
Quality Assurance Surveillance Plan

DME Services—
Contract # TBD

Contracting Officer:
TBD

Contract Specialist:
TBD

Contracting Officer Repre-
sentative:
TBD

Contractor Representative:
TBD

Site Manager:
TBD

PURPOSE

This Quality Assurance Surveillance Plan (QASP) provides a systematic method to evaluate performance of the contractor. The foundation of a good contractual relationship is built upon objective, fair, and consistent evaluations of contractor performance against contract requirements. This QASP explains what will be monitored, how monitoring will take place, who will conduct the monitoring, and how monitoring efforts and results will be documented. The results of the monitoring will be used to document contractor performance.

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.

This QASP is a "living document" and the Government may review and revise it; however, the Government shall coordinate changes with the contractor. Copies of the original QASP and revisions shall be provided to the contractor and Government officials implementing surveillance activities.

GOAL

The goal of the QASP is to ensure that the contractor's performance is routinely monitored and documented.

CONTRACT ADMINISTRATION DUTIES AND RESPONSIBILITIES

Contracting Officer

The contracting officer (CO) has the authority to enter into, administer, or terminate contracts and make related determinations and findings. Contracting officers may bind the government only to the extent of the authority delegated to them. Ergo, the contracting officer is responsible for the overall contract, including monitoring contract compliance, contract administration, and for resolving any differences between the observations documented by the COR and the contractor. The CO may delegate certain responsibilities, if needed. For example, the CO may delegate certain technical oversight responsibilities to a contracting officer representative, and certain administrative duties to a contract specialist.

Contract Specialist

The contract specialist (CS) plays a key role by assisting the CO in his/her contract administration duties. The CS has no authority to allow the contractor to deviate from contract requirements unless such authority is specifically granted by the CO. Likewise, the CS has no authority to direct or interfere with the methods of performance by the contractor or to issue modifications directly to the contractor or any of the contractor's personnel.

Contracting Officer's Representative

The contracting officer's representative (COR) is designated in writing by the CO to act as his or her authorized representative to assist in administering a contract. COR limitations are contained in the written delegation letter. The COR is responsible for technical administration of the project and ensures proper government surveillance of the contractor's performance. The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the government's behalf. Any

changes that the contractor deems may affect contract price, terms, or conditions shall be referred to the CO for action. The COR will have the responsibility for completing QA monitoring forms used to document the inspection and evaluation of the contractor's performance.

CONTRACT PERFORMANCE REQUIREMENTS

In brief, performance objectives define the desired outcomes; performance standards define the level of service required under the contract to successfully meet the performance objectives. The inspection methodology defines how, when, and what will be assessed in measuring performance. The Government performs surveillance, using this QASP, to determine the quality of the contractor's performance as it relates to the performance standards. The contractor will be responsible for making any required changes in practices to ensure performance standards are met.

- **Acceptable Quality Levels (AQLs)**

The AQLs are the maximum allowable degree of deviation from the standard and they are expressed as either a percentage of deviation from the performance standard or as an absolute number; an AQL with a deviation of zero is imposed if no defect is acceptable.

AQLs are structured to allow the contractor to manage how the work is performed while providing positive or negative incentives for performance. Even though the Government is paying to have all work performed as specified, on time, all the time, there may be occasional slips and omissions, referred to as "defects," on the contractor's part. The contractor shall be held responsible for all detected defects, and will be required to correct any defect immediately after it is discovered, if possible. The Government may withhold compensation if the contractor's performance is less than the AQL.

- **Quality Assurance Documentation**

- **Surveillance Matrix**

The surveillance matrix is the list of performance objectives and standards that must be performed by the contractor. This matrix details the method of surveillance the COR will use to validate and inspect these performance elements, as well as the AQLs and incentives.

- **Monitoring Forms**

The government's surveillance will be reported using the monitoring forms in Attachments 1, 2, 3 and 4; when completed, the forms will document the government's assessment of the contractor's performance under the contract to ensure that the required service levels are being achieved. If the minimum requirements are not met, corrective action will be taken in order to bring performance up to the required levels.

