

A.10: Quality Assurance Surveillance Plan Checklist

Primary Topics to Be Covered	Issues and Topics to Be Addressed	Addressed in Plan (check)	Not Addressed in Plan (check; always comment)	Comments
What will be monitored?	Describe the purpose of the contract.			
How will monitoring take place? <i>Procedures</i>	Describe types and frequency of monitoring procedures as follows: <ul style="list-style-type: none"> • Methods of assessment • Frequency (e.g., weekly, monthly) that the following are scheduled: <ul style="list-style-type: none"> ✓ Periodic onsite inspections ✓ Floor checks ✓ Audits of contractor billings to ensure that costs being charged to the contract are legitimate and reasonable • What will be checked during an inspection, how it will be checked, and type of sample that will be used (e.g., random, 100 percent). 			

Appendix A

COR Checklists

Primary Topics to Be Covered	Issues and Topics to Be Addressed	Addressed in Plan (check)	Not Addressed in Plan (check; always comment)	Comments
<p>How will monitoring take place?</p> <p><i>Statutory and Regulatory Requirements</i></p>	<p>The Project Officer must notify the contracting officer if there are any potential or actual noncompliance issues with Federal statutes, laws, or regulations. Only the contracting officer can resolve noncompliance issues related to law or regulation.</p> <p><i>Include the following steps for monitoring statutory, regulatory, and legal compliance with contract:</i></p> <ul style="list-style-type: none"> • Identification of contract requirements and clauses involving statutory or regulatory compliance, such as those involving the following: <ul style="list-style-type: none"> ✓ Labor law (Department of Labor wage determinations) ✓ Equal Employment Opportunity (Civil Rights Act of 1964) ✓ Privacy Act of 1974 ✓ Drug-Free Workplace ✓ Hazardous or recovered materials, safety, and environmental requirements. (Executive Orders 13423 and 13514) ✓ Nondomestic materials • Monitoring of compliance and responding to notices involving compliance • Identification of any insurance or bonding issues • Monitoring of intellectual property issues • Monitoring of compliance with the approved Small Business Subcontracting Plan • Monitoring for compliance with CTIP regulations in FAR Subpart 22.17 and DFARS Subpart 222.17. 			

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<p>How will monitoring take place?</p> <p><i>Financial Condition of the Contractor</i></p>	<p>Financial monitoring means detecting and acting on changes in a contractor's financial condition that have the potential for endangering contract performance.</p> <p><i>Include the following steps for monitoring the financial condition of the contractor:</i></p> <ul style="list-style-type: none"> • Identification of any indication that the contractor is in financial trouble (e.g., articles or news clips from reputable news agencies) • Discussion of how contractor financial difficulties could adversely affect the Government • Identification of possible proactive steps that the Government could take to protect its interests (e.g., stop-work order, schedule changes, scope changes, termination) • Notification of the contracting officer when conditions might warrant intervention by the Government, which may include changes that affect the contract's terms and conditions or that result in alert notices pertaining to the award of new contracts with the contractor during periods of financial instability, where the Government may make a determination of nonresponsibility. <p>FAR Subpart 9.1, "Responsible Prospective Contractors": https://www.acquisition.gov/far/current/html/Subpart%209.1.html#wp1084058</p>			

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<p>How will monitoring take place?</p> <p><i>Technical and Schedule Compliance</i></p>	<p><i>Include the following steps for monitoring contractor technical and schedule compliance:</i></p> <ul style="list-style-type: none"> • Identification of potential contractor deficiencies or delinquencies • Identification of problems with quality and nonconformance with contract quality standards • Identification of the need for Government assistance or intervention • Warning of actual or anticipated default. 			
<p>How will monitoring take place?</p> <p><i>Costs</i></p>	<ul style="list-style-type: none"> • Include the following steps for monitoring costs: • Inspect timecards and payroll records • Note discrepancies detected between the contractor's financial systems as approved versus actual operation • Analyze invoice support documentation to verify accuracy and completeness • Periodically analyze data obtained from the contractor through periodic reports • Review Government reports • Make site visits • Request cost-incurred audits with the contracting officer and the Office of the Inspector General. • For cost-reimbursement contracts, indicate that payments based on incurred costs for labor, materials, ODCs, and indirect costs are proper and allowable, as follows: 			

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Costs	<ul style="list-style-type: none"> • Reasonable, or not exceeding that which would be incurred by a prudent person conducting business in a competitive marketplace • Allocable, or properly assigned to one or more cost objectives under the contract • Consistent with applicable cost accounting standards and prohibitions on the allowability of certain costs FAR Part 31, "Contract Cost Principles and Procedures": https://www.acquisition.gov/far/current/html/FAR-TOCP31.html#wp253693 • For cost-type contracts, explanation of how the contracting officer will ensure that the prime contractor has obtained adequate competition when acquiring materials (e.g., state in the QASP that contractor acquisition of materials by competition will be checked for charges that exceed a certain dollar amount) • For fixed-price contracts, explanation of how the contracting officer will ensure that progress payments do not exceed the quality and quantity of work completed and that payment is made in accordance with the Progress Payment clause (e.g., state that quantity and quality of work will be inspected to determine whether the work completed to date justifies the amount of the payment to be made. 			

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Who will conduct the monitoring?	Identify roles and responsibilities for each COR and for other Government personnel monitoring the contractor.			
What is successful performance?	Identify successful performance and remedies, using achievable standards.			
How will materials and supplies be delivered under a cost or fixed-price contract?	Describe the process and responsibilities for acceptance.			
How will materials and supplies be delivered under a cost or fixed-price contract?	<p><i>Include the following compliance checks for construction contracts:</i></p> <ul style="list-style-type: none"> • Review the contractor's certified payrolls • Check work sites for required postings • Conduct labor standard interviews • Compare payrolls and onsite interviews • Resolve discrepancies and violations. 			
Abbreviations	Include a list of all abbreviations used in the plan and their meanings.			