

**QUALITY ASSURANCE SURVEILLANCE PLAN
(QASP)**

FOR

GROUNDS MAINTENANCE SERVICES

HILL AIR FORCE BASE

UTAH

10 January 2023

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Section A – Purpose

1. This Quality Assurance Surveillance Plan (QASP) has been developed to provide the Contracting Officer Representative (COR) an effective and systematic method to evaluate contractor provided services as required by the terms and conditions of the contract. This plan implements the guidance of MP 5301.602-2(d) and the Guidebook for the Acquisition of Services, with respect to the government's quality assurance requirements.
2. The role of government quality assurance (QA) is to ensure contract standards are achieved. In conducting surveillance, COR's are to be objective, fair, and consistent in evaluating contractor performance against the performance standards.
3. This plan is based on the premise that the Contractor is responsible for contract management and quality control, not the Government. The Government's objective in having the service provided is to obtain exceptional Ground Maintenance services.
4. This plan is a living document and shall be revised or modified by members of the multi-functional team as circumstances warrant, throughout the life of the contract, to ensure adequate oversight of contractor performance is maintained.

Section B – Roles and Responsibilities of the Multi-Functional Team (MFT)

1. **Installation Contracting Division Chief**
 - a. Serves as Business Advisor to senior leadership.
 - b. Ensures the multi-functional team exercises acquisition authorities and responsibilities according to the Federal Acquisition Regulation (FAR), Department of Defense Federal Acquisition Regulation Supplement (DFARS) and Air Force Federal Acquisition Regulation Supplement (AFFARS).
2. **Program Manager (PM)/Functional Service Manager (FSM)**
 - a. Execute management and oversight for the delivery of contractually acquired services.
 - b. Specifically identifies those services within a requirement that are mission essential in accordance with DFARS 252.237-7023.
 - c. Keep up-to-date on mission changes that may drive the need for a contract modification. Coordinate with and seek advice from the CO on a possible need for a modification based on changes within the functional mission that could affect the performance requirements of the contract.
 - d. Review, approve, and sign surveillance schedules prior to upcoming surveillance periods.
 - e. When necessary, fulfill COR appointment and supervisory duties identified in paragraph 2.10 of this instruction. Review and approve individual's nomination as CORs to the CO to enable appropriate contract surveillance. The COR(s) should be organizationally aligned with the PM/FSM whenever possible.
 - f. No less than quarterly, review contractor performance documentation prepared by COR personnel to ensure performance is compatible with contract objectives.
 - g. Approve Quality Assurance Surveillance Plan (QASP).
 - h. Ensure a Contractor Performance Assessment Report (CPAR) is accomplished no less than annually by either the COR.
 - i. Ensure assessments are consistent with the monthly surveillance reports.

- j. Establish a tracking procedures to ensure MFTs are established and led by a PM or FSM as required in DoDI 5000.74.
- k. Establish, lead and maintain MFT through the course of the acquisition (pre and post award).
- l. Establish a governance to ensure a CPARS Assessing Official (AO) and Assessing Official Representative (AOR) is identified. During the assessment process, provide a perception of the contractor's overall performance. In some instances this may require the PM/FSM to be either rthe AO or AOR.
- m. Prepare slides and brief programs at the AER.

3. **Contracting Officer (CO)**

- a. Advises the multi-functional team on performance plan development.
- b. Manages the listing of Contracting Officer Representative (COR) assigned to the contract, indicating their areas of responsibilities and limitation of authority, and ensures that the Contractor is notified of such.
- c. Multi-functional team advisor for developing incentives/remedies, as appropriate, tied to performance objectives and performance thresholds.
- d. Maintains in the contract file documentation of training provided by contracting personnel and/or QAPC identified herein.

4. **Contracting Officer Representative (COR)**

- a. Provide technical support to the PM/FSM and CO and assist MFT in developing performance requirements in pre-award activities when requested.
- b. Assist the CO and MFT in determining Quality Management System (QMS) requirements being mindful of the requirements of FAR Parts 12, 46, 52.212-4(a), 52.246, AFI 63-138 Chapter 6, and the PWS.
- c. COR will aid in assessing contractor submitted QMS for congruence with pre-determined quality systems requirements.
- d. Ensure contractor's accepted QMS complies with contract requirement.
- e. Ensure contractor follows the contractor's QMS as it is written, plus the effectiveness in bring about the desired results—performance equal to or greater than the SS metrics, plus an inspection and corrective action program that identifies and fixes issues without having to be identified by the Government.
- f. Assist the MFT in developing a QASP that effectively measures and evaluates performance based activity throughout the life of the functional contract requirement. CORs ensure the QASP is updated to ensure it reflects any contract changes.
- g. Promptly report performance issues to the CO in writing.
- h. Draft a CPAR evaluation for contractor performance when designated as the CPAR Assessing Official Representative for a contract or task order.
- i. Complete all COR required training.
- j. Ensure a COR file is maintained with COR records (contract, modifications, minutes, invoices and payments, inspection results, QASP, Surveillance Schedule, etc., and MFRs on significant issues relating to the contract as required in DoDI 5000.72. These documntents are required to be managed in CORT Tool.
- k. Inform the CO in writing of any required changes to the contract scope/PWS.

- l. Develop and publish a surveillance schedule of COR surveillance activities (labeled “**For Official Use Only**”). Submit to the PM/FSM and CO for review prior to the commencement of the surveillance period.
- m. Develop and publish surveillance report of COR surveillance activities. Submit to PM/FSM and CO for review.
- n. Draft CARs for submission to the PM/FSM for each area of contractual non-conformity, either immediately or at the end of each surveillance period (as determined by your QASP) and forward to PM/FSM for review and the CO for issuance.
- o. Assist PM/FSM and CO in verifying adequate corrective actions are taken to resolve problems.
- p. Notify the CO if there is high risk of the contract costs exceeding the amount programmed.
- q. Assist CO to validate the accuracy of invoices submitted by the service provider prior to the government paying for services.
- r. Ensure a CPAR is accomplished no less than annually. The CO may determine an out of cycle CPAR is required to address performance concerns.
- s. Complete all COR required training.

