



# NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

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## JOINT APPLIED PROJECT

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### TRAINING AND DOCTRINE COMMAND ACQUISITION MANAGEMENT AND OVERSIGHT SUPPLEMENT

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**By: Mae T. Mathieu**  
**June 2011**

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**TRAINING AND DOCTRINE COMMAND  
ACQUISITION MANAGEMENT AND OVERSIGHT SUPPLEMENT**

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Submitted in partial fulfillment of the  
requirements for the degree of

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from the

**NAVAL POSTGRADUATE SCHOOL  
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# **TRAINING AND DOCTRINE COMMAND ACQUISITION MANAGEMENT AND OVERSIGHT SUPPLEMENT**

## **ABSTRACT**

This research will provide the applicable guidance to include the regulations with guidelines for the Requiring Activities (RA) of the Training and Doctrine Command (TRADOC) to apply in conjunction with the recently implemented and updated TRADOC Regulation 5-14, "Acquisition Management and Oversight". This regulation was implemented on 5 January 2009. The TRADOC G-8 Management Directorate was tasked to write and then implement this regulation. The focus of the management and oversight process is to validate and document TRADOC contract requirements and to enhance management controls over the TRADOC acquisition process. This Acquisition Management and Oversight process is executed to obtain approval, recommendation, or certification for the acquisition of services and products that directly support the warfighter (not only TRADOC). To conduct this research project it was necessary to research: the Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), Army Federal Acquisition Regulation Supplement (AFARS) and the Mission and Installation Contracting Command (MICC) websites (TRADOC's primary contracting office). MICC is a subordinate command to the Army Contracting Command (ACC) established 1 October 2008.

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## LIST OF ACRONYMS AND ABBREVIATIONS

ACC	Army Contracting Command
AFARS	Army Federal Acquisition Regulation Supplement
ALU	Army Logistics University
AMO	Acquisition Management and Oversight
AMOD	Acquisition Management and Oversight Division
COE	Center of Excellence
CPAR	Contract Performance Assessment Reporting System
CTC	Combat Training Centers
DCS	Deputy Chief of Staff
DFARS	Defense Federal Acquisition Regulation Supplement
DoD	Department of Defense
DODD	Department of Defense Directive
DODI	Department of Defense Instruction
EDA	Electronic Document Access
FAR	Federal Acquisition Regulation
FEDBIZOPPS	Federal Business Opportunities
FCOE	Fires Center of Excellence
GO	General Officer
IGE	Independent Government Estimate
IRAC	Internal Review and Compliance
JFCOM	Joint Forces Command
KO	Contracting Officer
MICC	Mission and Installation Contracting Command
NAICS	North American Industry Classification System
OE	Operational Environment
PCR	Procurement Center Representative
POC	Point of Contact
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plan

QC	Quality Control
QCP	Quality Control Plan
RA	Requiring Activities
SOW	Statement of Work
TRADOC	Training and Doctrine Command
TR	TRADOC Regulation
USC	United States Code
VA	Virginia

## **EXECUTIVE SUMMARY**

The goal of this Joint Applied Project is to assemble specific documentation through research and to present such for supplementation to the TRADOC Regulation 5-14 (TR 5-14). The approval authority of the TR 5-14 is the Deputy Chief of Staff (DCS) G-8. This Joint Applied Project will be presented to the Director of the Management Directorate for TRADOC G-8 prior to presenting to the DCS G-8.

Templates, of each type document, are provided as an Appendix to this research paper. The Requiring Activity (RA) generates the three documents: Market Research, Performance Work Statement (PWS) and the Quality Assurance Surveillance Plan (QASP) to send to Acquisition Management and Oversight Division (AMOD) for the first step in the TRADOC approval process when the acquisition of a government need begins. Each of the three document sections for this research paper will have: an Overview section (to describe the documents purpose), Guidance section (from each federal regulation that is applicable), the Regulation section (provides the document's required content) and the Application section (leads to the templates).

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## **I. MARKET RESEARCH**

### **A. OVERVIEW**

Market Research is a document required by the Federal Acquisition Regulation to document the contract file. This document is the responsibility of the Requiring Activity. The data for the services and products being purchased within the document includes: the sources, the points of contact (POC) at the contractor facility, POC contact information, and any websites or catalogs used.

Market Research is the documentation of facts found during the search to locate sources for the services and products the end-user needs to purchase in support of the Army Soldier. The services and products may not be fully defined, but will become fully defined as the requirement develops and matures. The end-user (from this point on referred to as Requiring Activity or RA) will purchase the services and products for the Soldier through the government procurement system. Therefore, Federal Regulations will govern. The individual(s) conducting the research can use virtually any means possible to gain the information to determine if the services and products are available on the open market. Open market services and products can be stated as commercially available or a commercial item.

The Requiring Activity presents the facts and provides the sources available to purchase needed services and products. The information gathered helps to develop the specifications for the services and products. The RA should follow the prescribed template (Appendix A) to present the market research information. The RA can state and present the information gathered in tables, in bullet format, or in paragraphs. It is essential all of the sections/headers in the template be provided. Chapter 4 of the TR 5-14 can assist in executing the Market Research document.

Market research is key aspect of government procurement and is used to determine the commerciality of the services and products, the type funds appropriate for the services and products, and the type of contract to be used.

1. Commerciality – During the search for sources the RA determines the services and products are available to the general public and are not developmental in nature. This fact needs to be stated in section one of Market Research document.

2. Codes – Identify the North American Industry Classification System (NAICS) code found at <https://www.census.gov/eos/www/naics/> for the services and products. This code will identify and narrow the search for a particular segment of contractors. This code will be used on numerous government websites to make the RA efforts of finding contractors easier.

3. Sources - The goal of federal government procurement is always full and open competition for every requirement. Additionally, every requirement the government awards shall provide small businesses the opportunity to propose. The RA must gather information from small businesses in the NAICS code. The types of small businesses include: 8a Certified, HubZone Certified, Small Disadvantaged, Service Disable Veteran Owned and AbilityOne contractors. To document the services and products are available from three contractors is representation of adequate competition. Provided the RA can locate three 8a contractors that can meet the government's need, the award may be accelerated when it reaches the contracting office.

4. Consolidation – applies when the services and products have been purchased from small businesses historically for TRADOC. The contracting office will aid in this section as needed.

5. Bundling – is used when combining services and products with other requirements. Either or both were previously purchased under separate contracts.

6. Regulation or Law – This final aspect of Market research is to provide the standards and specifications established by law or executive order; and regulation mandates the source or use of particular products. For example: the Resource Conservation and Recovery Act (RCRA) mandates the use of energy efficient products and services and recovered materials.

## **B. GUIDANCE**

Market Research is required per FAR-Part 10, DFARS-210, AFARS-5110 and TR 5-14 at Chapter 4, <http://www.tradoc.army.mil/tpubs/regndx.htm> in the preplanning phase, when an idea and the definition of the need is being developed. In fact, the FAR states "Acquisitions begin with a description of the government's needs stated in terms sufficient to allow conduct of market research [10.002(a)]. Whether the requirement is a service or product, it is crucial to define the minimum need for contractors to provide a proposal. This allows the government to acquire exactly what the RA needs in the quantity needed. The contracting office uses this Market Research document to determine if the item being acquired is commercially available or if it is necessary to develop it. It is the RA's responsibility to complete the Market Research document. If necessary, the RA can contact the Contracting Office or the Acquisition Management Oversight Division (AMOD) staff for assistance. TRADOC has a Customer Support Element with contracting personnel for such purposes. TRADOC Regulation 5-14 requires the RA to submit Market Research with every Acquisition Management and Oversight package. The contracting office will update the Market Research with additional data as the requirement matures.

MICC Market Research Guide, dated 17 July 2009, provides a template which has been tailored for TRADOC employees to use.

