

QUALITY ASSURANCE SURVEILLANCE PLAN
FOR
COMPREHENSIVE HEALTH COMMUNICATIONS AND
IMPLEMENTATION PROGRAM

AGENCY FOR HEALTHCARE RESEARCH AND QUALITY
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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CHAPTER 1 BACKGROUND

1.1 INTRODUCTION

The Quality Assurance Surveillance Plan (QASP) supports the Statement of Work (SOW) for the Comprehensive Health Communications and Implementation Program functions that are being solicited by the Agency for Healthcare Research and Quality (AHRQ) under the Commercial Activities (A-76) Program. The QASP has been designed to motivate the Service Provider (SP) to strive for excellent performance in all areas of the SOW.

1.2 PURPOSE

The QASP has been developed to implement the Government's quality assurance program. The plan provides surveillance of the services provided by the SP to ensure that they are done according to the specified performance requirements.

1.3 OBJECTIVE

The objective of the QASP is to evaluate the performance of the SP in the delivery of Comprehensive Health Communications and Implementation Program Services. The primary interest of the Government is the final quality of the services provided by the SP, not the details of how the services are provided.

The QASP provides the means for the surveillance of the SOW requirements with a combination of surveillance methods. Methods of surveillance are established for providing surveillance and gathering and validating customer comments of the task requirements stated in the SOW. The QASP provides the methods for documenting sampling plans and observations and reporting the results of surveillance to the Contracting Officer (CO).

1.4 FORMAT

The QASP has nine chapters including:

Number	Title	Purpose
Chapter 1	Background	Describes the intent and contents of the plan.
Chapter 2	Use of the QASP	Provides an explanation of the overall purpose of the QASP and the roles of the QAE and CO.
Chapter 3	Surveillance	Provides the methodologies for the surveillance.
Chapter 4	Evaluation	Provides the methodologies for the evaluation.
Chapter 5	Customer Service	Describes customer service as a surveillance method and provides the procedures for documenting and validating customer comments.
Chapter 6	Reporting	Describes the methods for reporting results to the CO.
Chapter 7	Deficiency Notification	Provides guidance to be followed for the correction of unsatisfactory performance of work and the improvement of performance.
Chapter 8	Surveillance Adjustment	Provides considerations for the increase or decrease of surveillance depending upon the performance of the Service Provider.
Chapter 9	Master Task List	Provides the Task List, Workload, and Performance Standards defined in the SOW.

CHAPTER 2 USE OF THE QASP

2.1 INTRODUCTION

The Quality Assurance Surveillance Plan consists of guidelines for Performance Surveillance, Customer Service Evaluation, Reporting, Deficiency Notification, and Surveillance Adjustment. The primary surveillance staff will consist of the Contracting Officer (CO), Contracting Officer's technical representatives, henceforth designated as POs, and the Quality Assurance Evaluator (QAE).

2.1.1 Contracting Officer

The CO has overall responsibility for all aspects of the SOW and is the primary focal point for formal Government/SP interface. The primary function of the CO with regard to the surveillance activity is to authorize changes to the SOW. In accordance with Federal Acquisition Regulation (FAR) 42.302(a)(57), the CO also delegates specific surveillance tasks and authorities by formal letter to the POs and QAE.

The CO will rely on the POs and QAE to provide information and recommendations regarding the quality of the SP work actually performed, or not performed, as the case may be. The CO is responsible for ensuring the completion of all work in accordance with the SOW. The primary means of accomplishing this is through the surveillance and inspection program outlined in the QASP.

2.1.2 Contracting Officer's Representative

The POs are the technical experts for the SP's execution of the responsibilities listed in the SOW and may respond to questions by the SP and customers. The POs must take the lead under the guidance and direction of the CO to determine that work being performed fulfills the needs of customers in accordance with the SOW specifications. The POs' responsibility is to monitor and inspect, report, and make recommendations to the CO. The POs provide assistance to the CO in areas such as approving SOW plans and reports.

2.1.3 Quality Assurance Evaluator

The Government monitors work performance through the services of QAEs. (Note: The performance of a QAE need not be a primary duty, but may, instead, be performed by an existing supervisor, especially in a function so specialized and small in scope.) The QAE documents surveillance activities, initiates requests for and evaluates adequacy of corrective action, and reports on SP performance. The QASP is the basic working document that pertains to QAEs.

QAEs must have expertise in their areas of responsibility and most importantly the complete knowledge of the content and intent of their respective area of the SOW. QAEs must be trained and qualified in appropriate sampling and surveillance techniques. This is important in order to maintain the degree of objectivity necessary for valid, unbiased sampling.

2.2 USING THE PLAN

The QASP provides the methods for surveillance of the SP. The QAE uses these methods to develop the Sampling Plan and to determine specific sampling requirements.

The QAE uses the Surveillance Guides (Chapter 3) to develop the Sampling Plan prior to the start of each sampling period. The sampling period begins the first business day of the

month and continues to the last business day of the month. The Sampling Plan will be coordinated with the POs/CO. The Sampling Plan can be tailored at the task level, functional area level, or at the total SOW level to provide the degree of surveillance considered adequate by the QAE.

The Sampling Plan will be developed and documented as requested by the CO. A copy of the Sampling Plan will be submitted to the CO no later than the fifth working day of the sampling period.

The QAE will develop the Sampling Plan by considering the method of surveillance, task requirements, and lot size (workload). Sample sizes are determined by the quantity of work for the period and the level and method of surveillance. Sample size requirements will be defined under the Surveillance Methodologies provided at the end of the Surveillance Guides.

The QAE will develop the Sampling Plan by selecting tasks, areas, and times for observing performance. Documentation will be done using the Sampling Plan forms provided in Enclosure 2-1.