5. **Multi-functional Team (MFT)**

- a. Fosters partnerships with industry to ensure exchanges of information among the service industry and other business experts occur. Ensures key stakeholders participate in developing, implementing and executing the acquisition strategy.
- b. Provides support to senior leadership as required (i.e., performance metrics, data, briefings).
- c. Makes sure that correspondence and presentations are accurate, timely and of high quality. Also, provides reports that provide early warnings of significant variances in cost, schedule or performance to senior leadership.
- d. Researches the commercial market to ensure the multi-functional team is using the most efficient and effective assessment methods, techniques, and best commercial practices in performance of the contract.
- e. Develops, implements and executes a performance-based acquisition strategy, to include performance metrics, that supports a higher level of contractor performance, fosters synergistic partnerships, accommodates changing or unforeseen mission needs and leverages commercial best practices.
- f. Ensures the acquisition strategy aligns mission performance needs with performance-based work statements and acquisition approaches designed to deliver the desired mission support results.
- g. Manages risk to ensure mission performance is within cost and schedule constraints.
- h. Develops, implements and executes a source selection, if applicable, that provides an integrated assessment of the offeror’s proposal and ensures a best value source selection based on the requirements of the Request for Proposal.
- i. Plans, programs, and budgets adequate funds to ensure the execution is within approved funding baseline.
- j. Develops, implements and manages milestones to ensure the acquisition supports mission requirements within the approved funding baseline.
- k. Identifies opportunities to improve performance throughout the life of the acquisition. This includes benchmarking against industry, identifying initiatives, assessing the risk associated with these initiatives, using the QASP to implement initiatives, and monitoring the success of implementation.

- l. Assesses and manages contractor performance data, to include submitting Contractor Performance Assessment Reporting System (CPARS) reports.
- m. Develops, implements, and executes performance measurement and management in accordance with the QASP.
- n. Ensures the requiring office and Contractor understand the unique programs impacting an acquisition, e.g. Air Force Hazardous Materials Management Process (HMMP), safety, security, environmental, etc.
- o. Recommends changes to the QASP.

6. Quality Assurance Program Coordinator (QAPC)

- a. Supports the multi-functional team in the development of contract requirements specifically ensuring that requirements are clearly stated and enforceable.
- b. Trains CORs on the contracting requirements associated with the quality assurance program.
- c. Trains PM/FSM and COR Supervisors.
- d. Provides training, documents CORs acknowledgement of their requirement to:
 - (1) Evaluate and document contractors performance in accordance with the QASP
 - (2) Notify the contracting officer of any significant performance deficiencies and provide an recommendations to imprve the performance plan or PWS.
 - (3) Maintain surveillance documentation.
- e. Assists in development of quality assurance related training as requested.
- f. Maintains documentation of training provided by contracting personnel identified herein.
- g. Assists the market research efforts of the multi-functional team in determining commercial quality assurance practices.
- h. Assists as required with the evaluation of the contractor's Quality Control Plans.
- i. Provides refresher training annually if necessary to ensure the CORs are up to date with all required changes.

7. Contractor

- a. Complies fully with the terms and conditions of the contract.
- b. Participates as a member of the multi-functional team after contract award.
- c. Maintains and implements a quality control plan that is acceptable to the government.
- d. Ensures that non-conformance of contract requirements are identified, corrected, and prevents recurrence.
- e. Tenders to the government for acceptance only those services that conform to contract requirements.
- f. Recommends any changes to the contract that will provide more effective operations or eliminate unnecessary costs.

Section C – Service Summary and Method of Surveillance

1. This section identifies the process that measures success towards achieving defined performance objectives or goals defined within the performance thresholds in the Services Summary or the process of assessing progress towards achieving the objectives/goals developed in this QASP.
2. As a minimum, CORs will monitor, review, and report on the contractor’s performance and compliance with all Service Summary (SS) items shown below (from Section 2 of the PWS) as well as all other areas in the PWS. The service requirements summarized below are performance objectives that relate directly to mission essential items. The performance thresholds referenced in the table briefly describes the minimum acceptable levels of service required for each service requirement. The performance thresholds established for each of the performance objectives are the number of defects permitted before the COR notifies the contracting officer in accordance with FAR 52.212.4, Contract Terms and Conditions-Commercial Items, FAR 52.246-4, Inspection of Services - Fixed Price, or FAR 52.246-5, Inspection of Services – Cost Reimbursement.
3. Quality assurance shall be based on the Government’s evaluation of results, not the frequency or method of performance. All key performance objectives must meet the prescribed standards in the Service Summary to be regarded as acceptable.

Performance Objectives	PWS Para(s)	Performance Threshold	Method of Surveillance
PO-1: Maintain Improved Grounds a. Mow, Trim, Edge b. Weed Control c. Debris/Litter Policing d. Leaf Removal e. Fertilization & Aeration f. Prune shrubs	1.1.1 - 1.1.4; 1.1.6 - 1.1.7; 1.1.8; 1.1.11	Excellent: 0 defects month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1-3 defects month	
		Satisfactory : 4 defects per month	
		Marginal: 5 defects per month	
		Unsatisfactory: More than 5 defects per month	
PO-2: Maintain Semi-Improved Grounds a. Mow, Trim b. Debris/Litter Policing	1.2 , 1.1.6	Excellent: 0 defects per month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1-3 defects per month	
		Satisfactory : 4 defects per month	
		Marginal: 5 defects per month	
		Unsatisfactory: More than 5 defects per month	
PO-3: Maintain BASH (Bird Strike Hazard Area) a. Mow, Trim	1.1.6 Inclusive	Excellent: 0 defects per month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1 defects per month	
		Satisfactory: 2 defects per month	
		Marginal: 3 defects per month	
		Unsatisfactory: More than 3 defects per month	

