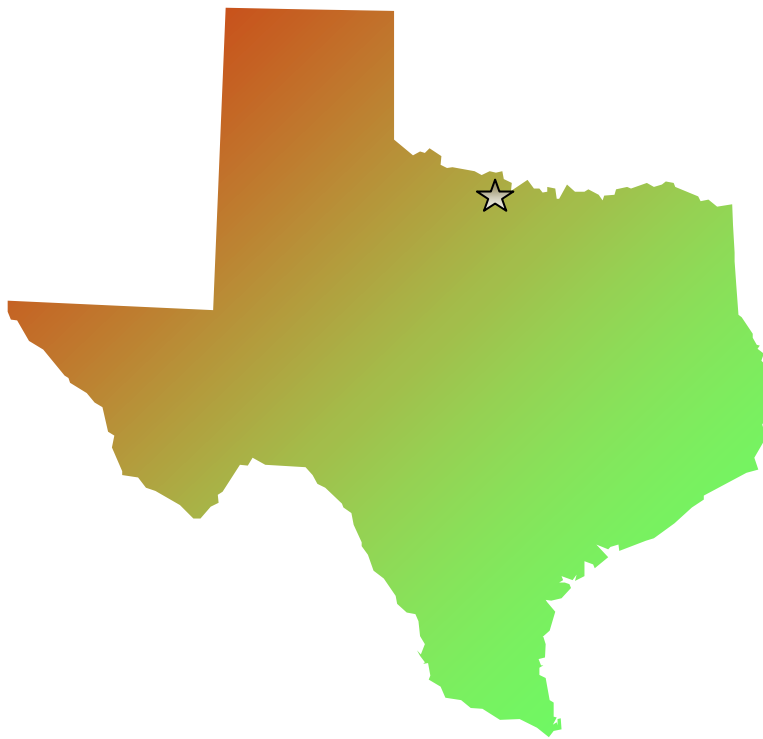


**Contracting Officer's/Administrator's
Quality Assurance Program
GUIDEBOOK**



**82d Contracting Squadron
Sheppard AFB TX
24 March 2014**

THE QUALITY ASSURANCE PROGRAM

The objective is simple; to assure that the Air Force pays only for services received. This is accomplished by a fair and systematic evaluation of the contractor's total performance throughout the performance period.

Key players in the Quality Assurance Program:

- **Contracting Officer/Administrator (CO/CA)**
- **Contracting Officer's Representative (COR)**
- **COR Supervisor (e.g., Functional Commander/Director (FC/FD))**
- **Quality Assurance Program Coordinator (QAPC)**
- **Contracting Squadron Commander (CONS/CC)**
- **The Contractor (after award)**

Background & Applicability

“Services acquisition is not about awarding a contract; it’s about acquiring performance results that meet performance requirements needed to successfully execute an organization’s mission.... Traditional acquisition methods have used the term ‘quality assurance’ to refer to the functions performed by the government to determine whether a contractor has met the contract performance standards.”

-DoD Guidebook for the Acquisition of Services, 20 July 11

MP5346.103 Contracting Office Responsibilities (originally dated 21 April 2011) established mandatory procedures (MP) to be used when awarding services acquisitions exceeding the Simplified Acquisition Threshold (SAT, currently \$150,000).

MP5301.602-2(d), Designation, Assignment, and Responsibilities of a Contracting Officer’s Representative (COR), also released 21 April 2011, established MP for standardizing the Air Force (AF) contracting process regarding designation, assignment, and responsibilities of a Contracting Officer’s Representative (COR) and is used when awarding services acquisitions exceeding the SAT.

While 10 U.S.C. 2330 exempts services relating to research and development and military construction from the term “contract services”, the Contracting Officer (CO) may still elect to use the procedures in these MP for these services.

Nomination & Designation of Contracting Officer’s Representatives (CORs)

AFI63-138, Acquisition of Services, states that “proper management of... contracted services from requirements definition through contract execution is critical to Air Force mission success and enhances our ability to maximize the efficiency of Air Force resources”. Well-trained, knowledgeable and highly motivated CORs are essential to ensure the Government receives a quality product from our service contracts. COR Supervisors (who may be

known as Functional Commanders/Directors (FC/FD)) are responsible for nominating properly trained and experienced CORs for the requirement (see DFARS 201.602-2 and MP5301.602-2(d)).

