

The QCP is a required element of BPA and the Contractor shall adhere to its established quality control processes and procedures in managing and performing work as described in the Cat 2 BPA. While the QCP represents the way in which the Contractor will ensure its quality and timeliness of services, as defined in the PWS, the QASP represents the way in which the USDA ITS will evaluate the Contractor’s performance. The Contractor’s QCP and the Residual Organization’s QASP should be complementary programs that ensure successful Contractor performance.
1.5 Revisions to the QASP

The QASP is a tool for use in Government administration of the contract and remains subject to revision at any time by the Government throughout the contract performance period. Revisions to this surveillance plan are the responsibility of the Designated Government Representative (DGR). Changes may be made unilaterally and need not be announced to the Contractor; the Government may provide informational copies to the Contractor if desired.

During the Phase-in Period, the Contractor will gradually assume responsibility for all tasks in the PWS. It is expected that during that time, all operational procedures and quality control measures will be tested and implemented. As the performance period progresses, the levels of surveillance may be altered for service areas in cases where performance is either consistently excellent or consistently unsatisfactory. If observations reveal consistently good performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented.
Performance of the Contractor will be monitored through various surveillance methods described in Section 4: Performing Quality Assurance. Performance data gathered will be evaluated to assess Contractor’s performance against contract requirements.

### 2.1 Performance Standards and Acceptable Quality Levels (AQLs)

For selected activities in the PWS, the PRS provides a performance standard and an AQL. A performance standard is the expected level of Contractor performance. An AQL defines the level of performance that is satisfactory. Depending on the service evaluated and the evaluation method selected, performance standards and AQLs may be stated as a number of occurrences or as a percentage. Performance standards and AQLs for random sampling and 100 percent inspection are generally stated as percentages. For periodic inspections, performance standards may be stated as either percentages or as absolute numbers.

The contract requires the Contractor to perform all work as specified. Any inaccuracies or omissions in services or products are referred to as “defects” on the part of the Contractor. The Contractor shall be held responsible for all identified defects, and USDA ITS may require a contractor to re-perform the work at no cost to the government. The AQLs take into account that in some instances an allowable level of deficiencies (deviations) is possible while overall performance continues to meet USDA ITS DGRs desired level of service.

#### 2.1.1 Allowable Deviation

The AQLs define the level or number of performance deficiencies the Contractor is permitted to reach under this contract. AQLs take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is required, and no deviation is acceptable (e.g., where safety is involved).

#### 2.1.2 Substantially Complete

In some cases, service outputs are evaluated using subjective values (e.g., excellent, satisfactory, unsatisfactory). The criteria for acceptable performance and for defects must be defined for these service outputs. The concept of “substantially complete” should be the basis for inspections based on subjective scales.

Work is considered “substantially complete” where there has been no significant departure from the terms of the contract and no omission of essential work. In addition, the Contractor has performed the work required to the best of its ability and the only variance consists of minor omissions or deficiencies.

### 2.2 Non-performance

Non-performance occurs when the Contractor’s performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements, and therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness, etc.) or subject areas of effort.

When surveillance indicates that the Contractor's service output is not in compliance with the contract requirements, the QAE must determine whether the Contractor or the Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the Contractor, the Contractor is responsible for correction of the problem at no additional expense to the Government.

#### 2.2.1 Documentation

Thorough documentation of unperformed or poorly performed work is essential for tracking Contractor performance throughout the period of performance. The QAEs, as trained inspectors, will document deficient work by compiling facts describing the inspection methods and results. A sample documentation reporting form is provided in Appendix B: Contract Discrepancy Report. The DGR and QAEs will develop documentation to substantiate nonconformance with the contract. The documentation, together with any recommendations, will be forwarded to the DGR. In the case of a
contractor, the DGR will decide whether to elevate the problem to the Contracting Officer (CO) for corrective action.

2.2.2 Remedial Actions

The Federal Acquisition Regulation allows for penalties in the event that the SP fails to perform the required services. Penalties are defined as those actions taken under the direction of the CO against the Contractor within the general provisions of the contract for nonconformance to the PWS and PRS.
SECTION 3: ROLES AND RESPONSIBILITIES

The purpose of QA is to ensure that the customers are satisfied with the products and services received from the Contractor and to ensure that the Contractor is meeting its obligation to the USDA ITS. The roles and responsibilities of the stakeholders involved in QA are described below.

3.1 Contractor Responsibility

The Contractor is responsible for delivering products or services in accordance with the contract. The Contractor is responsible for implementing its QCP, which is incorporated in the contract. The QCP describes the Contractor’s methods for ensuring all products and services provided under the contract meet established performance standards and AQLs. The Contractor is responsible for producing, maintaining, and providing for audit, quality control records and reports and all records associated with the investigation and resolution of customer complaints. The Contractor should appoint a single quality control point-of-contact to act as a central recipient of communication from the Government.

3.2 Government Responsibility

This section of the QASP briefly defines the duties and responsibilities of key Government personnel involved in contract administration and quality assurance. The key personnel who will be responsible for QA are the CO, the DGR, the QAEs, and the Contractor’s customers.

3.2.1 Contracting Officer

The CO has the authority to administer the USDA ITS BPA contract. The CO may delegate many of the day-to-day contract administration duties to the DGR and QAEs. However, certain contractual actions such as negotiation and issuance of contract modifications, resolution of Contractor claims and disputes, issuance of cure notices (notification that unless unacceptable performance is corrected, the Government may terminate the contract for default, IAW FAR 49.607), issuance of show-cause letters (following a cure notice, requesting facts bearing on the case), termination of the contract, and contract close-out functions are retained by the CO. Administrative actions such as invoice approval and issuance of Contract Discrepancy Reports may be, and normally are, delegated by the CO to the DGR. All communication regarding questions or issues related to QA and inspection will be directed to the CO or the DGR. The CO shall approve any revision to the QASP processes or standards.

3.2.2 Designated Government Representative

The DGR, who is a federal employee within the USDA, is designated by name and/or position to act as a liaison between the Government and the Contractor on individual BPA call issues pertinent to the daily operation of the Contract. The DGR represents the CO in the Contracting Officer’s Representative (COR) functions and therefore is the Contractor’s initial point-of-contact with the Government. In turn, the DGR may delegate some of his/her responsibilities, such as supervision of the QAEs, to another individual in the USDA ITS Organization in order to ensure that the QA function is properly executed. If modifications to the contract are necessary, the DGR will assist the CO in preparing and negotiating the modifications. If there are problems with Contractor performance, the DGR will inform the Contractor of the problems and recommend to the CO that adverse contractual actions are appropriate (e.g., cure notice) if the Contractor fails to correct the problem. Also, the DGR must refer differences of contract interpretation to the CO.

