**Medicare Improvements for Patients and Providers Act (MIPPA)**

**Improvement Assessment**

**STATEMENT OF WORK**

***\*Note that this sample has been revised from the source document on the Government Point of Entry as necessary to align formatting and applicable FAR procedures.\****

This project requires the development of an as-is analysis of the MIPPA program, to-be recommendations for the program, and specific recommended implementation steps.

**BACKGROUND**

The purpose of MIPPA funding is to enhance state efforts to provide outreach and enrollment assistance to Medicare beneficiaries likely to be eligible for the Low Income Subsidy (LIS) or the Medicare Savings Program (MSP). ACL provides MIPPA funding to states to inform Medicare beneficiaries about availability of these programs and to provide application assistance through beneficiary outreach, education and direct one-on-one assistance. MIPPA also provides funding for the National Center for Benefits Outreach and Enrollment (NCBOE) which provides technical assistance for the state MIPPA grantees in addition to providing publicly available web-based decision support and enrollment tools, development of cost effective strategies to find older individuals with greatest economic need, and support for public and private state and community-based organizations to serve as benefit enrollment centers.

**SPECIFIC TASKS**

The Contractor shall furnish all of the necessary personnel, materials, services, facilities, (except as otherwise specified herein), and otherwise do all the things necessary for or incident to the performance of the work as set forth below.

**Task 1.0: Project Administration**

*1.1 Kick-Off Meeting*

Within 10 business days of award, the contractor shall meet in-person with the Contract Officer (CO) and COR and other relevant ACL personnel to review the scope of work and delivery schedule for this contract and address contractual matters (e.g., invoice procedures). An agenda in consultation with ACL will be prepared and distributed 2 days prior to the Kick-Off Meeting.

The meeting shall be held at the Administration for Community Living, 330 C St SW, Washington DC, and the date and time will be mutually agreed upon by both parties.

*1.2 Memorandum of Understanding*

The contractor shall prepare a brief memorandum summarizing issues discussed at the Kick-Off Meeting. The memorandum is due 1 week following the meeting. ACL will review and comment within 1 week of submission. A revised memorandum, if necessary, will be submitted 1 week after ACL comments are received.

The Work Plan is due 1 week following the Kick-Off Meeting. ACL will review and comment within 1 week of submission. A revised Work Plan, if necessary, will be submitted 1 week after ACL comments are received.

*1.3 Monthly Progress Reports*

The contractor shall deliver to the COR and to the Contracting Specialist a monthly progress report in electronic format. The progress reports shall present in concise form information relevant to the following items:

*1.3.1 Work Completed During the Reporting Period*

A brief narrative on what was accomplished for each task during the reporting period

*1.3.2 Problems Encountered or Anticipated and Proposed Solutions*

A description of any problems or delays, if any, the contractor has experienced in the conduct of performance requirements including what specific action is proposed to alleviate the problem(s)

*1.3.3 Planned Activities for Next Reporting Period*

A brief description of planned activities for the next reporting period

*1.4 Project Review Meetings*

The contractor shall meet at least monthly (via conference call or in person) with the COR and other relevant ACL staff to discuss work progress. The meeting should occur within a week following the submission of the Monthly Progress Report and will be held at a mutually agreed upon time between the COR and the contractor.

The meeting will be to discuss the Monthly Progress Report and any additional items that either the government or the contractor needs to address. The contractor shall, within three days of the monthly meeting, prepare a brief written summary of the meeting documenting any decisions or action items discussed during the meeting.