CORs should be appointed as early in the acquisition cycle as possible, as they must be trained and designated prior to contract award and may even have to participate in requirements definition (that is, the drafting and finalizing the Performance Work Statement (PWS)/Statement of Objective (SOO)/Statement of Work (SOW)) and Quality Assurance Surveillance Plan (QASP) activities well before award.

COR Nomination & Designation

Based on the CO's determination of type work/requirement (and DFARS PGI 201.602-2), the CO determines if a COR (or multiple or alternate COR) are required to assist in technical monitoring or administration of the contract. If yes, the CO must notify the requiring activity of the need for COR support and complete and forward the Request for COR Support Template (IAW MP5301.602-2(d)) to the requiring activity. (See DFARS PGI 201.602-2 for details and requirements on when a COR is not required.)

After receipt of the COR nomination package(s) from requiring activity (see COR Nomination Template, MP5301.602-2(d)), the CO must determine if the prospective COR is "Qualified and acceptable" or "Unqualified or unacceptable". If unqualified or unacceptable, the CO must identify specific deficiencies, notify the requiring activity, and request additional information or a new COR nomination.

The DoD COR Tracking Tool (CORT Tool or "CORTT") is a web-accessible management application designed to provide management insight into the COR nomination and designation process. It is used to nominate, designate, track and revoke an individual as a COR against a DoD contract. After 30 September 2012 its use became mandatory.

COR Responsibilities and Qualifications

- The COR initiates the request for required COR training/COR refresher training to ensure required training is completed prior to

contract award IAW OUSD (AT&L) Memorandum, March 29, 2010.

- COR participate, as requested, in requirements definition/pre-award activities, and ensure their participation COR duties are properly addressed in their annual performance appraisal.
- COR provide reports on contract performance to the CO. (See the specific contract QASP for that contract's surveillance/reporting requirements.) If advised by the CO that reports are inadequate, ensure follow-on reports address issues expected by CO.
- COR establish and maintain a COR file in accordance with DFARS PGI 201.602-2(ii) and MP5301.602-2(d)
- COR Remain abreast of changes to terms and conditions of the contract resulting from contract modifications.
- COR Perform only those duties/responsibilities delegated by the CO in the CO's Designation Letter. They must not appoint, delegate, or re-delegate COR duties/responsibilities to another individual. Only a CO may designate a COR and delegate duties/responsibilities to a COR.
- Additionally, CORs must provide information necessary to assess actual or potential personal conflicts of interest and immediately notify the CO if subsequent situations arise.
- If circumstances change and there is a reasonable expectation that the designated COR cannot perform effectively, (e.g., personal conflict of interest, change in assignment), the COR must notify the CO and COR management and request the CO terminate the COR Designation and take action to designate a successor COR.
- When advised by the CO or COR management that COR designation will be terminated, the COR ensures reports/records are made available to the CO, COR management, and a successor COR, if one is designated by the CO.
- COR must obtain and maintain technical competency in the functional area surveyed
- COR perform surveillance in accordance with the contract QASP

- COR perform documentation requirements as required by the contract
- COR certify acceptance of services in manner prescribed by the Contracting Officer (see **MP5301.602-2(d)**)

COR Training

Before performing surveillance and acceptance of services on a contract a COR must be properly trained and designated. To state it broadly, COR training consists of *Baseline COR training*, *CO/QAPC Led COR training*, and *refresher* training.

Baseline COR training per OUSD (AT&L) Memo dated 29 March 2010 - During the acquisition planning process, the CO determines the nature of the work/requirement (Type A, B, or C) as specified in OUSD (AT&L) Memorandum, 29 Mar 10, “DoD Standard for Certification of Contracting Officer’s Representatives (COR) for Service Acquisitions.” The acquisition may be either:

- Type A: fixed-price, low performance risk requirements;
- Type B: other than fixed-price, low performance risk requirements; or,
- Type C: unique requirements that necessitate a professional license, higher education, or specialized training.

IAW In accordance with the OUSD (AT&L) Memo, the COR candidate must then receive online Defense Acquisition University (DAU) training according to the CO’s determination of the type of requirement.

For type A requirements the COR candidate must complete:

- DAU CLC 106, Contracting Officer’s Representative (Basic)
- DAU COR 206, COR in a Contingency Environment (if the COR will deploy)
- CLM 003, Ethics Training for Acquisition Technology and Logistics

- Joint Ethic Regulation DoD 5500.7-R (review/understanding of regulation)
- Additional Training as required by CO (for example, Wide-Area Work Flow (WAWF) training)

For Type B and C requirements, the COR candidate must complete all of the above also, with the exception of CLC 106. Due to the increased contract complexity the COR candidate instead completes the much more extensive DAU COR 222 Contracting Officer's Representative Course.