3.2.3 Quality Assurance Evaluators

The QAEs play a key role in contract administration. They serve as the on-site representative of the CO and the DGR. The QAEs perform the actual contract surveillance and report to the DGR. Some of the key contract administration duties of QAEs include, but are not limited to, the following:

- Perform surveillance as required by this QASP, and make recommendations to the DGR for issuance of Contract Discrepancy Reports or letters of commendation;
- Make recommendations to the DGR for the acceptance or rejection of completed work and for administrative actions based on unsatisfactory work or non-performed work;
• Assist the DGR in identifying necessary contract modifications;
• Make recommendations to the DGR for changes to the QASP;
• Assist the DGR in preparing reports of Contractor performance and cost.

The QAEs have only the authority delegated to them in writing by the DGR and/or CO. They have no authority to direct or to allow the Contractor to deviate from contract requirements. The QAEs also have no authority to direct or interfere with the methods of performance by the Contractor or to issue directions to any of the Contractor’s personnel. These actions are reserved to the CO or to the DGR.

The QAEs may use the form provided in *Appendix D: Sampling Guide/Inspection Checklist* for each service requirement to be inspected, or such other forms as approved by the DGR. This checklist includes the specific tasks to be checked and whether the inspection results in a Contractor rating of excellent, satisfactory, or unsatisfactory performance. Contractor overall guidance is also provided by the Inspection and Acceptance clauses in the contract.

3.2.4 Customers

Customers are the various organizations supported by the Contractors. Customers may be requested to assist the QAEs and DGR in conducting QA by providing information on Contractor performance through a Customer Feedback Program. The information gained from the Customer Feedback Program may be used in conjunction with other methods of observation to rate the performance of the Contractor.
SECTION 4: PERFORMING QUALITY ASSURANCE

4.1 Surveillance Methods

The surveillance methods used in the QA process are the Government’s tools to monitor the Contractor’s products and services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor’s service products and analyze the results. Further, documented inspection results are an effective tool in contract administration. Inspections either confirm the Contractor’s successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary.

The surveillance methods described below include: 100 percent inspection, periodic inspection, random sampling, and customer feedback. The number of inspections conducted may be reduced in those instances where the Contractor has established a good performance record. In cases of poor performance, the USDA ITS organization may increase the level of surveillance and focus on known problem areas. In either case, the reasons for the change in surveillance will be documented.

4.1.1 100 Percent Inspection

The 100 percent inspection method requires complete inspection of a contract requirement and will be used for requirements that are especially critical or where there is some reason for suspecting that the performance standard or AQL is not being met (and therefore, should be more closely monitored). Evaluation schedules for 100 percent inspections will be prepared each month.

4.1.1.1 Performance Standards and AQLs

The performance standards and AQLs may be stated as either percentages or absolute numbers.

4.1.1.2 Evaluation Procedures

Observed defects for a service monitored by 100 percent inspection is compared to the performance standard and AQL.

4.1.2 Periodic Inspection

Periodic inspection provides a systematic way of looking at service outputs and forming conclusions about the Contractor's level of performance in accordance with a planned schedule of surveillance. Evaluation by periodic inspection is designed to inspect some part but not all of the products and services being monitored.

4.1.2.1 Application

Specific contract requirements that are to be monitored are selected for evaluation prior to their scheduled accomplishment. Periodic inspection differs from random sampling in the way in which samples are selected – periodic inspection sample selection is based on some subjective rationale and sample sizes are usually arbitrarily determined. With this type of evaluation, the QAEs are able to direct efforts to those areas where inspections are most needed, and the Contractor knows that those areas are more likely to be monitored than others. Periodic inspection, as compared with random sampling, provides a less sound statistical means of making comparisons between observed and overall performance, and the Contractor’s overall level of performance. Periodic inspection is generally used in two ways. First, it can provide a one-time subjective evaluation of Contractor performance. Second, it can be used to detect a change in the Contractor’s level of performance (i.e., trend analysis). This method requires that the sample selection criteria be well documented and consistently applied from period to period, and that there are no other intervening factors. The cost of periodic inspections varies with the level of inspections. Such latitude is important to manage limited resources and focus inspections on known or suspected problems areas.
4.1.2.2 Performance Standards and AQLs

Performance standards and AQLs are usually stated in terms of the number of defects detected per time period (e.g., three times per month). There is no specific relationship between sample size and performance standard/AQL. However, when the AQL is expressed as a percentage, it is recommended that the maximum sample size be chosen such that one defect does not exceed the AQL.

4.1.2.3 Evaluation Procedures

The levels of evaluation appropriate for periodic inspection are judgmental. In order to perform trend analysis from periodic inspection, criteria for sample selection should be applied consistently from period to period. To ensure valid results, the QAEs will use periodic inspection evaluation sheets and follow a detailed inspection schedule. Schedules may be developed monthly to coincide with the Contractor's monthly schedule of work, and regularly updated after receiving the Contractor's definitive weekly schedule. Observed defects for services monitored by periodic inspection will be totaled at the end of each month. For each service, the total number of defects will be compared to the performance standard and AQL.

4.1.3 Random Sampling

Random sampling evaluation is a quality assurance method designed to evaluate some, but not all, of a specific contract requirement. This method, based on statistical principles, estimates the Contractor's overall level of performance for a given contract requirement based on a representative sample drawn from a population. Random Sampling is most often used when the number of occurrences of a service is very high.

4.1.3.1 Application

The random sampling procedures are based on those set by the American National Standards Institute (ANSI). The random sampling procedures consider the AQL (maximum allowable deviation from the performance standard), the level (intensity) of the evaluation effort, and the population size. There are two ways of applying random sampling for QA surveillance. The first is used only for performance evaluation and allows deductions to be taken only for observed defects; the second is random sampling for performance evaluation and deduction projection (also called extrapolated deductions), which allows deductions against the whole population based on the inspection of the sample. To obtain valid results, random sampling procedures must be followed precisely.

4.1.3.2 Performance Standards and AQLs

Performance standards and AQLs may be specified as percentages or absolute numbers.

4.1.3.3 Evaluation Procedures

Random Sampling is based solely on a statistical analysis whereby a conclusion is drawn about a population based on a randomly selected sample of that population. For the conclusion to be valid, the sample selected must be representative of the population. A truly representative sample can be achieved by ensuring that the sample is selected randomly and the size of the sample is sufficient. A conclusion about Contractor performance can then be made based on the representative sample drawn.

