DLA Energy Utility Services

Quality Assurance Surveillance Plan

(QASP)

Template (as of 07 May 2025)

(NOTE: In the final QASP document, delete the word "Template" above, and replace with contract number and description using the following format:

Contract No. SP0600-XX-C-XXXX

(Installation Name) – (Name of System(s))

System Owner: (Name of System Owner)

Do not include this note as part of the QASP document.)

(Insert Date – Ex: 19 July 2018)

Defense Logistics Agency Energy, Utility Services Division

Summary of Changes

05/07/2025 – Added Utility System Condition Assessment (USCA) / Appendix G

02/06/2025 - Revised template with minor grammar and hyperlink updates / Appendix All

02/23/2023 - Added Installation Energy and Water Plans / Appendix H

02/23/2023 - Added Combatting Trafficking in Persons / Appendix I

04/16/2020 - Added America's Water Infrastructure Act (AWIA) of 2018 / Appendix I

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1. Initial Contract Documentation / Requirements	7. Joint Inventory
2. Conduct Post-Award Orientation Conference and Other Meetings	8. Service Requirements
3. Permits and Leases/Easements	9. Records Management
4. Security Requirements	10. Environmental Compliance
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I. Introduction

a. Purpose:

1) This Quality Assurance Surveillance Plan (QASP) is an instructional/guidance document that will assist the Utility Services (US) Contracting Officer's Representative (COR) in technical observation and contract management duties on this US contract. The QASP also serves as an official document informing the System Owner (SO) of those areas of technical observation and contract management for which the COR will be involved. The QASP uses a combination of surveillance methods to adequately assess the technical and management requirements of this contract. The QASP shall be an attachment to the US contract. However, it is important to note that this QASP is a living document that may change as needed or when the current contract is amended or if changes are needed outside the normal scope of the contract directives.

b. Government Roles and Responsibilities:

1) **Contracting Officer (KO):** Has overall responsibility for overseeing the SO's performance. The KO, through an assigned COR, monitors the SO's performance in the areas of contract compliance, contract administration, and cost control. The KO also reviews the quality of the COR's assessment of the SO's performance, to include resolving any differences between the COR's and the SO's version of events. The KO is the only individual authorized to direct the SO in the performance of his duties under the contract and to make interpretations of, and changes to, the contract that bind the Government. No payments will be made for any unauthorized supplies/services or for any unauthorized changes to the work specified herein. This includes any services performed by the SO of its own volition or at the request of an individual other than the duly appointed Contracting Officer. It is very important to remember that the Contracting Officer is the ONLY person that may obligate the US Government for any changes to the contract.

2) **Contracting Officer's Representative (COR):** Has the responsibility for technical monitoring of the SO's performance, as well as assessing, recording, and reporting on the SO's compliance with the terms and conditions of the contract. The COR will ensure his/her availability to receive mandatory training prior to performing SO surveillance. The COR will maintain surveillance documentation and will notify the Installation Commander (through the KO) of any significant Performance deficiencies and recommend improvements to the QASP and Contract Requirements throughout the life of

the contract. The COR is appointed to represent the Contracting Officer on technical matters and has no authority to bind the government or direct performance not otherwise authorized and stipulated in this contract. This individual has primary responsibility for accepting, rejecting, or requiring correction of any deficiencies found in deliverables unless otherwise defined in this task order. In the event of rejection of any deliverable, the SO will be notified in writing by the Contracting Officer of the specific reasons why the deliverable was rejected.

3) **Other Key Government Personnel:** Contracting Specialist(s), US COR Program Manager and the US Contracting Team will provide contractual guidance and requirements when needed or appropriate. Any unforeseen or potential conflicts or problems can be addressed with the individuals listed but for any contractual changes, the Contracting Officer is the ONLY authority to make any change to the contract. If applicable, this QASP will be revised to include relevant POC information.

c. **System Owner (SO) Roles and Responsibilities:**

1) The SO has the responsibility for complying fully with the terms and conditions of the contract, participating as a member of the multi-functional team in the post-award management phase, maintaining and implementing a Quality Management Plan that complements the Performance Plans ensuring that non-conforming contract services are identified and corrected. The SO will perform utility services that conform to the contract requirements and recommend changes to the contract that will provide more effective operations or eliminate unnecessary costs. The SO will be responsible for the execution of both the contractual and technical aspects of the contract performance. As the owner of the (insert type(s)) utility system(s), and performing under a utility services contract to the Government, the SO is responsible for all ownership, operations, maintenance, renewals/replacements/system deficiency corrections, and applicable compliance issues related to the system(s).

d. **General Areas to be Monitored During SO Performance:**

1) Quality of Services Provided

i. Compliance with Contract Requirements
ii. Appropriateness of Personnel for the Task
iii. Technical Excellence

iv. Anticipation of Unquantified (yet reasonably expected) Utility-Related Issues

2) Schedule / Timeliness of Performance

i. Responsiveness to Technical Direction
ii. Completion of Work Requirements
iii. Reliability

3) Cost Control

i. Demonstration of Daily Operational Efficiencies
ii. Execution of Scoped Renewal and Replacement/Upgrade/Deficiency Corrections
iii. Incorporation of Innovative Practices Resulting in Cost Savings
iv. Effectiveness in Forecasting, Managing and Controlling Contract Cost/Price
v. Ability to Keep Within the Total Estimated Cost or Fixed Prices
vi. Accuracy, Completeness and Timeliness of Invoicing

4) Management / Business Relations

i. Management Effectiveness
ii. Flexibility
iii. Customer-focus
iv. Avoidance of Problems
v. Timeliness of Notification and Mitigation of Problems
    - Effectiveness of SO's Recommended Solutions
    - Effectiveness of Execution of Problem Resolution

5) Utilization of Small Business

i. Maximum practicable opportunity
ii. Compliance with terms and conditions

6) Regulatory Compliance

i. Contract clauses
ii. Contract reporting requirements
iii. Quality assurance surveillance plan

iv. Utility industry-related requirements, safety/environmental requirements, and standard and unique contract-specific requirements

(Note: The five general areas listed above may serve to provide helpful structure/direction to the COR when submitting input for the annual SO Performance Assessment and Rating System (CPARS) assessment required for the contract. Although the above represent major areas to be considered when monitoring SO performance, the list should not necessarily be considered all inclusive…Do not include this note as part of final QASP document.)