CO or QAPC Led COR Training

Contract quality assurance program training is described in MP5301.602-2(d) as "CO or QAPC Led Training". It may indeed be administered by the CO or his or her designee in a "table-top" setting; however, at Sheppard AFB it is primarily provided by the QAPC.

The QAPC generally offers this overview quality assurance program training (replacement for the old "Phase I" QA training) one-one-one as requested by the COR candidate, but retains the capability to perform training of multiple COR candidates in a classroom setting as needed or requested.

Regardless of the provider, this training consists at a minimum of the following:

- Duties/responsibilities to be delegated;
- Importance of COR performance;
- Personal conflicts of interest and potential conflicts of interest;
- Unauthorized commitments;
- Ethics/integrity in relationships with the CO, COR management (e.g. COR Supervisor, Functional Commander/Directors (FC/FD)), and the contractor; and,
- Discussion of the Seven Steps to the Services Acquisition Process at DAU Services Acquisition Mall (SAM) website <http://sam.dau.mil>.

“**Contract-specific training**” may be conducted by either the CO or the CO’s designee -that is, **the contract administrator (CA)** - and must consist at a minimum of the following, again, *prior to contract award*:

- A discussion of the contract, performance work statement, and quality assurance surveillance plan;
- An awareness of any areas in the contract susceptible to fraud, waste, and abuse; and,
- Creation, maintenance, and submission of all quality assurance documentation and contractor performance assessment information required by the contract and applicable regulations. (**See MP5301.602-2(d) and 82 CONS Contract-specific Training template (attached) for further details**)

It must be emphasized that it is necessary to ensure that the COR has a proper understanding of surveillance requirements under their respective contracts.

Refresher Training – COR receive refresher training IAW the nature of the work/requirement (Type A, B, or C) as specified in [OUSD \(AT&L\) Memorandum, 29 Mar 10](#), “DoD Standard for Certification of Contracting Officer’s Representatives (COR) for Service Acquisitions.”

CO/CA Assessment of COR Performance

This assessment (a.k.a. surveillance) is based on the contract and respective QASP’s requirements. If for example, the QASP responsibilities section states that the CA will assess the COR quarterly, then you must assess the COR *at least* quarterly, and document this in the contract file.

Remember you are assessing the COR not the contractor.

Ensure the COR is performing surveillance IAW the QASP requirements. For instance, many QASP require that the COR submit a monthly report to the CO, CA and others as specified. If this is the case, the COR and CO/CA (and FC/FD if applicable) must see to it that these reports are accomplished.

The COR must inspect the contractor by watching actual task performance, physically checking an attribute of a completed task or using management information reports. The COR is to be fair, objective and consistent in evaluating the contractor's performance against the contract standards.

Ensure the COR is documenting the surveillance. The COR must document surveillance as it is accomplished. The COR must explain any deficiency in a specific and concise manner, using the objective approach, setting forth the date and time the defects were found and specific instances of nonconformance. Each time the COR documents surveillance it must include such items as:

- Contract Number
- Services summary (SS)/ Number/Required Service
- Method of surveillance
- Date, time and location
- Surveillance results
- Time and date of inspection and whether acceptable/unacceptable
- COR Signature

As tasked in the QASP, the QAPC may also assess the CA/CO as they are performing their surveillance of the COR. (Sometimes humorously referred to as "The watcher (QAPC) watching the watcher (CA) watch the watcher (COR)".) If so configured, it is the CA/CO responsibility to document this assessment by the QAPC in the individual contract file.

There is nothing more important than documentation, which supports the COR assessment of the contractor and the CA assessment of the COR.