4.1.4 Customer Feedback

Validated customer feedback is a quality assurance method based on customer and Contractor interaction. Customers continually receive the outputs of Contractor performance and are in a position to evaluate the Contractor on a recurring basis. Because customers have a clear stake in the quality of Contractor services, they are valuable resource for the QAEs.
4.1.4.1 Application

Customers are made aware of contract requirements and monitor the services provided by the Contractor, both positive and negative. Where there is a case of poor performance or non-performance, customers notify the QAEs. The QAEs then investigate the report and, if found to be valid, document their findings. The numbers of complaints and resulting inspections depend upon customer awareness and response. If the complaint is valid and caused by poor performance or non-performance by the Contractor, the Contractor must take appropriate corrective action. A valid complaint is one in which the QAE confirms that poor performance or non-performance violates contract requirements.

4.1.4.2 Customer Feedback Process

Upon contract award, the DGR should send letters to all or selected customer points-of-contact. These letters will inform them of the need for their active participation in the overall Quality Assurance Program. The DGR will also provide a Customer Feedback Record (sample at Appendix C) for the customer to use to either document performance problems or identify when superior services are received.

The QAEs will validate the Customer Feedback Records submitted. It is primarily the responsibility of the Contractor to investigate each complaint to determine the problem. While QAEs can also investigate customer complaints, the responsibility for initial review shall remain with the Contractor. At the Government’s discretion, the QAE will investigate problems from customer groups and complaints involving major problems with services being provided.

The Contractor shall take action when a Customer Feedback Record is received. If a valid complaint exists, the Contractor shall re-perform the product or service. The Contractor may use the complaint as an indicator that the QCP needs improvement. Corrective actions shall be implemented to prevent the recurrence of similar problems in the future or detect and fix such problems before a product or service is delivered to a customer. If the customer complaint is found to be invalid, the DGR shall educate the customer regarding contract requirements as they pertain to the customer’s expectations.

4.1.4.3 Evaluation Procedure

The Contractor shall report validated complaints each month, so the QAEs may review the valid complaints and formulate action items if necessary. Trend analysis may be used to test for variations in the number of complaints received each month and identify changes in Contractor performance.

4.2 Analysis and Results

When the inspections and customer feedback record validations have been completed, the QAEs will perform an analysis of the Contractor’s performance. The purpose of the analysis is to ensure that the USDA ITS organization is receiving high-quality products and services from the Contractor. QAEs will review the results, rate Contractor’s compliance with the performance standards and AQLs, and characterize the Contractor’s overall performance. Analysis of all types of contract monitoring will result in one of the following outcomes: outstanding performance, very good performance, satisfactory performance, or unsatisfactory performance.

4.2.1 Outstanding Performance

Outstanding performance is the result of the Contractor substantially exceeding the performance standards with significant achievements and no significant deficiencies. The USDA ITS organization may reduce its level of surveillance when the DGR determines that the Contractor provides sustained performance that significantly exceeds the requirements with no significant deficiencies.
4.2.2 Very Good Performance

When the Contractor’s performance is very good, performance exceeds acceptable quality levels and achievement(s) exist with no significant deficiencies. Strengths in performance are substantially greater than minor performance weaknesses.

4.2.3 Satisfactory Performance

When the Contractor’s performance is good, performance meets acceptable quality levels and deficiencies are correctable without adverse impact to mission accomplishment. Strengths and weaknesses in performance are on balance where any deficiencies are identified and corrected immediately by the Contractor.

4.2.4 Unsatisfactory Performance

When the performance for any service does not meet the AQL, the Contractor’s performance is unsatisfactory, and is, therefore, unacceptable. The following responses are available to the DGR regarding that task/subtask:

- The CO and/or DGR meet with the Contractor to discuss discrepancies, trends, and intended corrective measures;
- The level of surveillance is increased until the Contractor demonstrates acceptable performance over a period of time;
- The DGR issues a Contract Discrepancy Report for each service that does not meet its AQL;
- Should deficiencies be significant and affect multiple requirements, CO action such as a ‘Cure’ notice may be appropriate.
APPENDIX A: PERFORMANCE REQUIREMENTS SUMMARY

The performance standards and AQLs in the table below will be used to measure the performance of the Contractor. The table was extracted from the PRS in the contract and is applicable to the four performance areas of the PWS (Sections 6.4; 6.6; and 6.10):

1. Warranty Support
2. Timeliness and Accuracy of Delivery and Supplies/Services;
3. Contractor Reports;
4. Customer Satisfaction

QAEs will monitor Contractor performance using the procedures in Section 4 above, together with the PRS tables below and the PWS sections referred to in the PRS. The PRS includes performance standards and AQLs for selected PWS sections that are intended to be representative of the entire PWS. In the process of monitoring Contractor performance, the QAEs and the DGR may improve the PRS by developing changes to the standards and AQLs or by developing standards and AQLs for different PWS sections. Such changes to the PRS will be documented.

These measurements will also apply to all provisions in the contract. Contractor performance results may be posted to an internal USDA ITS organization website. The Contractor shall be required to comply with all terms and provisions of the contract, including the PWS and Technical Exhibits (TEs), and the post award provisions of the OMB Circular A-76.
<table>
<thead>
<tr>
<th>Performance Area</th>
<th>Performance Indicator</th>
<th>Performance Standard</th>
<th>Maximum Error Rate (MER) or Minimum Acceptable Quality Level (AQL)</th>
<th>Method of Surveillance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timeliness and Accuracy of Delivery</td>
<td>Number of calendar days to complete delivery. (Time)</td>
<td>Delivery completed within established GSA FSS contract timeframe.</td>
<td>95% of all deliveries completed within established GSA FSS contract timeframe.</td>
<td>Inspection of Monthly Sales and Delivery Report. (Reports may be verified by Government’s periodic surveying of customers).</td>
</tr>
<tr>
<td>Supplies/Services</td>
<td>Supplies/Services delivered are as ordered. (Quantity/Quality)</td>
<td>Delivery matches Order quantity and supplies/services description.</td>
<td>95% of all deliveries match order quantity and supplies/services description.</td>
<td></td>
</tr>
<tr>
<td>Warranty Support</td>
<td>Number of calendar days to resolve warranty issue. (Time)</td>
<td>Warranty support provided within established GSA FSS timeframe.</td>
<td>95% of all warranty support provided within established GSA FSS timeframe.</td>
<td>Inspection of Warranty Report. (Reports may be verified by Government’s periodic surveying of customers).</td>
</tr>
<tr>
<td></td>
<td>Quality of support provided. (Quality)</td>
<td>Warranty support meets all other GSA FSS contract terms and conditions.</td>
<td>95 of all warranty support provided meets all other GSA FSS contract terms and conditions.</td>
<td></td>
</tr>
<tr>
<td>Contractor Reports</td>
<td>Contractor reports delivered on time and complete and accurate. (Time/Quality)</td>
<td>Reports provided within established BPA timeframes; Data is free of errors or clerical defects and is accurate and true.</td>
<td>95% of all reports provided within established BPA timeframes; Data is free of errors or clerical defects and is accurate and true.</td>
<td>Inspection upon delivery of each Contractor Report.</td>
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<tr>
<td>Customer Satisfaction</td>
<td>Level of Customer Satisfaction. (Quality)</td>
<td>All surveyed customers deem Contractor performance as no less than Fully Successful*.</td>
<td>No more than three (3) valid customer complaints within a performance quarter.</td>
<td>Customer Feedback/Customer Complaint/Customer Survey</td>
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<tr>
<td></td>
<td></td>
<td>95% of all surveyed customers deem performance as no less than Fully Successful.</td>
<td>95% of all surveyed customers deem performance as no less than Fully Successful.</td>
<td></td>
</tr>
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*On a scale of Poor, Fair, Fully Successful, Very Good, Excellent*
## SERVICE PROVIDER DISCREPANCY REPORT

