

ATTACHMENT 1
NAVY MEDICINE RESEARCH & DEVELOPMENT (OMNIBUS III)
QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

1. Purpose:

a. This Quality Assurance Surveillance Plan (QASP) is a Government developed and applied document used to ensure systematic quality assurance methods are used in the administration of this contract. The intent is to ensure that the Contractors perform in accordance with performance metrics set forth in the contract documents, that the Government receives the quality of services called for in the contract and that the Government only pays for the acceptable level of services received.

b. The QASP is intended to be a “living document.” That is, it may be revised or modified as circumstances warrant throughout the contract period.

c. The contractors, and not the Government, are responsible for management and quality control actions to meet the terms of the contract. The role of the Government is quality assurance to ensure contract standards are achieved.

d. Contractor performance will be assessed by the COR on a continuing basis by review of deliverables, technical meetings, random sampling of Contractor performance, review of the Contractors’ Quality Control Plan, documentations, and general day-to-day interaction with Contractor personnel. Informal contract management performance reviews will be conducted quarterly and a formal Quality Performance Review will be conducted annually. A CPARS - type evaluation will be conducted on an annual basis.

2. Background:

Navy Medicine Research and Development requires an infrastructure of resources to include personnel with various levels of expertise in order to perform budget activity category Program 6 efforts in support of medicine research and development. These efforts may be of either direct or indirect benefit to the Government, with emphasis on medical topics relevant to the Department of Defense and the Veterans Administration. Resources also include R&D processes (e.g., such as those associated with clinical trials executed by Contract Research Organizations) needed to move research topics from conception to agency approval and treatment / therapy and include Program 6 and 8 funds (with no comingling of funds at the task order level).

Omnibus III will (1) be broadened in scope to include a much larger portion of Navy Medicine R&D’s mission than the Omnibus I and Omnibus II contracts and (2) address the new requirement for process infrastructure. Omnibus III will be awarded through the U.S. Army RDECOM Contracting Center, NCD and will be a full and open, multiple award, Indefinite Delivery / Indefinite Quantity (ID/IQ) contract with some provisions for small businesses.

3. Surveillance: Surveillance of Contractor performance is the method used by the Government to determine whether the Contractors are effectively and efficiently complying with all terms and conditions of the contract. In addition to statistical analysis, the functional expertise of the Contracting Officer’s Representative (COR) plays a critical role in adequately evaluating Contractor performance. The following surveillance methods shall be used:

(1) Contractor monthly reports;

(2) Random Data Validation. The COR will randomly validate performance standards data captured in the Contractors’ monthly reports;

(3) Customer Feedback: Customer feedback will be used to capture performance data information for some of the Performance Standards identified in the QASP;

(4) Complaints or Compliments. Complaints or compliments may be used as a basis for identifying noncompliance or exceptional performance against performance objectives or to substantiate the original findings.

(5) Direct Observation: Direct observation by the COR and Navy Medicine R&D employees will provide direct and frequent observations. Observations will occur in the form of reviewing documents, presentations, and/or reports submitted by the contractor.

(6) Below are metrics the Government will measure to assure the highest quality service delivery.

- Management Responsiveness
- Technical Performance
- Work Product Quality/Accuracy
- Contract Management / Administration
- Reports

The QASP provides for the contractor performance evaluation in five (5) general areas. Failure of the Contractors to meet the required performance measure will result, at a minimum, in the Contractors correcting any deficiencies at no additional cost to the Government.

This plan will collect metrics in five (5) areas:

METRIC	Evaluation Criteria	Standard	Frequency Measured	Method of Surveillance
Management Responsiveness	The Contractors' effective and economical organization and implementation of all areas of effort including management and technical efforts required to meet contract requirements. Particularly to be considered are: (i) establishment of internal mechanisms to assure proper supervision of work force, (ii) access to and responsiveness of key personnel to Government needs or to dynamic/ urgent requirement, especially the communication, coordination and cooperation to dependably resolve problems that may arise in communication, planning, scheduling or other related areas; (iii) efficient completion of assigned tasks and overall effective use of available resources, and (iv) quality of the business relationships with the Government organizations and with all of its subcontractors and vendors.	97% Customer Satisfaction Contract requirements met with few minor and no significant problems encountered. <i>Performance meets all technical and functional requirements in the SOO and contains pertinent, useful, and informative data and information.</i>	Quarterly	Random customer feedback and contractor furnished monthly reports Is contractor management responsive to the client?
Technical Performance	The Contractors' technical progress based on (i) overall technical approach and rationale; (ii) thoroughness of approach; (iii) innovativeness and creativity in approach; and (iv)	99% Accuracy Contract requirements met	Quarterly	Random customer feedback, direct observation of