Providing "Quality" COR Performance

- Ensure COR candidates have experience in the technical area and that they have received required training to accomplish assigned duties. Their nomination document from their supervisor must state as much.
- Review the COR surveillance techniques and job performance at least annually to ensure compliance with contract requirements

- Accomplish a review of all contracts, surveillance plans, directives and modifications regularly and execute a complete review at least annually to ensure requirements were updated accordingly
- Be actively involved with your COR
- Your assessment process will include periodically reviewing (see QASP & COR's designation in CORTT) COR files, for, example:

- COR appointment letter
- A copy of the contract and all its modifications
- Copies of receiving documents
- Copies of contract discrepancy reports
- Contractor's Quality Control Plan, if applicable
- Copy of funding documents
- Records of inspections/surveillances
- Copies of any test/analysis required by contract
- Copies of any other contract required documents

Disposition of COR files – this must be IAW contract provisions. All contract records/files maintained by the COR must be forwarded to the contracting office for retention as required in the contract.

The Performance Work Statement (PWS) and the Quality Assurance Surveillance Plan (QASP)

Preparation of a new PWS/SOW/SOO is best accomplished through a team effort. AFI63-138 requires that services acquisitions over the SAT utilize a multi-functional team (MFT) (sometimes known as an acquisition team). The MFT is a customer-focused team instituted under the authority of senior leadership and responsible for assessing contractor performance and managing the requirement over the life of the contract. The purpose of the team is to streamline the development process by “getting everyone in the same room at the same time” and by facilitating the identification and solution of problems by the team's various functional specialists as soon as possible.

The requiring activity is responsible for delivering draft versions of the PWS/SOW/SOO and QASP with the assistance and advice of the Contracting Office. A requirements package for a services contract consists

of a PWS/SOW/SOO and a QASP in addition to a purchase request, government cost estimate and any other locally required documents.

Your functional/technical representative (i.e., requiring activity personnel who is generally the COR and will become a member of the MFT) will assist in the development of the PWS/SOW/SOO and QASP.

Prior to submitting a new requirements package, the requiring activity should solicit the aid of the respective contracting officer, for the purpose of convening the MFT. AFI63-138 states that the MFT may consist of as few members as the contracting officer, the program manager (e.g., the chief COR), the COR, and the functional/technical representative (again, typically the COR is the technical rep).

Contract administration is based on minimum surveillance that adequately ensures quality and timely performance of contract requirements and provides corrective measures if performance standards are not met.

The QASP describes how government personnel will evaluate and assess contractor performance. It is intended to be a “living” document that should be revised or modified as circumstances warrant. It’s based on the premise that the contractor, not the government, is responsible for delivering quality performance that meets the contract performance standards.

The purpose of the QASP is to provide a planned process for surveying the contractor’s actual performance and comparing that performance against the contractual requirements. The QASP should provide the COR with information that he or she can identify acceptable and unacceptable performance.

The QASP should

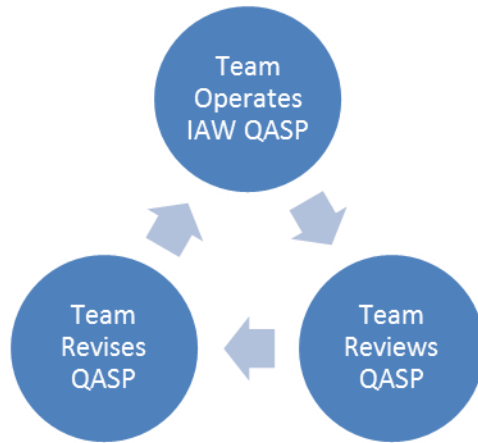
- Clearly define COR responsibilities
- Identify performance requirement items
- Identify surveillance methods
- Discuss performance ratings
- List instructions for unacceptable contractor performance

The QASP should include at least the following elements:

- Purpose
- Roles and Responsibilities
- Performance Requirements and Assessments
- Performance Reporting

Surveillance Scheduling – the QASP may require that COR develop a schedule of surveillance activities. A copy of the schedule must be provided to all parties before the period of surveillance begins IAW the QASP. Computer generated schedules or locally devised schedules may be used. When the schedule is completed it must be marked “For Official Use Only”. If the schedule changes, the COR needs to provide the revised schedule as specified in the QASP.

The QASP should be continually reviewed, updated as necessary, and in turn followed once adopted and subsequently revised by the MFT (see chart below). At a minimum, the MFT CO, COR and QAPC must review all PWS/SOW/SOO and QASP before they are accepted for contracting action.



The Cycle of the MFT and the “Living” QASP

COR Acceptance of Services –

COR acceptance may be addressed in the QASP. Normally COR acceptance is accomplished via Wide Area Work Flow (WAWF). The COR must be properly trained and designated before performing any acceptance.

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Many PWS and QASP development tools/resources can be found at the DAU SAM website <http://sam.dau.mil>.

