

SECTION D- CONTRACT DOCUMENTS, EXHIBITS, OR ATTACHMENTS

QUALITY ASSURANCE SURVEILLANCE PLAN

For: Contract for Fee Counselor

Contract Number:

Contract Description: CFF Counselor provides psycho-social counseling/psychology sessions to combat veterans with Post Traumatic Stress and other combat related conditions.

Contractor's name:

1. PURPOSE

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

- What will be monitored.
- How monitoring will take place.
- Who will conduct the monitoring.
- How monitoring efforts and results will be documented.

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 on a regular basis. 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.

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: Michael Dean Dupalo / Gail Rodriguez-Roman Contract Specialist

Organization or Agency: Department of Veterans Affairs, Office of Acquisition and Materiel Management, Department of Veterans Affairs VA Sierra Pacific Network (VISN 21)5342 Dudley Boulevard (CCA - Building 209) McClellan Park, CA 95652 916-923-4921 916-923-4554 (FAX)

b. Contracting Officer 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. The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf.

Assigned COR: Mike Miracle, LMSW, Citrus Heights Vet Center, 5650 Sunrise Blvd., Ste. 150, Citrus Heights, CA 95619 (916) 535-0420 FAX (916) 535-0419.

c. Other Key Government Personnel -

3. CONTRACTOR REPRESENTATIVES

The following employees of the contractor serve as the contractor's program manager for this contract.

a. Program Manager – Mike Miracle, LMSW, Team Leader, Citrus Heights Vet Center.

b. Other Contractor Personnel:

Title:

4. PERFORMANCE STANDARDS

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 Matrix, page 7 in the Statement of Work (SOW), includes performance standards. The Government shall use these standards to determine contractor performance and shall compare contractor performance to the Acceptable Quality Level (AQL).

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Quality Review	1	Facility is adequate to meet the criteria for providing services to the veterans; plan includes private and confidential group and individual counseling areas. Area is easily accessible to the physically challenged.	Federal Standards for counseling regulations	100%	Yearly Site Visit by COR's	Exercise of option periods
	2	Client appointment book, charts, and client-related information are locked in a secure location.	VA HIPPA and Privacy Regulations are adhered to	100%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Quality Review	3	The contractor has reported and submitted for approval, any proposed changes in personnel providing services under the current contract to the contracting officer through the COR.	Contractor follows Regulations indicated in the Statement of Work	100%	Yearly Site Visit by COR's	Exercise of option periods
	4	The contractor submits monthly bills in arrears no later than <u>5 working days</u> of the following month.	Contractor follows Regulations indicated in the Statement of Work	80%	Yearly Site Visit by COR's	Exercise of option periods
	5	Initial counseling sessions are scheduled within <u>3 working days</u> from the date the contractor receives the VA Form 10-5565b authorizing visits.	Contractor follows Regulations indicated in the Statement of Work.	90%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Quality Review	6	VA Form 10-5565b, Authorization for Initial Visits and if appropriate, additional blocks of visits are present	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	7	The contractor submits initial assessments and counseling plans. Updated counseling plans are submitted to COR <u>one week</u> prior to scheduling next block of visits.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	8	Progress notes, verification forms and billing dates correspond.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
Contractor Quality Review	9	Verification of Service forms are signed by the client and are forwarded to the COR. Copies can be maintained in the client's file.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Quality Review	10	Client records are maintained in a structured format and contain assessment and counseling plans.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	11	Client progress notes are present, dated, and show client movement in relation to counseling goals.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
Contractor Quality Review	12	At least 50% of the membership of the group to which an individual is referred for counseling must be Vietnam theater veterans or Post Vietnam War zone veterans.	Contractor follows Regulations indicated in the Statement of Work.	50%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
	13	Clients who cannot be counseled by the contractor are referred appropriately. Look for clients with complicated medical or psychiatric problems. Consultation is performed with the COR and is documented in the veteran's file.	Contractor follows Regulations indicated in the Statement of Work.	50%	Yearly Site Visit by COR's	Exercise of option periods
Contractor Quality Review	14	Clients' presenting with homicidal or suicidal potential are reviewed with the COR immediately and is documented in the veteran's file.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	15	Follow-up contact is made within 60 days after the last contact with the client and is documented in the client file.	Contractor follows Regulations indicated in the Statement of Work.	80%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
	16	The contractor immediately notifies the COR when a significant other's veteran is no longer being seen under the program.	Contractor follows Regulations indicated in the Statement of Work.	80%	Yearly Site Visit by COR's	Exercise of option periods
Contractor Quality Review	17	A closing summary is present for inactive clients fully documenting the degree of success or lack thereof, of counseling plan or goals and prognosis.	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	18	Client files are placed in inactive status after 90 days of inactivity unless there are clinical reasons to keep the file active	Contractor follows Regulations indicated in the Statement of Work.	80%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Quality Review	19	Contractor conducts periodic assessment of the effectiveness in providing services to clients and conducts an on-going self-assessment and evaluation of their performance.	Contractor follows Regulations indicated in the Statement of Work.	70%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Physical Environment	1	The contractor is located in a neighborhood that is considered "safe" and compatible with the veterans and their family readily keeping appointments	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods
	2	Contractor exterior complies with all policies and regulations required by VA lease property	Contractor follows Regulation indicated in the Statement of Work	100%	Yearly Site Visit by COR's	Exercise of option periods

Task	ID	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentive
Contractor Physical Environment	3	Contractor exterior is clean, neat, and presentable (building paint, repair, grounds, grass, shrubs, parking lots, sidewalks, etc.).	Contractor follows Regulations indicated in the Statement of Work	100%	Yearly Site Visit by COR's	Exercise of option periods
	4	Contractor interior complies with all policies and regulations required of VA lease property.	Contractor follows Regulations indicated in the Statement of Work	100%	Yearly Site Visit by COR's	Exercise of option periods
	5	Contractor interior is clean and presentable (carpets, windows, window coverings, paint, wallpaper, etc.).	Contractor follows Regulations indicated in the Statement of Work.	100%	Yearly Site Visit by COR's	Exercise of option periods

5. INCENTIVES

The Government shall not use incentives based on exceeding, meeting, or not meeting performance standards.

6. METHODS OF QA SURVEILLANCE

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

- a. PERIODIC INSPECTION. (Evaluates outcomes on a periodic basis. Inspections may be scheduled [Daily, Weekly, Monthly, Quarterly, or annually] or unscheduled, as required.)
- b. 100% INSPECTION. (Evaluates all outcomes.)
- c. PERIODIC SAMPLING. (Variation of random sampling. However, sample is only taken when a problem/deficiency is suspected. Sample results are applicable only for the specific work inspected. Since sample is not entirely random, it cannot be applied to total activity performance.)
- d. RANDOM SAMPLING. (Designed to evaluate performance by randomly selecting and inspecting a sample of cases.)

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:

9. DOCUMENTING PERFORMANCE

a. ACCEPTABLE PERFORMANCE

The Government shall document positive performance. Any report may become a part of the supporting documentation for any contractual action.

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.

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 any contractual action deemed necessary by the CO.

10. FREQUENCY OF MEASUREMENT

a. Frequency of Measurement.

During contract performance, the COR will periodically analyze whether the negotiated frequency of surveillance is appropriate for the work being performed.

b. Frequency of Performance Assessment Meetings.

The COR shall meet with the contractor annually to assess performance and shall provide a written assessment.

After award, the COR shall sign this document.

Signature – Contracting Officer Representative