PO-4: Irrigation Systems a. Operation of Systems b. Maintenance of Systems c. Winterize Systems	1.1.5.1 – 1.5.1.3	Excellent: 0 defects per month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1-2 defects per month	
		Satisfactory: 3 defects per month	
		Marginal: 4 defects per month	
		Unsatisfactory: More than 4 defects per month	
PO-5: Maintain Vegetative Beds, Flower, Inert Beds, Rock Beds and Related Areas	1.5 Inclusive	Excellent: 0 defects per month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1 defects per month	
		Satisfactory: 2 defects per month	
		Marginal: 3 defects per month	
		Unsatisfactory: More than 3 defects per month	
PO-6: Perform Snow & Ice Removal	1.7 Inclusive	Excellent: 0 defects per month	Periodic Validation Customer Complaint 100% Inspection
		Very Good: 1 defects per month	
		Satisfactory: 2 defects per month	
		Marginal: 3 defects per month	
		Unsatisfactory: More than 3 defects per month	
PO-7: Environmental & Regulatory Requirements a. Haz Materials/Mgmt. b. Spill Controls c. Pesticides d. Monthly Pesticide Rpts e. Permits, Licenses, Certs	4.4.1; 4.4.1.1; 4.4.2; 4.4.3; 4.4.3.1; 4.4.3.2; 4.5	Excellent: 0 defects per month	Periodic Validation 100% Inspection
		Satisfactory: 1 defect per month	
		Unsatisfactory: More than 1 defect per month	

Section D – Surveillance Procedures

1. **Surveillance Approach** The intent of this plan is to primarily rely on the contractor’s internal quality control processes. The team’s original surveillance approach may not stay the same throughout the duration of the contract; therefore, the government should be prepared to periodically update the surveillance approach when necessary. The goal of the Government’s surveillance approach is to gain confidence in the contractor’s way of doing business and then adjust the level of oversight to a point that maintains that confidence.
2. **Surveillance Schedule**
 - a. The COR will develop a surveillance schedule based on this Plan, Appendix 1. Copies of the surveillance schedule shall be provided to the PM/FSM and the Contracting Officer, before the start of the surveillance period. Surveillance schedules, when completed, shall be marked **“For Official Use Only,”** and **shall not be shown to the Contractor.**

- b. Changes to the surveillance schedule shall be sent to the PM/FSM and the Contracting Officer. The COR shall document the reason(s) for changes to the surveillance schedule, and maintain the documentation in the COR files with the corresponding surveillance schedule that was changed.
- c. The inspection schedule shall be comprised of at least ten percent (10%) of non-SS items, but no more than twenty percent (20%). Monthly schedule format is determined by the COR, PM/FSM, and CO.

3. Surveillance

- a. The COR will perform validation surveillances each month based on the contractor's schedules, daily reports, snow events, and COR directed work orders. The COR shall document each surveillance on a surveillance checklist, Appendix 2. The COR shall conduct surveillances of the Contractor's performance by determining whether or not the performance meets the standards contained in the contract. Periodic surveillance/inspection is the type of surveillance that is based upon selecting samples for evaluation on other than 100% inspection or on a statistically random basis. Periodic surveillance can be accomplished weekly and/or monthly using a checklist method. Completed and signed surveillance checklists become official record in the COR file and shall be used to evaluate the Contractor's overall performance each month and assign applicable ratings based on the grading criteria in the Services Summary table.
- b. Surveillance checklists shall include the date, time, and location the surveillance was conducted, number of defects (if any), applicable remarks and signature of COR conducting the surveillance. When the COR determines Contractor performance is unacceptable, the specific reason for the unacceptable performance shall be recorded on the CORs surveillance documentation.

4. Customer Complaints

- a. COR shall receive customer complaints through electronic and telephonic means
- b. Any base employee observing unacceptable services, incomplete, not performed, or performed improperly and safety matters may contact the COR. COR shall receive, document and validate or invalidate all complaints.
- c. If the complaint is invalid, the COR shall contact the customer and explain why the complaint was invalid.
- d. COR shall issue the Contractor a corrective action notice (can use the Corrective Action Report/CAR form) for all valid customer complaints. COR shall document when the complaint is resolved, and document the customer notification in their records.
- e. If the Contractor challenges the validity of any complaint, and the COR and Contractor cannot come to agreement, the complaint in question shall be forwarded to the Contracting Officer (CO) for resolution.
- f. Complaints will be tracked and if the performance threshold is exceeded, the COR shall notify the Contracting Officer in writing so that the appropriate action can be taken.
- g. If the COR identifies recurring instances of unsatisfactory performance, they may request to review the contractor's internal quality control processes to ensure that they are sufficient.
- h. All valid customer complaints shall be re-performed if applicable, as soon as possible after notification, but prior to the next service period. ***Re-performance however does not eliminate the customer complaint and it still applies against the contractor's performance threshold, if applicable.***

5. **Defects** The COR will allow the contractor one (1) opportunity per month in each Performance Objective to mitigate a COR finding(s) or validated customer complaint without incurring a defect. When the COR discovers a potential defect or receives a validated customer complaint, he will contact the Contractor's project manager and/or quality control inspector to discuss the finding. A finding *will not* count as a "defect" if: **1)** the contractor has pre-identified the finding through their Quality Control Plan and provides the COR with a mitigate the finding within 8 duty hours or **2)** the contractor mitigates the finding within eight (8) duty hours. The contractor *will* incur a defect after one (**1**) mitigation in a one month period within any area or a combination of areas within each Performance Objective or the contractor fails to complete a COR directed work order in the specified time stated in the Performance Work Statement (PWS).
6. **Combating Trafficking in Persons** The COR/ACOR will verify and monitor that the Contractor has policies and procedures in place to prohibit any activities on the part of contractor employees that support or promote trafficking in persons as part of ongoing surveillance of performance of contract services. The Contractor or the COR/ACOR shall immediately bring to the attention of the CO any non-compliance with contract clause FAR 52.222-50, *Combating Trafficking in Persons*. Additional information on DoD's efforts to combat trafficking in persons can be found at the following website: <http://www.dodig.mil/Inspections/IPO/combatinghuman.htm> and the DFARS *Procedures, Guidance, and Information 222.17*.