The QAE will follow the Sampling Plan to monitor organization activities. Task requirements and performance standards are defined in the Master Task List (Chapter 9). Monitoring will consist of observations of tasks performed by the SP. The results of the observations will be documented using the Observation Record forms provided in Enclosure 2-2. The QAE will use the results of the surveillance to prepare the Evaluations in Chapter 4. These Evaluations in Chapter 4 will be prepared on a quarterly basis and submitted as part of the Quarterly Report. The QAE will also use customer complaints to support the surveillance of the SOW. Methods and procedures to document and validate complaints are provided in Chapter 5. Reports will be prepared as defined in Chapter 6.

Procedures to notify the SP when work required by the SOW has not been performed, or work performed by the SP does not meet the set performance requirements, are described in Chapter 7.

Considerations for Surveillance Adjustments due to continued satisfactory or unsatisfactory performance by the Service Provider are described in Chapter 8.

CHAPTER 3 SURVEILLANCE

3.1 INTRODUCTION

The primary function of the QAE is to perform surveillance of the AHRQ's Comprehensive Health Communications and Implementation Program (CHCIP) Services. Since surveillance must be conducted in an efficient and accurate manner, defined procedures have been established for planning, scheduling, conducting, and documenting surveillance activities.

Surveillance is based upon Methods of Surveillance and Surveillance Guides that will establish the scope and procedures for the performance of surveillance.

3.2 METHODS OF SURVEILLANCE

Observation techniques include 100% Inspections, Random Sampling, Incidental Observations, and Customer Service (Satisfaction Surveys, Complaints).

3.2.1 100% Inspections

100% Inspection is an evaluation method that requires complete inspection of a quantity of work by the QAE. 100% Inspections will involve work performed for the specific surveillance period; month, quarter, or year or on an "as required" basis. 100% Inspection is used when the service is considered critical and/or the quantity of work is relatively small.

3.2.2 Random Sampling

Random sampling is a surveillance method whereby a part, but not all, of the SP's performance is evaluated. In random sampling, each occurrence has an equal chance of being selected for evaluation. The SP does not know which occurrences will be evaluated; consequently all must be done correctly. As a result, the QAE need only make a limited number of observations from which to project the quality of the entire quantity of work.

Random sampling is preferred when QAE resources are limited, the quantity of work is large and relatively homogeneous, services occur continuously or frequently, and/or well-documented records are available for use in the evaluation. Random sampling provides a non-biased, comprehensive evaluation of the SP's performance with an efficient use of QAE time.

The random selection methodology must be documented to establish an audit trail defining how sample requirements were determined. There are two types of random sampling:

- *Standard Random Sampling* consists of sample selection using procedures defined in the American National Standard Sampling Procedures and Tables for Inspection by Attributes (ANSI/ASQC Z1.4-1993). The Sample Size Table can be found in Table 3-1. The American National Standard has replaced MIL-STD-105E, previously used for the government's random sampling requirements. Sampling requirements are determined by using a random number table.
- *Modified Random Sampling* consists of choosing samples from a sample set in a manner that does not represent a predefined method. For example, the QAE may take a pile of Press Releases, shuffle them, and take the first fifteen releases for review.

3.2.3 Incidental Observations

Incidental observations are defined as those surveillance occurrences that are not part of the Sampling Plan, and therefore are not documented.

3.2.4 Customer Service (Satisfaction Surveys, Complaints)

Customer Service (Satisfaction Surveys and Complaints) relies on feedback from those receiving services from the SP. The feedback is used as a basis for determining performance. The QAE will initiate Customer Satisfaction surveys related to one or more tasks being performed by the SP. A publicized customer complaint program is established to inform customers of their responsibility for reporting performance that does not meet the standards of performance. The program may also include observations, and random sampling of customer service. The QAE investigates each customer complaint and validates the accuracy before taking any action.

3.3 USE OF THE SURVEILLANCE GUIDES

The QAE will develop a Sampling Plan using the information provided in the Surveillance Guides to be developed. Enclosure 3-1: Surveillance Guide Outline. The QAE will also apply subjective judgment regarding the needs for surveillance. The Sampling Plan will include the Surveillance Methodology, Tasks Selected, Lot Size, Sample Size and Methodology, and Sampling Dates. Surveillance should ideally cover all required hours of the operation. The Sampling Plan should be adequate to provide sufficient information for the QAE to justify the evaluation for each task. Suggested formats for the documentation of the Sampling Plan are provided.

3.4 SURVEILLANCE ACTIVITY

Surveillance activity must be performed in accordance with the Sampling Plan. The results of the observations made during surveillance are to be documented on the Observation Record form. There should be a complete audit trail from the Sampling Plan, to the performance of surveillance, to the completion of the observation records. An auditor or inspector general must be able to completely track the surveillance items.

The QAE will record all surveillance observations, inspection results, and actions taken on the appropriate documents and will retain these documents for the term of the contract.

CHAPTER 4 EVALUATION

4.1 INTRODUCTION

On a monthly and quarterly basis, the QAE will perform several evaluations including the Performance Evaluation, Technical Management Evaluation, Business Management Evaluation, and Quality Control Evaluation.

4.2 PERFORMANCE EVALUATION

Each month the QAE will use the results of the surveillance activities performed during the month to complete a summary Performance Evaluation of Quality of Work, Timeliness of Work, and Technical Data Requirements. The QAE will complete the Performance Evaluation by consolidating the results from the specific monthly surveillance activities. The summary performance evaluation will identify those performance standards the Service Provider has met and those performance standards the Service Provider has not met. The QAE will provide an overall evaluation of the Service Providers performance based on these results.

4.3 TECHNICAL MANAGEMENT EVALUATION

4.3.1 General Management

Each quarter the QAE will complete an evaluation of the General Management aspects of activities performed by the SP. The results of the surveillance and other information obtained during the performance of surveillance activities will be used in the preparation of the evaluation. The evaluation will be documented by completing the General Management Worksheet provided as Enclosure 4-1. The results of the evaluation will be included as a consideration in completing the subjective evaluation of Staffing and Personnel as part of the Technical Management Evaluation.