- **Reporting**

At the end of each quarter the COR will prepare a written report for the CO summarizing the overall results of the quality assurance surveillance of the contractor's performance. This written report will enable the government to demonstrate whether the contractor is meeting the stated objectives and performance standards.

- **Surveillance Methods**

The COR will use the following surveillance methods to monitor contractor performance:

- Onsite Inspections
- Home Visits
- Telephonic Surveys
- Patient Complaints
- Contract/Contractor File Reviews

- **Frequency of Surveillance**

In an effort to minimize the performance management burden, the surveillance methods shall be used by the COR to evaluate contractor performance when appropriate. The primary frequencies of surveillance are:

- Random monitoring, performed by the COR, using any surveillance method.
- Periodic Inspection, performed by the COR, on a monthly basis.

- **Customer Feedback**

The contractor is expected to establish and maintain professional communication between its employees and customers. The primary objective of this communication is customer satisfaction. Customer satisfaction is the most significant external indicator of the success and effectiveness of all services provided and can be measured through customer complaints.

Performance management drives the contractor to be customer focused by internally addressing customer complaints and investigating the issues and/or problems, but the customer always has the option to communicate complaints to LAJVAMC personnel also.

Customer complaints, to be considered valid, must set forth clearly the detailed nature of the complaint and must be forwarded to the COR. The COR will investigate those customer complaints.

Customer feedback may also be obtained from the results of formal customer satisfaction surveys provided to the patient by the contractor.

DOCUMENTING PERFORMANCE

- **Acceptable Performance**

The Government shall document positive performance. Any report may become a part of the supporting documentation for assessments entered into the Contractor Performance Assessment Reporting System (CPARS).

- **Unacceptable Performance**

When unacceptable performance occurs, the COR shall inform the contractor. This will normally be via telephone and/or by electronic mail messages. 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 work with the Contracting Officer and prepare a written report and the Contracting Officer will present it to the contractor's program manager. The report 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 report 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 report may become a part of the supporting documentation for assessments entered into the Contractor Performance Assessment Reporting System (CPARS).

RATINGS

Rating	Description
SATISFACTORY	Performance and technical specifications are being met at an Acceptable Quality Level (AQL).
MARGINAL	Performance and technical specifications are currently being met at the minimum AQL, but the following service/deliverable needs contractor attention: (The COR must identify what component of the service requires attention.)
UNSATISFACTORY	Performance and technical specifications are not being met at AQL and the following service needs immediate contractor resolution: (The COR must identify what component of the service that is below the minimum AQL.)

QASP MATRIX

Desired Outcomes	PWS Reference	Performance Standard	Acceptable Quality Level	Method of Surveillance
No Veteran information is improperly disclosed	B.2.5, Paragraph E	Contractor personnel complete Privacy Policy Training annually	0%	Customer Surveys; Patient Complaints; Annual Inspection
All DME is delivered timely by trained, competent, professional and courteous contractor personnel	B.2.5, Paragraph F	DME will be delivered within 24 hours of task order receipt; unneeded DME will be picked up within 48 hours of task order receipt	2%	Telephonic Surveys; Patient Complaints; Home Visits
There are zero instances of cross-contamination of DME	B.2.5, Paragraph K	Contaminated DME is stored separately from clean DME	0%	Onsite Inspections
The COR maintains accountability of Government property	B.2.5, Paragraph K	Inventory list is provided to COR each week	5%	Onsite Inspections; Inventory Report Reconciliations
PSAS can verify patients received the DME prescribed by their medical provider	B.2.5, Paragraph Q	Delivery Certification is received by PSAS the same day the service is provided	5%	Reconciliation of task orders issued and certifications received; Patient Complaints
All patients have functional DME to use as prescribed by their medical provider	B.2.5, Paragraph M	Contractor repairs & returns DME within 48 hours of notification by PSAS	2%	Patient Complaints; Telephonic Surveys; Home Visits
All patients know who to call for assistance regarding their DME	B.2.5, Paragraph R	DME (excluding incidental, consumable supplies) is labeled as specified	0%	Home Visits; Telephonic Surveys

