CHAPTER 13
QUALITY ASSURANCE SURVEILLANCE PLANS

13-1. Purpose and Overview.

a. This Chapter describes the roles and responsibilities of the Project Delivery Team with regard to development and implementation of the project specific Quality Assurance Surveillance Plan (QASP). A QASP which directly corresponds to a contract's specified performance standards, is used to measure contractor performance and to ensure that the Government receives the quality of services called for under the contract and pays only for the acceptable levels of services received. Each PDT member has an important part to play to ensure quality products are received from the contractor.

b. ER 5-1-11 requires every project to have a Project Management Plan. As part of the PMP, each USACE element must document its quality policies, procedures, and responsibilities in a Quality Management Plan (QMP). The development of a QASP may satisfy all QMP requirements and should be incorporated into the PMP.

c. Effective QA is comprehensive (i.e., it involves all aspects of the entire life cycle of projects), and:

(1) Ensures people accomplish appropriate tasks at the appropriate time.

(2) Ensures customer objectives and expectations are met or exceeded.

(3) Includes the use of a multidisciplinary team of trained personnel.

(4) Includes using a comprehensive and systematic approach to project planning (e.g., Technical Project Planning).

(5) Includes reviewing project documents and project status.

(6) Includes observing field operations.

13-2. Responsibilities. The responsibilities detailed herein are specific to Formerly Used Defense Site projects and are specific to the QA process. General responsibilities for the safe execution of MMRP projects are detailed in ER 200-3-1 and ER 1110-1-8153.

a. Project Manager.

(1) Oversee the development and implementation of the QASP. Specific surveillance activities for project managers will vary depending upon the type of project. Common responsibilities for projects are provided in the QASP template provided in Appendix C.

b. PDT.

(1) Provides technical input to the PM to be included in the QASP.

(2) Implements the QASP as specified in the particular project QASP. Specific QASP responsibilities for the PDT team members will vary depending upon the type of project. Common responsibilities for various PDT members are also provided in the QASP template provided in Appendix C.

(3) Provides the contracting office any specifications for inspection, testing, and other contract quality requirements essential to ensure the integrity of the product or service. For service contracts, like most MMRP contracts, these quality requirements are documented in a QASP.

13-3. QASP Overview.

a. What is a QASP? All service contracts require the development and implementation of a QASP. A QASP describes how government personnel will evaluate and assess contractor performance. The purpose of the QASP is to describe how project performance will be measured and assessed against performance standards. It is based on the premise that the contractor, not the government, is responsible for managing quality control.

b. When is a QASP done? The QASP is intended to measure performance against the standards in the Performance Work Statement (PWS) or Statement of Work. As such, these interdependent documents must be coordinated. Since the PWS/SOW and QASP are intertwined, it is both effective and efficient to write them simultaneously.

c. What should be considered when developing a QASP?

(1) The QASP is a requirement of FAR Part 46.103(a) for service contracts.

(2) The QASP describes the contract technical quality requirements, including inspection and testing requirements.

(3) Preliminary QASPs should be developed for each project in conjunction with the development of the PWS/SOW. The QASP should be revised and modified to fit site-specific conditions and requirements and the contractor's QC Plan. Effective use of the QASP, in conjunction with the contractor's QC Plan, will allow the government to evaluate the contractor's success in meeting the project objectives.

(4) The entire PDT should meet to discuss the project's objectives and to have input on the final measures contained in the QASP.

(5) The majority of effort in developing the QASP is tailoring the QASP Metrics and Surveillance Activities Table to project specific needs. Note that the QASP Metrics and Surveillance Activities Table are the most time-consuming part of the QASP development process.

d. What does the QASP consist of? The QASP identifies roles and responsibilities, the Surveillance Activities Table identifies the "work" that will be done and how it will be documented, the QASP Metrics identify how the contracting officer will rate the contractor's performance of the activities monitored in the Surveillance Activities Table, and the Corrective Action Request identifies how the government will communicate non-conformances it observes. A template for a QASP is provided in Appendix C.

