

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

Version Dated: 28 Feb 2023

Analytical Support for Office People Analytics Centers for Health & Resilience (H&R) and Retention & Readiness (R&R)

in support of:

Defense Human Resources Activity (DHRA), Defense Personnel Analytics Center (DPAC), Office of People Analytics (OPA)

GSA R9 FAS AAS Acquisition ID # 47QFPA22K0005
For Contract # 47QFPA23XXXX and all underlying Task Orders

Approvals:

Contracting Officer

Project Manager

Project Manager

1.0 INTRODUCTION

This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the Performance Work Statement (PWS) entitled Analytical Support for Office People Analytics Centers for Health & Resilience (H&R) and Retention & Readiness (R&R). This plan sets forth the procedures and guidelines R9 FAS AAS will use in ensuring the required performance standards or services levels are achieved by the contractor.

1.1 PURPOSE

The purpose of the QASP is to describe the systematic methods used to monitor performance and to identify the required documentation and the resources to be employed. The QASP provides a means for evaluating whether the contractor is meeting the performance standards or quality levels identified in the task order PWS and the contractor's Quality Control Plan (QCP), and to ensure that the Government pays only for the level of services received.

This QASP will be used to surveil all task orders issued under the overarching IDIQ contract and any surveillance documentation will be filed in the electronic contract file in Tab 47 for the IDIQ contract (47QFPA23XXXX) for all task orders.

1.1.1 Copies of the original QASP and revisions shall be provided to the Contractor and Government officials responsible for surveillance activities. The QASP is a living document and the Government can change the document at any time, provided there are no changes to contractual terms and conditions.

1.1.2 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. This QASP describes:

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

1.1.3 This QASP defines the roles and responsibilities of all members of the Government acquisition team, identifies the performance objectives, defines the methodologies used to monitor and evaluate the contractor's performance, describes quality assurance documentation requirements, describes the analysis of quality assurance monitoring results, and provides a Performance Requirements Summary (Attachment 1) that includes the method used to improve contractor performance when appropriate.

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1.2 PERFORMANCE MANAGEMENT APPROACH

This QASP will define the performance management approach taken to monitor and manage the contractor's performance to ensure the expected outcomes or performance objectives communicated in the PWS are achieved. Performance management rests on developing a capability to review and analyze information generated through performance assessment. The ability to make decisions based on the analysis of performance data is the cornerstone of performance management; this analysis yields information that indicates whether expected outcomes for the project are being achieved by the contractor.

1.3 PERFORMANCE MANAGEMENT STRATEGY

The contractor is responsible for the quality of all work performed. The contractor measures that quality through the contractor's own Quality Control (QC) program. QC is work output, not workers, and therefore includes all work performed under this contract regardless of whether the work is performed by contractor employees or by subcontractors. The contractor's QCP will set forth the staffing and procedures for self-inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS.

1.3.1 The contractor will develop and implement a performance management system with processes to assess and report its performance to the designated Government representative. This QASP enables the Government to take advantage of the contractor's QC program.

1.3.2 The Government representative(s) 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 a determination regarding incentives 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 GSA Contracting Officer (CO)

The CO is responsible for monitoring contract compliance, contract administration, and cost control and for resolving any differences between the observations documented by the Contracting Officer's Representative (COR) and the contractor. The CO will designate one full-time COR as the Government authority for performance management.

Assigned: TBD

Organization: General Services Administration (GSA), Federal Acquisition Service (FAS), Assisted Acquisition Service (AAS)

GSA Project Manager (PM)

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The PM assists the CO in monitoring contract compliance, contract administration, and cost control and for resolving any differences between the observations documented by the Client agency Contracting Officer's Representative (COR) and the contractor. The PM reviews and approves invoices and documents contractor performance with the COR.

Assigned: TBD

Organization: General Services Administration (GSA), Federal Acquisition Service (FAS), Assisted Acquisition Service (AAS)

2.2 Client Agency Contracting Officer Representative (COR)

The COR is designated in writing by the CO to act as his or her authorized representative to assist in administering a contract. COR limitations are contained in the written appointment letter. The COR is responsible for technical administration of the project and ensures proper Government surveillance of the contractor's performance. The COR 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 CO for action. The COR will have the responsibility for completing QA monitoring forms used to document the inspection and evaluation of the contractor's work performance. Government surveillance may occur under the inspection of services clause (FAR 52.212-4) for any service relating to the contract.

Assigned: TBD or other Nominated and Designated COR

Organization: DoD Office of People Analytics (OPA) Defense Personnel Analytics Center(DPAC)

2.3 Contractor Representatives

- a. Program Manager – TBD at task order level
- b. Other Contractor Personnel – TBD

3.0 IDENTIFICATION OF REQUIRED PERFORMANCE STANDARDS/QUALITY LEVELS

The required performance standards and/or quality levels are included in the PWS (Section 13) and in Attachment 1, "Performance Requirements Summary."