Section E – Surveillance of Non-Service Summary Items

The government has the right to inspect and test **all** services called for by the contract, to the extent practicable at all times and places during the term of the contract. Therefore, COR will conduct surveillance for SS items and non-SS items as well. When the COR identifies unacceptable performance on non-SS items, the COR shall follow the procedures in Section F of this plan, entitled, *Unacceptable Performance*.

Section F – Unacceptable Performance

1. **Unacceptable Performance** When the Contractor's performance is deemed unacceptable, the COR shall attempt to determine the cause of the unacceptable performance. If any Government action, or lack of action, caused the unacceptable performance, the unacceptable performance shall not be counted against the Contractor. The COR shall take action to ensure Government action, or lack of action, does not interfere with the Contractor's performance in the future. When the unacceptable performance is not the result of Government action, or lack of action, the COR shall notify the Contractor of the unacceptable performance, initiate a CAR and forward to the CO for action.
 - a. IAW AFI 63-138 para. 2.12.1.2 Never direct contractor's work or the re-performance of work, assist the contractor in any task, advise the contractor on how to accomplish any task, change the contract, or interpret the contract, but rather observe and report on contractor compliance with contracted requirements.
 - b. IAW AFI 63-138 para. 6.10.3. Re-performance of services. Under the PBSA concepts and FAR 46.407(b), ordinarily the first corrective action required of an individual service not meeting contract requirements is the re-accomplishment of the service at no charge to the government. COR documentation of the services not meeting contract requirements denotes the contractor has to re-perform the service. **However, upon advice of the technical/functional activity and the nature of the service, the CO may pursue other options.**
 - c. If the Contractor challenges the validity of the CORs unacceptable surveillance findings, promptly report performance issues to the CO in writing. The Contractor shall be required to return all

completed CARS to the CO, no later than the suspense date indicated on the CAR. The CAR will be provided to the COR and all CARs shall be uploaded into CORT Tool.

2. Contracting Officer Notification for Acceptance of Nonconforming Supplies or Services

- a. **Minor Finding** A departure from established standards having little bearing on the service provided. When COR identify a minor finding, the COR shall document the findings, and is required to notify the CO. If the same minor finding is repeatedly identified, it may be an indication that a major finding is occurring or has occurred because the contractor has not taken proper steps to prevent recurrence.
- b. **Major Finding** According to FAR 46.101, a nonconformance, other than critical, that is likely to result in failure of the supplies or services, or to materially reduce the usability of the supplies or services for their intended purpose. If at any time COR identify a condition as having a significant adverse effect on the quality of the activity, such as those stated below, COR shall document their findings and notify the CO immediately in writing.
 - (1) Contractor failure to meet a performance threshold.
 - (2) A significant morbidity or mortality involving contractor personnel.
 - (3) Failure to provide adequate corrective action to preclude reoccurrence of government identified findings.
 - (4) Failure to provide corrective action to deficiencies identified by the contractor within a prescribed suspense period.
 - (5) Any failure to adhere to security regulations that results in a security incident.
 - (6) Revocation of clinical privileges.
- c. **Critical** According to FAR 46.101, a nonconformance that is likely to result in hazardous or unsafe conditions for individuals using, maintaining, or depending upon the supplies or services; or is likely to prevent performance of a vital agency mission. **The COR shall notify the Contracting Officer in writing immediately.**

3. Remedies for Unacceptable Performance

- a. In accordance with the contract Inspection of Services Clause 52.246-4 and 52.246-5, if any of the services do not conform with the contract requirements; the government 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 government may:
 - (1) Require the contractor to take necessary action to ensure that future performance conforms to contract requirements, and...
 - (2) Reduce the contract price to reflect the reduced value of the services performed. This may include a reduction in the number of paid hours to reflect the total non-performance period.
- b. If the contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with contract requirements, the government may:
 - (1) By contract or otherwise, perform the services and charge to the contractor any cost incurred by the government that is directly related to the performance of such service, or...
 - (2) Terminate the contract or task order for default.

Section G – Certification/Acceptance of Services

COR are responsible for completing WAWF training on iRAPT through WAWF's web-based training course. COR shall certify receipt of contractor services each month. The COR shall certify that services were received, in accordance with the terms and conditions of the contract. The COR shall certify and accept receipt of contracted services via the Wide Area Workflow (WAWF) website. Certification of services shall be accomplished within 3 work days after the Contractor has invoiced for the contract payment period, to avoid payment of interest penalties.

Section H – Contractor's Quality Control Plan

1. In accordance with the PWS, the contractor shall establish and maintain a Quality Control (QC) plan to ensure the requirements of the contract are provided as specified. The contractor's QC plan shall describe their inspection system in detail for the requested services listed in the PWS. The contractor shall develop and implement procedures to identify, prevent, and ensure non-recurrence of unacceptable services. The contractor shall update the plan as changes occur and submit those changes to the CO for review and acceptance. The contractor's quality control plan shall contain, as a minimum, the following items:
 - a. A description of the inspection system to cover all services. Description shall include specifics as to the areas to be inspected on a scheduled and unscheduled basis, frequency of inspections, and the title and organizational placement of the inspector(s).
 - b. A description of the methods to be used for identifying and preventing defects in the quality of service performed.
 - c. A description of how inspection records will be kept.
2. Records of quality control inspections shall be kept and made available to the government throughout the contract performance period and for the period after contract completion until final settlement of any claims under this contract.