Section II of this QASP provides further technical guidance and lists the specific operational plans associated with this Utility Services contract.

e. **Performance Standards**

1) The Description/Specifications/Work Statement identifies Government objectives and performance standards. The Government will use these standards to assess SO performance against these objectives to ensure performance is, at a minimum, satisfactory.

f. **Surveillance/Monitoring Methods**

1) Various methods exist to monitor performance. Below are examples of surveillance/monitoring methods the COR may use in the administration of this QASP. Regardless of the surveillance method, the COR will contact the SO's designated representative when a problem/defect is identified and provide the representative the details of the identified problem/defect. Examples of surveillance/monitoring methods include:

i. Direct Observation (e.g., real-time observation of utility system activities or meetings being performed by the SO)
ii. Assessment of Deliverables (e.g., verification of the timeliness and quality/sufficiency of required submittals, such as monthly outage reports or MSPR (Monthly System Performance Reports) and the Annual Corrections/Upgrades/ Connections/R&R Plan)
iii. Review of Invoices/Payments (e.g., verification of the accuracy of submitted invoices and payments
iv. Random Sample of Reviews (e.g., random sampling of operation and maintenance procedures/plans at an unspecified/unannounced frequency)

The Inspection and Acceptance clauses (or other applicable clauses) become the basis for any actions that the Contracting Officer may deem appropriate when performance requirements are not being met or the quality is of an unsatisfactory level.

g. **Performance-Based Rating System to be Used**

1) The SO will be annually assessed and rated for its performance and operation of the utility system listed per the contract. The Contractor Performance Assessment Reporting System (CPARS) will be utilized to perform this assessment:

i. CPARS training can be accessed at: https://www.cpars.gov/ *(Use "Assessing Official Representative" role)* (Approx. 2 hrs. to complete)

The COR will establish an account in CPARS in order to officially contribute to the Government's annual assessment of the SO's performance. The COR's input will carry significant weight in the development of the Government's overall annual rating of the SO's performance under this contract. The COR will assign a rating to the SO's performance under the contract using the following table:

EXCEPTIONAL	• Performance exceeded many of the contract requirements to the Government's benefit. • Few minor problems resulted from the performance; any corrective actions taken were highly effective.
VERY GOOD	• Performance exceeded some of the contract requirements to the Government's benefit. • Some minor problems resulted from the performance; any corrective actions taken were effective.
SATISFACTORY	• Performance met all the contract requirements. • Some minor problems resulted from the performance; corrective actions taken were satisfactory.

MARGINAL	• Performance did not meet some of the contract requirements, causing impact to the Government. • Serious problems resulted from the performance, but recovery was still possible; corrective actions taken were either marginally effective or not fully implemented.
UNSATISFACTORY	• Performance did not meet most of the contract requirements, causing impact to the Government. • Serious problems resulted from the performance, and recovery was not considered likely; corrective actions taken were ineffective.

The COR's assessment and recommended rating will be reviewed by the DLA Energy Contract Specialist and Contracting Officer to ensure sufficient justification.

2) Upon completion of the Government's annual assessment and rating of the SO's performance, the assessment and rating will be officially recorded in the Past Performance Retrieval System (PPIRS). Which has merged with the CPARS application. Information in CPARS/PPIRS will serve as a valuable Government source of SO past performance information for future solicitations upon which the SO may offer.

   i. CPARS can be accessed at: https://www.cpars.gov/

h. **Performance Documentation**

1) SO performance on this contract will be documented in the manner described below:

   i. Acceptable performance. The Government will document performance that meets or exceeds minimum expectations. A Performance Report will be used for this documentation effort and is to be used whenever the COR performs monitoring/surveillance (i.e., inspections, visits, etc.) on the UP contract. A template for this Report can be found at Appendix B. All Performance Report documentation will be placed in the COR file. It is important to

note that these Performance Reports can become part of supporting documentation for appropriate actions taken under this contract.

ii. Unacceptable performance. When unacceptable performance is observed, in addition to completing a Performance Report, the COR will complete a DD Form 2772, *Contract Discrepancy Report* (CDR). An example of this form can be found at Appendix C. This form serves as the official written notification to the SO of an observed contract discrepancy. *(Note: Only under unique circumstances will verbal communication be used to initially inform the SO of a potential contract discrepancy. However, in those cases, the COR will follow-up with written notification of the finding as soon as possible, coordinate it through the KO, and provide to the SO.)* As part of the CDR process:

- The SO shall acknowledge receipt of the CDR in writing.
- The SO will prepare a corrective action plan to document how the SO shall correct the unacceptable performance and avoid recurrence.
- The CDR will clearly indicate a due date by which the SO has to present this corrective action plan to the COR.
- The Government will review the SO's corrective action plan to determine acceptability.

iii. Summary of Methodology and Purpose for Performance Documentation. The reports and forms referenced in this QASP are designed to collectively serve as a traceable documented history of SO performance. These will also support recordkeeping requirements mandated by the DoD Procurement Integrated Enterprise Environment in the Surveillance and Performance Monitoring Module (SPM), as well as annual performance assessments mandated by CPARS. Specifically:

- **Performance Report** (Appendix B) -- Used by the COR whenever performing contract monitoring/surveillance on the UP contract. Both negative and positive aspects of the SO's performance are documented. The information recorded in Performance Reports can serve as a significant source of documented SO performance. This information can

subsequently be used in developing the COR Monthly Report to the Contracting Officer.

- **DD Form 2772, *Contract Discrepancy Report* (CDR)** (Appendix C) -- Used by the COR whenever a contract discrepancy is found because of the COR's monitoring/surveillance activity. CDRs can serves as a significant source of documented deficient SO performance. Subsequently, CDRs can become part of supporting documentation for appropriate Government actions taken under this contract regarding SO performance or failure to perform. CDRs, together with Performance Reports, should be used in developing the COR Monthly Report to the Contracting Officer.

- **COR Monthly Report to the Contracting Officer** (Appendix D) – Required to be produced by the COR and loaded onto the DoD Procurement Integrated Enterprise Environment (SPM Module) every month. Report should serve as a compilation/summary of the results and observations from the CORs contract monitoring and surveillance activities from the past month. Both negative and positive aspects of the SO's performance are documented. The compilation of these monthly reports over the course of annual contract period of performance will serve as a significant source of documentation supporting the Government's annual CPARS assessment for the SO under this contract.

II. Specific Plans/Areas to Be Monitored Under the QASP

The QASP layout is generally structured to be consistent with the major plans that comprise the majority of the SO's tasks/responsibilities under this contract.

a. Operational Transition Plan

1) Purpose: This Plan contains the SO's approach and procedures demonstrating its ability to maintain continuous utility service and minimize service impacts, while smoothly and effectively transferring responsibility and accountability for utility system capital assets, permits, personnel resources, administration, and other system responsibilities adequately and effectively.