**Task 1 Deliverables / Activities:**

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| --- | --- | --- |
| **#** | **Deliverable / Activity** | **Requirement** |
| 1 | Kick-Off Meeting Agenda | Due 2 business days before the agreed upon Kick-Off Meeting |
| 2 | Kick-Off Meeting | Due within 10 business days of contract award. This will be held at ACL Headquarters and will occur at a mutually agreed upon date and time within the contractually-required 10 business days. |
| 3 | Memorandum of Understanding | Due 1 week after the Kick-Off Meeting. ACL will provide comments or approval within 1 week of submission. Contractor will have 1 week to make any necessary changes before final submission. |
| 4 | Monthly Progress Reports | Due within five business days after the beginning of the month |
| 5 | Project Review Meetings | Due within a week of the submission of the Monthly Progress Report. |
| 6 | Written Summary of the Progress Report Meeting | Due within three business days of the Progress Report Meeting. |

**Task 2.0: As-Is Assessment**

The contractor shall assess the current MIPPA program and provide a written report and a presentation on the current as-is state of the program. This list below is intended to be the beginning of the conversation between ACL and the contractor. As part of this task, the contractor and ACL will work together to develop the full list of areas to be explored. Questions for the contractor to examine may include the following in the as-is analysis:

* Program Design & Performance
  + How effectively and efficiently is the program operating at both the national and project levels?
  + Is the program organized in the most effective way to meet its mission?
  + Is ACL collecting and measuring the right data and information to determine our success?
  + Is the program having the impact that we believe it is having?
  + Is the MIPPA application assistance process operating in the most effective and efficient way?
  + Is the program serving the population that we say it does?
  + How effectively and efficiently is the program partnering with relevant state and federal agencies?
  + How effectively and efficiently is the program working with other ACL programs, specifically with the:
    - The State Health Insurance Assistance Program (SHIP)
    - The No Wrong Door (or Aging and Disability Resource Centers) program
  + How effectively is the quality of services provided by MIPPA providers measured and evaluated?
  + Is the program counseling on a range of services, including connecting beneficiaries with integrated care programs if appropriate?
* Program Management
  + How effectively and efficiently is MIPPA run by ACL?
  + How effective is the National Center for Benefits Outreach and Enrollment (NCBOE or MIPPA Resource Center) in providing technical assistance and training to the MIPPA network?
* STARS – the MIPPA Data Collection system
  + Is the information collected by STARS the most appropriate information for monitoring program performance?
  + Is there data that is not being used effectively? Conversely, is there data that should be collected but is not?
  + How effectively and efficiently does the system operate at the local level?
  + How can we better use the data to improve the program?
* MIPPA Grantees
  + Do MIPPA providers have problems meeting the grant requirements?
  + Do the ACL grant requirements provide the right level of direction and flexibility for program implementation?
  + How are the more successful MIPPA providers structured at the local and state level (non-profit, State Units on Aging, relationship to the state’s SMP, SHIP and/or ADRC programs, etc.)?
  + What factors contribute to low MIPPA performance?
  + How do they get the work done?
  + Do MIPPA providers divide the work up by subject matter or have everyone trained to all handle issues?
  + Who is doing the work (true volunteers, in-kind volunteers (community partners), MIPPA paid staff, other paid staff, etc.)?
  + Where do grantees spend / invest their time, money, and resources?
  + What is the role of partnerships and collaboration and are there more successful relationships that can be duplicated elsewhere?
* NCBOE Grantee
  + How effective is the NCBOE at providing publicly available web-based decision support and enrollment tools?
  + Benefits Enrollment Centers (BECs) Program Design, Performance, & Management
    - How effectively and efficiently is the program operating at both the national and project levels?
    - Is the program organized in the most effective way to meet its mission?
    - Is ACL collecting and measuring the right data and information to determine our success?
    - Is the program having the impact that we believe it is having?
    - Is the application assistance process operating in the most effective and efficient way?
    - Is the program serving the population that we say it does?
    - How effectively is the quality of services provided by BECs measured and evaluated?
  + How effectively and efficiently is the program working with national partners (nonprofit, for-profit, and government)?
  + How effective is the program at developing and disseminating cost effective strategies to find older individuals with greatest economic need?

Task 2 will culminate with the submission of a final as-is document and executive-level presentation. The document and presentation shall be provided to ACL no later than 9 months from contract award date. The executive-level briefing will be held within 10 days of submission of the final document. The following subtasks describe the specific work necessary to complete this task. The contractor is responsible for structuring their work on these subtasks to meet the deadline of the final document and presentation submission to be no later than 9 months after award date.

