



AAS Quality Assurance Surveillance Plan (QASP) Template Instructions for Template Completion and Use

The color-coding system employed in this QASP template is as follows:

Black – Required language.

Orange – Sample language. When needed, update in accordance with the information specific to your applicable contract/order, and change orange text to black before finalizing the QASP.

Blue – Denotes AAS guidance for completing each section (*in italics*).

Green – Placeholder text that needs to be filled in (e.g., number references marked with an “X”).

General Instructions

- a. *When completing the QASP template, do not edit the headers or sub-headers. Refer to the template Table of Contents for clarification as to which elements constitute headers and subheaders.*
- b. *To develop your QASP, address each instance of orange and blue text in the document. The QASP template contains sample language that must be tailored to the requirements of each individual acquisition.*
- c. *Be sure to spell out the first incidence of each acronym used in the QASP.*
- d. *Upon completion of your QASP, update the Table of Contents. It should be necessary to update only the page numbers of the Table of Contents.*
- e. *Instructions contained within this QASP template are applicable only to its completion. Refer to the AAS QASP Desk Guide for guidance as to when a QASP is required. For additional training on the use of a QASP, refer to the associated AAS QASP Training materials.*
- f. *Use consistent format for dates. Format in template is Month Date, Year. If no date, the format is Month Year (with no comma between). Do not use mm/dd/yyyy.*

QASP-specific Instructions

- a. *The acquisition team may publish a version of the QASP with the solicitation. In which case, that version should be maintained in Tab 10 of the Electronic Contract File (ECF), while the final QASP will always be filed in Tab 47. Alternatively, your team may elect to instruct offerors to propose a QASP for use in the surveillance of the contract. Either way, the final QASP must be filed in Tab 47 of the ECF and must adhere to the format of this QASP template.*



- b. Depending on the acquisition phase, this QASP may be associated with either a solicitation number or an award PIID. Ultimately, QASPs should be updated upon award of the contract with the contract award PIID. The Solicitation PIID may be deleted upon award of the contract, with the Award PIID being referenced thereafter.*
- c. The QASP is considered a “living document,” subject to change by the Government. The QASP shall not be attached to the contract as part of the award, nor attached to any contract modification.*
- d. The QASP is not a formal part of the contract.*

REMOVE THESE INSTRUCTIONS PAGES BEFORE FINALIZING



QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

Solicitation PIID: **XXXXXXXXXXXXXX** *(Insert only if attaching with solicitation; Remove after award)*

Award PIID: **XXXXXXXXXXXXXX** *(TBD when issuing draft with solicitation)*

for

Insert Effort Title

in support of

Insert Client's Organization Name

Customer Support Center: *(e.g, FEDSIM, AAS Region 3)*

Contractor Name: *Insert at award*

Contract Period of Performance (PoP): *Insert dates at award*

Effective Date of QASP: *Insert and update as QASP is revised*



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Tailor the Table of Contents to align with the Section naming/numbering in the QASP.

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1.0 - General Instructions

This Quality Assurance Surveillance Plan (QASP) establishes the process for surveillance of contract performance in support of *(insert agency's names)* requirement for services, as detailed in the Performance Work Statement (PWS) for *(insert title of effort)*.

This QASP has been completed in partial fulfillment of requirements established under Federal Acquisition Regulation (FAR) Part 46. It details the surveillance roles and responsibilities of the contract administration team and describes the specific contract elements subject to surveillance. Further, this QASP establishes the methods of surveillance to be employed, as well as the frequency and timing of that surveillance. The documentation produced through implementation of this QASP will serve to inform the Quarterly Contracting Officer's Representative (COR) Report in accordance with the Federal Acquisition Service (FAS) Policy and Procedure (PAP) Memo 2020-03, and as implemented via the associated ASSIST Quarterly COR Report module, as well as the applicable Contractor Performance Assessment Report (CPAR). This QASP is filed under Tab 47, *Surveillance*, of the Electronic Contract File (ECF), and the surveillance documents produced in accordance with this QASP are filed as described in the applicable sections below. In short, this QASP establishes what must be surveilled, how it must be surveilled, and when surveillance must occur. Note: The format of the Quarterly COR Report is provided for via a template that is separate from this document.

This QASP is effective as of the date on the cover and supersedes all previous versions. In the instance of a conflict between this QASP and the associated contract, the contract shall prevail.