4.3.2 Technical Management Evaluation

Each quarter the QAE will also use the results of the surveillance to complete a subjective Technical Management Evaluation of Staffing and Personnel, Efficiency, and Problem Resolution and Communication. The QAE will complete the Technical Management Evaluation by evaluating the criteria statements. A copy of the Technical Management Evaluation is provided as Enclosure 4-2.

4.4 BUSINESS MANAGEMENT EVALUATION

Each quarter the QAE will also use the results of the surveillance to complete a subjective Business Management Evaluation of Government Furnished Property, Equipment and Facilities, Management/Employee Programs, and Cost Control; however, only those items that are applicable to the work defined in the SOW will be used in the Business Management Evaluation. The QAE will complete the Business Management Evaluation by evaluating the criteria statements. A copy of the Business Management Evaluation is provided as Enclosure 4-3.

4.5 QUALITY CONTROL EVALUATION

The QAE will complete a quarterly evaluation of the SP's Quality Control Program. The evaluation will include a subjective assessment of program implementation; corrective action; and documentation and records. The QAE will evaluate the criteria statements for each

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section of the Quality Control Evaluation (Enclosure 4-4) in completing the overall evaluation of the Service Provider's Quality Control Plan and process.

CHAPTER 5 CUSTOMER SERVICE

5.1 INTRODUCTION

Customer service provides valuable feedback and methods of surveillance for performance requirements. The QAE must carefully plan each method of receiving and documenting customer feedback, including both positive feedback and negative feedback (complaints). Customer service may be used as the primary method of surveillance for certain performance requirements and as a secondary method of surveillance for other performance requirements. The performance requirements with customer service as the primary method of surveillance, if any, are identified in the Surveillance Guides.

The QAE should be proactive in soliciting feedback from customers and should educate customers on the proper methods of completing a Customer Satisfaction Form, a Customer Complaint Form, and a Customer Comment Form.

5.2 CUSTOMER SERVICE PROGRAM

The QAE will establish a proactive program to provide education to customers receiving service regarding their input on SP performance. At a minimum, the education process should include the work requirements as defined by the SOW and the criteria for acceptable work. The education also should include the proper preparation of a Customer Satisfaction Form, a Customer Complaint Form, and a Customer Comment Form and instructions for submission of completed forms to the QAE. Customers should submit the Customer Comment form as soon as possible following work performance. A copy of a Customer Comment Form is provided as Enclosure 5-1.

5.3 VALIDATION OF COMMENTS

Upon receipt of a completed Customer Complaint Form or a Customer Comment Form, the QAE will document the complaint or comment on the Customer Comment Log, provided as Enclosure 5-2.

The QAE will validate each complaint or comment. For complaints, the QAE will investigate to verify whether the SP met the performance requirements of the RD. The QAE will document the results of the investigation on the Customer Complaint Form and will note the disposition date on the Customer Comment Log.

5.4 CUSTOMER SATISFACTION SURVEY

The QAE will periodically conduct Customer Satisfaction surveys. The QAE will perform these surveys in order to collect feedback from those who have received various CHCIP services. These surveys will focus on the specific performance standards listed in the Performance Requirements Summary of the SOW.

CHAPTER 6 MONTHLY AND QUARTERLY REPORTS

On a monthly basis, the QAE will submit a report covering the results of those surveillance activities performed to assess the Quality of Work, Timeliness of Work, and Technical Data Requirements.

On a quarterly basis, the QAE will submit to the CO the Reports Package and the Quarterly Evaluation Worksheet. The QAE will enter the subjective evaluation based on the rating criteria on the Quarterly Evaluation Worksheet for the Performance Evaluation, Business Management Evaluation, Technical Management Evaluation, and Quality Control Evaluation. The Quarterly Evaluation Worksheet will be submitted electronically.

CHAPTER 7 DEFICIENCY NOTIFICATION

7.1 INTRODUCTION

The QAE will notify the SP when the observation of activities indicates that the SP has not performed work required by the SOW or that work has not met the set performance standards and requires correction by the SP. The deficiency notification can be provided in the form of a validated Customer Complaint or Comment Form (Enclosure 5-1) or Notification of Performance or Corrective Action Form, provided as Enclosure 7-1.

The CO will issue a Contract (i.e. performance) Deficiency Report when SP performance is unsatisfactory. Note: This formal feedback is used whether the SP is government or contractor.

7.2 CUSTOMER COMMENT FORM

The Customer Comment Form is discussed in Chapter 5. The QAE will provide a copy of the Customer Comment Form to the SP and require the SP to complete the section on “Action Taken by SP.”

7.3 NOTIFICATION OF PERFORMANCE OR CORRECTIVE ACTION

The QAE will prepare a Notification of Performance or Corrective Action Form for each observation not meeting the performance standards of the SOW. Multiple observations may be recorded on the same form when the nature of the observations allows for consolidation. The SP will be instructed to return the form after completing corrective actions.

The QAE will maintain a log of Notifications of Performance or Corrective Action including the record number, date of observation, task observed, nature of action, suspense date, and disposition date. A copy of this log is provided as Enclosure 7-2.

A copy of all Notification of Performance or Corrective Action Forms and the Notification of Performance or Corrective Action Log will be included in the Observation Record (Enclosure 2-2).

7.4 CONTRACT DEFICIENCY REPORT

The QAE may recommend to the CO that the performance of the SP is unsatisfactory. The recommendation should be based upon the number and nature of customer service complaints, unacceptable Customer Satisfaction rating, or the number and nature of Notifications of Performance or Corrective Action. When SP performance is unsatisfactory, the CO will issue a Contract Deficiency Report (CDR). Enclosure 7-3 No later than 10 workdays from the date of receipt of the CDR, the SP must reply a written reply including the reasons for the unsatisfactory performance, corrective action taken, and procedures to preclude recurrence.