2) COR checklist for this Plan can be found at Appendix E.

(Note: Upon completion of the Operational Transition Plan, this section above can be removed from future versions of the QASP used on the contract. Do not include this note as part of the QASP document.)

b. **Service Interruption Contingency and Catastrophic Loss Plan**

1) Purpose: This Plan contains the SO's approach and procedures demonstrating its ability (during normal daily operations and during disaster/contingency situations) to receive service requests; to classify their severity ***(Note: If this self-classification responsibility is in the contract)***; to appropriately respond to those requests; to provide status to the customer; and to access proper manning, materials, equipment, and vehicles.

2) COR checklist for this Plan can be found at Appendix F.

c. **Operations and Maintenance/Quality Management Plan**

1) Purpose: This Plan contains the SO's approach and procedures demonstrating its overall quality philosophy and the adequacy of procedures used to ensure that contract requirements are met (or exceeded) and that the system is being operated and maintained in a manner consistent with its long-term ability to provide reliable, cost-effective, and compliant service. The Plan also demonstrates the SO's ability to modify service practices and quality management actions as necessary to accommodate changes in legal requirements or industry standards.

2) COR checklist for this Plan can be found at Appendix G.

d. **Initial SDC/Upgrades/Connections and Renewals and Replacements Plan**

1) Purpose: This Plan contains the SO's approach and procedures demonstrating the SO's ability to identify, plan and execute upgrade, renewal, and replacement activities to ensure a long-term efficient utility system. The Plan should demonstrate the comprehensiveness, feasibility, and effectiveness to which these activities are executed.

2) COR checklist for this Plan can be found at Appendix H.

e. **Other Areas to be Monitored**

1) In addition to the four major plans above, the QASP will also include applicable areas of responsibility/duties for which the COR – serving as the Contracting Officer's on-ground representative – should have oversight. These may include, but not be limited to, general activities such as 1) ensuring the appropriate information exchange occurs between the SO and appropriate Government representatives on contract/project-related issues, and 2) validating payment invoices submitted by the SO.

2) COR checklist for this Plan can be found at Appendix I.

f. **Recommended Table of Required Submittals**

1) Table may be found at Appendix J

III. General Methodology Used in Building and Maintaining the Plan-Specific Checklists (Appendices D through H) in the QASP

(NOTE: As part of the final QASP document, it is beneficial to have a general discussion as to the methodology used in building its content. However, the text below will require modification prior to inclusion in the final QASP document used for a specific contract. Items a through d below, as currently shown, serves as a basis of instruction to aid the COR to initially construct the QASP document, as well as maintain thereafter…Do not include this note as part of final QASP document.)

A deliberate methodology is used to develop and maintain the content of the QASP. At any particular time, the QASP content should reflect the most current and representative areas that require government monitoring, surveillance, and/or coordination to ensure acceptable SO performance. ***(Note: After the initial QASP is developed, remove the text: 'develop and' from the first sentence in this paragraph…Do not include this note as part of the final QASP document.)***

a. **Review Section L of the RFP**

1) This will provide an outline of the major areas to be included in each of the four main Plan-specific checklists (Appendices E though H). ***(Note: This will help build the initial structure of the checklists to be used in the QASP. Going forward, after the initial QASP is built, the COR should not have to***

refer to the RFP for structural guidance on maintaining the contract specific QASP…Do not include this note as part of final QASP document.)

2) Include those identified items in the appropriate Plan checklist(s).

(Note: After the initial QASP is developed, remove this entire Section a. 'Review Section L of the RFP'… Do not include this note as part of final QASP document.)

b. **Review Section C of the RFP**

(Note: After the initial QASP is developed, remove the text: 'RFP/'from the title of this section to read: 'Review Section C of the Contract'…Do not include this note as part of the final QASP document.)

1) This will help identify potential surveillance/monitoring/coordination activities to be included in any one of the five QASP checklists, as applicable (Appendices E through I). *(Note: These "Section C" requirements become part of the actual contract upon award.)* ***(Note: After the initial QASP is developed, remove the text: '(Note: These "Section C" requirements become part of the actual contract upon contract award.)'…Do not include this note as part of the final QASP document.)***

2) Include those identified items in the appropriate Plan checklist(s).

c. **Review the Utility-Specific Section JA Attachment**

1) This will help identify potential Installation-specific surveillance/monitoring/ coordination activities to be included in any one of the five QASP checklists, as applicable (Appendices E through I) *(Note: These "Section JA" requirements become part of the actual contract upon award.)* ***(Note: After the initial QASP is developed, remove the text: '(Note: These "Section JA" requirements become part of the actual contract upon contract award.)'…Do not include this note as part of the final QASP document.)***

2) Include those identified items in the appropriate Plan checklist(s).

d. **Review each of the four main Plans provided by the SO and included in the contract.**

1) Review each of the Plans (using the general initial structure provided by Section L of the RFP – see Section III a. above) and identify any specific

items that address products/activities/etc. required of the SO. ***(Note: After the initial QASP is developed, remove the text: '(using the general initial structure provided by Section L of the RFP – see Section III a. above)'…Do not include this note as part of the final QASP document.)***

2) Include those identified items in the appropriate Plan checklist(s).

IV. QASP Maintenance/Review/Update

The QASP is a living document that will require periodic review and updating.

a. Revisions to this document may be necessary to adequately reflect associated changes in the contract. The Contracting Officer/Specialist and/or COR will bring to proper attention any potential QASP revisions necessary as a result of any changes in the contract.

b. As a standard, the QASP will be reviewed by the Contracting Officer at least annually. However, an out-of-cycle review may be accomplished if necessary or requested. A sample of a QASP Periodic Maintenance Review and Acceptance form can be found at Appendix A.

V. Summary

The QASP serves as an important guiding document, providing the framework for government monitoring, surveillance, and coordination of the SO's activities and responsibilities under this Utility Services contract. The typical long-life of a UP contract, its many moving parts, and the fact that the SO owns the utility system(s), requires a close, long-term partnership between the government and the SO. The deliberate and methodical approach to the development and maintenance of this QASP will help ensure this partnership continues to be nurtured, resulting in long-term quality utility service to (insert installation name).