Section I – Contract Management

1. **The multi-functional team shall utilize the following approaches, methods, and tools to manage the contract upon award**
 - a. COR shall conduct, document, track, and analyze Contractor performance via weekly and/or monthly surveillances. The surveillance results shall be maintained as Past Performance Information (PPI) and utilized to write monthly surveillance assessment reports Appendix 3, assign ratings and submit information into the annual Contractor Performance Assessment Report System (CPARS).
 - b. COR shall monitor contractor's performance against the contractor's quality control plan.
 - c. The COR will verify and monitor that the Contractor has policies and procedures in place to prohibit any activities on the part of contractor employees that support or promote trafficking in persons as part of ongoing surveillance of performance of contract services. The Contractor or the COR/ACOR shall immediately bring to the attention of the CO any non-compliance with contract clause FAR 52.222-50, *Combating Trafficking in Persons*. Additional information on DoD's efforts to combat trafficking in persons can be found at the following website: <http://www.dodig.mil/Inspections/IPO/combatinghuman.htm> and the DFARS *Procedures, Guidance, and Information 222.17*.

- d. The multi-functional team shall conduct periodic progress meetings, *not less than quarterly*, to review the contractor's performance. At these meetings the CO will apprise the contractor of how the government views the contractor's performance and the contractor will apprise the government of problems, if any, being experienced. The contractor will also notify the CO, in writing, of any work being performed, if any, that the contractor considers over and above the requirements of the contract. Appropriate action shall be taken to resolve any outstanding issues.

2. Documentation Requirements

- a. Thorough documentation of unperformed or poorly performed work is essential for tracking contractor performance throughout the period of performance. This documentation provides the CO with contractor status as it applies to the performance criteria. The COR will document deficient work by compiling facts describing the inspection methods and results. The COR will develop documentation to substantiate nonconformance with the terms of the contract. The documentation, together with any recommendations, will be forwarded to the CO for corrective action.
- b. The CO via a COR Designation Letter delegates inspection and acceptance to the COR. The CORs are required to maintain accurate records of the contractor's performance and keep the PM/FSM informed of all data pertaining to contractor status.
- c. Per MP 5301.602-2(d), CORs will comply with all requirements in 2.0 - COR Roles and Responsibilities including: 2.1 – “The COR must have a Wide Area Work Flow (WAWF) account and be a registered DoD CORT Tool user to initiate the nomination package” and 2.4 – “Establish and maintain a COR file in accordance with DFARS PGI 201.602-2(d)(vi) in the CORT Tool...”. As a minimum, the COR Online File” in the COR's COR Nomination Record for subject contract in CORTT shall contain the following:
 - (1) COR signed Designation Letter from The Contracting Officer
 - (2) Copies of all mandatory required training
 - (3) Copy of the Quality Assurance Surveillance Plan (QASP)
 - (4) Copy of the Contractor's Quality Control Plan
 - (5) Validated Customer complaint documents
 - (6) Surveillance Assessment Reports
 - (7) Corrective Action Reports – both open and closed and a log to manage CAR numbering
 - (8) Weekly/Monthly Surveillances and applicable correspondence filed in sub-section ‘COR Status Reports’
 - (9) Any other documents and/or information that the COR finds useful.
 - (10) Contractor Performance Metrics. CORs shall submit monthly metrics into CORTT by the 10th work day of month. This Contractor surveillance shall document contractor's performance metrics of SS items, analysis of trends discovered in surveillance, CARs issued, and summary of contractor's performance.

Signature Page

Functional Service Manager
(Organization)

Contracting Officer's Representative
(Organization)

Contracting Officer
(Organization)

Quality Assurance Program Coordinator
(Organization)

Instructions for Completing Surveillance Schedule

AFFAR MP 5301.602-2(d) Para 1.4.2 states, "...the CO and the COR Supervisor must ensure that individuals designated as CORs are able to dedicate **sufficient time to perform effective oversight** on each designated contract."

AFI 63-138, Para 6.8.2.1.1 states, "Prior to executing a monthly surveillance schedule, CORs coordinate the schedule through the CO NLT than the duty day before the schedule surveillance period begins."

A monthly surveillance schedule shall be submitted for approval to the CO. If there are any changes, please annotate the changes and reason, indicate the revised date and annotate at the new date when the activity is to be conducted. Completed schedules shall be maintained as part of surveillance documentation in the COR contract files.

1. Enter contract title.
2. Enter contract number
3. Enter name of contractor
4. Enter name of COR performing the surveillances and COR signature.
5. Enter signature of COR performing the surveillances
6. Enter the month and year surveillance is to be accomplished
7. Enter the date the schedule was prepared and submitted (Must be prior to start of surveillance period).
8. Enter which day of the month surveillances will be performed (i.e. 1 thru 31). **At least 10-20 percent of PWS Paragraphs will be evaluated each month.** The entire PWS must be surveyed throughout the Performance Period.

Appendix 2 – Surveillance Checklist (example)

CONTRACT #: FA8201XX-X-XXXX

SURVEILLANCE CHECKLIST

Page 1 of 2

DATE / TIME: _____

LOCATION(S) OF SURVEILLANCE: _____

COR/INSPECTOR: _____ SIGNATURE: _____

PO #1: MAINTAIN IMPROVED GROUNDS (PWS para. 1.1-1.4, 1.1.6, 1.1.7, 1.1.8, 1.1.11) SURVEILLANCE PERFORMED? YES NO

	Number of Defects	
Mowing:	_____	
Edging:	_____	
Trimming:	_____	
Weed Control:	_____	
Debris Policing:	_____	
Shrub Pruning:	_____	
Leaf Removal:	_____	
Fertilization:	_____	
Aeration:	_____	

PO #2: MAINTAIN SEMI IMPROVED GROUNDS (PWS para. 1.2, 1.1.6) SURVEILLANCE PERFORMED? YES NO

	Number of Defects	
Mowing:	_____	
Trimming:	_____	
Debris Policing:	_____	

PO #3: MAINTAIN BASH (Bird Strike Hazard Area (PWS para. 1.3 Inclusive) SURVEILLANCE PERFORMED? YES NO

	Number of Defects	
Mowing:	_____	
Trimming:	_____	

DATE / TIME: _____

PO #4: IRRIGATION SYSTEMS (PWS para. 1.1.5.1 - 1.5.1.3)