CHAPTER 8 SURVEILLANCE ADJUSTMENT

8.1 INTRODUCTION

The suggested levels of surveillance defined in the Surveillance Guides generally are based upon General Inspection Level II found in Table I of the American Nation Standard Sampling Procedures and Tables for Inspection by Attributes (ANSI/ASQC Z1.4-1993). The level of surveillance can be adjusted based upon the performance of the SP. Adjustments can be at the task level, functional area level, or at the total contract level.

8.2 EXCELLENT PERFORMANCE

Continuous excellent performance by the SP will allow the CO and the QAE to consider reducing the level of surveillance. Excellent performance would allow the QAE to develop a Sampling Plan with lot sizes reduced by as much as 50%. The actual levels would be based upon the experience of the QAE and the CO. The reduction should be phased over time, e.g., 75% the first period and 50% the second period. A staged reduction will allow the CO to measure the tendency of how the SP performs in an environment of reduced surveillance. A demonstration of excellent performance at each stage of reduced surveillance will allow the CO to approve a continued reduction to the lower surveillance levels.

Normal surveillance levels should be resumed whenever performance is less than excellent or the CO deems it necessary to return to normal inspection. Normal inspection should be resumed immediately upon this determination.

8.3 CONCERNED PERFORMANCE

Concerned performance by the SP will require the CO and the QAE to increase the level of surveillance. Concerned performance allows the QAE to develop a Sampling Plan with lot sizes increased by as much as double the normal amount. The actual levels would be based upon the experience of the QAE and the CO. The increase should be implemented immediately upon determination of concern.

Normal surveillance levels should be resumed whenever performance improves to the point acceptable to the CO. Normal inspection should be resumed in a staged manner over a period of time such as two months. The staged return to normal inspection levels will allow the CO to verify that the improvement of the SP will continue even though surveillance levels are being reduced.

CHAPTER 9 MASTER TASK LIST

9.1 INTRODUCTION

The Master Task List duplicates for each task the Task and Performance Standards defined in the RD. The Master Task List is provided as a summary of the tasks and performance standards specified in the RD. The List provides a convenient reference for a Quality Assurance Representative to identify the requirements for acceptable performance of work.

9.2 MASTER TASK LIST

PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
	Work Management and Control			
C.5.2.1	Create and administer a work requests system	A comprehensive and accurate monthly Workload report provided to the PO by the fifth workday of the month	90%	100%
C.5.2.4.1	Provide monthly budget reports	A comprehensive and accurate monthly Budget report provided to the PO by the seventh workday of the month	90%	100%
	Integration of Health Communications			
C.5.3.2	Develop and update Positioning Plan	Final Positioning Plan submitted and accepted within 15 days of receipt of Government comments	90%	100%
C.5.3.3		Comprehensive quarterly progress report submitted by the 10 th workday of the new quarter	90%	100%
C.5.3.4.1	Develop and implement required Work Management Plan	Comprehensive Work Management Plan Report submitted by the 15 th workday of the first and	90%	100%

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
		third quarter		
	Publishing			
C.5.4.2.1	Prepare and update annual print and electronic publishing plan	Plan and updates reflect input from all Centers and Offices and are finalized by required dates	90%	100%
C.5.4.2.1.3	Evaluate the need for reprints	No instances of required reprints being unavailable	90%	100%
C.5.4.2.1.5	Develop clearances	Clearances are accurately drafted and meet timing requirement	90%	Random Sampling
C.5.4.3.1.5	Prepare and update Project Management Schedules	Acceptable schedules prepared and updated appropriately (i.e., accurate due dates & resource requirements; ancillary and derivative products identified)	90%	Random Sampling
C.5.4.3.1.5	Publish and produce all AHRQ products (including <i>Research Activities</i>)	Products finalized by established deadline, comply with format and other specifications, and meet AHRQ <i>Publishing and Communications Guideline</i> requirements or Journal editorial standards – hard copy and Web	90%	Random Sampling
C.5.4.3.2	Write and/or update Editorial guidance documents	Guidance documents are current, comprehensive and appropriately distributed	90%	Random Sampling
	Original writing			
C.5.4.4.1.1	Translate health research information and write syntheses	Syntheses are accurate and approved by required due date	90%	100%
C.5.4.4.1.2	Write and distribute agency	Outputs are accurate, meet content & format	90%	Random

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
	information in various outputs	requirements, are produced within required timeframe and deemed appropriate for specific audience per PO		Sampling
C.5.4.4.1.3	Write, produce and distribute <i>Research Activities</i>	Dated periodical schedule met	95%	100%
C.5.4.4.1.5	Write and produce consumer materials and tools	Materials appropriately written for the audience; designed and produced according to production schedule	90%	Random Sampling
C.5.4.4.2	Edit and/or format documents and publications	Documents and publications appropriately edited (level of editorial intervention – production, copy, substantive and journal standards)	90%	Random Sampling
C.5.4.5.1	Provide production management	Final camera-ready/design version products comply with various series and design specifications and are approved by established deadline	90%	Random Sampling
C.5.4.5.2	Provide art direction and presentation support	Customers fully satisfied with assistance provided during the planning process	90%	Customer Satisfaction
C.5.4.5.2.3.1	Manage the AHRQ slide library	Slide library content is current and slides are appropriately formatted	90%	Random Sampling
C.5.4.6.1	Manage web pipeline of information products	Products are posted in accordance with AHRQ priorities and established schedules with appropriate formats	90%	Random Sampling
C.5.4.6.1		No Web site violations of OMB policies, Federal laws, or AHRQ guidelines	100%	Random Sampling
C.5.4.6.1.3	Update AHRQ Web navigation and interface pages	Updates are timely for specific Web pages (e.g., <i>What's New</i> page updated within the last 30 days)	90%	Random Sampling