Appendices

Appendix A – FORM – QASP Periodic Maintenance, Review and Acceptance
Appendix B – FORM – Performance Report
Appendix C – FORM – Contract Discrepancy Report (CDR) (DD Form 2772)
Appendix D – FORM – COR Monthly Report to the Contracting Officer
Appendix E – CHECKLIST – Operational Transition Plan ***(NOTE: Remove link and insert "(removed)" after the word "Plan" after successful completion of the Operational Transition Plan…Do not include this note as part of the QASP document.)***
Appendix F – CHECKLIST – Service Interruption Contingency and Catastrophic Loss Plan
Appendix G – CHECKLIST – Operations and Maintenance Plan
Appendix H – CHECKLIST – Initial System Deficiency Corrections / Renewals and Replacements Plan
Appendix I – CHECKLIST – Other Areas to be Monitored
Appendix J – CHECKLIST – Recommended Table of Required Submittals

APPENDICES

Appendix A

QASP PERIODIC MAINTENANCE, REVIEW AND ACCEPTANCE

(NOTE: This Appendix serves as a recommended form to use in formally documenting the review, and acceptance, of the contents of the latest QASP version for the UP contract…Do not include this note as part of the QASP document.)

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The functional team members' signatures below indicate their review and acceptance of the Quality Assurance and Surveillance Plan, dated _____ , for *(insert type utility system)* services provided at *(insert installation name)* under contract *(insert contract number)*. These signatures indicate coordination on this Government QASP at the time of *(insert "development" or "revision")* and will remain in effect until the Plan is modified.

_____	_____
Signature/Date	**Signature/Date**
(insert name of Government Contracting Officer)	*(insert name of COR)*
(insert title and organization)	

Appendix B

PERFORMANCE REPORT

(NOTE: This Appendix illustrates the form to be used in the documentation of SO performance on the UP contract…Do not include this note as part of the QASP document.)

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The COR shall complete a Performance Report (shown below) whenever the COR performs contract monitoring/surveillance on the Utility Services contract.

Performance Report

COMPLIANCE: This document is in accordance with the Inspection of Services Clause FAR 52.246-4 and the Quality Assurance Surveillance Plan requirements.

1. CONTRACT NUMBER:

2. CONTRACTOR:

3. DATE & TIME OF OBSERVATION:

4. DETAILS OF OBSERVATION:

   a. Item/Area(s) Being Observed:

   b. Method(s) of Surveillance (ex: Direct Observation, Assessment of Deliverables, Review of Invoices/Payments, Sample Reviews):

   c. Frequency of Surveillance (ex: monthly, quarterly, unannounced, etc):

   d. Surveillance Results:

5. ADDITIONAL COR COMMENTS:

6. SIGNATURE: I hereby certify the accuracy of the observations/results noted above.

_____
CONTRACTING OFFICER'S REPRESENTATIVE SIGNATURE / DATE

Performance Report Form

Appendix C

CONTRACT DISCREPANCY REPORT

(NOTE: This Appendix illustrates the form to be used in the formal documentation of specific SO performance discrepancies/problems on the UP contract, as they are encountered by the COR…Do not include this note as part of the QASP document.)

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The DD Form 2772, *SO Discrepancy Report* (CDR), shown below, will be prepared by the COR to formally notify the SO of a pending discrepancy. The purpose of the form is to allow the SO to correct discrepancies with minimal interference from the Government.

CONTRACT DISCREPANCY REPORT

1. CONTRACT NUMBER	2. REPORT NUMBER FOR THIS DISCREPANCY	
3. TO *(Contractor and Manager's Name)*	4. FROM *(Name of QAE)*	
5. DATES *(YYYYMMDD)*		
a. PREPARED	b. RETURNED BY CONTRACTOR	c. ACTION COMPLETE
6. DISCREPANCY OR PROBLEM *(Describe in detail. Include reference to PWS Directive; attach continuation sheet if necessary.)*		
7. SIGNATURE OF CONTRACTING OFFICER		
8a. TO *(Contracting Officer)*	b. FROM *(Contractor)*	
9. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. *(Cite applicable Q.C. program procedures or new Q.C. procedures. Attach continuation sheet(s) if necessary.)*		
10. SIGNATURE OF CONTRACTOR REPRESENTATIVE	b. DATE *(YYYYMMDD)*	
11. GOVERNMENT EVALUATION *(Acceptance, partial acceptance, reflection. Attach continuation sheet(s) if necessary)*		
12. GOVERNMENT ACTIONS *(Reduced payment, cure notice, show cause, other)*		

13. CLOSE OUT

	NAME (1)	TITLE (2)	SIGNATURE (3)	DATE *(YYYYMMDD)* (4)
a. CONTRACTOR NOTIFIED				
b. QAE				
c. ACO				

DD FORM 2772, SEP 1998 REPLACES MT FORM 352-R, WHICH IS OBSOLETE. Reset Adobe Professional 8.0

A fillable version of these forms can be found at:
http://www.dtic.mil/whs/directives/forms/eforms/dd2772.pdf
https://www.esd.whs.mil/Directives/forms/dd2500_2999/

Appendix D

COR MONTHLY TRANSITION PERIOD REPORT / COR MONTHLY REPORT TO THE CONTRACTING OFFICER

(NOTE: This Appendix illustrates the forms to be used in the monthly summary of documented SO performance on the UP contract. This is a DoD PIEE (SPM) requirement…Do not include this note as part of the QASP document.)

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The COR shall complete either a COR Monthly Transition Report or the COR Monthly Report depending on the phase of the contract to the Contracting Officer (shown below) to document both negative and positive aspects of the SO's performance for the UP contract. The report shall be submitted to the KO via the SPM module in accordance with a mutually established submittal schedule.

COR Monthly Transition Period Report
(to the Contracting Officer)

1. CONTRACT NUMBER:

2. CONTRACT TRANSITION PERIOD OF PERFORMANCE: *(Click here to enter text.)*

3. SYSTEM OWNER: *(Click here to enter text.)*

4. METHOD(S) OF SURVEILLANCE *(ex: Direct Observation, Assessment of Deliverables, Review of Invoices/Payments)*: *(Click here to enter text.)*

5. COMPLIANCE: This document is in accordance with the Inspection of Services Clause FAR 52.246-4 (for non-regulated contracts) and the Quality Assurance Surveillance Plan requirements.

6. OVERALL ASSESSMENT: Complete items 6a through 6c below. Provide supporting detailed explanation in Item 7, as necessary. Attach additional documentation for supporting evidence if required.

   a. Deliverables provided by the contractor this month (list them here):

   b. Was the System Owner's performance timely? ☐ *YES* ☐ *NO**

   **(If answered "NO", provide explanation below)*

   c. Are there any significant issues that should be brought to the contracting officer's attention?