SURVEILLANCE PERFORMED? YES NO

Number of Defects	
Operation of Sys: _____	
Maint. of Sys: _____	
Winterize Sys: _____	

PO #5: MAINTAIN BEDS vegetative/inert, rock, flower beds (PWS para. 1.5 Inclusive)

SURVEILLANCE PERFORMED? YES NO

Number of Defects	
Veg/Inert Beds: _____	
Rock Beds: _____	
Flower Beds: _____	

PO #6: PERFORM SNOW AND ICE REMOVAL (PWS para. 1.7 Inclusive)

SURVEILLANCE PERFORMED? YES NO

Number of Defects	
Snow Rem Base: _____	
CDC's/Med Grp: _____	
Ice Control: _____	

PO #7: Environmental & Reg Req's (PWS para. 4.4.1, 4.4.1.1, 4.4.2, 4.4.3, 4.4.3.1, 4.4.3.2, 4.5)

SURVEILLANCE PERFORMED? YES NO

Number of Defects	
Haz Mat Mgmt: _____	
Pesticide Rprts: _____	
Certs & Licenses: _____	

Appendix 3 – Surveillance Assessment Report (example)

Page 1 of 3

SURVEILLANCE ASSESSEMENT REPORT

CONTRACT NUMBER: FA8201-XX-X-XXXX CONTRACTOR NAME: _____

MONTH / YEAR: _____

SERVICE SUMMARY AREAS EVALUATED: _____

LOCATIONS: _____

PO-1: MAINTAIN IMPROVED GROUNDS

QUALITY: *Rating*

COR'S comments

SCHEDULE/TIMELINESS: *Rating*

COR comments

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

COR comments

REGULATORY: *Rating*

COR comments

PO-2: MAINTAIN SEMI-IMPROVED GROUNDS

QUALITY: *Rating*

COR comments

SCHEDULE/TIMELINESS: *Rating*

COR comments

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

COR comments

REGULATORY: *Rating*

COR comments

PO-3: MAINTAIN BASH (BIRD STRIKE HAZARD AREA)

QUALITY: *Rating*

COR comments

SCHEDULE/TIMELINESS: *Rating*

COR comments

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

COR comments

REGULATORY: *Rating*

COR comments

PO-4: IRRIGATION SYSTEMS

QUALITY: *Rating*

<i>COR comments</i>

SCHEDULE/TIMELINESS: *Rating*

<i>COR comments</i>

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

<i>COR comments</i>

REGULATORY: *Rating*

<i>COR comments</i>

PO-5: MAINTAIN BEDS - VEGETATIVE/INERT, ROCK, FLOWER BEDS

QUALITY: *Rating*

<i>COR comments</i>

SCHEDULE/TIMELINESS: *Rating*

<i>COR comments</i>

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

<i>COR comments</i>

REGULATORY: *Rating*

<i>COR comments</i>

PO-6: PERFORM SNOW AND ICE REMOVAL

QUALITY: *Rating*

<i>COR comments</i>

SCHEDULE/TIMELINESS: *Rating*

<i>COR comments</i>

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

<i>COR comments</i>

REGULATORY: *Rating*

<i>COR comments</i>

PO-7: ENVIRONMENTAL & REGULATORY REQ'S

QUALITY: *Rating*

<i>COR comments</i>

SCHEDULE/TIMELINESS: *Rating*

<i>COR comments</i>

BUSINESS RELATIONS / MGMT KEY PERSONNEL: *Rating*

<i>COR comments</i>

REGULATORY: *Rating*

<i>COR comments</i>

NON-SERVICE SUMMARY AREAS:

CONTRACTOR COMMENTS:

COR: _____

SIGNATURE: _____ DATE _____

CONTRACTOR REPRESENTATIVE: _____

SIGNATURE: _____ DATE _____

Appendix 4 – Surveillance Assessment Report Evaluation Criteria

The following is COR guidance for assessing the contractor's performance. On **each** Surveillance Assessment Report the contractor will be evaluated in each of the following categories **if applicable** for each SS item or PWS task item. The highest rating for PWS (non-SS) task items will be **SATISFACTORY** as these items normally will not contain a threshold.

- a) **Quality of Product or Service:** Assess the contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., specified technical, professional, environmental, or safety and health standards). List and assess any sub-elements to indicate different efforts where appropriate. **For example: Are reports/data accurate? Does the service provided meet the specifications of the contract? Does the contractor's work measure up to commonly accepted technical or professional standards? Assess the degree of government direction required to solve problems that arise during performance.**
- b) **Schedule/Timeliness:** Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, and administrative requirements (e.g., efforts that contribute to or effect the schedule variance). **This assessment of the contractor's adherence to the required delivery schedule should include the contractor's efforts during the assessment period that contributes to or effect the schedule variance. This element applies to contract closeout activities as well as contract performance. Instances of adverse actions such as the assessment of liquidated damages, or issuance of Cure Notices, Show Cause Notices, and Delinquency Notices are indicators of problems which may have resulted in variance to the contract schedule and should therefore be noted in the evaluation.**
- c) **Cost Control:** Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost. **For example: Does the contractor keep within the total estimated cost (what is the relationship of the negotiated costs and budgeted costs to actuals)? Did the contractor do anything innovative that resulted in cost savings? Were billings current, accurate and complete? Are the contractor's budgetary internal controls adequate?**
- d) **Business Relations:** Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior (to include timely identification and resolution of issues in controversy), and customer satisfaction. **Is the contractor oriented toward the customer? Is interaction between the contractor and the government satisfactory, or does it need improvement? Also, in making the assessment, include the adequacy of the contractor's accounting, billing, and estimating systems; and the contractor's management of Government Furnished Property (GFP), if a substantial amount of GFP has been provided to the contractor under the contract.**
- e) **Management of Key Personnel:** Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel. **For example: How well did the contractor match the qualifications of the key position, as described in the contract, with the person who filled the key position? Did the contractor support key personnel so they were able to work effectively? If a key person did not perform well, what action was taken by the contractor to correct this? If a replacement of a key person was necessary, did the replacement meet or exceed the qualifications of the position as described in the contract schedule?**

Appendix 5 – Surveillance Assessment Report Rating Criteria

For **each** Surveillance Assessment Report, COR will assign one of the following ratings for each category (i.e. Quality of Product or Service, Schedule, Cost Control, Business Relations, Management of Key Personnel, and Other) if applicable:

EXCEPTIONAL: Far beyond what is usual in magnitude or degree; surpassing what is common or usual or expected

This kind of performance **exceeds** contractual requirements resulting with **much** benefit to the government. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems (if any) for which corrective actions (if any) taken by the contractor were highly effective.