Contractor's Quality Control Plan

Non-commercial service contracts contain a requirement, in an Inspection of Services contract clause, for the contractor to provide and maintain an inspection system acceptable to the government. This is commonly referred to as the Quality Control Plan (QCP). The CO, in conjunction with the COR and QAPC, review the QCP for adequacy. The contracting officer will send a letter to the contractor advising him/her as to the acceptability/non-acceptability of the QCP. If the QCP is found to be unacceptable the contractor will be given a suspense date for re-submission of a revised plan.

The contractor's QCP is very important to the success of the management processes/procedures that will be implemented to manage the contracted service. Some of the guidelines that may be helpful to you when performing this review may be

- Does the contractor's inspection cover all services listed in the SS?
- Does the system include specifics as to the areas to be inspected on both a scheduled and unscheduled basis?
- Does the plan state the frequency of inspections?
- Are the titles and organizational placement of the inspectors identified in the plan?
- Are there control procedures for any government provided keys or lock combinations? Control procedures for management of GFE/GFP?
- Is there a method for identifying and preventing defects in the quality of service performed?
- Is there a process identified whereby the records of inspections will be made available to the government throughout the entire period of the contract – location? There should be an office of responsibility in the contractor's organizational structure?

Could the QCP change throughout the life of the contract? Most certainly – it could change as a result of management initiatives/process improvements on the part of the contractor; it could change as a result of a contract modification – just to name a few instances.

As with the QASP, any changes in the contract must be reflected in the contractor's QC Plan. If it is revised, it must be resubmitted through the CO/CA for acceptance.

For commercial services, a separate Inspection of Services clause is not included and the Government relies on the contractors' existing quality assurance system. If a quality control plan is the commercial standard for the item as indicated by market research, then the requirement for a plan should be included in the solicitation. However, as someone has said, if a quality control plan is not used in the industry a requirement for such may needlessly drive up your price.

Standards of Conduct

Due to the complexity and divergent locations of guidance, instructions, provisions, standards, etc., 82 CONS emphatically reminds all members of the MFT to consult with and rely on the experts in the field such as JA, the IG and AFOSI. (JA even serves as a member of the MFT from time to time). JA POC on Sheppard AFB is 82 TRW/JAC. Also refer to the Joint Ethics Regulation DoD 5500.7-R. In particular, consult with 82 TRW/JAC to see which members of the MFT must submit the OGE 450 Financial Disclosure Report. Many COR are just now being drawn into this requirement.

With that caveat, you may nevertheless find the following language which we have for years provided to our customers helpful:

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In order to maintain the public confidence in the federal government process, it is necessary that government and contractor employees follow exemplary standards of conduct. There are numerous statutory and regulatory provisions giving guidance on the standards, which are expected to be followed and prescribe stringent penalties for noncompliance. The following is provided regarding issues of improper influence on government decisions and issues that require honesty and disclosure of relevant facts in dealing with the government.

### **Improper Influence on Government Decisions**

Government decisions in the procurement process must be objective in fact and appearance. Favoritism or other improper motives have no place in the award or administration of public contracts. Thus, the government has by statute and regulations prohibited activity that would improperly

influence decision-making or would appear to do so. Following are areas of concern:

1. Bribery: a criminal offense to offer or give a bribe to a government official or for a government official to solicit or receive a bribe. To constitute bribery, the statute requires that something “of value” be given, offered, promised, solicited or received.
2. Gratuities: a crime when offered or given to a government official or when a government official solicits or receives a gratuity. To be categorized as a gratuity, the item being offered must be “a thing of value” and be presented with the intent of corruption.

### **Honesty and Disclosure of Facts**

One of the most important requirements of the public contracting process is that contractors and subcontractors be honest in their dealings with governmental agencies and contractors. In federal contracting this requirement is supported via a number of criminal and civil statutes imposing a variety of penalties on contractors and others who do not comply with the minimum standards of disclosure and honesty. This includes false claims, false statements, conspiracy, noncompetitive practices and collusive bidding.

### **The Bottom Line**

As a participant in the acquisition process, you must constantly keep yourself “on guard” to improper actions or those that can be construed as such.