	integration of technical efforts.	<p>with few minor and no significant problems encountered.</p> <p><i>Performance meets all technical and functional requirements in the SOO and contains pertinent, useful, and informative data and information.</i></p>		<p>performance, and contractor furnished monthly reports</p> <p>Is the technical performance to the expectations of the client?</p>
Work Product Quality / Accuracy	(i) The overall quality of the Contractors' deliverable work products; (ii) the extent and accuracy of any documentation, references, and background material accompanying a finished deliverable product; and (iii) the appropriateness of the format and clarity of written products and presentations, considering the intended audience for the deliverable product.	<p>99% of tasks completed on time with zero changes required</p> <p>Contract requirements met with few minor and no significant problems encountered.</p> <p><i>Performance meets all technical and functional requirements in the SOO and contains pertinent, useful, and informative data and information.</i></p>	Quarterly	<p>Random customer feedback, review of contractor products, and contractor furnished monthly reports</p> <p>Are the work product quality / accuracy to specification?</p>
Contract Management / Administration	The Contractors' effective and economical organization and implementation of all areas of effort including management and technical efforts required to meet contract requirements. Particularly to be considered are: (i) establishment of internal mechanisms to assure proper supervision of work force (including subcontractor), (ii) access to and responsiveness of key personnel to Government needs or to a dynamic/ urgent requirement, especially the communication, coordination and cooperation to dependably resolve problems that may arise in communication, planning, scheduling or other related areas; (iii) efficient completion of assigned tasks and overall effective use of available resources, and (iv) quality of the business relationships with the	<p>98% Customer Satisfaction</p> <p>Contract requirements met with few minor and no significant problems encountered.</p> <p><i>Performance meets all technical and functional requirements in the SOO and contains pertinent, useful, and informative data and information.</i></p>	Quarterly	<p>Quarterly review of Contract management and contractor furnished monthly reports</p> <p>Are the contract management / administration timely and effective?</p>

	Government organizations and with all of its subcontractors and vendors.			
Reports	Timeliness and quality of reports whether monthly, annual, or ad hoc. Reports submitted must be accurate, easily readable, and responsive to the needs of the Government client. Contractors are responsive to the Government's needs for ad hoc reporting and presentation materials. Reports allow Government to assess implications and trends for planning, policy development, and budget planning.	99% Customer Satisfaction Contract requirements met with few minor and no significant problems encountered. <i>Performance meets all technical and functional requirements in the SOO and contains pertinent, useful, and informative data and information.</i>	Quarterly	Random customer feedback, Government review of reports, and contractor furnished monthly reports Is the content of the reports to the satisfaction of the client?

4. Performance Reviews and Evaluations.

a. The COR will conduct quarterly performance reviews and evaluations. Performance standards relating to Navy Medicine's task order requirements will be evaluated on a key task basis. Contractor performance against the Standards as identified in the table above will be determined during the quarterly evaluation. Reviews and evaluations will form the basis for determining compliance with performance objectives, measures and standards.

b. The COR will develop quarterly reports documenting the Contractor performance for the rated period. These reports will provide documentation describing how the Contractors met the required standards as well as documented deficiencies. As a minimum, these Contractor Performance Reports will include a detailed description of the performance; identify the source of information, and reference the applicable QASP performance standard or contract requirement. The COR will document performance or deficiencies using the attached Contractor Performance Report. The Government will use the performance reports to determine the Contractor performance for the rated period, and if needed, as a basis for any adverse contractual actions.

5. Evaluation Criteria:

Metric	Standard	Performance	Rating	Deduction of FFP
Mgt. Responsiveness	97%	97% - 100%	Satisfactory	0%
		95% -96.9%	Marginal	2%
		Below 95%	Unsatisfactory	2%

Technical Performance	99%	99%-100%	Satisfactory	0%
		95%-98.9%	Marginal	2%
		Below 95%	Unsatisfactory	2%
Work Product Quality/Accuracy	99%	99%-100%	Satisfactory	0%
		95%-98.9%	Marginal	2%
		Below 95%	Unsatisfactory	2%
Contract Mgt / Admin	98%	98% - 100%	Satisfactory	0%
		93%-97.9%	Marginal	2%
		Below 93%	Unsatisfactory	2%
Reports	99%	99% - 100%	Satisfactory	0%
		97-98.9%	Marginal	2%
		Below 97%	Unsatisfactory	2%

6. Documentation. Documentation used and referenced to perform surveillance will consist of technical reports, contractor plans and procedures, schedules, customer feedback and contract data requirements. During the course of the contract, the COR retains a copy of all inspection schedules and surveillance activity logs. At the end of the surveillance period, the COR will forward these records to the Procuring Contracting Officer (PCO) for inclusion into the contract file. However, when a specific service becomes unsatisfactory during a surveillance period the inspection documentation supporting the contract discrepancy report is forwarded to the PCO at that time.

a. Recording Observations. The COR will use the Contractor Performance Report to record information on scheduled observations. The contractor is told each time that a defect is found. The COR makes a notation on the surveillance log of the date and time the Surveillance Log is completed, then the Site Manager initials the notation for the purpose of documenting notification.

b. Documenting Unacceptable Performance.

