

## **Quality Assurance Surveillance Plan**

### **Phlebotomy Services**

**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. 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: Cyrouse Himid Houshyani

Organization or Agency: Department of Veteran Affairs

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: Joan Henandez-Betancourt

**Quality Assurance Surveillance Plan**

Organization or Agency:

### **3. CONTRACTOR REPRESENTATIVES**

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

Primary:

Alternate:

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### **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 CO 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. 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: See Chart below as it pertains to periodic inspections.
- b. **PERIODIC INSPECTION.** Inspections scheduled and reported quarterly per COR delegation or as needed. See below chart about how periodic inspections will be accomplished. All inspections and reports will be conducted in compliance with VA Privacy and Information security standards.)
- c. **VALIDATED USER/CUSTOMER COMPLAINTS.** See Chart below as it pertains to periodic inspections
- e. Verification and/or documentation provided by Contractor. All documentation identified in section 2. Qualification, Section 4. Contractor Responsibilities, and Section 6. Special Contractor Requirements shall be Provided to the COR as stated prior to commencing work on contract.

| Measures                   | PWS Reference | Performance Requirement  | Standard   | Acceptable Quality Level                    | Surveillance Method   | Met AQL/DID<br>NOT MEET AQL-<br><br>CPAR<br>RATING/AD<br>D<br>COMMENTS |
|----------------------------|---------------|--|--|---|---|--|
| 1 Technical Competence     | 4.6.5         | Number of mislabeled specimens shall not exceed one (1) per quarter, collectively and number of patient call backs per month due to specimen quality issues (hemolysis, clot, incorrect tube drawn, ONS, etc.) shall not exceed one (1) per quarter, collectively. | .<br><br>One (1) or less per quarter is satisfactory | One (1) or less per quarter is satisfactory | Periodic Inspection of Problem Occurrence Report for mislabeled samples and periodic inspection of Patient Call Back Forms for specimen quality issues. |  |
| 2 - Patient Safety         | 4.6.6.        | Number of Incident Reports and/or Reports of Contact directly related to patient safety must be less than one per quarter, collectively  | Less than one (1) is satisfactory                    | Less than one (1) per quarter               | Periodic Inspection of electronic Patient Event Reporting (ePER) and Reports of Contact.  |  |
| 3 – Education and Training | 4.6.7         | TMS and MTS mandatory education document confirmations are completed on or before the due dates determined by the laboratory   | 95% compliance                                       | 95% compliance                              | Periodic Inspection of TMS  |  |
| 4 – Productivity           | 4.6.8         | Phlebotomist shall draw a minimum of 10 patients per hour  | 95% compliance                                       | 95% compliance                              | Periodic inspection   |  |
| 5– Customer Service        | 4.2.1.3       | Customer and Employee Feedback   | Less than one (1) verbal or                          | Less than one (1)                           | Periodic Inspection of  |  |

|  |  |                          |   |   |                                       |  |
|--|--|--------------------------|---|---|---------------------------------------|--|
|  |  | shall meet VA standards. | documented valid complaints, per quarter collectively | verbal or documented valid complaints, per quarter collectively | Patient Survey and Employee Feedback. |  |
|--|--|--------------------------|---|---|---------------------------------------|--|

## 7. RATINGS

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

**OUTSTANDING:** 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.

***Note:** To justify an **Exceptional** rating, you should identify multiple 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.*

**VERY GOOD:** 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.

***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.*

**SATISFACTORY:** 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.

***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.*

**MARGINAL:** 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.

***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 (e.g., Management, Quality, Safety or Environmental Deficiency Report or letter).*

**UNSATISFACTORY:** 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.

***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 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).*

## **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 CO shall inform the contractor. This will normally be in writing unless circumstances necessitate verbal communication. In any case the CO shall document the discussion and place it in the contract file. When the COR and the CO determines formal written communication is required, the COR shall prepare a Contract Discrepancy Report (CDR), and present it to CO. The CO 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 CO. The Government shall review the contractor's corrective action plan to determine acceptability. The CO shall also assure that the contractor receives impartial, fair, and equitable treatment. The CO 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 CO. See Sample CDR below.

## **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 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 quarterly (or as outlined in the contract or COR delegation) to review Contractor performance.

## **10. COR AND CONTRACTOR ACKNOWLEDGEMENT OF QASP**

SIGNED:

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Joan Hernandez-Betancourt, Laboratory Manager

COR NAME/TITLE

DATE

SIGNED:

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CONTRACTOR NAME/TITLE

DATE

| ONTRACT 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. CR PREPARED   | b. RETURNED BY CONTRACTOR: |                                       | c. ACTION COMPLETE |      |
| 6. Issue Identified <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 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.   |                            |                                       |                    |      |
| 13. GOVERNMENT ACTIONS   |                            |                                       |                    |      |
| 14. CLOSE OUT  |                            |                                       |                    |      |
|  | NAME                       | TITLE                                 | SIGNATURE          | DATE |
| CONTRACTOR NOTIFIED  |                            |                                       |                    |      |
| COR  |                            |                                       |                    |      |
| CONTRACTING OFFICER  |                            |                                       |                    |      |