*2.1 Planning and Interviews*

From the beginning of the work, the contractor and relevant ACL personnel will meet to discuss areas that need to be reviewed and assessed as part of this contract. This meeting or series of meetings will be run by the contractor to determine what specifically will be looked at in the as-is analysis, how to best go about performing the work, determining the appropriate number of MIPPA project interviews needed, etc. Based upon the contractor’s approved project plan, the contractor shall work with the COR to determine when this meeting(s) should occur.

*2.1.1 Planning and Preparations:*

Through the meeting(s) discussed in Subtask 2.1, the contractor shall develop a complete list of questions to be answered and/or areas to explore in this analysis. This list will be shared with the COR and relevant ACL personnel throughout the development phase. Once the list is completed, the contractor shall provide it to the COR for formal, written approval to move forward.

Upon approval of the list of questions to be answered or areas to explore in this analysis, the contractor shall develop a list of recommended interviewees. This list will potentially include relevant ACL personnel, selected staff from the Center, MIPPA directors, relevant CMS staff, and ACL leadership. This list is intended to be representative of the type of interviews that might be necessary to complete the data gathering. This list of potential interviewees will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized list is completed, the contractor shall provide it to the COR for formal, written approval to move forward. Once the contractor has developed the final and approved interviewee list, the contractor shall develop an interview questionnaire(s) for the interviewees. This questionnaire(s) will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized questionnaire is completed, the contractor shall provide it to the COR for formal approval to move forward.

Similarly to the list of interviewees, ACL anticipates that the contractor will need access to other data and data sources such as MIPPA STARS data, program standard operating procedures, etc. The contractor shall develop a list of non-interview data needs. This list will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized list is completed, the contractor shall provide it to the COR for formal, written approval to move forward.

*2.1.2 Interviews and Data Gathering:*

Using the formally approved interviewee list and interview guide, the contractor shall conduct the interviews. Similarly, using the approved list of data sources, the contractor will complete the data collection.

It is anticipated that all interviews will be held in the national capital region or by phone. The contractor will be responsible for scheduling and holding the interviews with the interviewees.

The contractor shall develop and submit interview notes from their work. The individual identifying information shall be redacted so readers of the interview notes will not be able to identify the interviewee.

It is understood that both the interview process and the data collection may be iterative in nature and may overlap the development of the report. The contractor shall keep the COR informed of additional data collection needs as they arise in the analysis phase.

*2.2 Document Creation*

*2.2.1 Annotated Outline*

No later than 90 days prior to the final submission date of the as-is report, the contractor shall submit an annotated outline of the document to the COR. The annotated outline should describe the sections and sub-sections anticipated to be in the final report and what type of information will be provided in those sections and sub-sections.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor. If necessary, the contractor will then have five days to submit a revised copy of the annotated outline to the COR for approval.

*2.2.2 First Draft of the As-Is Report:*

No later than 60 days prior to the final submission date of the as-is report, the contractor shall submit an initial draft of the document to the COR. It is anticipated that the first draft will be a complete draft but if certain information is unavailable at that time, the contractor shall note this and describe what the information is expected to show.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*2.2.3 Second Draft of the As-Is Report*

No later than 40 days prior to the final submission date of the as-is report, the contractor shall submit a second draft of the document to the COR. It is anticipated that the second draft will be a complete draft but if certain information is unavailable at that time, the contractor will note this and describe what the information is expected to show.

Comments on the first draft are expected to be incorporated into the second draft.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*2.2.4 Final draft of the As-Is Report / Draft Executive-Level Presentation*

No later than 20 days prior to the final submission date of the as-is report, the contractor shall submit a final draft of the document and a draft of the presentation to the COR. The contractor shall then work with the COR to determine a meeting time for the as-is presentation and submission of the hard copy documents. The presentation will be scheduled to be held within 10 days of the anticipated final document / presentation electronic submission date.