3.1 If the contractor meets the required service or performance level, it will be paid the monthly amount agreed on in the task order contracts. Failure to meet the required service or performance level may result in a deduction from the monthly amount.

3.2 Non-Performance occurs when the contractor's performance does not meet or exceed the prescribed performance standard for a given requirement. Requirements may contain multiple performance elements, and therefore, deficiencies may occur in one or

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more aspects of performance (e.g., timeliness, accuracy, completeness, etc.).

4.0 METHODOLOGIES TO MONITOR PERFORMANCE

4.1 Surveillance Techniques

In an effort to minimize the performance management burden, simplified surveillance methods shall be used by the government to evaluate contractor performance when appropriate. The primary methods of surveillance for this contract are:

- a) Random Sampling of task order deliverables and outcomes
- b) Periodic Inspection of period reports or deliverables
- c) Random Inspection of task order deliverables and or outcomes
- d) Customer Complaint Investigation

4.2 Customer Feedback

The contractor is expected to establish and maintain professional communication between its employees and customers. The primary objective of this communication 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.

4.2.1 Performance management drives the contractor to be customer focused through initially and internally addressing customer complaints and investigating the issues and/or problems. However, the customer always has the option to communicate complaints to the COR, as opposed to the contractor.

4.2.2 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 COR. The COR will accept those customer complaints and investigate them using the Quality Assurance Monitoring Form: Customer Complaint Investigation, identified in Attachment 3.

4.2.3 Customer feedback may also be obtained either from the results of formal customer satisfaction surveys or from random customer complaints.

4.3 Acceptable Quality Levels

Performance Standards define acceptable performance for specific tasks. The Government performs surveillance to determine if the Contractor exceeds, meets or does not meet these standards.

4.3.1 The Performance Metrics for Deliverables and Performance Standards are outlined in the PWS. The schedule of deliverables is outlined in 6.0 of the PWS.

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4.3.2 The Acceptable Quality Levels (AQLs) included in Attachment 1, Performance Requirements Summary Table, for contractor performance are structured to allow the contractor to manage how the work is performed while providing negative incentives for performance shortfalls.

5.0 QUALITY ASSURANCE DOCUMENTATION

5.1 The Performance Management Feedback Loop

The performance management feedback loop begins with the communication of expected outcomes. Performance standards are expressed in the PWS and assessed using the performance monitoring techniques shown in Attachment 1.

5.2 The Contracting Officer Representative 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 any surveillance checklists. All such records will be retained for the life of this contract. The Program Manager (PM)/ Contracting Officer shall file in the electronic contract file at termination or completion of the contract.

5.3 Monitoring Forms

The Government's QA surveillance, accomplished by the COR, will be reported using the monitoring forms in Attachments 2, 3 or 4. The forms, when completed, will document the Government's assessment of the contractor's performance under the contract to ensure that the required results are being achieved.

The COR will retain a copy of all completed QA monitoring forms. Attachment 2 (and Attachment 3 if applicable) will be provided to the GSA PM and CO and uploaded monthly to the electronic contract file.

6.0 ANALYSIS OF QUALITY ASSURANCE MONITORING RESULTS

6.1 Determining Performance

The Government shall use the monitoring methods cited to determine whether the performance requirements have been met. If the contractor has not met the minimum requirements, it may be asked to develop a corrective action plan to show how and by what date it intends to bring performance up to the required levels.

6.2 Reporting

Surveillance for this IDIQ is conducted at the contract level for all task orders. At the end

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of each quarter, the COR will provide surveillance results to the GSA PM and CO using the Quality Assurance Monitoring Form/ Quarterly COR Report (Attachment 2 or another acceptable format that is approved by the GSA Contracting Officer/Project Manager. The QA Monitoring form (Attachment 2), combined with the contractor's monthly status report enable the Government to demonstrate whether the contractor is meeting the stated performance requirements.

If performance fails to meet standards, the COR should prepare and submit a Customer Complaint Investigation (Attachment 3) or Contract Discrepancy Report (Attachment 4) to the GSA Program Manager / Contracting Officer or otherwise provide details regarding the deficiency to the GSA PM and CO. Note: reporting may happen at any time, and the COR need not wait till the end of the quarter to report performance issues.

The COR must email the quality assurance surveillance reports to the GSA PM and CO on a monthly basis (for performance the month prior), after receipt of the contractor's monthly status report.

6.3 Reviews and Resolution

The COR may require the contractor's PM, or a designated alternate, to meet with the CO and other Government IPT personnel as deemed necessary to discuss performance evaluation. The COR will define a frequency of in-depth reviews with the contractor, including appropriate self-assessments by the contractor; however, if the need arises, the contractor will meet with the COR as often as required or per the contractor's request. The agenda of the reviews may include:

- a. Monthly or Quarterly performance assessment data and trend analysis
- b. Issues and concerns of both parties
- c. Projected outlook for upcoming months and progress against expected trends, including a corrective action plan analysis
- d. Recommendations for improved efficiency and/or effectiveness
- e. Issues arising from the performance monitoring processes.