ATTACHMENT 1¹

CUSTOMER COMPLAINT RECORD

Date/Time of Complaint: _____

Source of Complaint: _____

Organization: _____

Individual: _____

Nature of Complaint: _____

Contract Reference: _____

Validation: _____

Date/Time Contractor Informed of Complaint: _____

Action Taken by Contractor:

Received/Action Validated: _____

Determination: Complaint Valid

Complaint Not Valid

¹ Alternatively, the Contractor's Customer Complaint Form could be used in lieu of this Form, provided that it captures substantially the same information.

ATTACHMENT 2: DME Contractor-Site Inspection Checklist	Visit Date	Comp Y/N	Assigned Staff
Warehouse			
Establish "Clean/Patient Ready Equipment" area			
Tag/bag all "Patient Ready Equipment"			
Establish "Dirty Equipment" area			
Establish "Repair Equipment" area			
Equipment in need of repair are tagged			
OSHA- Adequate Cleaning facilities			
OSHA- First Aide Kit			
OSHA- Eye Wash Kit			
OSHA- Disinfecting Solutions			
OSHA- MSDS (Material Safety Data Sheet)			
OSHA- Safety equipment when cleaning equipment			
<ul style="list-style-type: none"> • Gloves • Apron (Optional) • Eye ware 			
OSHA- Fire extinguishers			
Equipment maintenance documentation			
Office			
Patient Confidentiality			
<ul style="list-style-type: none"> • Charts locked • Computer users have codes • Patient information hidden from public view 			
Delivery Vehicles			
"Clean/Patient Ready Equipment" area			
"Dirty Equipment" area			
Able to secure equipment			
OSHA- Infectious Protective Equipment (Kit)			
<ul style="list-style-type: none"> • Gloves • Apron • Eye ware 			
OSHA- First Aide Kit			
OSHA- Eye Wash Kit			
OSHA- Waterless Hand Cleaning Solution			
OSHA- Infectious/Hazard Bags			
OSHA- Fire extinguishers (Optional)			
Driver Uniform/Identification			

Notes:	
Date Report Sent To Vendor: Vendor Contact:	
Plan of Correction Issues Identified	Date Implemented
Plan Of Action Submitted By: _____ Date: _____	
VA-Reviewed By: _____ Date: _____	

ATTACHMENT 3

CONTRACT DISCREPANCY REPORT (CDR)

1. CONTRACT NUMBER DISCREPANCY REPORT NUMBER:	
2. TO: (CONTRACTOR & MANAGER'S NAME)	3. FROM: (NAME OF COR)
<u>DATES</u>	
4. PREPARED - ORAL NOTIFICATION - RETURNED BY CONTRACTOR - ACTION COMPLETE	
5. DISCREPANCY OR PROBLEM (DESCRIBE IN DETAIL. INCLUDE SOW REFERENCES. ATTACH CONTINUATION SHEET IF NECESSARY):	
6. SIGNATURE OF COR:	
7. TO: (CONTRACTOR)	
8. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE (ATTACH CONTINUATION SHEET IF NECESSARY. CITE APPLICABLE QC PROGRAM PROCEDURES OR NEW QC PROCEDURES):	
9. SIGNATURE OF CONTRACTOR REPRESENTATIVE: DATE:	
10. GOVERNMENT EVALUATION (ACCEPTANCE, PARTIAL ACCEPTANCE, REJECTION. ATTACH CONTINUATION SHEET IF NECESSARY):	
11. GOVERNMENT ACTIONS (CONTRACTOR DEFICIENCY REPORT, CURE NOTICE, SHOW CAUSE, OTHER):	