   ☐ *YES*** ☐ *NO*

   ***(If answered "YES", provide explanation below)*

Appendix D

COR MONTHLY TRANSITION PERIOD REPORT / COR MONTHLY REPORT TO THE CONTRACTING OFFICER

COR Monthly Transition Report to the Contracting Officer (pg. 2)

7. ADDITIONAL COR COMMENTS *(to support responses provided in Section 6 above, as necessary. COR Comments should be entered for the applicable area(s) listed below.)*:

   a. Quality/Meetings:

   b. Schedule/Deliverables:

   c. Management:

   d. Other Areas:

8. SIGNATURE: I hereby certify that services have been received and accepted IAW terms of the utility services contract, with any exceptions noted.

_____

CONTRACTING OFFICER'S REPRESENTATIVE SIGNATURE / DATE

Appendix D

COR MONTHLY TRANSITION PERIOD REPORT / COR MONTHLY REPORT TO THE CONTRACTING OFFICER

For Official Use Only

COR Monthly Report

(To the Contracting Officer as an attachment to the SPM Smart Form)

1. CONTRACT NUMBER:

2. CONTRACT PERIOD OF PERFORMANCE: *(Click here to enter text.)*

3. CONTRACTOR: *(Click here to enter text.)*

4. COMPLIANCE: This document is in accordance with the Inspection of Services Clause FAR 52.246-4 (for non-regulated contracts) and the Quality Assurance Surveillance Plan requirements.

5. OVERALL ASSESSMENT: Complete items 5a through 5e below which are addressed directly on the SPM Smart Form. However, please provide supporting detailed explanation in Item 7, as necessary. Attach additional documentation for supporting evidence if required.

a. *Quality of Work:* ***(Addressed on the Smart Form)***

*NOTE: *(Detailed narrative justification still required in Item 7a below to support Quality of Work rating)*

b. *Deliverables provided by the contractor this month:* ***(Addressed on Smart Form)***

c. *Was the contractor's performance timely?* ***(Addressed on Smart Form)***

d. *Are there any significant issues that should be brought to the contracting officer's attention?* ***(Addressed on Smart Form)***

e. *Is action being taken by contractor to correct discrepancies?* ***(Addressed on Smart Form)***

6. CUSTOMER COMPLAINTS: ***(Addressed on Smart Form)***

Appendix D

COR MONTHLY TRANSITION PERIOD REPORT / COR MONTHLY REPORT TO THE CONTRACTING OFFICER

COR Monthly Report to the Contracting Officer (pg. 2)

For Official Use Only

7. ADDITIONAL COR COMMENTS *(to support responses provided in Section (11. a.) on the Smart Form. COR Comments should be entered for the applicable area(s) listed below.)*:

a. Quality:

b. Schedule:

c. Cost Control:

d. Management:

e. Utilization of Small Business:

f. Regulatory Compliance:

g. Other Areas:

8. SIGNATURE: I hereby certify that services have been received and accepted, with any exceptions noted.

_____

CONTRACTING OFFICER'S REPRESENTATIVE SIGNATURE / DATE

For Official Use Only

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Appendix D

COR MONTHLY TRANSITION PERIOD REPORT / COR MONTHLY REPORT TO THE CONTRACTING OFFICER

These forms can be found at: http://www.dla.mil/Energy/Offers/Services/UtilityServices.aspx

Appendix E

OPERATIONAL TRANSITION PLAN – CHECKLIST *(removed)* *(Note: Include the text: '(removed)' once the operational transition period is complete, and remove checklist.)*

(NOTE: This Appendix serves as a checklist to ensure actions necessary for sufficient monitoring of the SO's Operational Transition Plan – and the SO's associated demonstrated actions for compliance – are accomplished by the COR and other Government representatives. Upon successful completion of the Operational Transition Period, this appendix can be removed from future versions of the QASP…Do not include this note as part of final QASP document.)

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1. Initial Contract Documentation/Requirements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**US Contract Document** – DLA Energy Contracting Staff ensures that the US Contract document, with any associated modifications, is provided to the COR/SO	SO ensures that the current/accurate UP Contract is received and provide written concurrence to this requirement	Initial	Contract Oversight –KO Acknowledgement and receipt of SO's written acknowledgement	All Contract Sections *(insert correct reference(s) to be consistent with actual contract)*		☐
b.	**Periodic Deliverables/Report Submittals** – COR will establish operational report requirements with the KO and SO • Establish mutual agreement with KO, Installation reps, and SO on the specific format of each required report, as well as	SO will acknowledge and provide comments to report requirements	Initial	N/A	J/L/C Sections *(insert correct reference(s) to be consistent with actual contract)* *J._? (Specific to contract submittal section)*	*Recommended Table of Required Submittals*	☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	confirming frequency of submittal.						
c.	**Initial QASP Development and Implementation** – COR and KO will layout detailed plan for QASP implementation with the SO	SO and the KO/COR will discuss all details for QASP guidance and how it relates to the current contract	As required	As required	J Section *(insert correct reference(s) to be consistent with actual contract)* *Attachment JA44 (Quality Assurance Surveillance Plan - QASP)*		☐
d.	**Establishment of COR Areas of Inspection List** – COR ensures an initial list of representative areas of inspections (i.e., facilities and documentation) is developed. List is developed through meetings with the SO and appropriate Government representatives.	SO will work with COR and Government representatives to determine an initial array of mutually acceptable areas (facilities and documentation) from which SO performance can be reasonably assessed.	Initial	All	All Contract Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Section E* *Exhibit JE._? (All four listed plan attachments)*	*Recommended Table of Required Submittals*	☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

2. Conduct Post-Award Orientation Conference and Other Meetings:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Post-Award Orientation Conference and Agenda Development** – KO/COR organizes Post-Award Orientation Conference. COR coordinates with SO to determine specific SO-recommended agenda items for discussion at conference.	The SO prepares and organizes for the O&M Transition Meeting, to include provision of recommended meeting topics to the COR. The SO ensures that all required personnel attend this meeting	Initial	N/A	C/L Sections *(insert correct reference(s) to be consistent with actual contract)*	.	☐
b.	**Post-Award Orientation Conference** – The COR will ensure: • Supporting logistics are arranged (i.e., date/time, agenda, conference room, attendees, etc.) for the UP Post-Award Orientation Conference (NOTE: This meeting is the initial meeting between the Government and the SO -- the new owner of the utility system).	The SO will ensure that: • The proper SO personnel attend the Post-Award Orientation Conference • A recommended list of meeting agenda topics is provided to the COR for coordination with the KO.	Initial start of contact	N/A	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of work)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	• An agenda of initial meeting topics is developed and coordinated with the US SO and KO						
c.	**Post-Award Orientation Conference –** COR ensures the following actions are initiated at the Post-Award Orientation Conference: *(Note: Add/subtract listed actions, as applicable.)* • Review/discussion of contract's Operational Transition Plan for clarity/understanding • Other related actions	The SO ensures that all required personnel attend this meeting	Initial	N/A	J/L/C Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._?(Coordination of work)* *C.13._? (Operational Transition Plan)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
d.	**Coordination of Installation Review of the Four Major Plans** – COR coordinates Installation review (with the appropriate offices) of the four major plans included in the contract: • Operational Transition Plan	None	Initial	N/A	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	• Service Interruption Contingency and Catastrophic Loss Plan • Operations and Maintenance/Quality Management Plan • Initial System Deficiency Corrections/Renewals and Replacements Plan COR establishes POCs and coordinates review timetables to ensure timely feedback from Installation. Installation POCs may include, but not be limited to: • Fire and Law Enforcement • Safety • IT/Communications • Civil Engineering/DPW • Environmental • Installation Leadership • Hospital				*C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *C.9_? (Coordination of Work)* *C.12._? (Operations and Maintenance/Quality Management)* *C.13._? (Operational Transition Plan)* *Exhibit JE._? (All four listed plan attachments)*		