### **DON'T**

- Act in any way with a contractor or contractor employee(s) that may create or imply favoritism
  - Become involved in contractor-employee issues
  - FOR ANY REASON socialize with contractor employees on a regular and/or personal basis
  - Become involved in the hiring of new contract employees



- Solve the contractor's problems

## **DO**

- Give the contractor fair and equal treatment
- Avoid giving information that might provide one contractor an advantage over another or the government
  - Be alert to personal relationships with contractors
  - Resist the impulse to treat contractor employees as your staff
  - Communicate with the contract administrator and contracting officer

### Attachments:

82 CONS Contract-Specific Training Template

FAR 52.212-4 Contract Terms & Conditions - Commercial Items

CA COR Surveillance Template

QAPC CA Surveillance Template

**CONTRACT-SPECIFIC TRAINING**  
**Contracting Officer’s Representative (COR)/**  
**Quality Assurance Personnel (QAP)**

Contract Number: \_\_\_\_\_

Contract Title: \_\_\_\_\_

Contract Administrator (CA): \_\_\_\_\_

CA Office Symbol: \_\_\_\_\_

CA Duty Phone: \_\_\_\_\_

COR/QAP: \_\_\_\_\_ Primary or Alternate: \_\_\_\_\_

COR/QAP Office Symbol: \_\_\_\_\_ COR/QAP Duty phone: \_\_\_\_\_

**CA or Contracting Officer (CO) CHECKLIST**

|           | ITEM<br><br>Reference: AFFARS 5346.103<br><br>(NOTE: AFI63-124 was rescinded 29 July 11 but contracts remain that were awarded under its authority. Its successor, AFI63-138, Acquisition of Services, defers to AFFARS regarding COR training, nomination and appointment.)                                          | DISCUSSED                               |   |     |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---|-----|
|           |                                                                                                                                                                                                                                                                                                                       | Indicate<br>Y (Yes)<br>N (No)<br>or N/A |   |     |
| <b>A.</b> | <b>MULTI-FUNCTIONAL TEAM (MFT) (FAR Acquisition Team)</b> (Team members are responsible for planning the acquisition and then remain responsible for assessing contractor performance and managing the requirements over the life of the contract. The COR is usually appointed as the functional expert to the MFT.) | Y                                       | N | N/A |
| (1)       | Members. (See QASP/P-Plan/charter.)                                                                                                                                                                                                                                                                                   | Y                                       | N | N/A |
| (2)       | Roles, responsibilities and authorities. (See QASP/P-Plan/charter.)                                                                                                                                                                                                                                                   | Y                                       | N | N/A |
| (3)       | Training requirements. [IAW OUSD (AT&L) Memorandum, March 29, 2010, “DoD Standard for Certification of Contracting Officer’s Representatives (COR) for Service Acquisitions.”]                                                                                                                                        | Y                                       | N | N/A |
| <b>B.</b> | <b>CONTRACT REVIEW</b>                                                                                                                                                                                                                                                                                                |                                         |   |     |
| (1)       | Contract Type.                                                                                                                                                                                                                                                                                                        | Y                                       | N | N/A |
| (2)       | Review of sections of the contract.                                                                                                                                                                                                                                                                                   | Y                                       | N | N/A |
| (3)       | Transition & how quality assurance (QA) will be managed during transition, if applicable.                                                                                                                                                                                                                             | Y                                       | N | N/A |
| (4)       | Schedule B or commercial equivalent.                                                                                                                                                                                                                                                                                  | Y                                       | N | N/A |
| (5)       | Contract clauses, e.g. Inspection of Services. [FAR 52-246-4 Inspection of Services – Fixed-Price; FAR 52.212-4, Contract Terms and Conditions – Commercial Items. (Ensure COR/QAP understands that services may and should be re-performed.)]                                                                        | Y                                       | N | N/A |
| (6)       | Rights and remedies of Government.                                                                                                                                                                                                                                                                                    | Y                                       | N | N/A |
| (7)       | Special contract provisions (Section H or commercial equivalent).                                                                                                                                                                                                                                                     | Y                                       | N | N/A |
| (8)       | Review of Award Fee Plan, if applicable.                                                                                                                                                                                                                                                                              | Y                                       | N | N/A |