2.0 - Purpose

The purpose of the QASP is to describe the systematic methods used to monitor performance and to identify the required documentation and 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 PWS, and for ensuring that the Government pays only for the level of services received.

This QASP defines the roles and responsibilities of all members of the Integrated Project Team (IPT), identifies the performance objectives, defines the methodologies used to monitor and evaluate the contractor's performance, describes Quality Assurance (QA) documentation requirements, describes the analysis of QA monitoring results, and provides a Performance Requirements Summary (PRS).

The contractor is responsible for implementing and delivering performance that meets contract standards using its Quality Control Plan (QCP). The QASP provides the structure for the Government's surveillance of the contractor's performance and their QCP to assure they meet contract standards. It is the Government's responsibility to be objective, fair, and consistent in evaluating contractor performance.



The QASP is not part of the contract, and it is not intended to duplicate the contractor's QCP. This QASP is a living document. Flexibility in the QASP is required to allow for an increase or decrease in the level of surveillance necessary based on contractor performance.

2.1 – Performance Management Approach

The PWS structures the acquisition around “what” service or quality level is required, as opposed to “how” the contractor should perform the work (i.e., results, not compliance). This QASP will define the performance management approach taken by the General Services Administration (GSA) 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.

Performance management represents a significant shift from the more traditional QA concepts in several ways. Performance management focuses on assessing whether outcomes are being achieved and to what extent versus scrutiny of compliance with the processes used to achieve the outcome. A performance-based approach facilitates the contractor providing an innovative solution within the stated constraints that gives the Government the opportunity to receive outstanding results. A “results” focus provides the contractor flexibility to continuously improve and innovate over the course of the contract as long as the critical outcomes expected are being achieved and/or the desired performance levels are being met.

2.1.1 – Performance Management Strategy

The contractor shall be responsible for the quality of all work performed. The contractor measures that quality through the contractor's own Quality Control (QC) program. QC is applicable to all work performed under the contract and accordingly, for any contract featuring a prime contractor/subcontractor arrangement, the prime contractor's QC program must also address how it will ensure the quality of all work that its subcontractors perform. The contractor's QCP shall set forth the staffing and procedures for self-inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. The contractor shall 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.

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 utilize performance data generated through surveillance in accordance with this QASP to manage contractual performance. Specifically, the Government will complete regular evaluations of contractor performance in accordance with the PRS. The Government will document those evaluations using the Quality Assurance Monitoring Form (QAMF) and the aforementioned Quarterly COR Report. These evaluations will inform the



contractor's rating in the applicable CPAR. Additionally, regular evaluations may lead to action by the Contracting Officer (CO), including, but not limited to, demands for Corrective Action Reports by the contractor, the issuance of Cure Notices, or the issuance of Show Cause letters. In summary, the surveillance completed and documented through implementation of this QASP will have real and meaningful impact upon the performance of the contract.

2.2 - Scope of this QASP

This section of the QASP describes the contractual effort to which the QASP applies. Additionally, this section addresses any applicable and special concerns, to include surveillance under Indefinite Delivery contracting methods **or the use of Technical Direction Letters (TDLs) in the administration of the contract.**

2.2.1 – Description of the Contractual Effort

Insert the statement of need or requirement description from the PWS. Information in the QASP should match the information in the PWS. If the QASP is applicable at the Indefinite Delivery/Indefinite Quantity (IDIQ) contract level, the statement of need will come from the IDIQ. If it is applicable at the order level, it will come from the task order.

2.2.X – Surveillance of the Indefinite Delivery Vehicle Effort (*Indefinite Delivery Vehicle Efforts Only*)

Insert one of the statements below, indicating whether the QASP is applicable to an IDIQ or BPA or the order level:

Surveillance for this contract/order is performed at the contract level. Accordingly, the associated memorandum documenting this will be filed in Tab 47 of the ECF for each order under the contract. Or Surveillance for this contract is performed at the order level. Accordingly, the associated memorandum documenting this will be filed in Tab 47 of the ECF of the base contract. (Choose one)

If QASP surveillance is performed at the “Master” contract level, insert how surveillance is documented at the order level. Attachment 1 and additional surveillance documentation for this contract will be completed and filed in Tab 47.

If QASP surveillance is performed at the order level, insert how surveillance is documented at the order level. Attachment 2 and additional surveillance documentation for this contract will be completed and filed in Tab 47.