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

e.	**Coordination of Feedback/Discussion of the Four Major Plans** – COR coordinates any resulting feedback/discussion between the Installation and SO from the review of the four major plans in the contract: • Operational Transition Plan • Service Interruption Contingency and Catastrophic Loss Plan • Operations and Maintenance/Quality Management Plan • Initial System Deficiency Corrections/Renewals and Replacements Plan	SO ensures its availability to answer questions from the Installation review of the plans	Initial	N/A	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *C.9._? (Coordination of Work)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *C.12._? (Operations and Maintenance/Quality Management)* *C.13._? (Operational Transition Plan)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

					Exhibit JE._? (All four listed plan attachments)		
f.	**Utility System Conveyance Meeting** – COR sets up a future Utility System Conveyance Meeting between Installation Personnel and SO	SO will ensure that all key personnel attend this meeting.	Initial	COR will record a Memorandum for Record (MFR) for this action	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.2._? (Authority, Scope, and Program Goal)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
g.	**COR/SO Meeting with Installation's Engineering and Planning Staff** – COR will coordinate with SO to ensure SO is invited to applicable planning meetings with the Installation's engineering and planning staff.	The SO will ensure they attend the meeting when invited	As needed during Transition	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

3. Permits and Leases/Easements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Identify Permits and Associated SO Responsibility** – Ensure SO provides specific listing of all permits for which it has responsibility in the ownership, operation, maintenance, and/or upgrade of the specific utility system under the contract. • Coordinate this list with the appropriate Installation office(s) to ensure concurrence and mutual understanding of responsibilities.	The US SO provides a specific listing to the COR, along with status, of all permits the SO will be responsible for under the contract.	As required	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.3._? (Requirement)* *C.6_? (Access to the Utility System)* *C.9._? (Coordination of Work)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
b.	**Permit/Lease Applications** – KO/COR ensures that the SO applies for applicable permits and leases.	The SO prepares all the required documentation for obtaining the specified permits/leases	Initial - within one week after transition	As Required	C/L Sections *(insert correct reference(s) to be consistent with actual*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	• The KO/COR provides guidance to the SO, as necessary, for obtaining the permits/leases.	within the necessary timeframes to ensure/maintain compliance.	period begins and then. As Required		*contract and remove title reference)* *C.3._? (Requirement)* *Exhibit JE._? (Operational Transition Plan) attachment*		
c.	**Line Locates Plan/Procedures** – KO/COR ensures all specific procedures associated with the SO's responsibilities for locating lines in support of the Installation Digging Permit Process are clarified and documented	The SO verifies its understanding of the Installation's Digging Permit procedures, to include: • the Installation office(s) with which to coordinate line locate actions. • the maximum number of free lines locate actions to be provided under the contract (i.e. threshold) • additional costs per locate action (if any) for providing line locates above the established threshold	Monthly Permit status reports	During and after the Post Award Orientation Conference	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

d.	**Review of Current Agreements for Appurtenances Attached to Utility System Infrastructure** – The COR ensures that all applicable Offices of Primary Responsibility (OPRs) identify to the SO all items that are current attachments to the SO's inventory (ex. Cable TV lines, Cell phone antennae, fiber optic lines, etc., that are attached through manholes or strung on top of power poles of the SO's Utility System Inventory). The appurtenances must be clearly identified and documented. The COR ensures that all current agreements associated with each attachment are provided to the SO.	The SO will: • confirm understanding of the current agreements and associated attachments • work with the applicable OPRs, as necessary, to identify any potential issues that may need to be addressed as part of any follow-on agreement (once current agreement expires).	After the Post award Orientation Meeting	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C 4._? (Service Area)*		

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

4. Security Requirements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Security Clearances** – COR verifies through the Security Office that all contracted personnel have the required JPAS verifications, security clearances and access badges.	The SO prepares and submits all required documentation for obtaining a Government Security Clearance; SO will ensure that security documentation is filled out correctly and submitted in a timely manner.	As required	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C 5._? (Utility System Ownership, Personnel, and Security)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
b.	**SO Vehicle Registration, Insurance, Installation Access** – COR/KO review the SO confirmation that SO vehicles are registered, meet insurance requirements, and have access stickers for Installation	The SO ensures that its vehicles are currently registered, meet insurance requirements, and have access stickers for Installation access then notifies COR.	At the start of transition period; then for every change in vehicle and/or registration status thereafter	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C 5._? (Utility System Ownership, Personnel, and Security)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

					H 2._? (Insurance Requirements)		
c.	**Physical Security and Restricting Access to Facilities** – COR ensures SO meets with and/or is provided applicable requirements from the Security Office pertaining to sufficient physical security of, and restrictive access to, utility system and associated facilities.	Based upon discussions and/or information received from the Security Office, SO will demonstrate how it will satisfy the physical security requirements for its utility system and associated facilities.	As required	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C 5._? (Utility System Ownership, Personnel, and Security)* *C 6._? (Access to the Utility System)*		☐

5. Budget/IT Requirements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Summary Budget/ Expenditure Report Submittal** – COR will ensure that the SO provides summary budget/expenditure report to the KO	The SO will provide a summary budget/expenditure report to the KO.	As required	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

					C 11._? (SDCs/Upgrades/Connections and Renewals /Replacements)		
b.	**Initial IT Requirements Meeting** – The KO/COR conducts initial IT Communications meeting w/SO to discuss the IT requirements for Communications under the Utility Services contract.	The SO will inform the Govt of all IT requirements that will be needed/required and specify all required IT software packages; SO confirms its IT Communications Plan does not interfere with the Installation's communications frequencies.	As required	As required	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._ (Utility System Ownership, Personnel, and Security)*		☐
c.	**IT/Communications Office Coordination** – The COR ensures appropriate coordination occurs between the SO and Base IT/Communications Office regarding the contract's Information Technology requirements	The SO/COR will discuss all IT req's and collaborate on a suggested plan of action for the use of all IT systems and software; SO will demonstrate to the IT/Communication Office's satisfaction that its IT Communications Plan does not interfere	As required	As required	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._ (Utility System Ownership, Personnel, and Security)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

		with the Installation's communications freq's.					