Comments on the second draft are expected to be incorporated into the final draft.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*2.2.5 Final As-Is Report / Executive-Level Presentation*

No later than 9 months after award date, the contractor shall electronically submit the as-is report and presentation.

Comments on the final draft are expected to be incorporated into the final document.

*2.2.6 Final Presentation / Document Hand Out*

The contractor shall use the developed final version of the executive-level presentation to walk the government through their findings during an in-person meeting lasting no more than one hour. The contractor shall bring five copies to hand out to participants. The COR will provide copies as necessary for additional participants.

The presentation will be scheduled to be held within 10 days of the final document / presentation electronic submission date.

**Task 2 Deliverables / Activities:**

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| **#** | **Deliverable / Activity** | **Requirement** |
| 1 | Submit a list of questions to be answered or areas to explore in this analysis | As agreed upon in the contractor work plan |
| 2 | Submit a list of recommended interviewees | As agreed upon in the contractor work plan |
| 3 | Submit an interview questionnaire(s) for the interviewees | As agreed upon in the contractor work plan |
| 4 | Submit a list of non-interview data needs | As agreed upon in the contractor work plan |
| 5 | Conduct the interviews and collect the data | As agreed upon in the contractor work plan |
| 6 | Develop and submit interview notes from their work | As agreed upon in the contractor work plan |
| 7 | Submit the Annotated Outline | No later than 90 days prior to the final submission date of the as-is report |
| 8 | Submit the First Draft of the As-Is Report | No later than 60 days prior to the final submission date of the as-is report |
| 9 | Submit the Second Draft of the As-Is Report | No later than 40 days prior to the final submission date of the as-is report |
| 10 | Submit the Final draft of the As-Is Report / Draft Executive-Level Presentation | No later than 20 days prior to the final submission date of the as- is report |
| 11 | Submit the Final As-Is Report /  Executive-Level Presentation | No later than 9 months after award date |
| 12 | Final Presentation / Document Hand Out | Within 10 days of the final document / presentation electronic submission date |

**Task 3.0: To-Be**

The contractor shall use the information gathered during the creation of the as-is report to develop a MIPPA to-be report. At a minimum, the contractor shall address the same questions that were examined in the as-is report. The to-be report should include each recommendation, the rationale for the recommendation, and a suggested implementation approach or plan.

Task 3 will culminate with the submission of a final to-be document and executive-level presentation. The document and presentation shall be provided to ACL no later than 15 months from contract award date. The executive-level briefing will be held within 10 days of submission of the final document. The following subtasks describe the specific work necessary to complete this task. The contractor is responsible for structuring their work on these subtasks to meet the deadline of the final document and presentation submission to be no later than 15 months after award date.

*3.1 Planning and Interviews*

From the beginning of Task 3 work, the contractor and relevant ACL personnel will meet to discuss areas that need to be reviewed and assessed as part of this contract. This meeting or series of meetings will be run by the contractor to determine what specifically will be looked at in the to-be analysis. The focus of this meeting(s) will be on what additional aspects of the program need to be examined for the to-be report that were not looked at during Task 2. Based upon the contractor’s approved project plan, the contractor shall work with the COR to determine when this meeting(s) should occur.

*3.1.1 Planning and Preparations*

Through the meeting(s) discussed in Subtask 3.1, the contractor shall develop a complete list of questions to be answered and/or areas to explore in this analysis. This list will be shared with the COR and relevant ACL personnel throughout the development phase. Once the list is completed, the contractor shall provide it to the COR for formal, written approval to move forward.

Upon approval of the list of questions to be answered or areas to explore in this analysis, the contractor shall develop a list of recommended interviewees, if necessary for the to-be document to be completed. This list will potentially include relevant ACL personnel, selected staff from the Center, MIPPA directors, relevant CMS staff, and ACL leadership. This list is intended to be representative of the type of interviews that might be necessary to complete the data gathering.

This list of potential interviewees will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized list is completed, the contractor shall provide it to the COR for formal, written approval to move forward.