## **C. REGULATION**

"FAR Part 10.000 – Scope states the policies and procedures for conducting market research to arrive at the most suitable approach to acquiring, distributing and supporting supplies and services. This part of the FAR implements requirements of 41 USC 253(a)(1), 41 USC 264b and 10 USC 2377.

FAR 10.001 Policy (a)(v)(3) states - Use the results of market research to:

(i) Determine if sources capable of satisfying the agency's requirement exist;

(ii) Determine if commercial items or, to the extent commercial items suitable to meet the agency's needs are not available,"

FAR Part 10 continues to state, "when conducting market research, agencies should not request potential sources to submit more than the minimum information necessary."

The acquisition begins with a description of the government's need. This description is provided to contractors; used by the RA to search for sources; and used to determine if the services and products are commercially available. It is at this time the RA needs to declare if any unique government applications apply, if any laws or regulations govern the source of the services and products. Note: if FAR Part 8 - Required Sources of Supplies and Services apply the RA must follow this law. i.e., EnergyStar® products are required with new construction.

- DFAR Part 210–Market Research directs government offices that if they are consolidating contract requirements and it is necessary and justified in accordance with Section 207.170-3, in the Acquisition Planning then this must be stated. The Market Research document is the proper place to state this, when the RA is defining the requirement.

- AFARS 5110.002(b)–Procedure states:

Except for "sources sought" synopses, market research is the responsibility of program managers also known as the requiring activity. However, all members of the acquisition team must be aware of available emerging technology and changes in the marketplace that may impact an acquisition. Requirement statements must reflect any available commercial solutions. Requirements personnel and contracting officers must work together as a team to gather market data needed to decide on the best strategy for meeting the customer's requirement. Market research utilized to justify sole source acquisitions must be complete and not more than 12 months old. A statement that the solicitation will be synopsisized

and that all proposals received will be evaluated is not a substitute for performing adequate market research and in itself does not support or justify sole source.

Market Research is the foundation for all future procurement decisions. Chapter 4 of TR 5-14 requires the RA to gain approval and certification by the designated General Officer (GO) or Senior Executive Services (SES) member before the RA can proceed to the Contracting Office. The TRADOC regulation continues to inform the RA that FAR Part 8 Required Sources of Supplies and Services must be followed. The U.S. Army has a mandatory use of Computer Hardware Enterprise Software and Solutions (CHESS) contracts, <https://chess.army.mil/ascp/commerce/index.jsp?requestid=1237>, when buying information technology equipment and services. Note: coordinate all IT purchases with the G-6 as stated in TR 5-14 at paragraph 2-4.

The requirement to conduct market research is not policy; it is regulation. Formal training is available online with the Defense Acquisition University reflected in Table 1.

#### **D. APPLICATION**

With the Federal Regulations and policy stated for Market Research; it is now the point of this research paper to describe the Market Research document sections and to provide sample format.

The Market Research template that follows this section is based on the 2004 MICC format. The 2004 document is no longer available electronically. The document is organized with headers for each paragraph. The template is provided at Appendix A in Word. By following the template the RA will provide the necessary facts required by the acquisition management and oversight package. An AMOD office of TRADOC will receive the required documents for each procurement action. An organized thorough market research document will expedite the review and approval process. A list of techniques and methods for the RA to use when collecting market research is provided in Chapter 4 of TR 5-14:

1. “information, literature, and publications describing manufacturers and suppliers, products, industry trends, product

availability, reliability and prices, which may be found by researching available publications such as trade catalogs, magazines, publications and consumer organization reports and journals.

2. The Internet is an ideal medium, to identify additional sources to acquire basic information about services and products.

3. Review vendor brochures, catalogs and advertisements.

4. Attend industry exhibits and seminars.

5. Review local source files that include recent contract activities on similar services and products.

6. Analyze procurement history by examining quality and extent of competition, prices and performance results by contacting the procurement office if desired. Use this information to revise requirements and specifications.

7. Review Contract Performance Assessment Reporting System (CPARS).

8. Review Federal Business Opportunities (FEDBIZOPPS) (<https://www.fbo.gov>) sources sought announcements on similar requirements.”

The FEDBIZOPPS website can be searched using the NAICS. If other documents are needed for requirement, the RA can use this website to locate PWS and QASP documents.

The purpose of the Market Research document is to present facts that will assist the contracting office to determine services and products commerciality and the public arena in which the services and products are available.

The following classes are recommended for all TRADOC personnel executing a Market Research document for submission with the AMO package for approval.

**Table 1. Market Research Training**

<b>School</b>	<b>Websites and course titles</b>
Army e-learning	<a href="https://www.atrrs.army.mil/atrrscc/course.aspx">https://www.atrrs.army.mil/atrrscc/course.aspx</a> CLC004 - Market Research CLE028 – Market Research for Technical Personnel
DAU	<a href="https://learn.dau.mil/html/clc/Clc.jsp?BrowseCertCourses">https://learn.dau.mil/html/clc/Clc.jsp?BrowseCertCourses</a> CLC004 - Market Research CLE028 – Market Research for Technical Personnel

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## **II. PERFORMANCE WORK STATEMENT**

### **A. OVERVIEW**

The Performance Work Statement (PWS) is required per FAR Part 37 to purchase the services or products in support of the Army Soldiers. This document provides a description of the services and products for the contractors to use to submit a proposal. Therefore, a thorough and complete description must be provided, so the government gets the services and products it is paying for. This document accompanies the Market Research when being sent to the contracting office. The PWS is to be executed in Microsoft Word so the contracting personnel can make changes as required for the government acquisition system.

The PWS is used to describe services for contractors to prepare formal proposals against for consideration in the source selection process to receive an award for providing services and products to meet the specific bona-fide need of the government. FAR 2.101—Definition reads “Performance Work Statement (PWS)” means a statement of work for performance-based acquisitions that describes the required results in clear, specific and objective terms with measurable outcomes.” The PWS is performance-based specifications; the tone is to describe the need in desired outcomes and not detailed instructions of how to execute the services or make products. Section C of a contract is titled—Description/Specification/ Statement of Work. When purchasing services, the term used under this title is the Performance Work Statement. TRADOC AMOD only reviews “services” PWS documents. Occasionally a Statement of Objectives is used when the requirement is not fully developed and the contractors are needed to fulfill what is available in the industry. This type of requirement uses Research and Development funds making the description usually developmental specifications. Regardless, the document needs to be written to satisfy the needs of all members within the RA. This statement, “all members,” refers to the end-users (Soldiers, DACs, contractors) at all levels within the organization.

The PWS is written by the RA and sent to the G-8 AMOD, as directed by the TR 5-14, with a complete AMO package for review, approval or certification before the RA can send the requirement with funding to the contracting office. The amount of time spent on the PWS before starting the review process will be evident. The writer of the PWS should take a PWS class and review other PWSs.

The PWS section of the contract will be used to develop the costs. It will be used for measuring the quality assurance after award. If the government has not identified the services and products in the PWS, the contractor cannot be held responsible to perform and to deliver said services and products. Stated differently, if the service is not identified in the PWS the contractor will not propose it (cost it out in their proposal) and the government does not have the right to receive it.

Once an AMO package is received, a G-8 Management Analyst reviews the documents and distributes the package to a team within G-8 for review. Members of G-8 management team include: Staff Judge Advocate (SJA); Manpower and Force Analysis Directorate (MFAD); Planning, Analysis and Evaluation Directorate (PAED); Finance and Accounting Directorate (FAD); and Budget Directorate (BUD). A primary member of the review team is the SJA for legal sufficiency, type of funds for the acquisition and verification of a bona fide need. Under fiscal law, a “bona fide need” focuses on the timing of the obligation of funds and whether the obligation is for a current need of the government. 31 USC 1502(a) states, “bona fide needs are determined by when the government actually requires (will be able to use or consume) the supplies being acquired or the services being rendered.”

