

D10 - Quality Assurance Surveillance Plan (QASP)

For Lincoln County CBOC

The contractor will be evaluated in accordance with the following:

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 through contract modification. 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. Contract Specialist (CS) – The CS 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 CS shall also assure that the contractor receives impartial, fair, and equitable treatment under this contract. The CS is ultimately responsible for the final determination of the adequacy of the contractor's performance.

Assigned CS: Tamara Potwora

Organization or Agency: Department of Veterans Affairs NCO 20

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

Assigned COR: Karla Azcuy

3. CONTRACTOR REPRESENTATIVES

The following employee(s) of the contractor serve as the contractor's program manager(s) for this contract.

Primary:

Alternate:

4. PERFORMANCE STANDARDS

The contractor is responsible for performance of ALL terms and conditions of the contract. CORs will provide contract progress reports quarterly to the CS reflecting performance on this plan and all other aspects of the resultant contract. The performance standards outlined in this QASP shall be used to determine the level of contractor performance in the elements defined.

Performance standards define desired services. The Government performs surveillance to determine the level of Contractor performance to these standards.

The Performance Requirements are listed below in Section 6. The Government shall use these standards to determine contractor performance and shall compare contractor performance to the standard and assign a rating. At the end of the performance period, these ratings will be used, in part, to establish the past performance of the contractor on the contract.

5. INCENTIVES/DEDUCTS

The Government shall use past performance as incentives. Incentives shall be 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. **DIRECT OBSERVATION.** 100% surveillance: (if this method is used, define how surveillance will be accomplished.)
- b. **PERIODIC INSPECTION.** Inspections scheduled and reported quarterly per COR delegation or as needed. (Define what and how often it will be inspected. For example, ten (10) randomly selected patient files will be reviewed per inspection period. All inspections and reports will be conducted in compliance with VA Privacy and Information security standards.)
- c. **VALIDATED USER/CUSTOMER COMPLAINTS.** If this method is used, explain how data will be collected and reported.

d. **RANDOM SAMPLING.** If this method is used, define what and how often it will be sampled. (For example, ten (10) randomly selected patient files will be reviewed per quarter. All reviews and reports will be conducted in compliance with VA Privacy and Information security standards.)

e. Verification and/or documentation provided by Contractor. Review PWS and if this method of surveillance is selected, define how documentation will be verified and how assessment will be conducted.

Task	PWS Para	Indicator	Standard	Acceptable Quality Level	Method of Surveillance	Incentives	Disincentives (Deducts)
Appointment Cancellation	4.4.1.3	Contractor will not unnecessarily cancel patient appointments and will reschedule cancelled appointments in a timely manner	Any appointment cancelled needs to be rescheduled within 2 weeks. This means the patients must be seen within 2 weeks of the original cancelled appointment date	100%	Quarterly audit by VA. Contractor can check the status of their performance by running reports in VISTA/CPRS	Favorable contactor performance evaluation.	Unfavorable contractor performance evaluation.

PACT PERFORMANCE

Task	PWS Para	Performance Requirement	Standard	Acceptable Quality Level (AQL)	Surveillance Method	Incentives	Disincentives
PACT 7 Same-Day Appts w/ PCP	4.5	Same Day Appts w/ Primary Care Provide	FY 14 Performance Measure Report: T21, Quality	Quarterly Non-Cumulative Floor > 48%. Target of > 70%	PACT Compass & Dashboard https://securereports2.vsc.med.va.gov/ReportServer/Pages/ReportViewer.aspx?%2fPC%2fPC+Medical+Home%2fMainMenu&rs%3aCommand=Render	Favorable contactor performance evaluation	Unfavorable contractor performance evaluation.

Task	PWS Para	Performance Requirement	Standard	Acceptable Quality Level (AQL)	Surveillance Method	Incentives	Disincentives
PACT 15: PCMHI Penetration that uses patients assigned to a PACT team as the cohort (instead of core uniques with a primary care encounter)	4.36	% Primary Care Patients in Mental Health Integration	PACT Improvement Data on Compass & Dashboard Only divisions identified as VA Medical Center campuses (excluding Manila), very large CBOCs and large CBOCs per the Office of Mental Health are included in this measure.	Rolling 12 mos Reporting Floor 4%. Target 6%.	VHA Performance Measure Report & PACT Dashboard	Favorable contactor performance evaluation	Unfavorable contractor performance evaluation.
PACT 16: Ratio of Non-Traditional Encounters	4.5	This is the sum of all PC Telephone encounters added to the sum of all PC Group Encounters added to the sum of all incoming and outgoing secure messages as the numerator.	PACT Improvement Data on Compass & Dashboard	Quarterly Non-Cumulative Floor > 12%. Target of > 20%.	VHA Performance Measure Report & PACT Dashboard	Favorable contactor performance evaluation	Unfavorable contractor performance evaluation.
PACT 17: Post Discharge Contact by PACT Team	4.9.4	Number of discharges with follow-up contact by a member of the assigned PACT Team within two business days of discharge.	PACT Improvement Data on Compass & Dashboard	Quarterly Non-Cumulative Floor \geq 40%. Target \geq 75%	VHA Performance Measure Report & PACT Dashboard	Favorable contactor performance evaluation	Unfavorable contractor performance evaluation.
PACT 18: PACT Staffing Ratio	4.38.3	Percent of Divisions Meeting Staffing Ratio of 3:1 - (instead of the avg. ratio of staff per PC provider)	PACT Improvement Data on Compass & Dashboard	Quarterly Non-Cumulative Floor 50%. Target 75%.	VHA Performance Measure Report & PACT Dashboard	Favorable contactor performance evaluation	Unfavorable contractor performance evaluation.
PCMH 4: SHEP	4.3	Outpatients responding to the PCMH survey,	PACT Improvement Data on Compass & Dashboard	Reported monthly with	VHA Performance Measure Report & PACT	Favorable contactor	Unfavorable contractor