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
C.5.4.7.1	Coordinate with the management of the AHRQ clearinghouse operations	Information on distribution requirements is provided to the Clearinghouse in a timely manner	90%	Random Sampling
C.5.4.7.3	Maintain Publications Clearinghouse Database	Publications Clearinghouse DB current and accurate	90%	Random Sampling
C.5.4.7.6	Manage on-site publications room	Requests processed accurately and within timeliness criteria	90%	Random Sampling
		On-site publications room is fully stocked, mapping of room is current and clean a	90%	Random Sampling
C.5.4.8	Distribute and archive AHRQ publications	Publications sent to appropriate outlets; all documentation and timing requirements are met.	90%	Random Sampling
C.5.4.9	Coordinate permissions, licensing, content use	Actions properly researched and handled and submitted within required timeframe	90%	Random Sampling
		Updates to the database are made in a timely manner	90%	Random Sampling
C.5.4.10.1	Provide Exhibit and conference support services	Annual Exhibit & conference plans and reports are accurate and finalized and approved by required deadlines	100%	100%
C.5.4.10.3		Required logistical actions associated with a specific conference are completed so that all items are delivered to the conference by specified time	100%	Random Sampling
C.5.4.10.4		All required meeting reports (pre and post) completed and submitted by specific deadlines	100%	100%
	Public Affairs			

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
C.5.5.2.1.2.7	Develop Partnership Plans	Partnership Plans meet all PO requirements and are finalized by required dates	90%	100%
C.5.5.2.1.5	Maintain partnership databases	Partnership databases are accurate and up-to-date	90%	Random Sampling
C.5.5.3.7	Develop speeches as the primary Speech Writer	Speeches and all supporting materials are well written, properly focused, properly coordinated and cleared and submitted to the Director not later than 48 hours before the speech	95%	100%
C.5.5.4.1	Develop Commentaries and place Commentaries in major publications	Commentaries well written, properly focused, properly coordinated and cleared, meet the requirements of formal agreements and submitted to the PO 10 calendar days prior to the journal's required submission date	90%	100%
C.5.5.5.1	Produce and distribute EN and PSEN electronic newsletters	Each newsletter includes appropriate topics and number of items and is produced according to the appropriate production schedule	90%	Random Sampling
C.5.5.5.2	Maintain distribution lists	EN and PSEN listservs mailing lists are accurate and current	90%	Random Sampling
C.5.5.6.2.2	Develop press releases	Final press releases are appropriately written, properly cleared and submitted within the required timeframe	90%	Random Sampling
C.5.5.6.2.3.1	Develop ANRs, Podcasts, and VNRs	Submitted ANRs, Podcasts, and VNRs meet all production requirements, are properly cleared and are properly distributed.	90%	Random Sampling
C.5.5.6.3.1	Develop and distribute E-marketing pitches and other communications	E-marketing pitches are appropriately written, properly cleared and submitted within the required timeframe	90%	Random Sampling
C.5.5.6.4	Host media events	For each event, logistical arrangements planned	95%	100%

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
		and carried out and supporting services in place		
C.5.5.6.5.1	Respond to calls and e-mails	For calls and e-mails the SP has assumed responsibility for, appropriate responses provided within 24 hours or by requested time	90%	Random Sampling
C.5.5.7.1	Track AHRQ Grantee and Staff articles	Assessments of the significance of articles are submitted in a timely manner, judged by the PO to be accurate, and appropriate actions are recommended.	90%	Random Sampling
C.5.5.7.2	Maintain the Impact Case Study Program	An Impact Study's content is complete and accurate, study is properly cleared and submitted by the required due date	90%	100%
C.5.5.8	Develop and implement public information campaigns	A campaign marketing plan meets the requirements of the planned level of effort – Bronze, Silver or Gold and is submitted by the required due date. Marketing plan activities are carried out as designed.	90%	100%
C.5.5.9	Develop, implement and manage PSA campaigns	Each campaign achieves an agreed-to donated media level	90%	100%
	Web Resources			
C.5.6.2.2	Prepare infrastructure coordination requests and coordinate support activities	Provide timely and accurate information within 5 work days	90%	Random Sampling
C.5.6.2.3.1.2	Provide project management for Web development activities	Comprehensive Project Initiation Documents are submitted by required due dates	90%	100%
C.5.6.3.1	Provide assistance on Web projects	No instances of conformance violations related to information provided by the SP	No more than 2 instances	100%ing

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PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
			per quarter	
C.5.6.3.1.2.9	Maintain guidelines for design and maintenance of web resources and content	Guidelines for development, design, and maintenance of web resources and content are comprehensive and up-to-date	90%	Random Sampling
C.5.6.3.2	Provide multi-media support	Support provided on a timely basis to meet project deadlines	90%	Random Sampling
C.5.6.3.4	Provide System administrative support	All required reports are comprehensive, accurate and submitted on time.	90%	Random Sampling
C.5.6.4.2	Process e-mail and telephone inquiries	For inquiries the SP has assumed responsibility for, appropriate responses provided within 5 business days of receipt	90%	Random Sampling
C.5.6.5	Monitor and report on Web sites' content, workload and metrics	Web content reports and metrics accurately developed and monthly, quarterly and fiscal-year reports submitted on time	90%	Random Sampling
C.5.6.5.3	Administer Customer Satisfaction survey	Accurate rating reports generated quarterly with evidence-based improvement recommendations generated, analyzed and submitted to the PO by required due dates	90%	Random Sampling
C.5.6.6	Coordinate and track electronic content use agreements	User agreement database repository complete, accurate and up-to-date	80%	Random Sampling
C.5.6.7	Provide Intranet support	Uploads to the Intranet of new and revised content properly performed and within required timeframe	80%	Random Sampling
C.5.6.8	Update and redesign AHRQ main web site domain and resources	Recommendations for updating and redesigning AHRQ main web site domain and resources are practical, feasible and represent major improvements	90%	100%g