2.2.X – Technical Direction Letters (TDLs) (*TDL Efforts Only*)

The QASP is a tool for use in Government administration of the contract and remains subject to revision at any time by the Government throughout the contract performance period. Revisions to the surveillance plan are the responsibility of the CO. Changes may be made unilaterally and need not be announced to the contractor.

The QASP (to include the PRS) will be updated with TDL-specific metrics each time a TDL is issued. **Or** The QASP will not be updated each time a TDL is issued because all applicable



TDL-specific metrics (i.e., TDL-specific PRSs) will be documented in the TDLs themselves. *(Choose one of these options to amend the QASP with a TDL.)*

3.0 - Roles and Responsibilities

This section of the QASP specifies the roles and responsibilities of the applicable individuals regarding contract surveillance.

3.1 - 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 COR and the contractor** *(insert if a COR is designated)*. The CO will typically designate one full-time COR as the Government authority for performance management. The number of additional representatives serving as technical inspectors depends on the complexity of the services measured, as well as the contractor's performance, and said individuals must be identified and designated by the CO.

Assigned CO: *(insert name)*

Organization or Agency: *(insert organization or agency name)*

Email: *(insert email address)*

Phone: *(insert phone number)*

3.2 - Contracting Officer's Representative (COR)

The COR is designated in writing by the CO to act as their 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 QAMFs used to document the inspection and evaluation of the contractor's work performance. Additionally, the COR is responsible for completing the Quarterly COR Report per the established template and ensuring that completed reports are filed in Tab 47 of the ECF. Government surveillance may occur under the inspection of services clause for any service relating to the contract.

Assigned COR: *(insert name)*

Organization or Agency: *(insert organization or agency name)*

Email: *(insert email address)*

Phone: *(insert phone number)*

3.3 - Client's Technical Point of Contact (TPOC) *(For contracts with a designated TPOC)*

The CO may designate a TPOC for the technical administration of the contract. As a representative of the requiring activity, the TPOC may perform or assist in monitoring and



assessing the contractor’s performance under the requirements of the PWS); inspecting and recommending acceptance of deliverables; reviewing invoices and recommending approval of payments; providing guidance and clarification of technical requirements, security-related issues, and Information Technology (IT) access.

The TPOC is not empowered to make any contractual commitments or to authorize any contractual changes on the Government’s behalf which will:

- a. Cause the contractor to perform work outside the scope of the contract.
- b. Constitute a change as defined in FAR 52.243-1.
- c. Cause an increase or decrease in the price of the contract.
- d. Alter the period of performance or delivery dates.
- e. Change any of the other express terms or conditions of the contract.

Assigned Client’s TPOC: *(insert name)*

Organization or Agency: *(insert organization or agency name)*

Email: *(insert email address)*

Phone: *(insert phone number)*

3.4 - GSA Project Manager (PM) *(For contracts with a separate GSA PM and COR only)*

The GSA PM will rely on the COR *(insert if designated)* and the TPOC *(insert if designated)* to perform the on-site monitoring of the contractor. The GSA PM will stay in close contact with the COR *(insert if designated)* and the TPOC *(insert if designated)* in monitoring the contractor’s performance. The PM 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.

Assigned GSA PM: *(insert name)*

Organization or Agency: *(insert organization or agency name)*

Email: *(insert email address)*

Phone: *(insert phone number)*

4.0 - Surveillance Procedure

4.1 - The Performance Requirements Summary (PRS)

The PRS is the “heart” of quality surveillance. The tasks, performance standards, and Acceptable Quality Levels (AQLs) in the matrix below are established in the contract PWS. The method of surveillance and frequency of surveillance are established by this QASP, and CPAR factors applicable to each task are annotated in this QASP PRS. These parameters have been chosen to ensure that contract surveillance supports and documents contractor performance.

The following provides a description of each column of the QASP PRS matrix.



