NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)

**QUALITY ASSURANCE SURVEILLANCE PLAN**

Version – <insert date or version number>

**NOTES ON USING THIS TEMPLATE:** *This template has been developed to assist NOAA requiring activities with creating a Quality Assurance Surveillance Plan (QASP). The purpose of the QASP is to provide the Government and contractor with evaluation criteria that determines whether or not the performance standards for a specific contract have been met.*

For <enter contract title>

Contract Number: < upon award, enter contract number>

Contract Description: < enter contract description >

Contractor’s name: < upon award, enter contractor name > (hereafter referred to as the contractor).

**1. PURPOSE**.

This Quality Assurance Surveillance Plan (QASP) provides a systematic method to evaluate performance for the stated contract. This QASP explains the following:

* Deliverable to be completed (what will be monitored?)
* Performance standard (what is expected?)
* Acceptable quality level (AQL)/compliance level (what constitutes acceptance?)
* Surveillance method/frequency (how will you perform your check:  random sampling, customer complaint, etc.?)

This QASP does not detail how the contractor accomplishes the work. Rather, the QASP is created with the premise that the contractor is responsible for management and quality control actions to meet the terms of the contract. It is the Government’s responsibility to be objective, fair, and consistent in evaluating performance. In addition, the QASP should recognize that unforeseen and uncontrollable situations may occur.

This QASP is a “living document” and the Government may review and revise it on a regular basis. However, the Government shall coordinate changes with the contractor. Updates shall ensure that the QASP remains a valid, useful, and enforceable document. Copies of the original QASP and revisions shall be provided to the contractor and Government officials implementing surveillance activities.

The following FAR clauses may apply depending on contract type:

< Remove highlighting from applicable clause(s) below. Delete non-applicable clauses. >

52.246-4 Inspection of Services – Fixed-Price,

52.246-5 Inspection of Services – Cost-Reimbursement, or

52.246-6 Inspection of Services – Time-and-Material and Labor-Hour

**2. Government Roles and Responsibilities**.

The following personnel shall oversee and coordinate surveillance activities.

a. **Contracting Officer (CO)** - The CO shall ensure performance of all necessary actions for effective contracting, ensure compliance with the contract terms, and shall safeguard the interests of the United States in the contractual relationship. The CO shall also assure that the contractor receives impartial, fair, and equitable treatment under this contract. The CO is ultimately responsible for the final determination of the adequacy of the contractor’s performance.

Assigned CO: <enter name>

Organization or Agency: <enter organization or Agency name>

Telephone: <enter number>

Email: <enter address>

b. **Contracting Officer’s Representative (COR)** - The COR is responsible for technical administration of the contract and shall assure proper Government surveillance of the contractor’s performance. The COR shall keep a quality assurance file. At the conclusion of the contract or when requested by the CO, the COR shall provide this documentation to the CO. The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the Government’s behalf. The contractor shall refer any changes they deem may affect contract price, terms, or conditions to the CO for action.

Assigned COR: <enter name>

Telephone: <enter number>

Email: <enter address>

c. **Other Key Government Personnel** - <enter name or delete these lines if not applicable. This may include Performance Monitors, Inspectors, etc. who act on behalf of the COR to monitor performance.>

Title: <enter title>

Telephone: <enter number>

Email: <enter address>

**3. Contractor Representatives**:

The following employees of the contractor serve as the contractor’s representatives for this contract. <Communication should occur with them during QASP development. It will help if they review the draft QASP and accept (not approve) the final version.>

a. Program Manager - <upon award, enter name>

Telephone: <enter number>

Email: <enter address>

b. Task Manager - <upon award, enter name>

Telephone: <enter number>

Email: <enter address>

c. Other Contractor Personnel - <upon award, enter name or delete these lines if not applicable>

Title: <enter title>

Telephone: <enter number>

Email: <enter address>

**4. Performance Standards.**

*Performance-based contracts include either a Performance Work Statement (PWS) created by the Government, or if a statement of objectives (SOO) is used, a government or contractor developed PWS. The QASP shall cite the same performance objectives and thresholds as stated in the Performance Requirements section of the PWS. If the requirement includes a statement of objectives (SOO), the QASP will be developed after contract award.*

Performance standards define desired services. The Government performs surveillance to determine if the contractor exceeds, meets or does not meet these standards.

The Performance Requirements Summary, paragraph <enter number> in the Performance Work Statement includes performance standards. The Government shall use these standards to determine contractor performance and shall compare contractor performance to the Acceptable Quality Level (AQL).