(CONTINUED)

|           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |   |   |     |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|-----|
| (9)       | Potential areas of fraud, waste, and abuse.                                                                                                                                                                                                                                                                                                                                                                                                                                           | Y | N | N/A |
| (10)      | Payment Provisions:                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Y | N | N/A |
|           | (a) Do you have a password/login for Wide Area Work Flow (WAWF)?                                                                                                                                                                                                                                                                                                                                                                                                                      | Y | N | N/A |
|           | (b) Have you been trained in WAWF?                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Y | N | N/A |
|           | (c) Explanation of types of invoices. [Invoice and Receiving Report COMBO (Creates two documents, an Invoice and a Receiving Report, within one data entry session. Creating both documents at the same time, rather than separately, is recommended); Stand Alone Invoice (Creates an invoice within one data session) For Medical Stock Fund Only; Construction Invoice (Creates a 2 in 1 Invoice from a contract for construction. A Contracting Officer must review and accept)]. | Y | N | N/A |
|           | (d) Importance of timely acceptance/submissions.                                                                                                                                                                                                                                                                                                                                                                                                                                      | Y | N | N/A |
| (11)      | Performance Work Statement (PWS) with Services Summary:                                                                                                                                                                                                                                                                                                                                                                                                                               | Y | N | N/A |
|           | (a) Review of scope of work.                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Y | N | N/A |
|           | (b) Review specific tasking and deliverables.                                                                                                                                                                                                                                                                                                                                                                                                                                         | Y | N | N/A |
|           | (c) Review Government-furnished property/services vs. contractor-furnished property/services.                                                                                                                                                                                                                                                                                                                                                                                         | Y | N | N/A |
|           | (d) Review performance goals and expectations.                                                                                                                                                                                                                                                                                                                                                                                                                                        | Y | N | N/A |
| <b>C.</b> | <b>QUALITY ASSURANCE SURVEILLANCE PLAN (QASP) or PERFORMANCE PLAN (P-Plan)</b>                                                                                                                                                                                                                                                                                                                                                                                                        |   |   |     |
| (1)       | Contractor Management:                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Y | N | N/A |
|           | (a) Importance of documenting results of oversight/insight. (Surveillances)                                                                                                                                                                                                                                                                                                                                                                                                           | Y | N | N/A |
|           | (b) Performance objectives and performance thresholds.                                                                                                                                                                                                                                                                                                                                                                                                                                | Y | N | N/A |
|           | (c) Methods/tools/documentation for surveillance and assessment of contractor performance prescribed by QASP or P-Plan. (Customer Complaint, Periodic Inspections, etc. and explain how QASP or P-Plan may be changed if needed).                                                                                                                                                                                                                                                     | Y | N | N/A |
|           | (d) Use and verification of contractor's quality control plan.                                                                                                                                                                                                                                                                                                                                                                                                                        | Y | N | N/A |
|           | (e) Method of notifying CO of significant performance deficiencies.                                                                                                                                                                                                                                                                                                                                                                                                                   | Y | N | N/A |
|           | (f) Method of recommending improvements to PWS, QASP or P-Plan.                                                                                                                                                                                                                                                                                                                                                                                                                       | Y | N | N/A |
| (2)       | Contract Management:                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Y | N | N/A |
|           | (a) Reviews required prior to execution of any options.                                                                                                                                                                                                                                                                                                                                                                                                                               | Y | N | N/A |
|           | (b) Periodic reviews to determine if contract as written meets changing mission objectives/goals.                                                                                                                                                                                                                                                                                                                                                                                     | Y | N | N/A |
|           | (c) Past performance documentation requirements [Contractor Performance Assessment Reporting System (CPARS) or local procedures when CPARS is not applicable].                                                                                                                                                                                                                                                                                                                        | Y | N | N/A |
|           | (d) Process for capturing lessons learned/best practices.                                                                                                                                                                                                                                                                                                                                                                                                                             | Y | N | N/A |
|           | (e) Cost, schedule, and performance constraints.                                                                                                                                                                                                                                                                                                                                                                                                                                      | Y | N | N/A |
|           | (f) Process contractor is using to mitigate risk and government process to understand contractor's management process of risk. (Quality Control is the contractor's responsibility)                                                                                                                                                                                                                                                                                                   | Y | N | N/A |
|           | (g) Scheduled reviews of the QASP or P-Plan/award fee plan.                                                                                                                                                                                                                                                                                                                                                                                                                           | Y | N | N/A |
|           | (h) Process to evaluate contractor correction plans.                                                                                                                                                                                                                                                                                                                                                                                                                                  | Y | N | N/A |
|           | (i) Process for conducting day-to-day business, e.g. minute meetings, modifications, etc.                                                                                                                                                                                                                                                                                                                                                                                             | Y | N | N/A |
|           | (j) Contract management reviews with MFTs                                                                                                                                                                                                                                                                                                                                                                                                                                             | Y | N | N/A |
| <b>D.</b> | <b>MISCELLANEOUS:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |   |   |     |
| (1)       | Ensure the COR understands:                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Y | N | N/A |
|           | (a) changes to the contract can only be authorized by a CO.                                                                                                                                                                                                                                                                                                                                                                                                                           | Y | N | N/A |
|           | (b) the CA is the point of contract for all contractual matters.                                                                                                                                                                                                                                                                                                                                                                                                                      | Y | N | N/A |
|           | (c) disagreements between the COR and contractor personnel must be promptly referred to the CO for resolution.                                                                                                                                                                                                                                                                                                                                                                        | Y | N | N/A |