Task	PWS Para	Performance Requirement	Standard	Acceptable Quality Level (AQL)	Surveillance Method	Incentives	Disincentives
PCMHQ36: Discussed Difficulties in Caring for Self		and answering Q9 Weighted number of patients responding "yes" to PCMH Q36		quarterly and YTD rollup PACT Dashboard Target: Floor 42%. Target 55%.	Dashboard	performance evaluation	performance evaluation.

7. 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:

Metrics and methods are designed to determine rating for a given standard and acceptable quality level. The following ratings shall be used:

EXCEPTIONAL:	<p>Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.</p> <p><i>Note: To justify an Exceptional rating, you should identify <u>multiple</u> significant events in each category and state how it was a benefit to the GOVERNMENT. However a singular event could be of such magnitude that it alone constitutes an Exceptional rating. Also there should have been NO significant weaknesses identified.</i></p>
VERY GOOD:	<p>Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.</p> <p><i>Note: To justify a Very Good rating, you should identify a significant event in each category and state how it was a benefit to the GOVERNMENT. Also there should have been NO significant weaknesses identified.</i></p>
SATISFACTORY:	<p>Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.</p> <p><i>Note: To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been NO significant weaknesses identified.</i></p>
MARGINAL:	<p>Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.</p> <p><i>Note: To justify Marginal performance, you should identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (Management, Quality, Safety or Environmental Deficiency Report or letter).</i></p>
UNSATISFACTORY:	<p>Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element being assessed contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.</p> <p><i>Note: To justify an Unsatisfactory rating, you should identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted</i></p>

	<p><i>the GOVERNMENT. However, a singular problem could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g. Management, Quality, Safety or Environmental Deficiency Reports, or letters).</i></p>
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8. DOCUMENTING PERFORMANCE

- a. The Government shall document positive and/or negative performance. Any report may become a part of the supporting documentation for any contractual action and preparing annual past performance using CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR).
- b. If contractor performance does not meet the Acceptable Quality level, the CS shall inform the contractor. This will normally be in writing unless circumstances necessitate verbal communication. In any case the CS shall document the discussion and place it in the contract file. When the COR and the CS determines formal written communication is required, the COR shall prepare a Contract Discrepancy Report (CDR), and present it to CS. The CS will in turn review and will present to the contractor's program manager for corrective action.

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 CS. The Government shall review the contractor's corrective action plan to determine acceptability. The CS shall also assure that the contractor receives impartial, fair, and equitable treatment. The CS is ultimately responsible for the final determination of the adequacy of the contractor's performance and the acceptability of the Contractor's corrective action plan.

Any CDRs may become a part of the supporting documentation for any contractual action deemed necessary by the CS.

CONTRACT DISCREPANCY REPORT				
1. CONTRACT NUMBER		2. REPORT NUMBER FOR THIS DISCREPANCY		
3. TO: <i>(Contracting Officer)</i>		4. FROM: <i>(Name of COR)</i>		
5. DATES				
a. CDR PREPARED	b. RETURNED BY CONTRACTOR:		c. ACTION COMPLETE	
6. DISCREPANCY OR PROBLEM <i>(Describe in detail. Include reference to PWS Directive; attach continuation sheet if necessary.)</i>				
7. SIGNATURE OF COR				Date:
8. SIGNATURE OF CONTRACTING OFFICER				Date:
9a. TO <i>(Contracting Officer)</i>		9a. FROM <i>(Contractor)</i>		
10. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. <i>(Cite applicable quality control program procedures or new procedures. Attach continuation sheet(s) if necessary.)</i>				
11. SIGNATURE OF CONTRACTOR REPRESENTATIVE				Date:
12. GOVERNMENT EVALUATION. <i>(Acceptance, partial acceptance, reflection. Attach continuation sheet(s) if necessary.)</i>				
13. GOVERNMENT ACTIONS <i>(Acceptance, partial acceptance, reflection. Attach continuation sheet(s) if necessary.)</i>				
14. CLOSE OUT				
	NAME	TITLE	SIGNATURE	DATE
CONTRACTOR NOTIFIED				
COR				
CONTRACTING OFFICER				

9. FREQUENCY OF MEASUREMENT

a. Frequency of Measurement.

The frequency of measurement is defined in the contract or otherwise in this document. The government (COR or CO) will periodically analyze whether the negotiated frequency of surveillance is appropriate for the work being performed.

b. Frequency of Performance Reporting.

The COR shall communicate with the Contractor and will provide written reports to the Contracting Officer annually (or as outlined in the contract or COR delegation) to review Contractor performance.

10. COR AND CONTRACTOR ACKNOWLEDGEMENT OF QASP

SIGNED:

Karla Azcuy

DATE

SIGNED:

CONTRACTOR NAME/TITLE

DATE