The RA needs to take the time to build an outline to organize how the specifications of the requirement are to be presented in the PWS. The contractors should follow chronological sequence of the PWS to build their proposals. Classes are available to assist you in writing your PWS/SOW. Taking the time to review other actions on the FEDBIZOPPS (search by your NAICS), PWSs provided by the AMOD, or the contracting office can be of value. Talking to a professional that has done this type work can be invaluable and save the RA a great deal of time, frustration and effort. The RA

will have to live with this PWS through the entire performance period, so getting it to be the best is to their advantage and the Soldiers that need the services and products.

**B. GUIDANCE**

The Department of the Army, the Army Contracting Command and the Mission and Installation Contracting Command (MICC) each have guidance for writing the PWS. Since the MICC is TRADOC’s primary contracting office; that guidance will be used for this research paper. The template will be provided in paragraphs that follow. As a contracting professional, my recommendation for PWS training is the residence course at the Army Logistics University (ALU) at Fort Lee, VA. Taking your PWS to work in the classroom allows the professor to assist you as your PWS matures or receive the assistance you need to organize it for presentation to the public. If an individual from the RA is unable to attend a class in residence, a strong recommendation is the interagency training class, “Seven Steps to Write a Performance Work Statement,” in the bottom row of Table 2.

**Table 2. PWS Training**

<b>School</b>	<b>Websites and Course Titles</b>
ALMC	<a href="http://www.almc.army.mil/hsv/hsv.htm">http://www.almc.army.mil/hsv/hsv.htm</a> ALMC-DR Performance Work Statements
DAU	<a href="http://icatalog.dau.mil">http://icatalog.dau.mil</a> CLC013-Performance-Based Services Acquisition CLM013-Work-Breakdown Structure CLM031-Improved Statement of Work ACQ265-Mission Focused Services Acquisition
Army eLearning	<a href="https://usarmy.skillport.com/skillportfe/main.action?content=search#">https://usarmy.skillport.com/skillportfe/main.action?content=search#</a> CLC013-Performance-based Services Acquisition CLM031-Improved Statement of Work ACQ265-Mission Focused Services Acquisition
Interagency	<a href="https://www.acquisition.gov/comp/seven_steps/index.html">https://www.acquisition.gov/comp/seven_steps/index.html</a> Seven Steps to Write a Performance Work Statement <a href="https://www.acquisition.gov/comp/seven_steps/library/DODhandbook.pdf">https://www.acquisition.gov/comp/seven_steps/library/DODhandbook.pdf</a> MIL-HDBK-245D DOD Handbook for Preparation of Statement of Work

## C. REGULATION

FAR regulations for the PWS begins with:

“Part 2-Definition. Performance Work Statement means a statement of work for performance-based acquisitions that describes the required results in clear, specific and objective terms with measurable outcomes.

FAR 11 DESCRIBING AGENCY NEEDS (a) In fulfilling requirements of 10 USC 305(a)(1), 10 USC 2377, 41 USC 253a(a) and 41 USC 264b, agencies shall—

(1) Specify needs using market research in a manner designed to—

(i) Promote full and open competition (see Part 6), or maximum practicable competition when using simplified acquisition procedures, with due regard to the nature of the supplies or services to be acquired; and

(ii) Only include restrictive provisions or conditions to the extent necessary to satisfy the needs of the agency or as authorized by law.

(2) To the maximum extent practicable, ensure that acquisition officials—

(i) State requirements with respect to an acquisition of supplies or services in terms of—(A) Functions to be performed; (B) Performance required; or (C) Essential physical characteristics;

(ii) Define requirements in terms that enable and encourage offerors to supply commercial items, or, to the extent that commercial items suitable to meet the agency’s needs are not available, nondevelopmental items, in response to the agency solicitations;

(iii) Provide offerors of commercial items and nondevelopmental items an opportunity to compete in any acquisition to fill such requirements...”

The DFAR guidance states:

**211.002 Policy.** All defense technology and acquisition programs in DOD are subject to the policies and procedures in DoDD 5000.1, The Defense Acquisition System and DoDI 5000.2, Operation of the Defense Acquisition System.

**211.106 Purchase descriptions for services contracts.** Agencies shall require that purchase descriptions for services contracts and resulting requirements documents, such as statements of work or performance work statements, include language to provide a clear distinction between government employees and contractor employees. Service contracts shall require contractor employees to identify themselves as contractor personnel by introducing themselves or being introduced as contractor personnel and displaying distinguishing badges or other visible identification for meetings with government personnel. In addition, contracts shall require contractor personnel to appropriately identify themselves as contractor employees in telephone conversations and in formal and informal written correspondence.”

#### **D. APPLICATION**

With the Federal Regulations policy stated for the performance based PWS; it is now the point of this research paper to state the PWS sections. The PWS template is provided in Word and located at Appendix B.

PWS sections will include:

Title: Name of Command and Directorate with the type of services within title.

Background: If this is the first time the services are being contracted for, the RA must state that. Use this paragraph when there is a previous contract action and a history of the services and products to be purchased. Include the type of contract to be used (if known), the previous contract number if available and the period of performance. The contractors will use this as a historic baseline for building their proposal.

Purpose: Clearly state what the TRADOC need is and when it is needed. If it is appropriate the RA needs to state the deliverable and desired outcomes for which the acquisition is written. Identify who (use organization name and installation) will receive the services and products and where. Be advised, if the purpose is to “develop” something the services and products will require research and development specific regulations, guidance and funds.

Scope or Mission-The RA needs to state the TRADOC mission statement, state any mandated regulation, provide the directive and the reference to justify spending taxpayer monies on the services and products. Explain succinctly, but in general terms, what services the RA needs and requires. The RA must connect how the services fit within the TRADOC Mission Statement, the Army Concept Plan, an Army Regulation, a mandate, a statute, or by direction of GO.

Period and Place of Performance—Identify the period of performance in calendar days, work days, weeks, months, or in years. Specific dates can be used, if applicable: 1 Apr 11 through 31 Mar 12. For example: if the government is purchasing a onetime service, the period is stated in months. That is a product shall be delivered within 6 months of contract award date. When purchasing continuous services in an Indefinite Delivery Indefinite Quality contract with task orders, the period of performance is generally stated in 12 month periods with option periods to be exercised at the discretion of the government. Period of performance starts with date of contract award continuously for twelve months with four option periods, each being 12 months in duration, with a total contract period not to exceed 60 months. The contracting office will reword this and assist you, if necessary.

It is in this section the RA states if the work to be performed is to be done at the contractor’s facility, at a government installation, or if it is negotiable. If facilities, utilities, equipment, or products are provided by the government; a Government Furnished Property (GFP) list must be provided with the acquisition package. This list can be done in Excel and provided as an attachment. This GFP list will affect the contractor’s costs, so be accurate and succinct.

Tasks/Performance Objectives–This is the most scrutinized section of the PWS. The RA must state the service efforts in desired outcomes and in terms of desired results. Do not give step by step instructions on how to accomplish or perform the services unless unavoidable. The sequence of events (stages or phases) must be presented in a logical and chronological order to meet the government’s needs and purposes. This section requires the RA to be organized and to present the need of the government in a fashion that anyone within the service industry can read, understand and propose costs/prices to.

The RA will have documented the background, stated the purpose, and provided the scope or mission statement and the period of performance in the lead paragraphs at the beginning of the PWS. Any technical exhibits that add or reinforce the Task and Performance Objectives are provided as attachments to the PWS and are included with the solicitation when the contracting office builds the contract document. To bring the PWS to a close and to generate a neat summary of tasks, the last section before the technical exhibits are attached is the Performance Requirement Summary.

Performance Requirement Summary–This section of the PWS is presented in a table format with services listed in the chronological order of the PWS. The columns to include are in Table 3 with the paragraph references of the PWS to marry the services and products for accuracy and to ensure they are not omitted in proposals.