13-4. QASP Metrics.

a. Periodic assessment of contractor performance should emphasize clear communication, with the objective of encouraging and maintaining high standards of performance. The metrics should be consistent with past performance assessments.

b. Performance metrics must be as objective as possible and measurable. They must be modified to meet site-specific objectives. The contractor shall be provided an opportunity for input into all metrics. Instructions on how to develop performance metrics, as well as a sample QASP Performance Metrics Table is provided in Appendix D.

13-5. QASP Surveillance.

a. As mentioned, the QASP identifies roles and responsibilities. The completion of the activities identified in the QASP can be documented through the Surveillance Activities Table (e.g., whether those activities have been completed, how often, etc.). An example Surveillance Activities Table is provided in Appendix E.

b. The PDT should always ask "why" when determining the frequency and types of QA surveillance methods and the associated performance metrics.

c. The frequency of surveillance, or on-site presence of the USACE project team, will be determined on a case-by-case basis considering:

(1) The types of MEC.

(2) Stakeholder concerns.

(3) Project dynamics (is this something new, different approach, unusual conditions etc.).

(4) The type of Task Order (TO)/contract (e.g., performance-based, cost plus fixed fee, Time and Materials, etc.).

(5) Hazard severity.

(6) Accident probability.

(7) Available resources (e.g., personnel, dollars).

(8) Accident history.

(9) Past performance.

d. Other criteria for inclusion as performance indicators in the QASP include:

(1) Criticality of the process and its output.

(2) How the performance indicator will be monitored and how frequently it must be monitored.

(3) Availability and cost of internal QA manpower necessary to monitor each performance indicator.

(4) The cost to the government of monitoring each performance indicator.

13-6. QASP Non-Conformances.

a. Non-conformances will be documented on a Corrective Action Request (CAR) form (see Appendix F). The contractor will be provided a copy of the CAR. Generally, the contractor has the option of re-performing the work at no additional cost to the Government. However, there are circumstances where re-performance is not an option.

b. Each CAR will be annotated as a critical nonconformance, major nonconformance, or minor nonconformance. The PDT determines appropriate contractor response times on a project-by-project basis. Contractor response times provided below are for illustrative purposes only. Note that any life or mission threatening safety issues must be corrected immediately. The following definitions are derived from FAR 46.101.

(1) Critical Nonconformance: a nonconformance that is likely to result in hazardous or unsafe conditions for individuals using, maintaining, or depending upon the supplies or services; or is likely to prevent performance of a vital agency mission. Include in the QASP

that the contractor will typically be provided 24 hours (1 business day) to provide a written response to the CAR.

(2) Major Nonconformance: a nonconformance, other than critical, that is likely to result in failure of the supplies or services, or to materially reduce the usability of the supplies or services for their intended purpose. Include in the QASP that the contractor will be provided not more than 5 business days to provide a written response to the CAR.

(3) Minor Nonconformance: a nonconformance that is not likely to materially reduce the usability of the supplies or services for their intended purpose, or is a departure from established standards having little bearing on the effective use or operation of the supplies or services. Include in the QASP that the contractor will be provided not more than 15 business days to provide a written response to the CAR.

13-7. QASP Review Documentation.

a. Various forms may be used to document review activities that can be incorporated as part of the QASP. The review documentation forms that are used should be individually tailored to the project as circumstances warrant.

b. The following are some examples of commonly used review documentation forms:

(1) Generic On-Site QA Checklist (see Appendix G).

(2) EE/CA Work Plan Review Matrix (see Appendix H).

(3) EE/CA Report Review Matrix (see Appendix I).

(4) Removal Action Work Plan Review Matrix (see Appendix J).

(5) Sample Quality Assurance Report (see Appendix K).

(6) After Action or Final Quality Assurance Report Content (see Appendix L).

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