6.3.1 The CO and COR must coordinate and communicate with the contractor to resolve issues and concerns regarding marginal or unacceptable performance.

6.3.2 If issues arise during performance, the CO, COR, 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.

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ATTACHMENT 1: PERFORMANCE REQUIREMENTS SUMMARY (PRS)

#	REQUIRES SERVICES	PERFORMANCE STANDARDS	ACCEPTABLE LEVEL	SURVEILLANCE METHOD/ TEMPO	INCENTIVE
1	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation
2	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation
3	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation
4	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation
5	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation

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6	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	1. Past Performance Evaluation (CPARS) 2. Monthly Evaluation
7	Final Deliverables (not draft)	Timeliness, accuracy, quality	Final Deliverables submitted by due date and with zero errors	Not more than two deliverables can be submitted late or with errors monthly	1. Past Performance Evaluation (CPARS)
8	Monthly Progress Report	Timeliness, accuracy, quality	Reports submitted on time, PMR schedule	Not more than one error on report per month	1. Past Performance Evaluation (CPARS)

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ATTACHMENT 2 - QUALITY ASSURANCE MONITORING FORM/ QUARTERLY COR REPORT

CONTRACT # 47QFPA23XXXXX and All Active Task Orders

CONTRACTOR: TBD

SURVEILLANCE PERIOD (ex. Q2 FY2023): _____

SURVEILLANCE PROCEDURES:

Complete the following Surveillance Results table indicating whether performance during the assessment period met/exceeded/ or did not meet the Acceptable Quality Level in each PRS area. If a required service or PRS area was not applicable for the reporting period, write N/A. When performance exceeds the standard to the Government's benefit, summarize what requirement was exceeded and the associated benefit.

Fill out the COR Quarterly Report by providing ratings for any applicable CPARS ratings and any supporting notes.

Sign and date the form and deliver it to the GSA PM and CO on at least a quarterly basis. Note: reporting may happen at any time, and the COR need not wait till the end of the quarter to report performance issues.

SURVEILLANCE RESULTS TABLE:

#	REQUIRES SERVICES	PERFORMANCE STANDARDS	ACCEPTABLE LEVEL	SURVEILLANCE METHOD	SURVEILLANCE RESULTS/COMMENTS/ ISSUES FOR CO ATTENTION
1	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	Cost Efficiency Initiatives: Proactive in identifying, recommending and implementing cost efficiency initiatives	
2	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	Product or Service Initiatives: Proactive in identifying, recommending, and implementing improvement and new ideas, initiatives, and innovations	
3	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	Quality of Product or Service: Contractor assures customer satisfaction	

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4	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	Schedule: Services and deliverables are submitted on time	
5	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	Management of Personnel: Maintain support continuity with no mission impact	
6	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	Compliance of Security Requirements: Comply with security requirements	
7	Final Deliverables (not draft)				

SUMMARY COR QUARTERLY REPORT						
CPARS Area	Month 1 Rating	Notes	Month 2 Rating	Notes	Month 3 Rating	Notes
Quality						
Schedule/ Timeliness						
Cost Control						
Business Relations or Management						

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Regulatory Compliance						
Note 1: Rate per FAR 42.1503(h)(4): Exceptional, Very Good, Satisfactory, Marginal, Unsatisfactory						
Note 2: CO will evaluate Small Business on a yearly basis after the contractor has submitted timely reports.						

PREPARED BY:

_____ DATE: _____
Contracting Officer Representative
Office of People Analytics
Defense Personnel Assessment Center
Defense Human Resources Activity

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ATTACHMENT 3 QUALITY ASSURANCE MONITORING FORM

CUSTOMER COMPLAINT INVESTIGATION

PRS # or Contract Requirement:

PWS/Contract Requirement: PWS Paragraph: _____

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: _____ DATE _____ AM / PM

PREPARED BY: _____

DATE: _____

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CORRECTIVE ACTION TAKEN BY SERVICE PROVIDER:

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CONTRACTOR POC: _____

DATE: _____

RECEIVED AND VALIDATED BY: _____

PREPARED BY:

_____ DATE: _____

Contracting Officer Representative
Office of People Analytics
Defense Personnel Assessment Center
Defense Human Resources Activity

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ATTACHMENT 4 CONTRACT DISCREPANCY FORM

For failure to meet PRS standards, the COR may fill out a DD Form 2772 Contract Discrepancy Report and submit it to the GSA Project Manager and Contracting Officer. For the purposes of this form the Quality Assurance Evaluator (QAE) is the Contracting Officer Representative (COR) or other technical point of contact.

Link to DD Form 2772:

<https://www.acq.osd.mil/dpap/ccap/cc/corhb/Files/Forms/DD%202772%20-%20Contract%20Discrepancy%20Report.pdf>