Once the contractor has developed the final and approved interviewee list, the contractor shall develop an interview questionnaire(s) for the interviewees, if necessary. This questionnaire(s) will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized questionnaire is completed, the contractor shall provide it to the COR for formal approval to move forward.

Similarly to the list of interviewees, ACL anticipates that the contractor may need access to other data and data sources such as STARS, program standard operating procedures, etc. The contractor shall develop a list of non-interview data needs. This list will be shared with the COR and relevant ACL personnel throughout the development phase. Once the finalized list is completed, the contractor shall provide it to the COR for formal, written approval to move forward.

*3.1.2 Interviews and Data Gathering*

Using the formally approved interviewee list and interview guide, the contractor shall conduct the interviews. Similarly, using the approved list of data sources, the contractor will complete the data collection.

It is anticipated that all interviews will be held in the national capital region or by phone. The contractor will be responsible for scheduling and holding the interviews with the interviewees.

The contractor shall develop and submit interview notes from their work. The individual identifying information shall be redacted so readers of the interview notes will not be able to identify the interviewee.

It is understood that both the interview process and the data collection may be iterative in nature and may overlap the development of the report. The contractor shall keep the COR informed of additional data collection needs as they arise in the analysis phase.

*3.2 Document Creation*

*3.2.1 Annotated Outline*

No later than 90 days prior to the final submission date of the to-be report, the contractor shall submit an annotated outline of the document to the COR. The annotated outline should describe the sections and sub-sections anticipated to be in the final report and what type of information will be provided in those sections and sub-sections.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor. If necessary, the contractor shall then have five days to submit a revised copy of the annotated outline to the COR for approval.

*3.2.2 First Draft of the To-Be Report*

No later than 60 days prior to the final submission date of the to-be report, the contractor shall submit an initial draft of the document to the COR. It is anticipated that the first draft will be a complete draft but if certain information is unavailable at that time, the contractor shall note this and describe what the information is expected to show.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*3.2.3 Second Draft of the To-Be Report*

No later than 40 days prior to the final submission date of the to-be report, the contractor shall submit a second draft of the document to the COR. It is anticipated that the second draft will be a complete draft but if certain information is unavailable at that time, the contractor shall note this and describe what the information is expected to show.

Comments on the first draft are expected to be incorporated into the second draft.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*3.2.4 Final draft of the To-Be Report / Draft Executive-Level Presentation*

No later than 20 days prior to the final submission date of the to-be report, the contractor shall submit a final draft of the document and a draft of the presentation to the COR. The contractor shall then work with the COR to determine a meeting time for the to-be presentation and submission of the hard copy documents. The presentation will be scheduled to be held within 10 days of the anticipated final document / presentation electronic submission date.

Comments on the second draft are expected to be incorporated into the final draft.

The COR will share with relevant ACL personnel for review and comment. Within 10 business days of submission, the COR will provide comments to the contractor.

*3.2.5 Final To-Be Report / Executive-Level Presentation*

No later than 15 months after award date, the contractor shall electronically submit the to-be report and presentation.

Comments on the final draft are expected to be incorporated into the final document.

*3.2.6 Final Presentation / Document Hand Out*

The contractor shall use the developed final version of the executive-level presentation to walk the government through their findings during an in-person meeting lasting no more than 90 minutes. The contractor shall bring five copies to hand out to participants. The COR will provide copies as necessary for additional participants.

The presentation will be scheduled to be held within 10 days of the final document / presentation electronic submission date.