|  |                                                                                                                                                                                                                                                  |   |   |     |
|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|-----|
|  | (d) the CA and/or QAPC will periodically accompany the COR during surveillance of the contractor's performance.                                                                                                                                  | Y | N | N/A |
|  | (e) to use "ACCEPTABLE" or "UNACCEPTABLE". (Unacceptable must be fully documented and initialed by contractor's representative).                                                                                                                 | Y | N | N/A |
|  | (f) All personnel within the functional area who may have contact with contract employees are aware of the contractual working relationship and the necessity to avoid any conduct that may constitute a real or perceived conflict of interest. | Y | N | N/A |

Briefed by: \_\_\_\_\_  
(CA or CO) Signature

\_\_\_\_\_  
Date

Acknowledged by: \_\_\_\_\_  
(COR/QAP) Signature

\_\_\_\_\_  
Date

cc: COR/QAP  
QAPC

FAR 52.212-4 -- CONTRACT TERMS AND CONDITIONS -- COMMERCIAL ITEMS

*The COR has the right to inspect any service required by the contract. What gives them this right? For commercial items, it is the FAR clause 52.212-4, Contract Terms and Conditions—Commercial Items (Feb 2012 v. excerpted below), when incorporated (i.e., for commercial service acquisitions). The clause is included in service contracts to not only give the Government the right to inspect, but also to provide remedies when performance is unacceptable. To be concise, only the section of this very extensive clause most germane to the discussion is excerpted below:*

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“As prescribed in [FAR] 12.301(b) (3), insert the following clause:

**Contract Terms and Conditions -- Commercial Items (Feb 2012)**

(a) *Inspection/Acceptance.* The Contractor shall only tender for acceptance those items that conform to the requirements of this contract. The Government reserves the right to inspect or test any supplies or services that have been tendered for acceptance. The Government may require repair or replacement of nonconforming supplies or reperformance of nonconforming services at no increase in contract price. If repair/replacement or reperformance will not correct the defects or is not possible, the government may seek an equitable price reduction or adequate consideration for acceptance of nonconforming supplies or services. The Government must exercise its post-acceptance rights --

- (1) Within a reasonable time after the defect was discovered or should have been discovered; and
- (2) Before any substantial change occurs in the condition of the item, unless the change is due to the defect in the item.”

**ADMINISTRATOR'S SURVEILLANCE OF THE COR (QAP)**

CONTRACT NUMBER:

CONTRACTOR:

DATE OF SURVEILLANCE:

CONTRACTING OFFICER'S REPRESENTATIVE (COR)/QUALITY ASSURANCE  
PERSONNEL (QAP): *(name)*

COMMENTS:

COR/QAP PERFORMANCE: *(i.e., Acceptable/Unacceptable)*

CONTRACTOR PERFORMANCE: *(i.e., Acceptable/Unacceptable)*

*(CA Signature Block)*

Date:

Reviewer Initials: \_\_\_\_\_

*(CO Signature Block)*

Date:

MEMO FOR RECORD

*(Date)*

QAPC OBSERVATION OF CONTRACT ADMINISTRATOR SURVEILLANCE

FROM: 82 CONS/LGCP

SUBJECT: Surveillance of Contract Administrator (CA) & Quality Assurance Personnel (QAP)/ Contracting Officer's Representative (COR)

CONTRACT NO.:

CONTRACT ADMINISTRATOR:

DATE OF SURVEILLANCE:

CONTRACTOR:

QAP/COR:

FINDINGS (if applicable):

QAPC COMMENTS:

CA PERFORMANCE:

QAP/COR PERFORMANCE:

*(QAPC Signature Block)*