Note: To justify an **Exceptional** rating, the COR will identify significant event(s) and state how it was a benefit to the government. *However, a singular benefit could be of such magnitude that it alone constitutes an Exceptional rating.* Also, there should have been NO significant weaknesses identified.

Example Service Summary

Performance Objective	Performance Threshold
Provide Microsoft Excel Classes to Government Employees	Minimum of <u>2</u> classes will be provided each year.

In this example, if the contractor provides **4** Microsoft Excel classes to government employees, an **EXCEPTIONAL** rating could be merited.

Rational: The contractor exceeded the performance threshold by 2 classes, which results in **much** benefit to the government.

VERY GOOD: Better than or superior to the average

This kind of performance **meets** or **exceeds** contractual requirements resulting with **some** benefit to the government. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems (if any) for which corrective actions taken by the contract were effective.

Note: To justify a **Very Good** rating, the COR will should identify the significant event and state how it was a benefit to the government. Also there should have been no significant weaknesses identified.

Example Service Summary

Performance Objective	Performance Threshold
Provide Microsoft Excel Classes to Government Employees	Minimum of <u>2</u> classes will be provided each year.

In this example, if the contractor provides 3 Microsoft Excel classes to government employees, a **VERY GOOD** rating could be merited.

Rational: The contractor exceeded the performance threshold by 1 class, which results in some benefit to the government.

SATISFACTORY: Performance meets the requirements

This kind of performance meets only the minimum contractual requirements. The contractual performance of the element or sub-element could contain some minor problems for which corrective actions taken by the contractor appear or was satisfactory.

Note: To justify a **Satisfactory** rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been NO significant weaknesses identified. Per DoD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.

Example Service Summary

Performance Objective	Performance Threshold
Provide Microsoft Excel Classes to Government Employees	Minimum of 2 classes will be provided each year.

In this example, if the contractor provides 2 Microsoft Excel classes to government employees, a **SATISFACTORY** rating could be merited.

Rational: The contractor met the minimum requirements of the performance threshold.

MARGINAL: Just barely adequate or within a lower limits

This kind of performance does not meet some of the contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.

Note: To justify **Marginal** performance, the COR will identify significant event(s) in which the contractor had trouble overcoming and state how it impacted the government.

Example Service Summary

Performance Objective	Performance Threshold
Provide Microsoft Excel Classes to Government Employees	Minimum of 2 classes will be provided each year.

In this example, if the contractor provides 1 Microsoft Excel Class to Government Employees, a **MARGINAL** rating could be merited.

Rational: The contractor missed the performance threshold by 1 class, which does not benefit the government nor meets the terms of the example SS.

UNSATISFACTORY: Not meeting requirement(s) or the action of not fulfilling a service or need, not adequate recompense (compensation for loss).

This kind of performance does not meet contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.

Note: To justify and **Unsatisfactory** rating, the COR will identify a significant event(s) in which the contractor had trouble overcoming and state how it impacted to government. *However, a singular problem could be of such serious magnitude that it alone constitutes an Unsatisfactory rating.*

Example Service Summary

Performance Objective	Performance Threshold
Provide Microsoft Excel Classes to Government Employees	Minimum of 2 classes will be provided each year.

In this example, if the contractor provides 0 Microsoft Excel Class to Government Employees, an **UNSATISFACTORY** rating could be merited.

Rational: The contractor missed the performance threshold by 2 classes, which does not benefit the government nor meets the terms of the example SS.

Appendix 6 – Surveillance Assessment Report (SAR) Monthly Ratings

1. **Rating the Criteria:** For contractor performance rating purposes, the following rating criteria will be used “Exceptional” = **100**, “Very Good” = **90**, “Satisfactory” = **80**, “Marginal” = **70**, or “Unsatisfactory” = **60%.**”
2. Each SAR will contain a rating for each area previously mentioned and will be tallied at the end of each month. The contractor’s performance rating will be based on monthly and annual means (averages) from each SAR report as displayed in the examples below.

Example Rating for 1 (One) Month (e.g. January)

Inspection	Quality of Product or Service	Schedule	Cost Control	Business Relations	Management of Key Personnel
#1	N/A	Very Good	Exceptional	Marginal	Unsatisfactory
#2	Exceptional	Exceptional	Exceptional	Marginal	Unsatisfactory
#3	Very Good	Satisfactory	Exceptional	Marginal	N/A
#4	Very Good	Marginal	Exceptional	Marginal	Unsatisfactory
#5	Very Good	Unsatisfactory	Exceptional	Marginal	Unsatisfactory
Mean	92.5%	80%	100%	70%	60%

Appendix 7 – Surveillance Assessment Report Annual Ratings

Each annual rating will consist of tallied monthly ratings, which will be used to compute the annual mean (average) as displayed in the example below.