**Task 3 Deliverables / Activities:**

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| **#** | **Deliverable / Activity** | **Requirement** |
| 1 | Submit a list of questions to be answered or areas to explore in this analysis (if necessary) | As agreed upon in the contractor work plan |
| 2 | Submit a list of recommended interviewees (if necessary) | As agreed upon in the contractor work plan |
| 3 | Submit an interview questionnaire(s) for the interviewees (if necessary) | As agreed upon in the contractor work plan |
| 4 | Submit a list of non-interview data needs (if necessary) | As agreed upon in the contractor work plan |
| 5 | Conduct the interviews and collect the data (if necessary) | As agreed upon in the contractor work plan |
| 6 | Develop and submit interview notes from their work (if necessary) | As agreed upon in the contractor work plan |
| 7 | Submit the Annotated Outline | No later than 90 days prior to the final submission date of the to-be report |
| 8 | Submit the First Draft of the To-Be Report | No later than 60 days prior to the final submission date of the to-be report |
| 9 | Submit the Second Draft of the To-Be Report | No later than 40 days prior to the final submission date of the to-be report |
| 10 | Submit the Final draft of the To-Be Report / Draft Executive-Level Presentation | No later than 20 days prior to the final submission date of the to-be report |
| 11 | Submit the Final To-Be Report / Executive-Level Presentation | No later than 17 months after award date |
| 12 | Final Presentation / Document Hand Out | Within 10 days of the final document / presentation electronic submission date |

**Task 4: Accessibility, and Security and Privacy Activities and Deliverables**

Task 4.1: **Accessibility, Information and Communication Technology Standards Applicable to this Contract**

ACL, as an agency serving older adults and people with disabilities, strives to make all content and systems developed in support of its programs as accessible and usable as possible. This contract is subject to Section 508 of the Rehabilitation Act (the Act) of 1973 (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998, and the Architectural and Transportation Barriers Compliance Board (Access Board) Electronic and Information Accessibility Provisions (36 CFR Part 1194). Section 508 of the Act requires that, unless an exception applies, all communications products and services that require a contractor or consultant to produce content in any format that is specifically intended for publication on, or delivery via, a federally owned or federally funded website or intranet permit the following:

(1) Federal employees with disabilities to have access to and use information and data that is comparable to the access and use of information and data by federal employees who are not individuals with disabilities.

(2) Members of the public with disabilities seeking information or services from a federal agency to have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

(Note: Information about Section 508 of the Act is available at http://www.section508.gov/. The complete text of Section 508 can be accessed at https://www.access-board.gov/guidelines-and-standards/communications-and-it/about-the-ict-refresh.)

Accordingly, regardless of format, all web content or communications materials specifically produced for publication on, or delivery via, HHS websites, including text, audio, or video, under this contract shall conform to applicable Section 508 accessibility standards. Remediation of any materials that do not comply with the applicable accessibility standards of 36 CFR Part 1194 as set forth herein shall be the responsibility of the Contractor.

The following Section 508 accessibility standards apply to the content or communications material identified in this SOW:

* Functional Performance Criteria
* Electronic Content
* Support Documentation and Services

Consistent with the revised Section 508 rule effective March 21, 2017, ACL requires contractors to use the Web Content Accessibility Guidelines 2.0 (https://www.w3.org/TR/WCAG20/), and to design and develop digital content and systems for the AA success criteria, conformance to which will meet the current Section 508 criteria for accessibility.

Electronic content must be accessible to HHS acceptance criteria. Checklist for various formats are available at http://508.hhs.gov/, or from the Section 508 Coordinator listed at https://www.hhs.gov/web/section-508/additional-resources/section-508-contacts/index.html.

Materials that are final items for delivery should be accompanied by the appropriate checklist, except upon approval of the Contracting Officer or Representative.

**Task 4.2: Develop an IT Security and Privacy Plan**

The ACL Security and Privacy Requirements are based on the requirements published in the HHS Information and Information Technology Security and Privacy Guide for IT Acquisition, developed by the HHS Office of the Chief Information Officer and the Office of Grants, Acquisition Policy, and Accountability. They apply to this contract as the contractor will be using technology to provide evaluation services and deliverables to ACL, ACL grantees and other stakeholders.

The Contractor shall at the direction of the COR and ACL Chief Information Security Officer (CISO) develop an IT Security and Privacy Plan and conduct related security and privacy assessments in accordance with the Federal Information Security Modernization Act (FISMA), the NIST Cybersecurity Framework, and HHS and ACL policy and guidance. The IT Security and Privacy Plan must ensure the integrity, confidentiality, and when appropriate the availability of all data collected by the Contractor on behalf of the Federal government. Contractor personnel must demonstrate completion of annual IT security and privacy training.