**Table 3. Performance Requirement Summary**

Column Title	Explanation/Definition
Specific Item	Title and paragraph number in PWS
Performance Objective	List percentage of perfection you expect
Method of Surveillance	Manner TRADOC will use to inspect services
Sample Size	Quantity to inspect;
Frequency	Number of times in timeframe (usually a month) to inspect (can be stated in a range of 2 – 10, not less than 10 & not more than 50, or 1 day every 2 weeks minimum)
Deduction from Contract Price for Not meeting Minimal Acceptable Standard	Percentage of total contract dollars usually determined per line item (Section B of contract) – The Contracting Officer or Source Selection Authority will have final decision authority for this deduction calculation.

Types of surveillance with their definitions include:

- Sampling (if you state “random” insure your method is truly random);
- 100% Inspection means exactly that (a complete surveillance, such as report or training manual);
- Periodic Surveillance (define periodic surveillance for your specific use) i.e., surveillance will occur as COR’s schedule permits/not less than once a week/at conclusion of each phase);
- Validated Customer Complaints. If you are using customer complaints be sure to have a suggestion box or central e-mail account anyone can submit suggestion to.

The Performance Based Services PWS template in Word is at Appendix B. The website address is:

<http://webcache.googleusercontent.com/search?q=cache:jouXhNbYlf4J:dccw.hqda.pentagon.mil/downloads/Sample%2520Performance%2520Based%2520PWS.doc+Writing+a+Perforance+Work+Statement&cd=2&hl=en&ct=clnk&gl=us&source=www.google.com>

### **III. QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)**

#### **A. OVERVIEW**

All services and products received by the government require surveillance for acceptance purposes. A QASP is required per FAR Part 46 for all service contracts over the simplified acquisition threshold, \$150K. Each contract will designate the place where the government reserves the right to perform quality assurance. The government will state the method of that surveillance. With that said, the questions of: who, what, when, where, and why must be clearly stated in regards to the government execution of surveillance. The QASP will provide that information to the contractors in the pre-award phase. To write the QASP the RA must know and provide:

- Who is surveying the services?
- What is being surveyed and at what standards?
- Where the services and products are being surveyed?
- When the surveillance is executed and
- Why it is being surveyed.

There is a set format to follow and certain types of surveillance used. Choosing the types of surveillance, and the frequency needed for the type of services being performed, will set the stage for successful surveillance of services and products. The RA will need the job title of the person to perform the surveillance, usually called the Contracting Officer's Representative (COR). Other subject matter experts (SME) can provide comments to the COR, but ultimately the COR is the individual to execute the surveillance report and correspond to the Contracting Officer.

#### **B. GUIDANCE**

It is essential for the government to state how the government will execute quality assurance. Both the government and the contractor must understand the QASP to ensure the services and products provided meet the need and fulfill the contract terms and conditions. To express this, the QASP needs to answer the following:

Who is surveying the services?—The COR (DAC), Soldier(s), the Defense Contract Management Agency (DCMA), or SME. If a comment box or e-mail is available to submit a complaint; that information needs to be made available to anyone. This could include active duty dependents, guests on the installation, and retirees. The COR is the individual to input the formal surveillance annual report card in the Contractor Performance Assessment Reporting System (CPARS) website annually.

What is being surveyed?—The services and deliverables identified in the PWS, a product (software configuration), a distance learning course, a website, a hotel conference, or a formal study provided in a report. The standards must be defined. A delivered report or study should be in the nearly perfect acceptable quality level

Where are the services being surveyed? Service surveillance is executed at the source, at the destination, at a contractor facility, or on a government installation. In the case of a report delivered electronically, it is surveyed on the government installation. If it is a large report, the contractor can be required to deliver it on a DVD or post it to a given website.

When are the services being surveyed? The services being surveyed can be done during service execution, at the delivery point of an end product, at the source, or upon completion. Is the surveillance being executed once every two weeks, at the conclusion of a phase, when the COR is available (random or sporadic), on a specific date or in a specific area? This must be clearly stated and defined by the RA as appropriate. The verbiage is approved by the contracting office.

Why are the services and products being surveyed? The services and products are being surveyed for sufficiency and to protect the government. The government (the consumer) has the right to get what it has contracted for. If a substandard deliverable is received, the government has the right to take a deduction from the contractor's invoice for services and products or require a remedy. This fact must be stated in the pre-award phase for the contractor to be informed well in advance of the award. Note: the QASP is negotiable.

## C. REGULATION

### FAR Part 46.401 General.

“(a) Government contract quality assurance shall be performed at such times (including any stage of manufacture or performance of services) and places (including subcontractors’ plants) as may be necessary to determine that the supplies or services conform to contract requirements. Quality assurance surveillance plans should be prepared in conjunction with the preparation of the statement of work. The plans should specify—

- (1) All work requiring surveillance; and
- (2) The method of surveillance.

(b) Each contract shall designate the place or places where the government reserves the right to perform quality assurance.

(c) If the contract provides for performance of government quality assurance at source, the place or places of performance may not be changed without the authorization of the contracting officer.

(d) If a contract provides for delivery and acceptance at destination and the government inspects the supplies at a place other than destination, the supplies shall not ordinarily be reinspected at destination, but should be examined for quantity, damage in transit and possible substitution or fraud.

(e) Government inspection shall be performed by or under the direction or supervision of government personnel.

(f) Government inspection shall be documented on an inspection or receiving report form or commercial shipping document/packing list, under agency procedures (see [Subpart 46.6](#)).

(g) Agencies may prescribe the use of inspection approval or disapproval stamps to identify and control supplies and material that have been inspected for conformance with contract quality requirements.”

DFAR Part 246.102 Policy. “Departments and agencies shall also—

(1) Develop and manage a systematic, cost-effective government contract quality assurance program to ensure that contract performance conforms to specified requirements. Apply government quality assurance to all contracts for services and products designed, developed, purchased, produced, stored, distributed, operated, maintained, or disposed of by contractors.

(2) Conduct quality audits to ensure the quality of services and products meet contractual requirements.

(3) Base the type and extent of government contract quality assurance actions on the particular acquisition.

(4) Provide contractors the maximum flexibility in establishing efficient and effective quality programs to meet contractual requirements. Contractor quality programs may be modeled on military, commercial, national, or international quality standards.

**246.407 Nonconforming supplies or services.**

(f) If nonconforming material or services are discovered after acceptance, the defect appears to be the fault of the contractor, any warranty has expired and there are no other contractual remedies, the contracting officer—

(i) Shall notify the contractor in writing of the nonconforming material or services;

(ii) Shall request that the contractor repair or replace the material, or perform the services, at no cost to the government; and

(iii) May accept consideration if offered.”

Surveillance Methods include: Sampling, customer complaints, inspection/observation, and independent verification and validation.

Sampling—Checking and monitoring the services provided in no particular order and at no particular time other than COR opportunity, due to work schedule and commitments.

Validated Customer Complaints-Customer satisfaction measured through limited verified customer complaints, feedback and surveys.

Inspection/Observation-Operational monitoring can be done in person and by use of system statistics and logs generated with services output.

Independent verification and validation (IV&V)—used for testing new software including: verifying results to determine that requirements and specifications are met.

#### **D. APPLICATION**

With the federal regulations policy stated for the QASP; it is now the point of this research paper to state the QASP sections and to provide samples for different types of acquisitions for the TRADOC RA to use. The template at Appendix B is for the QASP provided by TRADOC Internal Review and Compliance (IRAC).The documents provided have been acquired from the FEDBIZOPS and may or may not have been used for award, but have been publicized. Remember, the QASP is a negotiable document. The following QASP documents are provided:

Surveillance methods must be clearly defined and the manner in which they will be used clearly stated. The government cannot deviate from these definitions when corrective action is to be required by the Contracting Officer. The RA is cautioned to use a time frame that is flexible yet sufficient for the surveillance. A documented COR file will be the best evidence if any questions arise during and after contractor performance. A standard form should be used for the same surveillance each and every time the contractor is surveyed. Maintain a copy of each surveillance action when executed.

