

## Quality Assurance Surveillance Plan (QASP)

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: Daniel Vagts

Organization or Agency: NCO-23 Contracting Office

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 CORs: Shanna Vagts, Assistant Administrative Officer/COR  
Lynda Dent, Administrative Officer/COR  
Jeffrey Fuqua, Program Specialist/COR

Organization or Agency: Minneapolis VA Health Care System

### 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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## Quality Assurance Surveillance Plan (QASP)

### 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.** For this service, 100% surveillance will not be performed by the COR.
- b. **PERIODIC INSPECTION.** Quarterly periodic inspections will be completed by the PSL Director or designee and reported to the COR. Physical presence is checked on a monthly basis by the COR checking with the using service to see if provider is present in the medical center and providing the services as required by the contract.
- c. **VALIDATED USER/CUSTOMER COMPLAINTS.** Discussion with individuals involved in patient care and who are familiar with the provider's work, will be randomly polled quarterly or as needed by the COR.
- d. **RANDOM SAMPLING.** Patient charts will be randomly sampled semi-annually by the COR reviewing up to ten (10) randomly selected CPRS records to verify required documentation and for resident supervision. (All reviews and reports will be conducted in compliance with VA Privacy and Information security standards).
- e. **Verification and/or documentation provided by Contractor.** COR will work with the Medical Staff Office to verify maintenance of valid license and other credentialing requirements; documentation to be verified annually.

## Quality Assurance Surveillance Plan (QASP)

### 6. QASP PERFORMANCE REPORT      DATE: \_\_\_\_\_

| Measures   | PWS Reference | Performance Requirement  | Standard   | Acceptable Quality Level   | Surveillance Method                                   | Met AQL/DID NOT MEET AQL-<br>CPAR RATING/ADD COMMENTS |
|--|---------------|--|--|--|---|---|
| Key Personnel  | 4.5.4.1.      | Must be present, onsite at MVAHCS and providing required services as specified and in accordance with contract PWS requirements.               | All (100%) Qualified personnel are available and in location as needed and properly performing tasks specified in PWS.   | 100%, contractor's provider's  | Random Inspection of qualification documents.         |   |
| Patient Access                                       | 4.5.4.2       | The contractor's providers, in accordance with, the operating hours and VA clinical hours outlined in this PWS.                                | All (100%) contractor's provider's are on time and available to perform services.  | Contractor's provider's is on time and available to perform services 100% of the time.   | Periodic sampling of Time and Attendance sheets.      |   |
| Patient Safety                                       | 4.5.4.3.      | Patient safety incidents shall be reported using Patient Safety Report. All incidents reported immediately (within 24 hours).                  | All (100%) of patient safety incidents are reported using Patient Safety Report within 24 hours of incident.   | 100% of patient safety incidents are reported using Patient Safety Report within 24 hours of incident. No acceptable deviation.  | Direct observation or review of validated complaints. |   |
| Maintains Licensing, Registration, and Certification | 4.5.4.4.      | Updated licensing, registration, and certification shall be provided as they are renewed. Licensing and registration information kept current. | All (100%) licensing, registrations, and certifications for contractor's providers shall be provided as they are renewed; licensing and registration information kept current. | All (100%) licensing, registrations, and certifications for contractor's providers shall be provided as they are renewed; licensing and registration information kept current. | Periodic sampling and random sampling.                |   |
| Mandatory Training                                   | 4.5.4.5.      | Contractor shall complete all required training on time per VAMC policy.   | All (100%) of required training is complete on time by contractor's provider's.  | 100% completions, no deviations.   | Periodic Sampling                                     |   |
| Privacy, Confidentiality and HIPAA                   | 4.5.4.6.      | Contractor's providers shall comply with all privacy, confidentiality  | All (100%) contractor provider(s) comply with all laws,  | 100% compliance; no deviations.  | Periodic sampling; contractor                         |   |

## Quality Assurance Surveillance Plan (QASP)

|                                    |          |  |  |                |   |  |
|------------------------------------|----------|--|--|----------------|---|--|
|                                    |          | and HIPAA laws, regulations, policies and procedures.  | regulations, policies and procedures relating to Privacy, Confidentiality and HIPAA.   |                | shall provide evidence of annual training required by VAMC, reports violations per VA Directive 6500.6. |  |
| Clinical Information Documentation | 4.5.4.7. | Contractor's providers shall comply will all clinical documentation regulation's policies and procedures for complete and timely clinical documentation. | All contractor's providers shall comply with all laws, regualtions, policies, and procedures relating to patient clinical information documentation. | 95% compliance | Random sampling of patient records  |  |

## Quality Assurance Surveillance Plan (QASP)

### 7. CPAR RATINGS ASSIGNED TO QASP ITEMS:

Metrics and methods are designed to determine rating for a given standard and acceptable quality level. The following ratings shall be used (Reference: CPARS User Manual <https://www.cpars.gov/pdfs/CPARS-Guidance.pdf> p. A2-1):

|                        |   |
|------------------------|---|
| <b>EXCEPTIONAL:</b>    | <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><b>Note:</b> To justify an <b>Exceptional</b> 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.</p>   |
| <b>VERY GOOD:</b>      | <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><b>Note:</b> To justify a <b>Very Good</b> 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.</p>  |
| <b>SATISFACTORY:</b>   | <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><b>Note:</b> To justify a <b>Satisfactory</b> 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.</p>  |
| <b>MARGINAL:</b>       | <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><b>Note:</b> To justify <b>Marginal</b> performance, you should identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A <b>Marginal</b> 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).</p>   |
| <b>UNSATISFACTORY:</b> | <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><b>Note:</b> To justify an <b>Unsatisfactory</b> 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 <b>Unsatisfactory</b> 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).</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 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 Report (CR), 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 CR in writing. The CR 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 CR 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 CRs may become a part of the supporting documentation for any contractual action deemed necessary by the CO. See Sample CR on the following page.

### 9. COR AND CONTRACTOR ACKNOWLEDGEMENT OF QASP

SIGNED:

\_\_\_\_\_  
COR NAME/TITLE

\_\_\_\_\_  
DATE

SIGNED:

\_\_\_\_\_  
CONTRACTOR NAME/TITLE

\_\_\_\_\_  
DATE

| CONTRACT 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  |                            |                                       |           |       |