### DATES

<table>
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<tr>
<th>PREPARED</th>
<th>ORAL NOTIFICATION</th>
<th>RETURNED BY CONTRACTOR</th>
<th>ACTION COMPLETE</th>
</tr>
</thead>
</table>

### 4. DISCREPENCY OR PROBLEM

(Describe in detail. Include PWS references. Attach Continuation Sheet if necessary.)

### 5. SIGNATURE OF DGR

### 6. TO: (Name of DGR) 7. FROM: (Service Provider)

### 8. SERVICE PROVIDER RESPONSE AS TO CAUSE, EFFECT, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRANCE.

(Attach Continuation Sheet if necessary. Cite applicable SP QC program procedures or new QC procedures.)

### 9. SIGNATURE OF SP REPRESENTATIVE

### 10. DATE

### 11. GOVERNMENT EVALUATION

(Acceptance, partial acceptance, or rejection. Attach Coordination Sheet if necessary.)

### 12. GOVERNMENT ACTIONS

(Cure notice, show cause, other.)

### CLOSE OUT

<table>
<thead>
<tr>
<th>SP NOTIFIED</th>
<th>NAME AND TITLE</th>
<th>SIGNATURE</th>
<th>DATE</th>
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<td>QAE</td>
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<td>DGR</td>
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### APPENDIX B: CUSTOMER FEEDBACK RECORD

<table>
<thead>
<tr>
<th>DATE AND TIME OF COMPLAINT</th>
<th>SOURCE OF COMPLAINT</th>
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<tbody>
<tr>
<td>ORGANIZATION</td>
<td>INDIVIDUAL</td>
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<td>NATURE OF COMPLAINT</td>
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<td>PWS REFERENCE</td>
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<td>VALIDATION</td>
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<tr>
<td>DATE AND TIME SERVICE PROVIDER INFORMED OF COMPLAINT</td>
<td>NAME OF SP REPRESENTATIVE INFORMED OF COMPLAINT</td>
</tr>
<tr>
<td>ACTION TAKEN BY SERVICE PROVIDER <em>(Responsible officer)</em></td>
<td></td>
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<td>RECEIVED AND VALIDATED BY</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX C: SAMPLING GUIDE/INSPECTION CHECKLIST

SERVICE FUNCTION: _________________________________
PWS SECTION: _________________________________

NOTE:  E = Excellent Performance  S = Satisfactory Performance  U = Unsatisfactory Performance  N/A = Not Applicable

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>1</td>
<td>Method of Surveillance:</td>
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<tr>
<td>2</td>
<td>Lot Size:</td>
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<tr>
<td>3</td>
<td>Sample Size:</td>
</tr>
<tr>
<td>4</td>
<td><strong>Performance Requirement</strong>: Performance is excellent (E) when _____ or fewer defects are discovered per month. Performance is satisfactory (S) when _____ or fewer defects are discovered per month. Performance is unsatisfactory (U) when ________________ or more defects are discovered per month.</td>
</tr>
<tr>
<td>5</td>
<td><strong>Sampling Procedure</strong>: Instructions on how to select the sample must be clear and complete</td>
</tr>
<tr>
<td>6</td>
<td><strong>Inspection Procedure</strong>: The procedure must be detailed enough to allow a yes/no objective decision as to the acceptability of performance by anyone making the inspection. Explain when evaluation is to occur and what is acceptable/unacceptable</td>
</tr>
</tbody>
</table>

| Performance: Excellent (E), Satisfactory (S), Unsatisfactory (U), Not Applicable (N/A) |
|---|---|---|---|
| PRS Requirements | Timeliness | Quality of Work | Notes |
| . | . | . | . |
| . | . | . | . |
| . | . | . | . |

<table>
<thead>
<tr>
<th>Overall Rating Of Inspection (E, S, U, or N/A)</th>
</tr>
</thead>
</table>

Inspector Comments: _________________________________

SP Signature: _____________________ Date: _______________

QAE Signature: _______________ Date: _______________
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANSI</td>
<td>American National Standards Institute</td>
</tr>
<tr>
<td>AQL</td>
<td>Acceptable Quality Level</td>
</tr>
<tr>
<td>CO</td>
<td>Contracting Officer</td>
</tr>
<tr>
<td>COR</td>
<td>Contracting Officer Representative</td>
</tr>
<tr>
<td>DGR</td>
<td>Designated Government Representative</td>
</tr>
<tr>
<td>MC&amp;A</td>
<td>Material Control and Accountability</td>
</tr>
<tr>
<td>ME</td>
<td>Measurement Evaluation</td>
</tr>
<tr>
<td>OMB</td>
<td>Office of Management and Budget</td>
</tr>
<tr>
<td>PRS</td>
<td>Performance Requirements Summary</td>
</tr>
<tr>
<td>PWS</td>
<td>Performance Work Statement</td>
</tr>
<tr>
<td>QA</td>
<td>Quality Assurance</td>
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<tr>
<td>QAE</td>
<td>Quality Assurance Evaluator</td>
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<tr>
<td>QASP</td>
<td>Quality Assurance Surveillance Plan</td>
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<tr>
<td>QC</td>
<td>Quality Control</td>
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<tr>
<td>QCP</td>
<td>Quality Control Plan</td>
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<tr>
<td>SO</td>
<td>Office of Security</td>
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<tr>
<td>SP</td>
<td>Service Provider</td>
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<tr>
<td>TE</td>
<td>Technical Exhibit</td>
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<tr>
<td>WFO</td>
<td>Work for others</td>
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</tbody>
</table>
QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)
Human Resources Management Operational and Customer Service Support

1. PURPOSE
This Quality Assurance Surveillance Plan (QASP) is a Government developed and applied document used to make sure that systematic quality assurance methods are used in the administration of the Performance Based Service Contract (PBSC) standards included in this contract and in subsequent task orders issued thereunder. The intent is to ensure that the Contractor performs in accordance with performance metrics set forth in the contract documents, that the Government receives the quality of services called for in the contract and that the Government only pays for the acceptable level of services received.