6. SO Personnel Policies:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Installation Personnel Policy** – KO/COR will inform the SO about personnel policies pertaining to SO personnel working on the Installation.	The SO will participate in discussions regarding applicable personnel policy requirements and will verify understanding of these policies.	Initial	Review and verification of personnel policies with SO	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)*		☐
b.	**Invoice and Payroll Procedures/ Documentation** – KO/COR will discuss and reach mutual understanding on procedures for accomplishing invoices and payroll-related documentation.	SO shall prepare invoices and payroll-related documentation in accordance with procedure established with the KO/COR. (Note: Any necessary re-submittals shall be	As required	Review and verification of samples/procedures submitted by SO	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *G.2._? (Submission and Payment of Invoices)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

		accomplished by the SO at own expense.)			*G.3_? (Wide Area Work Flow Payment Instructions)*		

7. **Joint Inventory:**

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Joint Inventory Review and Documentation** – The KO/COR will conduct and document a government – SO Joint Inventory of Equipment and Property.	The SO will ensure all pertinent inventory information is captured, recorded and a full concurrence meeting with all parties.	Initial start of contact	Constantly	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
b.	**Points of Demarcation (PODs)** – Ensure all PODs are identified, understood, and mutually agreeable. (Note: PODs identify the physical and geographic limits/boundaries of the utility system being transitioned to the new owner (i.e., SO).	The SO will ensure all pertinent POD information is captured and recorded and a full mutual concurrence is obtained.	Initial start of contract	Continuously	Attachment JAX of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

					C.9._? (Coordination of Work)		
c.	**Reconciliation of Inventory** – The COR/KO will review, verify, and reconcile, as necessary, the SO's field verified listing of inventory data.	The SO will reconcile/adjust inventory listing, as necessary, to reflect mutually agreed inventory.	Initial start of contact	Joint Reconciliation between Government/SO	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *C.13._? (Operational Transition Plan)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

8. Service Requirements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Verification of Service Support Requirements** – KO/COR verifies all service requirements from the SO, i.e. trash, lighting, building location, telephone service, etc.	The SO submits a detailed list of all service requirements to COR and KO for review and appropriate action.	As required	As required	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)*		☐

9. Records Management:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Availability of Government Utility System Records** – The COR will ensure that all CADD, GIS, Maintenance Records, Manuals, and As-Built	The SO will submit a detailed list of CADD, GIS, Maintenance Records, Manuals, and as-built drawings	As required	As required	C/J/L Sections *(insert correct reference(s) to be consistent with actual*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	drawings are made available to the SO upon request.	requests to the COR through the KO.			*contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)*		
b.	**Maps, Building Drawings and Pertinent Facility Files/Documents/Manuals** – COR will ensure that the SO has all available maps, building drawings and pertinent facility files/documents/manuals	The SO will ensure that all required maps, building drawings and all pertinent facility files/documents/manuals are received	During Transition and as applicable thereafter	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

c.	**GIS Data** – COR will provide the SO with all available GIS data	The SO will ensure that a list of all required GIS requirements is submitted to the KO/COR. SO provides acknowledgement of receipt.	During Transition and as applicable thereafter	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

d.	**Transfer of Permits** – COR will facilitate the transfer of permits, as applicable.	The SO will provide the KO/COR a list of required permits, documents, and manuals that are needed; SO provides acknowledgement of receipt of any permit-related documentation provided by the government; SO will ensure all permits are in place prior to the end of the Transition period, as required.	During Transition	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

10. Environmental Compliance:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a	**Initial Installation Environmental Meeting** – The COR arranges for an Installation Environmental meeting between SO and Government	SO will discuss all applicable environmental concerns/issues with Installation Environmental Personnel	Initial	N/A	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
b	**Identification of RCRA and CERCLA-listed Sites on the Installation** – The COR ensures the identification of all RCRA-listed sites (current "cradle-to-grave" operations managing generated hazardous wastes) and CERCLA-listed sites (contaminated from past	SO must acknowledge to COR the receipt of the Installation's RCLA and CERCLA listed site information (maps, site condition information, reports, site agreements, etc.). SO will ensure the proper arrangements and	After the Post Orientation Conference	Meeting minutes and follow-on memos/letters documenting transfer of the information/documentation.	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	operations) are clearly identified, documented, and communicated to the SO. • Arrange for an Installation Environmental meeting with the SO and Government representatives. • COR ensures appropriate environmental information supplied by the Installation Environmental Office (maps, site condition information, reports, site agreements, etc.) is provided/communicated to the SO.	precautions are taken when conducting daily operations in these areas.			*C.10._? (Environmental Compliance)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*		
c.	**Spill Contingencies** – COR receives procedures of the Installation Spill Contingency Plan from SO.	The SO shall adopt the procedures of the Installation Spill Contingency Plan or shall submit to the COR/ KO for review and acceptance a Contractor-developed Spill Contingency Plan	Initial	Assessment of Deliverables	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

d.	**Hazardous Material and Waste Minimization Plan** – The COR/KO briefs the Installation Hazard Material Program to the SO and discusses specific, applicable support requirements for execution under the UP contract. COR, and retain a copy of each MSDS on-site.	KO/COR and SO will discuss a plan of operations for support of Hazard Material Disposal at the Installation The SO shall submit copies of MSDS to the COR and retain a copy of each MSDS on-site.	Initial	Continuous	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *C.10._? (Environmental Compliance)*		☐

11. Contingency Operations:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Installation Contingency Operations Plan Briefing** – The COR/KO briefs the Installation Contingency Operations Plan to the SO and discusses specific, applicable support requirements for	KO/COR and SO will discuss a plan of operations for support of Contingency meter operations at the Installation	Initial start of contact	Continuous	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

	execution under the UP contract.				*C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *Exhibit JE._? (Operational Transition Plan) attachment*		
b.	**Installation Contingency Operations Formal Support Agreement** – The KO/COR will ensure an appropriate agreement is conveyed/developed describing all pertinent aspects of Operational Contingency Functions support that is required of the SO.	The SO will ensure that a detailed Contingency Checklist, consistent with the terms of the conveyed/developed support agreement, is developed, and coordinated with the KO/COR.	Initial	COR will ensure a Memorandum for Record (MFR) or other appropriate document is recorded for this action	C/J/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *Exhibit JE._? (Operational Transition Plan) attachment*		☐