- a. Task: The tasks established in this QASP PRS are derived from those established in the contract PWS. The task provides a description of the work to be surveilled, as well as a PWS citation that associates the task with specific requirements.
- b. Performance Standard: Performance standards established in the QASP PRS are derived from those established in the contract PWS. The performance standard describes the expected level of performance associated with a task.
- c. Acceptable Quality Level (AQL): AQLs established in the QASP PRS are derived from those established in the contract PWS. The AQL provides a specific metric to allow the Government to determine whether contractor performance regarding a task is acceptable. For the purposes of this QASP, meeting the AQL for a task is commensurate with *Satisfactory* performance. Failure to meet an AQL constitutes *Marginal* or *Unsatisfactory* performance, depending upon the degree to which the AQL has been breached. Exceeding the AQL may constitute *Very Good* or *Exceptional* performance, but only if the Government realizes specific benefits, such as a higher quality deliverable or a reduction in contract cost. The IPT should exercise care when determining the AQL, and should avoid establishing perfection as the standard except in the rare instance when perfection is required.
- d. Method: This QASP PRS establishes the method of surveillance for each task in the PRS matrix. The appropriate method is one that successfully compares the observed performance with both the performance standard and the AQL. Typical methods include 100 percent inspection, random sampling, periodic sampling/inspection, and customer/client feedback. However, the method selected is not necessarily limited to these options. Rather, the method selected may be tailored to a task to successfully determine whether observed performance meets the established standard and AQL. A best practice is to establish in the description of the method the individual(s) responsible for the surveillance (the “who”) as well as “how” surveillance will be accomplished. The contract COR will utilize the QAMF, Section 4.2, established in this QASP to document completion of surveillance in accordance with the method described.
- e. Frequency: This QASP PRS establishes the frequency of surveillance for each task in the PRS matrix. The frequency of surveillance must be tailored with respect to the task, performance standard, AQL, and method. The contract COR will utilize the QAMF to document the date on which surveillance occurred to demonstrate compliance with the frequencies established in this QASP PRS. For example, a monthly status report to be surveilled via 100 percent inspection must be completed monthly.
- f. Applicable CPAR Factor(s): This QASP PRS associates each surveillance activity with an applicable CPAR factor. Regular assessment of contractor performance using the CPAR Factors established in FAR 42.1503(h)(4) (e.g., Exceptional, Very Good) will support CPARs completed either annually, or at the conclusion of performance. IPTs should consult FAR 42.1503(h)(4) when determining which CPAR factors are applicable to a particular task and the associated surveillance.



Figure 1: The QASP PRS Matrix

Describe what is being surveilled in the table below. Also describe the associated surveillance method. Be specific. Delete this sample language from the table prior to finalizing this QASP.

TASK	PERFORMANCE STANDARD	ACCEPTABLE QUALITY LEVEL (AQL)	METHOD	FREQUENCY	APPLICABLE CPAR FACTOR(S)
Submission of the Monthly Status Report (PWS, Section X.X)	The contractor shall submit a Monthly Status Report that satisfies requirements of PWS Section X.X no later than the 5th business day of the month following the reporting period.	The Monthly Status Report is submitted no more than one day late.	100% Inspection – The contract COR will note the date on which each Monthly Status Report is submitted and determine if it has been submitted in accordance with the established standard and AQL.	Monthly	Quality, Management

4.2 - The Quality Assurance Monitoring Form (QAMF)

The Government will use the surveillance methods cited in the PRS to determine whether the performance standards and AQLs have been met by the contractor. The **COR/CO** (*choose either one or fill in the role of the person with responsibility to complete the QAMF, such as the GSA PM*) will document the Government’s quality assurance surveillance using the monitoring form using Attachment 3, QAMF Template. If the contractor has not met the AQLs, the contractor may be required to develop a Corrective Action Plan (Attachment 5) to show how and by what date it will bring performance up to the required levels.

The **COR/CO** (*choose either one or fill in the role of the person with responsibility to complete the QAMF, such as the GSA PM*) will upload a copy of the completed QAMF to the ECF as



frequently as needed to comply with the PRS or at least once every three months. Completed QAMFs will be uploaded to ECF Tab 47, *Surveillance*.

4.3 - The Client Complaint Investigation Form

Performance management drives the contractor to be customer-focused through initially and internally reviewing the quality of performance. When a customer complaint arises, a customer may use the Client Complaint Investigation Form (Attachment 4). Valid customer complaints must clearly set forth the detailed nature of the complaint, must be in writing and signed, and must be forwarded to the COR. The COR will investigate the complaint, using the Client Complaint Investigation Form and will inform the contractor of the complaint. If corrective actions have been taken or are planned, the COR may document in the Contract Corrective Action Plan (Attachment 5).

4.4 - The Quarterly COR Report

A Quarterly COR report must be completed in accordance with FAS PAP 2020-03, and the controlling COR SOP. CORs should refer to the AAS Template for the quarterly COR report, which is provided for by way of a separate document. Regular completion of the QAMF will support completion of the Quarterly COR Report, and inform its contents.