2. AUTHORITY
Authority for issuance of this QASP is provided under Contract Section E – Inspection and Acceptance, which provides for inspections and acceptance of the articles, services, and documentation called for in task orders to be accomplished by the Contracting Officer or his duly authorized representative.

3. SCOPE
To fully understand the roles and the responsibilities of the parties, it is important to first define the distinction in terminology between the Quality Control Plan and the Quality Assurance Surveillance Plan. The Contractor, and not the Government, is responsible for management and quality control actions necessary to meet the quality standards set forth by the contract and follow-on task orders. The Contractor develops and submits his Quality Control Plan (QCP) for Government approval in compliance with his contract deliverables. Once accepted, the Contractor then uses the QCP to guide and to rigorously document the implementation of the required management and quality control actions to achieve the specified results. The QASP on the other hand, is put in place to provide Government surveillance oversight of the Contractor’s quality control efforts to assure that they are timely, effective and are delivering the results specified in the contract or task order. The QASP is not a part of the contract nor is it intended to duplicate the Contractor’s QCP. The Government has provided the Contractor an informational copy of the QASP as an Attachment to the solicitation to support the Contractor’s efforts in developing a QCP and for providing the contractor an opportunity to comment and propose innovative solutions for the Government’s QASP.

4. GOVERNMENT RESOURCES
The following definitions for Government resources are applicable to this plan:

**Contracting Officer** - A person duly appointed with the authority to enter into, administer, or terminate contracts and make related determinations and findings on behalf of the Government.

**Project Officer** - An individual designated in writing by the Contracting Officer to act as his authorized representative to assist in administering a contract. The source and authority for a Project Officer is the Contracting Officer. Project Officer limitations are contained in the written letter of designation.

**Technical Monitor** - An individual appointed by the Project Officer to act as his authorized representative for the technical administration of specific task order(s) issued under the contract. The duties and limitations of the Technical Monitor are contained in a written letter of designation and/or in the body of the issued task order.

5. **RESPONSIBILITIES**
The Government resources shall have responsibilities for the implementation of this QASP as follows:

**Contracting Officer** – The Contracting Officer (CO) ensures performance of all necessary actions for effective contracting, ensures compliance with the terms of the contract and safeguards the interests of the United States in the contractual relationship. It is the Contracting Officer that assures the Contractor receives impartial, fair, and equitable treatment under the contract. The Contracting Officer is ultimately responsible for the final determination of the adequacy of the Contractor’s performance.

**Project Officer** - The Project Officer is responsible for technical administration of the project and assures proper Government surveillance of the Contractor’s performance. The Project Officer is not empowered to make any contractual commitments or to authorize any contractual changes on the Government’s behalf. Any changes that the Contractor deems may affect contract, price, terms, or conditions shall be referred to the Contracting Officer for action.

**Technical Monitor** – The Technical Monitor provides detailed technical oversight of the Contractor’s performance and reports his or her findings to the Project Officer in a timely, complete and impartial fashion to support the Project Officer’s technical administration activities. While the Technical Monitor may serve as a direct conduit to provide Government guidance and feedback to the Contractor on technical matters, he or she is not empowered to make any contractual commitments or to authorize any contractual changes on the Government’s behalf. Any changes that the Contractor deems may affect contract, price, terms, or conditions shall be referred to the Contracting Officer for action.

6. **METHODS OF QUALITY ASSURANCE (QA) SURVEILLANCE**
The below listed methods of surveillance shall be used in the administration of this QASP. In addition to specific instructions that may be mentioned, the appropriate and standardized form that is to be used for documentation of QA surveillance is the Surveillance Activity Checklist, Attachment A.

**Customer Feedback** – Customer feedback may be obtained either from the results of formal customer satisfaction surveys or from random customer complaints. Customer complaints, to be considered valid, must set forth clearly and in writing the detailed nature of the complaint, must be signed and must be forwarded to the Project Officer. The Project Officer shall maintain a summary log of all formally received customer complaints as well as a copy of each complaint in a documentation file. The Project Officer shall also keep the tabulated results of all customer satisfaction surveys on file and shall enter the summary results into the Surveillance Activity Checklist.

**100% Inspection** - This level of inspection shall be accomplished by monitoring and documentation. Each month, the Project Officer, or if so designated the appropriate Technical Monitor, shall review the generated documentation and enter summary results into the Surveillance Activity Checklist.

**Periodic Inspection** - Periodic inspections shall be conducted if and when specified in individual task orders. For the potential tasks that have been identified so far and included in this QASP, the appropriate Technical Monitor typically performs the periodic inspection on a monthly basis.

**Random Monitoring** - Random monitoring shall be conducted if and when specified in individual task orders. For the potential tasks that have been identified so far and included in this QASP, the random monitoring shall be performed by the Project Officer or by the appropriate designated Technical Monitor.

**7. IDENTIFIED QA SURVEILLANCE TASKS**
The following PBSC items are identified within the PWS to be applicable on a wide basis and are to be monitored under this QASP.

See the Performance Requirements Summary and Section B.9.1

**For Each Contract Task**
- Performance Requirement – As agreed upon between the Contractor and CO
- Performance Standard - As agreed upon between the Contractor and CO
- Method of Measurement – As agreed upon between the Contractor and CO
- Performance Metrics – As agreed upon between the Contractor and CO
- Performance Incentives – As agreed upon between the Contractor and CO

**8. DOCUMENTATION**
The Project Officer will, in addition to providing documentation to the Contracting
Officer, maintain a complete Quality Assurance file. The file will contain copies of all reports, evaluations, recommendations, and any actions related to the Government’s performance of the quality assurance function, including the originals of all Surveillance Activity Checklists. All such records will be retained for the life of this contract. The Project Officer shall forward these records to the Contracting Officer at termination or completion of the contract.
### Surveillance Activity Checklist

<table>
<thead>
<tr>
<th>Performance Requirement</th>
<th>Performance Standard</th>
<th>Method of Measurement</th>
<th>Performance Metrics</th>
<th>Method of Surveillance</th>
<th>Date Accomplished</th>
<th>Compliance (Exceeded, Met or Partially Met)</th>
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</table>
SAMPLE

QUALITY ASSURANCE SURVEILLANCE PLAN

1. Objective.

This Quality Assurance Surveillance Plan (QASP) serves as the principal basis for assessing overall performance quality associated with the PM C4 task. This document will be used by the Government to assess the effectiveness of the Contractor’s management and technical services. This QASP provides the methodology by which the Contractor's performance will be monitored to determine compliance with established performance objectives and to establish performance benchmarks that ensure a quantifiable basis for measuring effectiveness. The plan is designed so that surveillance is limited to that which is necessary to verify the Contractor is performing management and technical services satisfactorily and relates directly to performance objectives of the performance objectives delineated in the SOW.