All records that are the property of the Federal government must be maintained in accordance with HHS policies and procedures, and National Archives and Records Administration (NARA) disposition schedules. The Contractor shall provide a certification statement concerning the proper maintenance of all records to the COR at the beginning of the contract. The Contractor shall discuss the disposition of records with the COR and obtain COR approval before any records are disposed.

The Contractor shall notify the COR and ACL CISO within 24 hours concerning any loss of data integrity, any unauthorized disclosure of data, any misuse of data, or compromise of contractor or other systems where the ACL data is collected, managed, used, and stored. The IT security plan is considered a formal deliverable due within (120 or negotiated) days of contract award.

Please see Attachment A, ACL IT Security and Privacy Requirements for the Contract for Medicare Improvements for Patients and Providers Act (MIPPA) Evaluation.

**SECTION 5 - Deliveries or Performance**

**5.1 PLACE OF PERFORMANCE**

The place of performance shall be the Contractor’s facilities. All materials shall be delivered to the address listed below:

ACL Offices Address:

330 C St SW

Washington, D.C. 20001

**5.2 PERIOD OF PERFORMANCE**

The period of performance shall be for a base period of eighteen (18) months, as follows:

Base Period: 10/01/2020 – 03/31/2022

**QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)**

**1.1 INTRODUCTION**

This performance-based Quality Assurance Surveillance Plan (QASP) sets forth the procedures and guidance that HHS will use to evaluate and reward the performance of the Contractor in accordance with the terms and conditions of this Task Order.

The QASP shall be used as a Government document to enforce the inspection and acceptance beneath this Task Order. The QASP describes the mechanism for documenting noteworthy accomplishments or discrepancies for work performed by the Contractor. Information generated from the IRS Project Management Office (PMO) surveillance activities will directly feed into the PMO performance discussions with the Contractor.

The QASP can be changed/updated, etc. It is intended to be a “living” document that should be revised or modified as circumstances warrant. Either the Contractor or the Government may initiate changes to the QASP. Bilateral changes may be made to the plan at any time during task order performance. Such changes may not entitle the Contractor to equitable adjustments or to any other compensation for performance in a prior period.

The Contractor is responsible and shall manage and ensure that quality controls meet the terms of the Task Order.

**1.2 Purpose of the QASP**

The QASP provides the HHS COR the ability to conduct surveillance activities of Contractor performance during the life of this Task Order. The QASP details how and when the HHS COR will monitor, evaluate, and document Contractor performance with regards to the Statement of Work.

The QASP is intended to accomplish the following:

1. Define the role and responsibilities of participating Government officials.
2. Define the key deliverables that will be assessed.
3. Describe the rating elements and the evaluation method that will be employed by the Government in assessing the Contractor’s performance.
4. Provide copies of the performance assessment form(s) that the Government will use in documenting and evaluating the Contractor’s performance.
5. Describe the process of performance assessment documentation.

**1.3 Roles and Responsibilities of Government Officials**

The QASP is a guide to be used by HHS personnel to conduct surveillance activities of the

Contractor after Task Order award. The HHS COR will review technical documents and products generated by the Contractor. HHS contract managers (e.g., Contracting Officers (CO) and Contract Specialists) in conjunction with the designated HHS COR will also conduct review of contract specific Reports or Deliverables such as invoices, monthly status reports, and work plans. The PM and the CO will use the QASP as a tool to evaluate if the Contractor-provided service meets the performance standards in the contract and will be the basis for determining incentives involving additional work earned for the Contractor.

The **Contracting Officer’s Representative** (COR) is responsible for technical administration.

Although principally responsible for administration of this surveillance plan, the COR relies upon the Project Manager and his/her assigned Technical Point of Contacts to perform and document many of the detailed surveillance activities required by the plan.

The COR is not empowered to make any contractual commitments or to authorize any contractual changes on the Government’s behalf. Any changes that the Contractor deems may affect contract price, terms, or conditions shall be referred to the Contracting Officer for approval.