<Insert matrix from the Performance Requirements section in the Performance Work Statement for this effort.>

**5. Incentives.**

The Government shall use <insert award fee, incentive fee, past performance, or other method> as incentives. Incentives shall be based on exceeding, meeting, or not meeting performance standards. Information about incentives can be found in <insert section or paragraph> of the contract.

**6. Methods of Quality Assurance Surveillance.**

*After contract award, the contracting Officer’s Representative (COR) will need to review the Performance Standards Summary Matrix in the contract to determine if the selected monitoring methods are appropriate to monitor each performance standard. Within a QASP, multiple surveillance methods may be used. The method for any given task will depend on the performance standard and Acceptable Quality Level (AQL).*

Various methods exist to monitor performance. The COR shall use the surveillance methods listed below in the administration of this QASP.

Regardless of the surveillance method, the COR shall always contact the contractor's task manager or on-site representative when a defect is identified and inform the manager of the specifics of the problem. The COR, with assistance from the CO, if needed, shall be responsible for monitoring the contractor’s performance in meeting a specific performance standard/AQL.

*Place the performance standard(s) after the description of the method. Delete any methods that are not required.*

a. DIRECT OBSERVATION. (Can be performed periodically or through 100% surveillance.)

<Insert performance standard(s) or delete this method.>

b. MANAGEMENT INFORMATION SYSTEMS (MIS). (Evaluates outputs through the use of management information reports. Best used for general surveillance and may need to be supplemented by periodic inspections.)

<Insert performance standard(s) or delete this method.>

c. PERIODIC INSPECTION. (Uses a comprehensive evaluation of selected outputs. Inspections may be scheduled [Daily, Weekly, Monthly, Quarterly, or annually] or unscheduled, as required.)

<Insert performance standard(s) or delete this method.>

d. USER SURVEY. (Combines elements of validated user complaints and random sampling. Random survey is conducted to solicit user satisfaction. Appropriate for high quantity activities that have historically been satisfactory. May also generate periodic and 100% inspections.)

<Insert performance standard(s) or delete this method.>

e. VALIDATED USER/CUSTOMER COMPLAINTS. (Relies on the user of the service to identify deficiencies. Complaints are then investigated and validated. Highly applicable to services provided in quantity and where quality is highly subjective.)

<Insert performance standard(s) or delete this method.>

f. 100% INSPECTION. (Evaluates all outputs. Most applicable to small quantity, but highly important services. May be used where there are written deliverables and stringent requirements such as tasks required by law, safety, or security.)

<Insert performance standard(s) or delete this method.>

g. PERIODIC SAMPLING. (Variation of random sampling. However, sample is only taken when a deficiency is suspected. Good follow-up to MIS analysis. Sample results are applicable only for the specific work inspected. Since sample is not entirely random, it cannot be applied to total activity performance.)

<Insert performance standard(s) or delete this method.>

h. RANDOM SAMPLING. (Designed to evaluate the outputs of the award requirement by randomly selecting and inspecting a statistically significant sample. Highly recommended for large quantity repetitive activities with objective and measurable quality attributes.)

<Insert performance standard(s) or delete this method.>

i. Progress or status meetings.

<Insert performance standard(s) or delete this method.>

j. Analysis of contractor's progress reports. (Evaluate cost, schedule, etc.)

<Insert performance standard(s) or delete this method.>

k. Performance reporting. (Evaluate metrics for a specific time period. Develop metrics or use metrics found in MIS.)

<Insert performance standard(s) or delete this method.>

Surveillance results may be used as the basis for actions (to include payment deductions) against the contractor. In such cases, the Inspection of Services clause in the Contract becomes the basis for the CO’s actions.

**7. QUALITY ASSURANCE SURVEILLANCE PLAN TABLE**

<Insert table from the Performance Requirements Summary in the Performance Work Statement for this effort and add a column for “Method of Inspection.”>

| ***Service Output*** | ***Performance Objective*** | ***Acceptable Quality Level (AQL)*** | ***Method of Inspection*** | ***Positive Incentive*** | ***Negative Incentive*** |
| --- | --- | --- | --- | --- | --- |
| 1. Xxxxx (PWS XX) | Xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx | +/- X% | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx |
| 2. Xxxxx (PWS XX) | Xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx | +/- X% | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx |
| 3. Xxxxx (PWS XX) | Xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx | +/- X% | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx | Xxxxxxxxxxxxxxx |

**8. Ratings.**

Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable quality level. A rating scale shall be used to determine a positive, neutral, or negative outcome. The following ratings shall be used:

*State the method(s) that shall be used and delete other methods. Relate the method you select to one or more performance standards. The rating method may depend on the monitoring techniques you select. One rating method may be used for all standards or multiple methods may be used. Examples are shown below. However, other rating scales are acceptable and may be used.*

Example 1:

|  |  |
| --- | --- |
| **Exceptional:**   | Performance **significantly** exceeds contract requirements to the Government’s benefit. |
| **Satisfactory**:  | Performance **meets** contractual requirements. |
| **Unsatisfactory**:  | Performance **does not meet** contractual requirements. |

Example 2:

<A numerical scale with numbers 1 through 10 where 1 is poor and 10 is excellent.>

**9. DOCUMENTING PERFORMANCE.**

***Documentation must be accurate and thorough. Completeness, currency, and accuracy support both satisfactory and unsatisfactory performance.***

a. Acceptable Performance.

The Government shall document positive performance. A report template is attached. Any report may become a part of the supporting documentation for fixed fee payments, award fee payments, or other contractual actions.

b. Unacceptable performance.

When unacceptable performance occurs, the COR shall inform the contractor. This will normally be in writing unless circumstances necessitate verbal communication. In any case the COR shall document the discussion and place it in the COR file.

When the COR determines formal written communication is required, the COR shall prepare a Contract Discrepancy Report (CDR), and present it to the contractor's program manager or on-site representative. A CDR template is attached to this QASP.

The contractor shall acknowledge receipt of the CDR in writing. The CDR will specify if the contractor is required to prepare a corrective action plan to document how the contractor shall correct the unacceptable performance and avoid a recurrence. The CDR will also state how long after receipt the contractor has to present this corrective action plan to the COR. The Government shall review the contractor's corrective action plan to determine acceptability.

Any CDRs may become a part of the supporting documentation for contract payment deductions, fixed fee deductions, award fee nonpayment, or other contractual actions deemed necessary by the CO.

**10. Frequency of Measurement**.
a. Frequency of Measurement.

During contract/order performance, the COR shall take periodic measurements, <enter how often> as specified in the AQL column of the Performance Standards Summary Matrix, and shall analyze whether the negotiated frequency of measurement is appropriate for the work being performed.

*It may help if the Government prepares a work sheet with a schedule. This work sheet shall be for Government use and shall not be shared with the contractor.*

b. Frequency of Performance Assessment Meetings.

The COR shall meet with the contractor <enter how often> to assess performance and shall provide a written assessment.

*The incentive plan may determine the frequency of performance assessment meetings. The COR must review the contract to determine if it includes incentives. If only past performance information is required, state when you will provide interim assessments (if required) or a final assessment. For an award fee plan, state the frequency you will provide input on the contractor’s performance to the award-fee evaluation board and the CO. For an incentive fee plan, state the frequency you will provide cost information. For other fee plans, state the frequency and type of information you will provide.*

Prepared by: <Enter name.>

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature - Contracting Officer’s Representative Date

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)**

**PERFORMANCE REPORT**

**1.** **CONTRACT NUMBER:** <insert number>

**2.** **Prepared by:** (Name of COR) <insert name>

**3.** **Date and time of observation:**

**4. Observation:**

<Examples of items to include in a report are:

- Method of surveillance.

- How frequently you conducted surveillance.

- Surveillance results.

- Number of observations.>

Prepared by: <Enter COR’s name>

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature - Contracting Officer’s Representative Date

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)**

**CONTRACT DISCREPANCY REPORT (CDR)**

**1.** **Contract Number:** <insert number>

**2.** **To:** (Contractor Program Manager, Task Manager or on-site representative) <insert name>

**3.** **FROM:** (Name of COR) <insert name>

**4.** **Date and time observed discrepancy:**

**5. Discrepancy or Problem:**

<Describe in detail, including reference to contract requirement. Identify any attachments.>

**6.** **Corrective Action Plan:**

A written corrective action plan < is / is not > required.

< If a written corrective action plan is required include the following. > The written Corrective Action Plan will be provided to the undersigned not later than < # days after receipt of this

CDR. >

Prepared by: <Enter COR’s name>

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature - Contracting Officer’s Representative Date

Received by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature - Contractor Program Manager, Task Manager or Date

on-site representative

*The COR may initiate a CDR at any time, including whenever the number of monthly recorded defects for a performance standard exceeds the allowable number of defects; anytime unacceptable performance is determined critical in nature and requires formal corrective action; and whenever an unfavorable trend is detected in contractor performance.*