Training is available for developing and writing the QASP. It is highly recommended to make the time to do training before starting the QASP document to understand the document, the requirement and the process. Table 4 reflects Quality Assurance training that is available. The Project Quality Assurance Handbook is an excellent source that can be downloaded for easy access. TRADOC Commanding General has established an Internal Review and Compliance office to assist the execution of the QASP and to audit contracts throughout the command.

**Table 4. QASP Training**

<b>School</b>	<b>Websites and Course Titles</b>
Army E-Learning	<a href="https://usarmy.skillport.com/skillportfe/main.action?content=search#">https://usarmy.skillport.com/skillportfe/main.action?content=search#</a> PROJ_10_A_02_BS_ENUS-Quality Assurance and Quality Control PROJ_0462-Project Quality Assurance (PMBOK 2000) PROJ_0562-Performing Quality Assurance and Control
DAU	<a href="http://icatalog.dau.mil">http://icatalog.dau.mil</a> CLC042-Predictive Analysis and Quality Assurance CLM103-Quality Assurance Auditing

The template for QASP in Word is attached in Appendix C.

## **IV. CONCLUSION**

This research paper was written to build a supplement for the TR 5-14 Acquisition Management and Oversight regulation. The RA personnel generate a requirements package to submit through a designated review process established in the regulation. Three of the required documents have been presented in this research paper.

TRADOC employees that write an acquisition package, for the purchase of a service or product, may write one once or twice in their career. Therefore, the goal of this research was to provide an overview, guidance and regulations for three of the required documents needed to obtain approval, recommendation, or certification from the Deputy Chief of Staff or the General Officer for their command.

While taking the Strategic Management MN4105 class, it was necessary to interview an SES or GO to discuss their top three strategic issues. This research paper answers one of the SES's strategic issues to improve the quality of the acquisition documents generated by TRADOC personnel. Educating personnel and providing templates will expedite and improve services and products received by and for TRADOC.

The attachments to this paper provide templates to assist the RA in completing the required documents for this critical task.

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## **LIST OF ATTACHMENTS**

- Attachment 1. Addendum A – Market Research Template**
- Attachment 2. Addendum B – Performance Work Statement Template**
- Attachment 3. Addendum C – Quality Assurance Surveillance Plan Template**

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## APPENDIX A. MARKET RESEARCH TEMPLATE

Market Research Template  
(Organization and title from TRADOC form 5-14-E)  
TRADOC G-8 Management Directorate at Ft Monroe, VA  
Office chairs for 20 desks and 20 conference room chairs

**1. Commerciality.** *Determination if product or service is commercial or non-commercial. See The Commercial Item Handbook, published in 2001 by the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics. Also: FAR Part 12, DFAR Part 212 and AFAR Part 5112.*

Product is commercially available per AFAR 5112. Note: product is available through public sources (OfficeMax, Staples, UNICOR and GSA schedules).

**2. Codes.** *Select appropriate North American Industry Classification System code (NAICS) at <http://www.census.gov/naics> and Federal Supply Classification code (FSC) at <http://www.drm.dla.mil/asset/fsclist.html>. The Standard Industrial Classification code (SIC) is replaced by NAICS.*

NAICS: 337214 – Chairs (except wood) office type, manufacturing  
FSC: 7110 - Office Furniture

**3. Source(s).** *Identify potential source(s) if known: emphasis should be placed on small businesses to include: Historically Underutilized Business Zone program (HUBZone), Certified 8(a) Business Development firms, Service Disabled Veteran Owned Small Business (SDVOSB) and other small business categories. Suggested search engines include: Central Contractors Registration (CCR) database at <http://www.bpn.gov/CCRSearch/Search.aspx>; Army Single Face to Industry (ASFI) at <http://acquisition.army.mil/asfi/>; historical acquisition documents if available, corporation/company homepages; and coworkers (government employees for current/relevant recent research on similar requirements.*

*Contractor Army goal is to use AbilityOne, HUBZone and 8(a) Certified Program Participant.*

*Step 1: search website selecting these type businesses under Socio-Economic Factors. The search results: None.*

*State: There are no AbilityOne, HUBZone or 8(a) firms registered with NAICS 337214.*

*Step 2: search website selecting no Socio-Economic Factors. CCR search results : 1676 firms.*

*Step 3: To narrow search I limit to state of Virginia. Results show 83 listed in order by DUNS number.*

*State:* There are 83 small business firms in Virginia registered under NAICS 337214.

*Step 4: To narrow further I selected other Socio-Economic Factors: SBA Certified Small Disadvantaged Business, Self-Certified Small Disadvantaged Business, Service Disabled Veteran Owned, Veteran Owned, Woman Owned: No results.*

*State:* There is no SBA Certified Small Disadvantaged Business, Self-Certified Small Disadvantaged Business, Service Disabled Veteran Owned, Veteran Owned, or Woman Owned firm with NAICS 337214.

*Step 5: Return to list of 83; select 3-5 contractors (suggest in local area to save on shipping or to shorten delivery time). Hint: If you click on the “Detail” to the left of the contractor’s CCR registration information will appear. Moving bar on right side down you will find POCs. Print this sheet for your records. Some contractors have a link to their website under the Electronic Business POC. Three types of POCs listed: Government Business; Past Performance; and Electronic Business.*

Assemble list for consideration. Execute further research by seeing if a catalog is available or a website for contractor is available. Note results in Market Research document even if your efforts resulted in no data. The fact you attempted, shows your efforts to compete requirement. Document this within the Market Research under Sources.

*Step 6:* Document each contact to include Company name, person spoken to, name and information acquired. Treat each contact equally asking same/similar questions. State results in a table or paragraph form. For service contracts: list services in left column, referencing paragraph in PWS. **Note: Contracting will compete prices requiring activity is to verify/provide sources only.**

	Contractor ABC	Contractor LMN	Contractor XYZ
20 Office Chairs			
20 Conference Chairs			

*Step 7:* Enter “Prepared by: Your name, job title, phone number and e-mail.

**4. Consolidation.** Determine if current requirement involves consolidation of requirements that were previously performed under contracts with two or more small businesses. If so, coordinate with the local Small Business Specialist and proceed in accordance with FAR 7.104(d)(1) and FAR 10.0001(c)(2). If not, identify as Not Applicable. If requirement is Information Technology contact G-6 for determination.

**5. Bundling and CICA bundling.** Determine if product or service has or will be bundled with other requirements. If not, identify as Not Applicable. This is usually an Army Contracting Command decision.

**6. Regulation or Law Requirement.** List the specific regulation(s) or law(s) pertaining to your requirement. i.e., Mandatory use of CHES contracts you would cite 04 May 2009 Memorandum from SAIS-GKP Subject: Use of Computer Hardware, Enterprise Software and Solutions (CHES) as the Primary Source for Procuring Commercial Information Technology Hardware and Software signed by Dean G. Popps, Acting Assistant Secretary of the Army.

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## APPENDIX B. PERFORMANCE WORK STATEMENT TEMPLATE

Performance Work Statement (PWS)

for

(ADD TITLE OF SERVICE)

(NOTE TO THE WRITER: YOU MUST TAILOR THE DOCUMENT FOR YOUR AGENCY BY INCLUDING YOUR UNIQUE REQUIREMENTS AND QUANTITIES FOR WORKLOAD ESTIMATES, IF NECESSARY. IF YOU REQUIRE SPECIFIC SURVEILLANCE TECHNIQUES YOU SHOULD ADD THEM TO THE APPROPRIATE SECTION.)