AHRQ – Quality Assurance Surveillance Plan

PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
	Information Resources Center			
C.5.7.2.1	Provide day-to-day IRC support activities	Achieve a customer satisfaction rating of 90% or higher	90%	Customer Satisfaction
C.5.7.2.2	Manage IRC resources and operating expenses	Accurate and comprehensive workload statistics and periodic reports submitted by required due dates	90%	Random Sampling
C.5.7.3.1	Manage IRC collection and provide circulation services	Achieve a customer satisfaction rating of 90% or higher	90%	Customer Satisfaction
C.5.7.3.2	Manage Interlibrary loan borrowing and lending program	Loan requests and related invoices processed within required timeframes	80%	Random Sampling
C.5.7.3.3	Provide reference, retrieval and searching services	Reference calls, requests and database searches processed within required timeframes	90%	Random Sampling
C.5.7.4.2	Develop library promotional and awareness materials	Promotional and awareness materials are targeted to the benefits and features for users and are generated on a quarterly basis	90%	Random Sampling
C.5.7.4.3	Provide expert instruction	Comprehensive annual training plan submitted to the PO by required due date	100%	100%
C.5.7.4.3.1.1.6		Student evaluation satisfaction rating of training received	80%	Customer Satisfaction
C.5.7.4.4.1	Provide Information Management expertise to project teams	Achieve a customer satisfaction rating of 90% or higher	90%	Customer Satisfaction
C.5.7.4.4.3	Provide technical assistance to approved customers	Achieve a customer satisfaction rating of 90% or higher	90%	Customer Satisfaction
C.5.7.5.1.2	Organize IRC collection for electronic access	Virtual Library holdings updated consistent with user feedback	90%	Random Sampling

AHRQ – Quality Assurance Surveillance Plan

PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
C.5.7.5.2	Develop, implement and evaluate IRC information systems	Prioritized recommendations for improving IRC systems are feasible, practical, responsive to needs assessment instrument	90%	100%
	Knowledge Translation			
C.5.8.2.1	Provide centralized resource for KT expertise and activities	Eight requests for assistance submitted during first performance period and 16 request per year thereafter	90%	100%
C.5.8.3.2	Develop preliminary listing of KT strategies and one-time events	Annual listing of potential KT strategies and individual program projects contains appropriate number of potential KT strategies and one-time events and required information to justify each proposal	90%	100%
C.5.8.3.6	Develop long-term strategies and one-time event plans; includes complex, and non-complex KT strategies	For each plan: <ul style="list-style-type: none"> • Reflects needs of target audience and known and effective KT best practices • Demonstrates thorough search of evidence-based research • Complies with PWS requirements (e.g., travel, section 508) • Writing and editing of plan and related products reflect sound editorial accuracy and attention to detail • Submitted in accordance with specific schedule 	90%	100%
C.5.8.4.1	Implement approved long-term strategies and one-time event plans	For implementation activities: <ul style="list-style-type: none"> • Logistical services conducted efficiently and effectively (e.g., invitation letters, electronic marketing tools, pilot tests, arrangement of 	90%	Random Sampling

AHRQ – Quality Assurance Surveillance Plan

PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
		travel) • Interim milestones are met in accordance with task assignments • Technical approaches and staffing effectively adjusted in response to changes in requirements • PO promptly alerted of problems that could impact successful completion of project/task (e.g., methodological, schedule, staffing, communications)		
		Task assignment completed within approved budgets	90%	100%
C.5.8.5.1	Design and implement evaluation plans	Each evaluation plan addresses the minimum requirements defined in the PWS and is submitted by the required due date.	90%	100%
C.5.8.5.4		Comprehensive evaluation reports are submitted by required due dates	90%	100%
C.5.8.5.5	Develop revised/updated KT strategies and programs	Proposed revisions/updates to KT strategies and programs and supported by evaluation results and are submitted by the required due date	90%	100%
C.5.8.6.1	Provide budget, staffing and schedule for each program task	• Budgets submitted for task assignments are reasonable given requirements of project • Budget estimates are detailed, complete and accurate staffing and schedule information for each program task is comprehensive and submitted by the required due date	90%	100%
		PO promptly alerted for task assignment costs exceeding the budget	100%	100%

AHRQ – Quality Assurance Surveillance Plan

PWS Para.	Task Description	Performance Requirement	Acceptable Quality Level	Surveillance Method
C.5.8.6.2	Provide required Program Reports	For reports: <ul style="list-style-type: none">• Progress reports and other administrative documents are submitted in accordance with specified schedules• Reports are accurate, informative and complete• Financial information submitted in conjunction with monthly progress reports is detailed, complete and accurate	90%	Random Sampling

**ENCLOSURE 2-1
SAMPLING PLAN**

Month:

Functional Area: Section C-5 – Comprehensive Health Communications and Implementation Program.

Method of Surveillance	Tasks Selected	Task Selection Methodology	Lot Size	Sample Size Selection Methodology	Sample Size	Sampling Dates
100% Inspection						
Random Sampling						
Incidental Inspection						

Quality Assurance Evaluator Name:

Quality Assurance Evaluator Signature:

ENCLOSURE 3-1: Surveillance Guide Outline

1.1 SURVEILLANCE APPROACHES

The Surveillance Guides use a limited number of approaches for determining Service Provider performance. Briefly described below are the standard elements of a surveillance guide and information on surveillance approaches to be used as part of this QASP.