The PM C4 SYSTEMS will identify an individual to function as the Technical Representative for this task, and her/his authority will be limited to administering specific technical aspects of the contract. The Technical Representative will not provide direction that is outside the scope of responsibilities delineated under this task order. The designated individual will:

- Maintain a detailed knowledge of the technical requirements of the contract;
- Document Contractor performance in accordance with the QASP;
- Identify and immediately forward notifications of deficient, or non-compliant performance to the Contracting Officer;
- Approve priorities of support, resources, and associated schedules.


Surveillance of Contractor performance is the method used by the Government to determine whether the contractor is effectively and efficiently complying with all terms and conditions of the task order. In addition to statistical analysis, the functional expertise of the Technical Representative plays a critical role in adequately evaluating contractor performance. The below listed methods of surveillance shall be used in the administration of this QASP. The Performance Requirement Summary (PRS) contains the performance objectives that are being measured.

- **Demonstration.** A qualification method that is carried out by operation and relies on observable functional operation. It does not require the use of instrumentation or special test equipment;
- **Inspection.** A qualification method that is carried out by visual examination of software code, data captured in special test equipment, documentation, or hard copy printouts. The government will inspect software drops for bugs and content; and
- **Analysis.** A qualification method that is carried out by examining and assessing the application of techniques in order to determine if they are appropriate and sufficient.

4. **Performance Requirements.**

The performance requirements set forth in this section correspond to the PWS paragraphs delineated in the table. Enclosure (1) of this document provides standards for performance for specific requirements:
## PERFORMANCE REQUIREMENTS SURVEY

<table>
<thead>
<tr>
<th>Desired Outcomes</th>
<th>Required Service</th>
<th>Performance Standard</th>
<th>Acceptable Quality Level (AQL)</th>
<th>Monitoring Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>(What do you want to accomplish as the end result of this contract?)</td>
<td>(What task must be accomplished to give you the desired result?)</td>
<td>(What should the standards for completeness, reliability, accuracy, timeliness, quality and/or cost be?)</td>
<td>(How much error will you accept?)</td>
<td>(How will you determine that success has been achieved?)</td>
</tr>
<tr>
<td><strong>PWS 2.0 General Requirements.</strong></td>
<td>The Contractor is responsible for providing suitable technical, analytical and acquisition expertise to support ongoing responsibilities delineated by activity, as well as variances in the scope of activities.</td>
<td>Acceptable performance has been met when the Contractor is fully staffed within 30 days of award, provides personnel IAW proposal by name assignments, is able to maintain a satisfactory retention rate, and fills vacancies within 14 days.</td>
<td>Maximum 15%, with a goal of &lt;10%</td>
<td>When due dates have been met with the mix of personnel identified by the Contractor.</td>
</tr>
<tr>
<td><strong>PWS 2.1.2 General Meeting and Training Support</strong></td>
<td>The Contractor shall provide a clean, well lighted, comfortable meeting/conference area capable of supporting a maximum of 25 personnel. The Contractor will also be required to provide a training facility as described in this section.</td>
<td>Having a turn-key area ready for meetings or training events that may occur on a regular basis and as requested by the Government. Facility will need to be equipped appropriately to facilitate the meeting or training request.</td>
<td>None</td>
<td>Inspection and Demonstration.</td>
</tr>
<tr>
<td><strong>PWS 2.1.3. Program Support</strong></td>
<td>The Contractor shall assist in the IIA process and be able to provide needed documentation for SUSTAINMENT leading to DIACAP certification for systems in the attachment.</td>
<td>The Contractor performance standard will be his understanding and use of MCSCO 5000.3, and other pertinent directives addressing POPs and System S/W Sustainment.</td>
<td>The AQL for this task will be measured by success of documentation n acceptance not exceed three attempts with a goal of one submission.</td>
<td>Inspection and Demonstration and accuracy of documentation.</td>
</tr>
<tr>
<td>Desired Outcomes</td>
<td>Required Service</td>
<td>Performance Standard</td>
<td>Acceptable Quality Level (AQL)</td>
<td>Monitoring Method</td>
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</tr>
<tr>
<td><strong>Desired Outcomes</strong></td>
<td><strong>Required Service</strong></td>
<td><strong>Performance Standard</strong></td>
<td><strong>Acceptable Quality Level (AQL)</strong></td>
<td><strong>Monitoring Method</strong></td>
</tr>
<tr>
<td><strong>(What do you want to accomplish as the end result of this contract?)</strong></td>
<td><strong>(What task must be accomplished to give you the desired result?)</strong></td>
<td><strong>(What should the standards for completeness, reliability, accuracy, timeliness, quality and/or cost be?)</strong></td>
<td><strong>(How much error will you accept?)</strong></td>
<td><strong>(How will you determine that success has been achieved?)</strong></td>
</tr>
<tr>
<td>PWS 2.1.3.1 Program Support (Help Desk)</td>
<td>The Contractor shall provide on-site technicians that shall ensure 90% operational availability of the systems identified in ATTACHMENT 3, during the normal working hours (0700 to 1700 hours).</td>
<td>The Contractor needs to be technically proficient in the several software languages, and be able to address/provide customer assistance in order to identify/troubleshoot problems encountered by the customer.</td>
<td>Maintain Operational Availability at 90% or greater.</td>
<td>Trouble tickets, monitoring and system downtime.</td>
</tr>
<tr>
<td>PWS 2.1.3.2 Option 1, Continued Program Support (Telephone User Support Help Desk)</td>
<td>The Contractor shall maintain a help desk providing technical support and application assistance. Contractors manning the Help Desk need to be proficient in Remedy, Altars, and the Microsoft Office Product line.</td>
<td>Non-Software Change Request (N-SCR) related (user assistance calls) UAC's shall be resolved 90% of the time within 10 minutes.</td>
<td>Maximum 10%, with a goal of &lt;5%.</td>
<td>By achieving a 90% operational availability.</td>
</tr>
<tr>
<td>PWS 2.1.4 Joint Requirements Support</td>
<td>The contractor shall provide support in the review, preparation, submission, and discussion of joint program documentation.</td>
<td>Standards are those governed federal IT procedures 4630.5 and 4630.8 (Procedures for Interoperability and Supportability of Information Technology and National Security Systems).</td>
<td>Maximum .05%, with a goal of 0%.</td>
<td>Inspection, Demonstration and Audits.</td>
</tr>
</tbody>
</table>
QUALITY ASSURANCE SURVEILLANCE PLAN

Working Capital Fund Administration Services

for the

Washington Communications Telecom Services
Attachment I contains a table that identifies performance-based measures which will be used to monitor Contractor performance. The FCC will periodically evaluate the Contractor’s performance by appointing a representative(s) to monitor performance to ensure services are received. The FCC representative will evaluate the Contractor’s daily performance through personal dealings and direct inspections of work products and demonstrated knowledge of applicable regulations. The FCC may conduct random facility inspections and increase the number of quality control inspections if deemed appropriate because of repeated failures discovered during quality control inspections or because of repeated customer complaints. Likewise, the FCC may decrease the number of quality control inspections if performance dictates. The FCC representative shall make final determination of the validity of customer complaint(s).