**PART 1**  
**GENERAL INFORMATION**

*The performance work statement defines the government's requirements in terms of the objective and measurable outputs. It should provide the vendor with answers to five basic questions: what, when, where, how many, and how well. It is important to accurately answer these questions in order to allow the vendor the opportunity to accurately assess resources required and risks involved.*

1.1 Description of Services/Introduction: The contractor shall provide all personnel, equipment, tools, materials, supervision, and other items and non-personal services necessary to perform \_\_\_\_\_ as defined in this Performance Work Statement except as Specified in Section C-3 as government furnished property and services at \_\_\_\_\_. The contractor shall perform to the standards in this contract.

1.2 Background: *(Complete as appropriate)*

1.3 Objectives: *(Add a few bullets stating what the basic services objective is)*

1.4 Scope: *(Usually a paragraph. i.e., This work involves or The contractor shall provide services for (insert the type of services will be providing). Services include (insert what is included in the services to be provided). The contractor shall accomplish (complete if applicable).*

1.5 Period of Performance: *(State period of performance and option years)* The period of performance shall be for one (1) Base Year of 12 months and two (2) 12-month option years. The Period of Performance reads as follows:

Base Year  
Option Year I  
Option Year II

The government reserves the right to extend the term of this contract at the prices set forth in Section B in accordance with the terms and conditions contained in clause 52.217-9 entitled, "Option to Extend the Term of the Contact".

1.6 General Information

1.6.1 Quality Control: *(If necessary)* The contractor shall develop and maintain an effective quality control program to ensure services are performed in accordance with this PWS. The contractor shall develop and implement procedures to identify, prevent, and

ensure non-recurrence of defective services. The contractor's quality control program is the means by which he assures himself that his work complies with the requirement of the contract. As a minimum, the contractor shall develop quality control procedures that address the areas identified in Technical Exhibit 1, "Performance Requirements Summary". After acceptance of the quality control plan the contractor shall receive the contracting officer's acceptance in writing of any proposed change to his QC system. ***(Add when the QC Plan is to be delivered)***

1.6.2 Quality Assurance: The government shall evaluate the contractor's performance under this contract in accordance with the Quality Assurance Surveillance Plan. This plan is primarily focused on what the government must do to ensure that the contractor has performed in accordance with the performance standards. It defines how the performance standards will be applied, the frequency of surveillance, and the minimum acceptable defect rate(s).

1.6.3 Government Remedies: The contracting officer shall follow FAR 52.212-4, "Contract Terms and Conditions-Commercial Items" or 52.246-4, "Inspection of Services-Fixed Price" for contractor's failure to perform satisfactory services or failure to correct non-conforming services.

1.6.4 Recognized Holidays: *(State if the contractor is or is not required to perform services on these days Holidays)*

New Year's Day	Labor Day
Martin Luther King Jr.'s Birthday	Columbus Day
President's Day	Veteran's Day
Memorial Day	Thanksgiving Day
Independence Day	Christmas Day

1.6.5 Hours of Operation/Place of Performance: The contractor is responsible for conducting \_\_\_\_\_ between the hours of (insert appropriate hours for your organization here) Monday thru Friday except Federal holidays or when the government facility is closed due to local or national emergencies, administrative closings, or similar government directed facility closings. The contractor must at all times maintain an adequate work force for the uninterrupted performance of all tasks defined within this statement of work when the government facility is not closed for the above reasons. When hiring personnel, the contractor shall keep in mind that the stability and continuity of the work force are essential. ***(Or whatever hours your requirement calls for AND add where the place of performance is, if necessary)***

1.6.6 Type of Contract: The government anticipates award of a \_\_\_\_\_.

1.6.7 Security Requirements: *(Indicate the level of security required, if necessary. If a DD254 is required the unit security monitor should initiate a DD 254 that will become an attachment to this PWS).*

1.6.7.1 PHYSICAL Security. The contractor shall be responsible for safeguarding all government property provided for contractor use. At the close of each work period, government facilities, equipment, and materials shall be secured.

1.6.7.2 Key Control. *(If Necessary)* The contractor shall establish and implement methods of making sure all keys/key cards issued to the contractor by the government are not lost or misplaced and are not used by unauthorized persons. NOTE: All references to keys include key cards. No keys issued to the contractor by the government shall be duplicated. The contractor shall develop procedures covering key control that shall be included in the Quality Control Plan. Such procedures shall include turn-in of any issued keys by personnel who no longer require access to locked areas. The contractor shall immediately report any occurrences of lost or duplicate keys/key cards to the Contracting Officer.

1.6.7.2.1. In the event keys, other than master keys, are lost or duplicated, the contractor shall, upon direction of the Contracting Officer, re-key or replace the affected lock or locks; however, the government, at its option, may replace the affected lock or locks or perform re-keying. When the replacement of locks or re-keying is performed by the government, the total cost of re-keying or the replacement of the lock or locks shall be deducted from the monthly payment due the contractor. In the event a master key is lost or duplicated, all locks and keys for that system shall be replaced by the government and the total cost deducted from the monthly payment due the contractor.

1.6.7.2.2. The contractor shall prohibit the use of government issued keys/key cards by any persons other than the contractor's employees. The contractor shall prohibit the opening of locked areas by contractor employees to permit entrance of persons other than contractor employees engaged in the performance of assigned work in those areas, or personnel authorized entrance by the Contracting Officer.

1.6.7.3 Lock Combinations. *(If necessary)* The contractor shall establish and implement methods of ensuring that all lock combinations are not revealed to unauthorized persons. The contractor shall ensure that lock combinations are changed when personnel having access to the combinations no longer have a need to know such combinations. These procedures shall be included in the Contractor's Quality Control Plan.

1.6.7.4 Conservation of Utilities. The contractor shall instruct employees in utilities conservation practices. The contractor shall be responsible for operating under conditions that preclude the waste of utilities, which include turning off the water faucets or valves after using the required amount to accomplish cleaning vehicles and equipment.

1.6.8 Special Qualifications: *(Insert any special certification requirements for employees if deemed appropriate i.e., The contractor is responsible for ensuring all employees possess all required licenses for operating\_\_\_\_\_used in the execution of this contract).*

1.6.9 Post Award Conference/Periodic Progress Meetings: The contractor agrees to attend any post award conference convened by the contracting activity or contract administration office in accordance with Federal Acquisition Regulation Subpart 42.5. The contracting officer, Contracting Officers Representative (COR), and other government personnel, as appropriate, may meet periodically with the contractor to review the contractor's performance. At these meetings the contracting officer will apprise the contractor of how the government views the contractor's performance and the contractor will apprise the government of problems, if any, being experienced. Appropriate action shall be taken to resolve outstanding issues. These meetings shall be at no additional cost to the government.

1.6.10 Contracting Officer Representative (COR): The (COR) is identified below:

*(Insert the name and address, phone number, fax and e-mail address of the COR)*

The COR monitors all technical aspects of the contract and assists in contract administration. The COR is authorized to perform the following functions: assure that the contractor performs the technical requirements of the contract: perform inspections necessary in connection with contract performance: maintain written and oral communications with the contractor concerning technical aspects of the contract: issue written interpretations of technical requirements, including government drawings, designs, specifications: monitor contractor's performance and notifies both the Contracting Officer and contractor of any deficiencies; coordinate availability of government furnished property, and provide site entry of contractor personnel. A letter of designation issued to the COR, a copy of which is sent to the contractor, states the responsibilities and limitations of the COR, especially with regard to changes in cost or price, estimates or changes in delivery dates. The COR is not authorized to change any of the terms and conditions of the resulting order.

1.6.11 Contract Manager: The contractor shall provide a contract manager who shall be responsible for the performance of the work. The name of this person and an alternate who shall act for the contractor when the manager is absent shall be designated in writing to the contracting officer. The contract manager or alternate shall have full authority to act for the contractor on all contract matters relating to daily operation of this contract.