Timing for completion and filing of the Quarterly COR Report is dependent upon the award date of the applicable contract or order. As this contract/order (*choose one*) was awarded on (*insert date*), Quarterly COR Reports associated with this QASP will be completed by the final days of (*insert the names of the applicable months*).

Each Quarterly COR Report will be completed in accordance with the instructions provided in this with FAS PAP 2020-03 and filed under Tab 47, *Surveillance*, of the ECF.



5.0 - Attachments

5.1 - Attachment 1, Template Memorandum for Documenting Surveillance at Contract Level

[TEMPLATE FOUND ON FOLLOWING PAGE]



MEMORANDUM TO FILE

File completed memorandum in Tab 47 of each applicable order.

DATE: *Insert Date*

FROM: *Insert Name*, Contracting Officer's Representative (COR), *Insert Customer Support Center/COR Organization*

SUBJECT: Surveillance for Orders under *(Insert Award PIID)* Performed at Contract Level

- a. This memorandum documents the performance of contract surveillance at the contract level for the subject contract. See the Quality Assurance Surveillance Plan (QASP) filed in Tab 47 of the contract level Electronic Contract File (ECF) for details.
- b. Surveillance products (e.g., deliverables, inspection reports) pertaining to contract surveillance are documented in accordance with the contract level QASP.

Insert Name

COR

(Insert organization)

Date



5.2 - Attachment 2, Template Memorandum for Documenting Surveillance at Order Level

[TEMPLATE FOUND ON FOLLOWING PAGE]



MEMORANDUM TO FILE

File completed memorandum in Tab 47 of base contract.

DATE: *Insert Date*

FROM: *Insert Name*, Contracting Officer's Representative (COR), *Insert Customer Support Center/COR Organization*

SUBJECT: Surveillance for Orders under *(Insert Award PIID)* Performed at Order Level

- a. This memorandum documents the performance of contract surveillance at the order level for the subject contract. See the Quality Assurance Surveillance Plan (QASP) filed in Tab 47 of the order level Electronic Contract File (ECF) for details.
- b. Surveillance products (e.g., deliverables, inspection reports) pertaining to contract surveillance are documented in accordance with the order level QASP.

Insert Name

COR

(Insert organization)

Date



5.3 - Attachment 3, QAMF Template

[TEMPLATE FOUND ON FOLLOWING PAGE]



5.4 - Attachment 4, Client Complaint Investigation Form Template

[TEMPLATE FOUND ON FOLLOWING PAGE]



CLIENT COMPLAINT INVESTIGATION FORM

Service: *(Insert a brief description of the service that is being reviewed)*

Surveillance Period: *(Insert date/time of the surveillance period)* Month XX, 20XX through Month XX, 20XX

Date/Time that Complaint was Received: *(Insert date/time)* Month XX, 20XX at 11:00 am Eastern Time (ET) *(modify based on actual time that complaint was received)*

Source of Complaint: *(Insert information regarding the source of the complaint)*

Name: _____

Organization or Agency: _____

Email Address: _____

Phone Number: _____

Nature of Complaint: *(Insert a description of the nature of the complaint)*



Result of the Investigation: *(Insert a summary of the results of the complaint investigation)*

Date/Time that Contractor was Informed of Complaint: *(Insert date/time)* Month XX, 20XX at 11:00 am ET *(modify based on actual time that service provider was informed)*

Prepared by: _____ Date: _____

Received by: _____ Date: _____



5.5 - Attachment 5, Corrective Action Plan Template

[TEMPLATE FOUND ON FOLLOWING PAGE]



Contract Corrective Action Plan

A. Administrative Information

Contract Number/Task Order Number:	
Report Number:	
Issue to (Contractor, Name, Title):	
Issue by (COR):	
Date of Issue:	
Area of Concern (PWS Section, PRS #):	
Suspense Date:	

B. Description of Area of Concern (Describe in Detail and Ref. PWS *(choose one)* Section)

Finding 1

Impact

Finding 2

Impact

C. Contractor Response

Insert a written Corrective Action Plan that details the corrective action of the Areas of Concern cited. Include the cause and actions taken to prevent recurrence by Suspense Date.

D. Government Response and Actions Taken

COR Response to Contractor Corrective Action Plan and Action Taken to Prevent Recurrence - Indicate Acceptance, Partial Acceptance, Rejection with Rationale.



Insert CO Action: (If applicable, reduced payment, cure notice, show cause, other)

E. Closeout

	Name, Title	Signature	Date
Contractor Notified			
Client Representative			
COR/CO			