If any of the services do not conform to contract requirements, the FCC may require the Contractor to perform the services again in conformity with contract requirements, at no increase in contract amount. When the defects in services cannot be corrected by re-performance, the FCC may:

(a) Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; and

(b) Reduce the contract price to reflect the reduced value of the services performed. Performance scoring will be in accordance with the acceptable quality level identified in the performance measurements table.
QUALITY ASSURANCE SURVEILLANCE PLAN

1.0 INTRODUCTION

This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the performance-based Performance Work Statement (PWS) for WCF Administration Services. This performance-based plan sets forth the procedures and guidelines the Federal Communications Commission (FCC) will use in evaluating the technical performance of the WCF Administration contractor.

1.1 PURPOSE

1.1.1 The purpose of the QASP is to describe the systematic methods used to measure performance and to identify the reports required and the resources to be employed. The QASP provides a means for evaluating whether the contractor is meeting the performance standards identified in the PWS.

1.1.2 This QASP is designed to define roles and responsibilities, identify the performance objectives, define the methodologies used to monitor and evaluate the contractor’s performance, describe quality assurance reporting, and describe the analysis of quality assurance monitoring results.

1.2 PERFORMANCE MANAGEMENT APPROACH

1.2.1 The performance-based PWS structures the acquisition around “what” service is required as opposed to “how” the contractor should perform the work. This QASP will define the performance management approach taken by the FCC to monitor, manage, and take appropriate action on the contractor’s performance against expected outcomes or performance objectives communicated in the PWS. Performance management rests upon developing a capability to review and analyze information generated through performance metrics. The ability to make decisions based on the analysis of performance data is the cornerstone of performance management. The data generated in a performance management approach provides information that indicates whether or not expected outcomes for required services are being achieved adequately by the contractor.

1.2.2 Performance management also represents a significant shift from the more traditional Quality Assurance (QA) concepts in several ways. Performance management focuses on assessing whether or not outcomes are being achieved and migrates away from scrutiny on compliance with the processes and practices used to achieve the outcome. The only exceptions to process reviews are those required by law (Federal, State, and local) and compelling business situations such as safety and health. An outcome focus provides the contractor flexibility to continuously improve and innovate over the course of the contract as long as the critical outcomes expected are being achieved at the desired levels of performance.
1.3 PERFORMANCE MANAGEMENT STRATEGY

1.3.1 The contractor’s internal quality control system will set forth the staffing and procedures for self inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. The contractor will utilize its internal quality control system to assess and report their performance to the designated Government representative.

1.3.2 The Government representative will monitor performance and review performance reports furnished by the contractor to determine how the contractor is performing against communicated performance objectives. The Government will make decisions based on performance measurement metric data and notify the contractor of those decisions. The contractor will be responsible for making required changes in processes and practices to ensure performance is managed effectively.

2.0 ROLES AND RESPONSIBILITIES

2.1 The Contracting Officer (CO) is responsible for monitoring contract compliance, contract administration and cost control; and resolving any differences between the observations documented by the Contracting Officer’s Technical Representative (COTR) and the contractor’s performance.

2.2 The CO will designate one full-time COTR as the Government authority for performance management. The number of additional representatives serving as Technical Inspectors depends upon the complexity of the services measured as well as the contractor’s performance.

2.3 The COTR is responsible for monitoring, assessing, and communicating the technical performance of the contractor and assisting the contractor. The COTR will have the responsibility for completing QA monitoring forms (refer to Attachments II and III) used to document the inspection and evaluation of the contractor’s work performance. Government surveillance may occur under the Inspection of Services clause for any service relating to the contract.

3.0 IDENTIFICATION OF SERVICES TO BE PERFORMED

The contractor shall provide WCF Administration service support in accordance with the PWS. The performance standards are established in the paragraph of the PWS that covers the specific category of work. The acceptable level of performance is set in the acceptable quality level related to that paragraph.

4.0 METHODOLOGIES TO MONITOR PERFORMANCE

4.1 In an effort to minimize the contract administration burden, simplified methods of surveillance techniques shall be used by the Government to evaluate contractor performance. The primary methods of surveillance are reports and customer
input/feedback. The Government will use appointed representatives, as well as reports and input from users/customers as sources of comments on the contractor’s performance.

4.2 The contractor is expected to establish and maintain professional communication between its employees and customers. The primary objective of professional communication between employees and customers is customer satisfaction. Customer satisfaction is the most significant external indicator of the success and effectiveness of all services provided and can be measured through customer complaints. Performance management drives the contractor to be customer focused through initially addressing customer complaints and investigating the issues and/or problems.

NOTE: The customer always has the option to communicate complaints to the COTR as opposed to the contractor. The COTR will accept the customer complaints and will investigate using the Quality Assurance Monitoring Form – Customer Complaint Investigation identified in Attachment III.

4.3 The acceptable quality levels (AQL) located in Attachment 1, Required Performance Metrics Table, for contractor performance, are structured to allow the contractor to manage how the work is performed while providing negative incentives for performance shortfalls. For two (2) of the activities, the desired performance level is established at one hundred percent (100%). The other levels of performance is established at percentages somewhat less than 100%. All are keyed to the relative importance of the task to the overall mission performance.

5.0 QUALITY ASSURANCE REPORTING

5.1 The performance management feedback loop begins with the communication of expected outcomes. Performance standards are expressed in the PWS and measured by the required performance metrics in Attachment I.

5.2 The Government’s QA monitoring, accomplished by the COTR (and others as designated) will be reported using the monitoring forms in Attachments II and III. The forms, when completed, will document the COTR’s understanding of the contractor’s performance under the contract to ensure that the PWS requirements are being met.

5.2.1 The COTR will retain a copy of all completed QA monitoring forms.

6.0 ANALYSIS OF QUALITY ASSURANCE MONITORING RESULTS

6.1 The Government shall use the observation methods cited to determine whether the AQLs have been met. The Government’s evaluation is then translated into the specific negative incentives that cause adjustments to the contractor’s monthly payments.

6.2 At the end of each month, the COTR will prepare a written report for the CO
summarizing the overall results of the quality assurance monitoring of the contractor’s performance. This written report consists of the contractor’s submitted monthly progress report and the completed Quality Assurance Monitoring Forms (Attachment II) will become part of the QA documentation.