1.6.12 Identification of Contractor Employees: All contract personnel attending meetings, answering government telephones, and working in other situations where their contractor status is not obvious to third parties are required to identify themselves as such to avoid creating an impression in the minds of members of the public that they are government officials. They must also ensure that all documents or reports produced by contractors are suitably marked as contractor products or that contractor participation is appropriately disclosed. *(Indicate if contractor personnel will be required to obtain and wear badges in the performance of this service)*

**PART 2**  
**DEFINITIONS AND ACRONYMS**

*(This section includes all special terms and phrases used in the PWS. The definition must clearly establish what is meant. Each definition provided should be carefully considered, for that definition becomes binding for all requirements in the contract. This section should also contain a complete listing of all acronyms used, giving both the acronyms and the words represented by the acronym).*

PWS – Performance Work Statement

Contracting Officer’s Representative (COR): A representative from the requiring activity assigned by the Contracting Officer to perform surveillance and to act as liaison to the contractor

CCE– Contracting Center of Excellence

Defective Service. A service output that does not meet the standard of performance associated with it in the Performance Work Statement.

Quality Assurance Surveillance Plan (QASP). An organized written document specifying the surveillance methodology to be used for surveillance of contractor performance.

Quality Control. Those actions taken by a contractor to control the performance of services so that they meet the requirements of the PWS.

Quality Assurance. Those actions taken by the government to assure services meet the requirements of the Performance Work Statement.

***IF YOU ARE DOING A TIME AND MATERIALS OR LABOR HOURS CONTRACT THE BELOW DEFINITION MUST BE INCLUDED AND TAILORED TO YOUR ACQUISITION IF NECESSARY:***

Best Effort: That effort expended by the contractor to perform within the awarded ceiling price all work specified in this task order (TO) and all other obligations under this TO and the basic contract. This effort includes providing required qualified personnel, properly supervised, and following industry accepted methodologies and other practices. The effort is further characterized by operating at all times with the government’s best interest in mind, using efficient and effective methods, and demonstrating sound cost control. The effort must be identical to the effort that would be expended if this were a firm-fixed price TO and the contractor’s profits were dependent upon reducing costs while meeting the government’s requirements in terms and quality and schedule. Failure to provide this required effort may result in the withholding of payment for hours expended that do not qualify as best effort or a reduction in the rate per hour to reflect decreased value of services received.

### **PART 3**

#### **GOVERNMENT FURNISHED PROPERTY, EQUIPMENT, AND SERVICES**

*(If the government is to provide any property, services, or information to the contractor, this section is used to describe what will be provided. If the list or lists are fairly extensive, they should be made into a technical exhibit or attachment. COMPLETE AS APPROPRIATE).*

3.1 GENERAL: The government shall provide, the facilities, equipment, materials, and/or services listed below.

3.2 Equipment: The government will provide :

3.3 Services:

3.3.1 Utilities. All utilities in the facility will be available for the contractor's use in performance of duties outlined in this PWS. The contractor shall instruct employees in utilities conservation practices. The contractor shall be responsible for operating under conditions that preclude the waste of utilities.

3.4 Facilities: The government will furnish the necessary workspace for the contractor staff to provide the support outlined in this PWS to include desk space, telephones, computers and other items necessary to maintain an office environment.

**PART 4**  
**CONTRACTOR FURNISHED ITEMS AND SERVICES**

*(In this section, describe property or services that the contractor shall provide. Complete as appropriate).*

4.1 General: Except for those items specifically stated to be government furnished in Part 3, the contractor shall furnish everything required to perform this PWS.

*(If applicable state if the contractor needs any kind of facility clearance)*

4.2 Secret Facility Clearance: The contractor shall possess or be eligible to receive and maintain a SECRET facility clearance from the Defense Security Service. The contractor's employees, performing work in support of this contract shall have been granted a SECRET security clearance from the Defense Industrial Security Clearance Office. \_\_\_\_\_

**PART 5**  
**SPECIFIC TASKS**

*(Specific tasks are the heart of the Statement of work). This section defines how the contracting effort fits within the existing or intended customer environment both technically and organizationally. Examples of items to include here are a detailed description of the services required and other pertinent information.*

5.1 BASIC SERVICES. The contractor shall provide services for (insert the services to be provided by the contractor).

**PART 6**  
**APPLICABLE PUBLICATIONS**

6.1 Publications applicable to this PWS are listed below. The publications must be coded as mandatory or advisory, the date of the publication, and what chapters or pages are applicable to the requirement. All publications listed are available via the Internet at the specified e-mail address.

## TECHNICAL EXHIBIT 1

### Performance Requirements Summary

The contractor service requirements are summarized into performance objectives that relate directly to mission essential items. The performance threshold briefly describes the minimum acceptable levels of service required for each requirement. These thresholds are critical to mission success.

PERFORMANCE REQUIREMENT SUMMARY (PRS) – VEHICLE OPERATIONS							
Specification Item	Performance Objective	Performance Standard (Minimum Acceptable Standard) (MAS)	Method of Surveillance		Deduction from Contract Price for Not Meeting the MAS	Sample Size	Frequency
Operate Taxi	Customer must be picked up within 4 minutes of the agreed upon time.	95%	XXXXXX	19.2%		XXXXXX	XXXXXX

Types of Surveillance to select from:

Random Sampling: Appropriate for frequently recurring tasks. Evaluate randomly selected samples of the lot to determine the acceptability of the entire lot.

Random Inspection Guide, Method of surveillance, Lot size, Sample size, Performance requirement, Sampling procedure, Inspection procedure

100 Percent Inspection: Appropriate for tasks that occur infrequently. Inspect and evaluate performance each time task is performed

Periodic Surveillance: Evaluation of samples selected on other than 100% or statistically random basis. (i.e., monthly, quarterly, semi-annually etc.)

Validated Customer Complaint: Complaints must be validated.

**NOTE: You may also use any surveillance method used in the commercial market to survey the required service. (This will be discovered when market research is conducted).**

## TECHNICAL EXHIBIT 2

### DELIVERABLES SCHEDULE

*(A deliverable is anything that can be physically delivered but may include non-physical things such as meetings).*

<u>Deliverable</u>	<u>Frequency</u>	<u># of Copies</u>	<u>Medium/Format</u>	<u>Submit To</u>
<b>(Indicate PWS paragraph number)</b>	<b>(by the 5<sup>th</sup> of every month or within 30 days of contract award)</b>		<b>(May be paper or CD in MS Word)</b>	

**TECHNICAL EXHIBIT 3**  
**ESTIMATED WORKLOAD DATA**

*(Sample for the PWS Part 5 above)*

ITEM	NAME	ESTIMATED QUANTITY	
1		_____	
2		_____	
3		_____	
4		_____	
5		_____	

(NOTE: ADD OTHER WORKLOAD DATA AS CONSIDERED APPROPRIATE.)

## **APPENDIX C. QUALITY ASSURANCE SURVEILLANCE PLAN TEMPLATE**

**(i) Sample Quality Assurance Surveillance Plan (QASP)**

For

**Reviewed By:**

---

**Requiring Activity**

**Approved By:**

---

**Contracting Officer**

### **INTRODUCTION**

**1.1. Purpose.** The role of the government in quality assurance is to ensure contract standards are achieved. The purpose of the QASP is to identify the methods and procedures the government will use to evaluate contractor actions while performing the requirements in the Performance Work Statement (PWS). It is designed to provide an effective surveillance method by monitoring contractor performance for each listed performance objective in the Performance Requirements Summary (insert service) contract.

**1.1.1.** The QASP provides a systematic method to evaluate the services the contractor is required to furnish. The QASP is based on the premise the government desires to maintain a quality standard for (insert service) and that a service contract is the best means of achieving that objective.