1) The COR attempts to resolve the problem with the contractors. If the corrective action does not result in satisfactory performance the original report identifying the discrepancy and the attempted solution, along with an evaluation of results, will be provided to the PCO for posting in the contract file.

2) Based on the severity of the discrepancy and the success of the solution, the COR will notify the PCO. The contractors shall complete a response to the unacceptable evaluation if requested by the COR or PCO or by its own choice.

c. Taking Action.

1) The COR may evaluate the contractor performance and document any non-compliance, but only the PCO may take action against the contractor for an unacceptable rating.

2) When the contractor performance is unacceptable and a formal action is indicated, the COR will recommend appropriate corrective measures for the specific circumstances and forward the recommendation to the PCO for possible action.

d. Potential Actions.

1) If any of the services performed do not conform to contract requirements the Government:

(a) May require the Contractors to perform the services again in conformity with contract requirements, for no additional cost.

(b) Can, when the defects in services cannot be corrected by re-performance require the Contractors to take necessary action to ensure that future performance conforms to contract requirements; and

2) If the Contractors fail to promptly perform the services again or take the action necessary to ensure future performance in conformity with contract requirements the Government may:

(a) By contract or otherwise, perform the services and reduce the payable amount that is equitable under the circumstances; or

(b) Terminate the task order(s) for default.

7. RATING:

All contractor tasks will be rated as according to the scale listed above. The COR will collect all necessary supporting documentation and then prepare a Contractor Performance Report to give a site rating for each of the performance areas using the evaluation criteria in Section 5 of the plan.

8. Analysis of Performance Review Results.

a. At the end of each performance evaluation period, the COR will evaluate all surveillance data to determine those critical performance standards that do not meet the evaluation standards of the QASP. The COR will prepare a written report on the Offeror's performance, for the rating period and issue it to the Contractor. This report will make reference to the performance objective and standard and state how the evaluation standard was met or not met. The Contractor will be required to respond to the COR within five (5) working days either accepting the report as written or providing a reclama to the performance review report.

b. The contractor may submit, for consideration, a written reclama regarding the end of period evaluation results. The purpose of the reclama is to provided a means allowing the contractor to clarify and/or justify any extenuating circumstances, which might assist the COR to more clearly understand issues, which might have affected the COR's initial determination. The contractor will only be afforded this opportunity for the initial determination. The Contractor response shall be in writing and explain why the performance deviated, how the performance will be returned to acceptable levels and how a recurrence of the problem will be prevented in the future. The COR will have five (5) days to review the Contractor's comments and either except or deny the required modification.

c. If the COR accepts the modifications based on the Contractors input an amended performance report will be provided to the contractor reflecting any changes. The COR may issue a second report for recurring failure to meet contract performance objectives or requirements. The Contractor shall respond in accordance with requirements of the second notice of failure to meet evaluation standards. Failure to respond, repeated failures to achieve evaluation standards, or failures to correct identified issues could result in grounds for cancellation of the contract for cause.

9. QASP Revisions. Revisions to this plan are the joint responsibility of the Government and the contractor.

Sample Contractor Performance Report

OFFICE (Locations): Work may be performed on contractor property or at Naval Health Research Center, Gate 4, Patterson Road at McClelland Road, San Diego, CA 92152

COR: Dr. Edward Gorham

PERIOD OF PERFORMANCE: One base period and one option period

TASK DESCRIPTION: To perform R&D as well as to provide services and process infrastructure in support of R&D.

PERFORMANCE AREA: **MANAGEMENT RESPONSIVENESS**

Rating ()

Justification for Rating or comments:

Corrective action required (if any):

PERFORMANCE AREA: **TECHNICAL PERFORMANCE**

Rating ()

Justification for Rating or comments:

Corrective action required (if any):

PERFORMANCE AREA: **WORK PRODUCT QUALITY/ACCURACY**

Rating ()

Justification for Rating or comments:

Corrective action required (if any):

PERFORMANCE AREA: **CONTRACT MANAGEMENT/ADMINISTRATION**

Rating ()

Justification for Rating or comments:

Corrective action required (if any):

PERFORMANCE AREA: **REPORTS**

Rating ()

Justification for Rating or comments:

Corrective action required (if any):