1.1.1 Elements of a Surveillance Guide

Each Surveillance Guide consists of nine sections outlined as follows:

- Required Service
- Standards of Performance
- Primary Method of Surveillance
- Quantity of Work (Lot Size)
- Sample Size
- Sampling Procedures
- Evaluation Procedures
- Performance Criteria

1.1.1.1 Required Service

This section states the service and specific task(s) addressed by the Surveillance Guide and, if appropriate, the key service or performance to be evaluated.

1.1.1.2 Standards of Performance

The Standards of Performance section is the specific language and wording contained in the PRS and referenced in Section C-5 of the contract. The workload to be performed and evaluated is located in the Technical Exhibits referenced in Section C-5 of the contract.

1.1.1.2.1 Acceptable Quality Level (AQL)

This section provides the AQL for each task to be assessed. Although the Government is paying to have all work performed as specified, there may be slips and omissions, referred to as defects, on the Service Provider's part. There is a difference, however, between an occasional defect and a gross number of defects. The AQL is used to distinguish between acceptable (a few defects) and unacceptable (many defects) performance. The Service Provider is not held responsible for defects caused by Government action or inaction as noted earlier. A 100% AQL indicates an extremely important requirement for which even a single defect is considered unacceptable.

1.1.1.2.2 Quantity of Work

This section states the total amount of work (e.g., occurrences, work units) that is expected to take place or be produced during a specified surveillance period (e.g., month, quarter). The performance requirement defines the work unit/occurrence and the period of time.

1.1.1.3 Sample Size

This section states the number of occurrences to be evaluated according to the surveillance method. Sample sizes are determined by the quantity of work for the period and the level and method of surveillance. For 100% Inspection, the sample size will equal the quantity of work. For Random Sampling, a subset of the total occurrences is selected and the QAE will determine the appropriate sample size. The QAE will verify that the sample size for each period is correct based upon the actual

quantity of work and the sampling procedures listed in the Surveillance Guide. A table for determining appropriate sample sizes is at Attachment 3-1-1.

1.1.1.4 Sampling Procedures

This section describes the procedures the QAE will follow when drawing a sample. The procedures differ according to the task being sampled and the method of surveillance.

1.1.1.5 Evaluation Procedures

This section describes the evaluation process the QAE will follow to determine the Service Provider's level of performance. The section describes the criteria the QAE should use to assess if an individual occurrence is acceptable or defective and whether there are extenuating circumstances that could affect the assessment.

1.1.1.6 Performance Criteria

The Performance Criteria describes how the QAE should calculate the Service Provider's overall performance with respect to the AQL and the level at which the performance under the requirement changes from acceptable to unacceptable.

In conducting actual performance surveillances using appropriate Surveillance Guides, the QAE will use a Quality Assurance Evaluation Worksheet at Attachment 3-1-2 to record the results of each surveillance.

ATTACHMENT 3-1-1: SAMPLE SIZE TABLE

ANSI Z1.4 SAMPLE SIZES			
Lot Size	Reduced Sample Size	Normal Sample Size	Tightened Sample Size
2-8	2	2	3
9-15	2	3	5
16-25	3	5	8
26-50	5	8	13
51-90	5	13	20
91-150	8	20	32
151-280	13	32	50
281-500	20	50	80
501-1,200	32	80	125
1,201-3,200	50	125	200
3,201-10,000	80	200	315
10,001-35,000	125	315	500
35,001-150,000	200	500	800
150,001-500,000	315	800	1250
500,000+	500	1250	2000

Note: This table is based on the ANSI Z1.4-1993 sample size table for general inspection.

ATTACHMENT 3-1-2: QUALITY ASSURANCE EVALUATION WORKSHEET

QUALITY ASSURANCE EVALUATION WORKSHEET FOR THE PERIOD OF _____						
QAE: _____			Service/Activity: _____			
Service Provider's Representative: _____			Sample Size: _____			
Date	PWS Paragraph No.	Description	Accept	Reject	Defect	Service Provider Representative Signature
Received and Validated by: _____						

Enclosure 4-1: GENERAL MANAGEMENT WORKSHEET

Month:

General Management Worksheet	Yes or No
1. Did the Contractor provide a Project Manager (PM) physically on-site during core work hours?	
2. Was the Project Manager designated in writing?	
3. Did the Project Manager conduct overall management coordination with the Government for performance of all work under the Contract?	
4. Was a Contractor employee designated to act for the Project Manager during absence of the Project Manager?	
5. Was the designated alternate authorized to act on behalf of the Contractor for all matters relating to the Contract to include the authority to bind the Contractor firm for matters pertaining to the Contract?	
6. Was a Contractor employee designated to act for the Project Manager when work is being performed outside of core duty hours?	
7. Was the Project Manager available at the discretion of the Contracting Officer on weekends or other non-core duty hours to serve as a Point of Contact for Contract operations in support of the Government?	
8. Did the Contractor perform all planning, programming, administration, and management necessary to provide services as specified in the Contract?	
9. Did Project Manager or designated alternate return all calls from the Government within a reasonable period of time during core hours, or outside of core hours?	
10. Was the Project Manager or designated alternate available during core hours and/or outside of core hours, to meet at the AHRQ headquarters with the Contracting Officer or Project Officer to discuss problem areas?	

QAE Comments:

Contractor Comments:

QAE Signature _____ DATE: _____
Contractor Signature _____ DATE: _____

**Enclosure 4-2: TECHNICAL MANAGEMENT EVALUATION
STAFFING AND PERSONNEL**

Criteria Statements	Yes - No
1. Contractor recruitment programs provide personnel with appropriate skill to perform work specified in the Contract.	
2. Contractor programs retained qualified personnel.	
3. Contractor activities adjusted to changing conditions and requirements to effectively provide specified services.	
4. Contractor personnel adhered to work hours.	
5. Contractor staffing for non-core hours was adequate for the performance of emergency work.	