6.3 The CO may require the contractor’s project manager, or a designated alternate, to meet with the CO and other Government personnel as deemed necessary to discuss performance evaluation. The COTR will define a frequency of in-depth reviews with the contractor, however if the need arises, the contractor will meet with the CO as often as required or per the contractor’s request. The agenda of the reviews may discuss:

- Monthly performance measured by the metrics and trends
- Issues and concerns of both parties
- Projected outlook for upcoming months and progress against expected trend
- Recommendations made by the COTR based on contractor information
- Issues arising from independent reviews and inspections

6.4 In addition to QA monitoring, the COTR will use the information contained in the contractor’s monthly report to assess the contractor’s level of performance for each objective measured in this QASP (detailed in Attachment I). The COTR must coordinate and communicate with the contractor to resolve issues and concerns of marginal or unacceptable performance. The contractor will discuss with the CO/COTR satisfaction ratings receiving a “less than acceptable” rating. For such cases, the contractor should highlight its perspective on factors driving customer satisfaction and present plans to adjust service levels accordingly to bring the satisfaction rating up to an acceptable level.

6.5 The CO/COTR and contractor should jointly formulate tactical and long–term courses of action. Decisions regarding changes to metrics, thresholds, or service levels should be clearly documented. Changes to service levels, procedures, and metrics will be incorporated as a contract modification at the convenience of the CO.

7.0. FAILURE TO PERFORM

7.1 The contractor may receive deductions or even termination based on failure to perform. The following criteria apply for determining appropriate action:

1. **Notifications.** Consistent with FAR Part 49, the CO shall notify the service provider of failure to meet standards through QA monitoring forms, cure notices, or show cause notices and shall inform the service provider project manager or designated alternate of such notices.

2. **Deductions.** The Government has the right to withhold a percentage of payment of the monthly cost for performing particular services based on failure to meet performance standards. The percentage of such withholding is identified in the Required Performance Metrics (RPM) Table of Attachment I.
3. **Termination.** If the CO determines that the contractor has failed to perform to the extent that a termination for default is justified, the CO shall issue a notice of termination, consistent with FAR Part 49.

**ATTACHMENT I**

**REQUIRED PERFORMANCE METRICS (RPM) TABLE**

<table>
<thead>
<tr>
<th>Required Service</th>
<th>Performance Standards</th>
<th>Acceptable Quality Levels</th>
<th>Method Of Surveillance</th>
<th>Incentive (Negative) (Impact on Contractor Payments)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly, Quarterly and Annual Reports on Fund Status and Operations</td>
<td>Reports submitted no later than the due dates</td>
<td>100%</td>
<td>Reports, customer, regulatory &amp;/or industry complaints, inspections, and/or evaluations</td>
<td>Invoice deduction of $500 for each report delivered late</td>
</tr>
<tr>
<td>Audit Plans and Audit Reports of Providers</td>
<td>Audit Plans are submitted in accordance with prescribed timelines.</td>
<td>100%</td>
<td>Reports, customer, regulatory &amp;/or industry complaints, inspections, and/or evaluations</td>
<td>Invoice deduction of $500 for each audit plan submitted late</td>
</tr>
<tr>
<td>Audits of Administrator</td>
<td>Audits are conducted in accordance with prescribed timelines.</td>
<td>100%</td>
<td>Reports, customer, inspections, and/or evaluations</td>
<td>Invoice deduction of $500 for each audit conducted late</td>
</tr>
<tr>
<td>Ratemaking and Contribution Factor Responsibilities</td>
<td>Proposed compensation rates, Fund size, and contribution factor are calculated and proposed in accordance with prescribed timeliness, and accurately reflect underlying data.</td>
<td>100%</td>
<td>Reports, customer, inspections, and/or evaluations</td>
<td>Invoice deduction of $500 for each late deliverable</td>
</tr>
<tr>
<td>Timeliness and accuracy of payments</td>
<td>Payments of monies are executed pursuant to prescribed requirements, are supported by the data submitted by the providers, are the correct amounts, and are consistent with the Improper Payments Information Act</td>
<td>98%</td>
<td>Audits, reports, service providers</td>
<td>Invoice deduction of $500 for not meeting Acceptable Quality Level or delivery date</td>
</tr>
<tr>
<td>Timeliness and accuracy in collections</td>
<td>Collection of monies shall be executed pursuant to prescribed requirements, are supported by the data, and are in the correct amount</td>
<td>98%</td>
<td>Audits, reports, service providers</td>
<td>Invoice deduction of $500 for not meeting Acceptable Quality Level or delivery date</td>
</tr>
<tr>
<td>Collecting and Reviewing cost and demand data from Providers</td>
<td>Timely and complete collection of data pursuant to prescribed requirements</td>
<td>98%</td>
<td>Audits, reports, service providers</td>
<td>Invoice deduction of $500 for not meeting Acceptable Quality Level or delivery date</td>
</tr>
</tbody>
</table>
ATTACHMENT II

QUALITY ASSURANCE MONITORING FORM

SERVICE or STANDARD:
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

SURVEY PERIOD: ___________________

SURVEILLANCE METHOD (Check):
_____ Reports
_____ 100% Inspection
_____ Periodic Inspection
_____ Customer Input/Feedback

LEVEL OF SURVEILLANCE SELECTED (Check):
_____ Monthly
_____ Quarterly
_____ As needed

ANALYSIS OF RESULTS:

OBSERVED SERVICE PROVIDER PERFORMANCE MEASUREMENT RATE = _____ %

SERVICE PROVIDER’S PERFORMANCE (Check):  ____ Meets Standards
____ Does Not Meet Standards

NARRATIVE OF PERFORMANCE DURING SURVEY PERIOD:
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

PREPARED BY: ___________________________ DATE: ___________________
ATTACHMENT III

QUALITY ASSURANCE MONITORING FORM –
CUSTOMER COMPLAINT INVESTIGATION

SERVICE or STANDARD:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________
SURVEY PERIOD: ___________________

DATE/TIME COMPLAINT RECEIVED: ___________ _______ AM / PM

SOURCE OF COMPLAINT:
__________________________ (NAME)
__________________________ (ORGANIZATION)
__________________________ (PHONE NUMBER)
__________________________ (EMAIL ADDRESS)

NATURE OF COMPLAINT:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

RESULTS OF COMPLAINT INVESTIGATION:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

DATE/TIME SERVICE PROVIDER INFORMED OF COMPLAINT: ___________ _______ AM / PM

CORRECTIVE ACTION TAKEN BY SERVICE PROVIDER:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

RECEIVED AND VALIDATED BY: ____________________

PREPARED BY: ____________________ DATE: _________________