Example Annual Rating

Month	Quality of Product or Service	Schedule	Cost Control	Business Relations	Management of Key Personnel
January	92.5%	80%	100%	70%	60%
February	60%	60%	100%	60%	60%
March	80%	80%	100%	100%	100%
April	70%	60%	100%	100%	60%
May	70%	70%	100%	80%	70%
June	94%	80%	100%	80%	60%
July	80%	60%	100%	80%	60%
August	70%	100%	100%	80%	80%
September	100%	60%	100%	80%	60%
October	60%	60%	100%	100%	100%
November	80%	100%	100%	80%	60%
December	60%	80%	100%	80%	60%
Mean	76.375%	74.17%	100.00%	82.5%	69.17%
Final Rating	<i>Satisfactory</i>	<i>Satisfactory</i>	<i>Exceptional</i>	<i>Very Good</i>	<i>Marginal</i>

The annual mean for each category will be measured against the following rating scale which will be used for the Contractor Performance Assessment Reporting System (CPARS) as indicated below:

Final Rating Scale	
100 – 91	Exceptional
81-90	Very Good
71-80	Satisfactory
61-70	Marginal
<60	Unsatisfactory

When reporting the contractor’s performance in reference to PWS task items (Non-Service Summary Items), these items will be referenced in the category entitled “**Other Areas**” of the CPARS report. All PWS task items that are not referenced in a Service Summary (SS) will be addressed in this category separately. Computing the CPAR rating for PWS task items will follow the same schematic of Service Summary items [i.e. computing the means (averages)]. However, because PWS task items do not contain thresholds, the highest rating on the SAR for these types of inspections will be SATISFACTORY. To aid in ruling out subjective ratings, the contractor will be afforded the opportunity to contest such ratings during MFT meetings.

***Note:** The rating period will start at the beginning of each Option Year and end at the completion of each Option Year. In some instances the annual mean (average) may not include a full 12-month reporting period.

Appendix 8 – Contractor Performance Assessment Reporting (CPAR)

Evaluation Ratings Definitions¹⁷

Rating	Definition	Note
Exceptional	Performance meets contractual requirements and exceeds many to the Government’s benefit. The contractual performance of the element or sub-element being evaluated was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.	To justify an Exceptional rating, identify multiple significant events and state how they were of benefit to the Government. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
Very Good	Performance meets contractual requirements and exceeds some to the Government’s benefit. The contractual performance of the element or sub-element being evaluated was accomplished with some minor problems for which corrective actions taken by the contractor was effective.	To justify a Very Good rating, identify a significant event and state how it was a benefit to the Government. There should have been no significant weaknesses identified.
Satisfactory	Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.	To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract/order. There should have been NO significant weaknesses identified. A fundamental principle of assigning ratings is that contractors will not be evaluated with a rating lower than Satisfactory solely for not performing beyond the requirements of the contract/order.
Marginal	Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being evaluated reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor’s proposed actions appear only marginally effective or were not fully implemented.	To justify Marginal performance, identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the Government. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g., management, quality, safety, or environmental deficiency report or letter).
Unsatisfactory	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor’s corrective actions appear or were ineffective.	To justify an Unsatisfactory rating, identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the Government. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g., management, quality, safety, or environmental deficiency reports, or letters).

Appendix 9 – Corrective Action Report Form

CORRECTIVE ACTION REPORT			
1. CONTRACT #	3. COR Name:		
2. CAR #:	4. CONTRACTOR POC:		
DATES			
5. DATE PREPARED		6. SUSPENSE DATE	
GOVERNMENT FINDINGS			7. Causal Code:
8. DESCRIPTION OF Discrepancy (EXAMPLE: Contractor did wear proper PPE, at end reference PWS/SOW/FAR paragraph of discrepancy) (Cont. sheet on page 2 if needed)			
9. CONTRACTING OFFICER SIGNATURE		10. Date	
CONTRACTOR RESPONSE			
11. CONTRACTOR RESPONSE: CAUSE/CORRECTIVE ACTION AND PREVENTATIVE ACTION TO PREVENT RECURRENCE: (Cont sheet on page 2 if needed)			
12. SIGNATURE OF CONTRACTOR POC		13. DATE	
GOVERNMENT RESPONSE TO CONTRACTORS ACTIONS			
14. GOVERNMENT EVALUATION		15. ACCEPT / REJECT	
		<input type="radio"/> <input type="radio"/>	
CLOSE OUT			
	NAME-TITLE	SIGNATURE	DATE
16. CONTRACTOR			
17. COR			
18. CO			

Continuation of Block 8. GOVERNMENT FINDINGS:

Continuation of Block 11. CONTRACTOR RESPONSE:

Continuation of Block 14. GOVERNMENT EVALUATION:

Corrective Action Report (CAR) Instructions

CORRECTIVE ACTION REPORT

Block 1, Enter Contract Number

Block 2, Enter CAR # (Example: FA8224-13-C-0004 CAR 0001)

Block 3, Enter COR name (Name of COR creating report)

Block 4, Enter Contractor POC's name (name of person receiving document)

Block 5, Enter Date Prepared (date the COR created the report)

Block 6, Enter Suspense Date (Date Contractor is required to complete and return by)

GOVERNMENT FINDINGS

Block 7, Causal Code (Entered by Supervisor or assigned POC once placed into data base)

Block 8, Enter Description of Discrepancy: (Clear/Breif details of the discrepancy followed by a reference section/paragraph and subparagraph from the PWS/SOW/FAR/TO/AF Regulations stated in contractual requirement. (Example: Ref, PWS paragraph 1.2.2 & TO 00-5-1 paragraph 6.4.2.2)

Block 9, Enter Contracting Officer Signature (CO whom reviewed must sign)

Block 10, Enter Date (Date the CO reviewed/accepted)

CONTRACTOR RESPONSE

Block 11, Enter Cause/Corrective Action/Prevenative Action (to prevent recurrence)

Block 12, Signature of Contractor Representative. (This person must have the authority to implement actions).

Block 13, Date Contractor Representative signed Block 12.

GOVERNMENT RESPONSE TO CONTRACTOR ACTIONS

Block 14, COR whom orginated will review Contractors reply and enter comments regarding corrective/prevenative actions (will contractor corrective/prevenative actions prevent recurrence).

Block 15, COR will circle ACCEPT or REJECT depending upon assessment of block 14.

CLOSE OUT

Block 16, Contractor Representative signature **Block 17**, COR signature

Block 18, CO signature