**1.1.2.** The QASP has been developed by the requiring activity. It is designed to provide direction to personnel performing contract surveillance activities. Personnel surveying the contract terms and conditions and SOW requirements will periodically *review the QASP throughout the life of the contract.*

## **2.0. ROLES AND RESPONSIBILITIES.**

**2.1. Contracting Officer Representative (COR).** The COR is responsible for quality assurance guidance and to ensure that contract quality requirements, provision, standards, and thresholds are defined, practical, enforceable, necessary, and verifiable.

**2.1.1.** The COR evaluates and documents contractor performance in accordance with the QASP and PWS.

**2.1.2.** The COR notifies the Contracting Officer of any significant performance deficiencies.

**2.1.3.** The COR maintains surveillance documentation

**2.1.4.** The COR recommends improvements to the QASP and PWS throughout the life of the contract.

**2.2. Contracting Officer (KO).** The Contracting Officer is responsible to safeguard the interests of the United States in contractual relationships. Only the contracting officer is authorized to bind the government and then, only to the extent of the authority delegated to them through the issuance of a warrant.

**2.2.1.** The KO delegates authority for inspection and/or acceptance in accordance with terms of the contract.

**2.2.2.** The KO informs the contractor of the names, duties, and limitations of authority for all quality assurance personnel assigned to the contract.

### 3.0. DESCRIPTION OF SERVICES

- (a) **3.1. Scope of Work.** *The contractor shall provide all personnel, equipment, tools, materials, vehicles, supervision, and other items necessary to provide Deputy Director, Acquisition Career Management, Programs and Initiatives Support as defined in the Performance Work Statement (PWS).*

### 4.0. QUALITY REQUIREMENTS

**4.1. Quality Control Program.** The contractor, not the government, is responsible for management and quality control actions to meet the terms of the contract.

**4.1.1.** The quality control program is the driver for quality. The contractor is required to develop a comprehensive program of inspections and monitoring actions. The first major step to ensuring a “self-correcting” contract is to ensure that the quality control program, approved at the beginning of the contract, provides the measures needed to lead the contractor to success.

**4.1.4.** Once the quality control program is accepted, careful application of the process and standards presented in the remainder of this document will ensure a robust quality assurance program.

### 5.0. SURVEILLANCE

**5.1. Surveillance Schedule.** The Contracting Officer Representative (COR) will develop a surveillance schedule. Copies of the schedule shall be sent to the contract administrator five calendar days prior to the start of the month. The schedule shall be marked “FOR OFFICIAL USE ONLY”. Changes to the surveillance schedule will be posted and copies sent to the contract administrator. Include documentation regarding reason for changes.

**5.2. Surveillance Methods.** This QASP will incorporate (insert surveillance methods to be used) as the approach to insure the contractor complies with the PWS requirements. Re-performance is the preferred method of correcting any unacceptable performance.

**5.2.1. Validated Customer Complaint.** Contract tasks will be surveilled using this surveillance method. Anyone who observes unacceptable services, either incomplete or not performed, should immediately contact the COR. The COR will conduct an investigation to determine the validity of the complaint. If the COR determines the complaint to be valid, the COR will document the findings and

notify the customer and the contractor. The COR will retain the annotated copy of the written complaint for the government's files. If the complaint is valid, the contractor will be given four hours to correct the defect.

**5.2.1.1.** The COR should inform the customer the approximate time the defect will be corrected and advise the customer to contact the COR if the defect is not corrected. The COR will consider the customer complaint resolved unless notified otherwise by the customer.

**5.2.1.2.** The contractor shall return the written customer complaint document to the COR, completed with the actions taken to correct the defect. The government will retain this document to ensure the contractor has taken appropriate action(s) to prevent the recurrence of defects. The COR will retain and file the complaint form. At the end of each month, all validated complaints will be counted to determine if performance is satisfactory or unsatisfactory based on the criteria in the Performance Requirements Summary.

**5.2.2. Periodic Surveillance:** (insert PRS#(s)) will be surveilled using periodic surveillance method of surveillance.

**5.2.3. 100% Inspection:** (insert PRS(s)#) will be surveilled using this method of surveillance.

**5.3. Surveillance Team.** The surveillance team consists of the following key players: Contracting Officer Representative, Contracting Officers, and Contract Administrators.

**5.4. Unacceptable Performance.** If the number of complaints/defects exceeds the performance threshold for any objective, the COR will determine the possible cause of this unacceptable performance. Government-caused complaints/defects shall not be counted against the contractor. The same applies to any other requirement of the contract when government-caused complaints/defects are the cause of unacceptable contractor performance. If the contractor's performance is judged unacceptable for any requirement in the by COR, COR will inform the contractor's on-site representative, and request his or her signature and date of surveillance on documentation acknowledging notification. If the on-site contractor representative refuses to sign, COR personnel shall annotate on the documentation the date and time of notification and name of representative and his/her refusal to acknowledge. If the contractor disputes the results of surveillance, COR must refer the contractor to the contracting officer for resolution.

**5.5. Revisions.** Revisions to this QASP are the joint responsibility of the requiring activity and the contracting office. However as a result of partnering with the contractor, surveillance checklists may be revised jointly by COR personnel and contractor personnel. The contracting officer must approve the revisions in writing before being used by COR personnel.

## **6.0. DOCUMENTATION REQUIREMENTS.**

**6.1.** The Contracting Officer Representative is responsible for maintaining a Surveillance Folder at a designated location. The following information should be contained in the Surveillance Folder:

**6.1.1.** QASP

**6.1.2.** Contractor's Quality Control Plan

**6.1.3.** Activity Log. A chronological log of the actions taken in the accomplishment of quality assurance.

**6.1.4.** Contract. Applicable portions of the contract and PWS, modifications, and delivery orders.

**6.1.5.** Appointment Letters and Training Certificates of the COR

**6.1.6.** Certification of Services Documentation

**6.1.7.** Surveillance Checklists

**6.1.8.** Quality Assurance Surveillance Schedules

**6.1.9.** Corrective Action Request Log

**6.1.10.** Corrective Action Requests

**6.1.11.** Monthly Surveillance Status Reports

**6.1.12.** Minutes/Memo's/Miscellaneous Correspondence

## **7.0. SECTION 7 PERFORMANCE REQUIREMENTS SUMMARY (PRS)**

**7.1. Overview.** This PRS summary identifies critical success factors for the contract. It identifies both the performance objectives for those factors and the performance

threshold required for each performance objective. The government reserves the right to surveil all services called for in the contract to determine whether or not the performance objectives and goals were met. This PRS;

**7.1.1.** Lists the performance objectives for the required service that the government will surveil.

**7.1.2.** The absence of any contract requirement from the PRS shall not detract from its enforceability nor limit the rights or remedies of the government under any other provision of the contract including the clauses entitled “Inspection of Services” and “Default”.

**7.1.3.** Will be used as the baseline to develop a QASP. The QASP will identify the surveillance methods the government will use to evaluate the contractor’s performance.

**7.1.4.** Surveillance methods may include:

**7.1.4.1.** Insert surveillance methods here

**7.1.4.2.** Methods of surveillance can change after contract award based on, but not limited to:

**7.1.4.2.1.** Acceptance of a contractor QC plan.

**7.1.4.2.2.** A partnering agreement which established the metrics to be used.

**7.1.4.2.3.** Contractor performance.

**7.2. Performance Evaluation.** Performance of a service will be evaluated to determine whether or not it meets the performance threshold. Re-performance is the preferred method of correcting any unacceptable performance. The contractor shall provide the government written response why the performance threshold was not met, how performance will be returned to acceptable levels, and how recurrence of the cause will be prevented in the future.

### **7.3. Performance Requirements Summary**

#### **PRS #1**

**PERFORMANCE OBJECTIVE (Service):**

**STANDARD:**

**PERFORMANCE THRESHOLD:**

**SURVEILLANCE:**

**PROCEDURES:**

**FAILURE TO PERFORM:**

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