The **Contracting Officer** (CO), Lead COR, and/or the CO’s representative, will have overall responsibility for overseeing the Contractor’s performance. The CO will also be responsible for the day-to-day monitoring of the Contractor’s performance in the area of contract compliance, contract administration, cost control; reviewing the PM or COR assessment of the Contractor’s performance; and resolving all differences between the Government and the Contractor. The CO may call upon the technical expertise of other Government officials as required.

**2.0 Rating Elements and Standards of Performance for Key Deliverables**

The Contractor’s performance shall be evaluated against the performance standard(s) and acceptable level(s) of quality for each sub-task listed in this document.

**3.0 Surveillance Methodology**

Surveillance methodology is provided in each sub-task listed in this document.

**4.0 Process of Quality Assurance Assessment**

A determination of the Contractor’s performance will be on a quarterly basis. The HHS will provide annual customer feedback to the Contractor by summarizing the past year’s surveillance activities under the Contractor Performance System (CPS) administered by the National Institutes of Health (NIH). In addition, HHS will provide immediate and annual performance customer feedback from Government personnel involved in the use or management of the project. As soon as a discrepancy is identified with a deliverable associated with this Task Order, the PM, COR and/or CS/CO will notify the Contractor.

The Government will score each document and/or deliverable received from 1 to 100 points based on completeness, feasibility, understandability, accuracy, and practicality. The minimum acceptable score for each document and/or deliverable is 90. Scores of 89 and below will require the Contractor to revise each document and/or deliverable at no additional cost to the Government.

**5.0 Surveillance Documentation**

A Development Performance Standards Checklist will be used by HHS personnel conducting the monitoring of the Contractor’s performance on this Task Order. Performance evaluations associated with the performance categories of cost; schedule and quality for the task order will be documented. The Performance Standards Checklist will be submitted by the PM and/or COR to the CO for appropriate action. Also, the Contractor Performance Evaluation Form will be used to document findings for the past year’s surveillance activities regarding the Contractor’s performance under this Task Order and will be the basis for an annual performance discussion between HHS personnel and the Contractor representative under the CPS.

**6.1 Information Required from the Contractor as Part of the Proposal**

**6.2 Quality Control Plan**

In this section, the Contractor that is awarded the Task Order shall establish and maintain a complete Quality Control Plan (QCP) to ensure that the requirements of the Task Order are provided as specified. The QCP shall describe the methods for identifying and preventing problems before the level of performance becomes unacceptable.

**7.0 Quality Assurance Surveillance Plan**

|  |  |  |  |
| --- | --- | --- | --- |
| **Required Services/ Tasks** | **Performance**  **Standards** | **Method of**  **Surveillance (Quality**  **Assurance)** | **Standard to be**  **Met/Allowable**  **Deviation** |
| Customer satisfaction | Contractor adheres to  guidance provided by  COR | COR & ACL customer  feedback | Fewer than 4 customer complaints during task order period, including COR comments |
| Overall contract  management, to include  cost and time | Contractor maintains  high level of quality  assurance, responsiveness to COR & Contracts Officer, reliability,  completeness of tasks, contacts COR  immediately with any  issues or problems;  contractor remains  within or below cost  estimates, meets time  frames identified by  COR, notifies COR  immediately of any  budget issues; no cost  overruns | COR & Contracting  Officer monitoring;  deliverables; budget  estimates; invoices and monthly reports | COR receives no more than 4 valid complaints per 9 months; no invoice per 9 months requiring suspension or disallowance due to mistakes, incompleteness or unallowable costs |
| Written  Products/Deliverables | Contractor provides  high-quality written  products and task  deliverables and meets the time frames for each task as defined in the deliverables section | COR monitoring and  other ACL reviewers  comments on quality  of drafts, final products, and timeliness | Not more than a five  (5) workday delay in  task schedule unless  otherwise approved by the COR; fewer than 6 customer complaints during 9 month period |