EFFICIENCY

Criteria Statements	Yes - No
1. Contractor personnel were utilized effectively.	
2. Contractor personnel had the appropriate job classification for the task being performed.	
3 The appropriate number (not excessive) of personnel were assigned for the performance of work.	
4. Supervision was adequate for the performance of work.	

PROBLEM RESOLUTION AND COMMUNICATION

Criteria Statements	Yes -No
1. Decisions and recommendations were made effectively.	
2. Channels of communication, authority and responsibility were adequate and efficient.	
3. The Contractor made all decisions that were proper for the Contractor to make, without relying on the Government for guidance.	

PRODUCTION CONTROL

Criteria Statements	Yes -No
1. Contract work management practices and procedures were acceptable.	
2. Work was accomplished by the contractor within the scope of the contract.	

QAE Comments:

Contractor Comments

QAE Signature	_____	DATE:	_____
Contractor Signature	_____	DATE:	_____

**Enclosure 4-3: BUSINESS MANAGEMENT EVALUATION
GOVERNMENT FURNISHED PROPERTY, EQUIPMENT AND FACILITIES**

Criteria Statements	Yes - No
1. Contractor policies and procedures for identification, control, inventory, care, maintenance, and utilization of Government property equipment and facilities.	

LOCAL AUTONOMY AND CORPORATE SUPPORT

Criteria Statements	Yes - No
1. Timeliness of business decisions made by the Contractor project office.	
2. Effectiveness of business decisions made by the Contractor.	
3. Effectiveness of decisions on local operations.	

MANAGEMENT/EMPLOYEE PROGRAMS

Criteria Statements	Yes -No
1. Contractor labor relations efforts	
2. Resultant impact of labor relations on Contract performance	
3. Effectiveness of equal opportunity	
4. Effectiveness of safety and security	

COST CONTROL

Criteria Statements	Yes - No
1. Contractor controls costs	
2. Actual cost aligns with planned costs for direct and indirect labor rates	
3. Equipment is used and maintained in a manner that ensures maximum life expectancy comb	
4. Facilities are maintained (within the scope of the Contract) in a manner that prevents unnecessary repair expenditures	

SUBCONTRACTING POLICIES AND PROCEDURES

Criteria Statements	Yes - No
1. Proper competition obtained for subcontracting operations	
2. Small business effectively utilized	
3. Subcontractors are properly managed and administered	

QAE Comments:

Contractor Comments

QAE Signature	_____	DATE:	_____
Contractor Signature	_____	DATE:	_____

**Enclosure 4-4: QUALITY CONTROL EVALUATION
PROGRAM IMPLEMENTATION**

Criteria Statements	Yes - No
1. The Contractor developed and monitored his overall quality control effort.	
2. The Quality Control Program had a positive effect on Contract performance.	
3. Performance monitoring and work controls generated improvements that increased the effectiveness and responsiveness of the Quality Control Program.	
4. Initial, In-Process and Final Inspections were performed	

CORRECTIVE ACTION

Criteria Statements	Yes - No
1. Effective measures were taken regarding corrective actions.	

DOCUMENTATION, RECORDS, AND REPORTS

Criteria Statements	Yes - No
1. Quality related problems are documented effectively.	
2. Records are maintained regarding quality related problems.	
3. Quality related problems are reported effectively.	
4. Quality Control documentation is kept up to date.	
5. Quality Control reporting is kept up to date.	

QAE Comment

Contractor Comments

QAE Signature _____ DATE: _____
 Contractor Signature _____ DATE: _____

ENCLOSURE 5-1
CUSTOMER COMMENT FORM

Customer Comment Record Number: _____ Customer Organization: _____
Date/Time Received: _____ Submitted By: _____

Nature of Satisfactory or Unsatisfactory Service:

Quality Assurance Evaluator's Validation: Yes No

Date/Time SP Informed: _____

Action Taken by SP:

Received and Validated By: _____
Quality Assurance Evaluator

Note: Attach additional pages and/or supporting documentation

ENCLOSURE 7-1
NOTIFICATION OF PERFORMANCE OR CORRECTIVE ACTION FORM

Record Number: _____ Suspense Date: _____

Date/Time of Observation: _____

Task Observed: _____

Nature of Requirement for Performance or Corrective Action:

Date/Time SP Informed: _____

Signature: _____

Quality Assurance Evaluator

Action Taken by SP:

Signature: _____

SP Representative

Validated By: _____

Quality Assurance Evaluator

ENCLOSURE 7-2
NOTIFICATION OF PERFORMANCE OR CORRECTIVE ACTION LOG

Month:

Record Number	Date of Observation	Task Observed	Nature of Action	Suspense Date	Disposition Date

ENCLOSURE 7-3: CONTRACT DISCREPANCY REPORT

CONTRACT DISCREPANCY REPORT	1. CONTRACT NUMBER
GOVERNMENT ACTION	
2. TO (Service Provider and Project Manager Name)	3. FROM (Name of Government Representatives)
4. DISCREPANCY OR PROBLEM (Describe in detail. Include reference in specification. Attach continuation sheet if necessary.)	
5. CONTRACTOR NOTIFIED (Date, Time, Point of Contact)	
6. SIGNATURE OF CONTRACTING OFFICER	7. DATE
CONTRACTOR ACTION	
8. TO (KO/COR)	9. FROM (Service Provider)
10. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE (Attach continuation sheet if necessary.)	
11. SIGNATURE OF CONTRACTOR REPRESENTATIVE	12. DATE
GOVERNMENT CLOSE OUT	
13. GOVERNMENT EVALUATION (Acceptance, partial acceptance, reaction. Attach continuation sheet if necessary.)	
14. GOVERNMENT ACTIONS (Cure notice, show cause, other.)	
15. SIGNATURE OF CONTRACTING OFFICER	16. DATE
17. SIGNATURE OF REVIEWING OFFICIAL (As Applicable)	18. DATE