Appendix E

OPERATIONAL TRANSITION PLAN -- CHECKLIST (cont'd)

12. Regulatory Compliance:

a.	**Establishment of Regulatory Compliance notifications and documentation** – COR will establish and maintain a communication process with the SO to ensure both parties' awareness on new/updated regulatory-driven requirements that have a potential effect on the contract.	SO will ensure that the COR is notified of any new/updated regulatory compliance procedures and ensure any new/updated standards are met.	Initial and semi-annually thereafter.	As required and documented in the COR Monthly report.	C/L Sections *(insert correct reference(s) to be consistent with actual contract)* *C.3_? (Requirement)*	*Recommended Table of Required Submittals*	☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST

(NOTE: This Appendix serves as a checklist to ensure actions necessary for sufficient monitoring of the SO's Service Interruption Contingency and Catastrophic Loss Plan – and the SO's associated demonstrated actions for compliance – are accomplished by the COR and other Government representatives…Do not include this note as part of final QASP document.)

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Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Receipt of Proposed Changes to Service Interruption Contingency and Catastrophic Loss Plan** – KO/COR will ensure that any adjustments/revisions to the SO's Service Interruption Contingency and Catastrophic Loss Plan (proposed by the SO) are received from the SO.	SO will ensure any proposed adjustments/revisions to the Service Interruption Contingency and Catastrophic Loss Plan are submitted to the COR in a timely manner, accompanied with clear supporting rationale/justification.	As needed	Assessment of Deliverables	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *Exhibit JE. _? (Service Interruption / Contingency and*		☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST (cont'd)

					Catastrophic Loss Plan) attachment		
b.	**Feedback/Discussion of Proposed Changes to Service Interruption Contingency and Catastrophic Loss Plan** – COR/KO ensures discussions/meetings are arranged with the SO (as necessary) to address any issues or questions related to proposed changes to the Plan. The appropriate Installation personnel will also participate in these discussions/meetings, as necessary. Installation personnel may include, but not be limited to: • Fire and Law Enforcement • Safety • IT/Communications • Civil Engineering/DPW • Environmental • Installation Leadership • Hospital	SO will ensure it is available to discuss with Government representatives, as necessary.	As needed	Assessment of Deliverables	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.7._? (Response to Service Interruptions/Contingencies and Catastrophes)* *Exhibit JE._? (Service Interruption / Contingency and Catastrophic Loss Plan) attachment*		☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST (cont'd)

c.	**Monitoring Timeliness of SO Response to Service Requests/Interruptions** – COR will monitor SO's response to service requests / interruptions to determine timeliness and effectiveness of response.	SO will respond to service requests in accordance with response time requirements identified in the contract.	As needed	Random Sample Reviews	C/L Sections *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.7._? Response to Service Interruptions/Contingencies and Catastrophes* *C.8._? (Repair Response Procedures)* *Exhibit JE._? (Service Interruption / Contingency and Catastrophic Loss Plan) attachment*		☐
d.	**Coordination of Scheduled Utility Service Outages** – COR will verify each scheduled service outage is coordinated with all affected parties a minimum of two weeks in advance. In addition to the directly affected organization, ensure coordination with	SO will provide notification to affected parties IAW established policy as part of the contract.	As required	Direct Observation	Section C.X of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST (cont'd)

	appropriate Installations reps (i.e., Fire Department, Engineering, etc.).				*C.9._? (Coordination of Work)* *Exhibit JE._? (Service Interruption / Contingency and Catastrophic Loss Plan) attachment*		
e.	**Re-scheduling of Work Requiring Service Interruption –** COR will coordinate with the SO any Government-initiated request to have the SO reschedule upcoming planned work. Typical reasons for a Government-initiated request may include unforeseen Installation mission requirements.	SO will provide notification to COR, and affected parties, of the date/time work can be re-scheduled.	As required	Direct Observation	Section C.X of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)* *Exhibit JE._? (Service Interruption / Contingency and Catastrophic Loss Plan) attachment*		☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST (cont'd)

f.	**Annual Review of SO's Procedures for Service Requests –** COR will annually review the procedures the SO has in place for receiving, processing, managing, and acting upon service requests. • Review criteria/definitions used for classifying service requests.	Contractor will make available to the COR – and meet to discuss – all necessary documentation to assist in the Government's annual review.	Annually	Assessment of Deliverables	Section C.X of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.8._? (Repair Response Procedures)* *Exhibit JE._? (Service Interruption / Contingency and Catastrophic Loss Plan) attachment*	*Recommended Table of Required Submittals*	☐
g.	**Periodic Review of SO's Service Request Records –** COR will periodically review SO's service request records to verify completeness. • Confirm the completeness of typical information taken during initial receipt and follow-up of service call (i.e., time of call, time of response, cause of the request, action taken, and date and time of completion)	Contractor will make available to the COR all necessary documentation to assist in the Government's periodic review.	Annually (minimum basis)	Random Sampling	Section C.X of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.8_? (Repair Response Procedures)*		☐

Appendix F

SERVICE INTERRUPTION CONTINGENCY / CATASTROPHIC LOSS PLAN -- CHECKLIST (cont'd)

	• Review service call log to assess track record on service call responses. o Identify any positive/negative trends. o Verify whether service calls are being resolved within established time limits.						
h.	COR will verify each service outage report with SO. ***Note***: Specific for Air Force contracts a MSPR (Monthly System Performance Reports) has been created and approved in place of monthly outage reports.	SO will provide outage/MSPR report.	Monthly	Review	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *J._? (Specific to contract submittal section)*	*Recommended Table of Required Submittals*	☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

(NOTE: This Appendix serves as a checklist to ensure actions necessary for sufficient monitoring of the SO's Operations and Maintenance / Quality Management Plan – and the SO's associated demonstrated actions for compliance – are accomplished by the COR and other Government representatives…Do not include this note as part of final QASP document.)

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1. Plans and Operation Initiatives:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Verification of Periodic Deliverables/Report Submittals** – COR will ensure all deliverables/reports are submitted by the SO IAW established schedules. • Verify timeliness of submitted deliverables/ reports. • Verify sufficiency of deliverable/report content with appropriate Installation representatives. If any changes are required (to either content or format), coordinate issues with the SO and the appropriate Installation	SO will provide/submit all necessary deliverables/reports within the mutually agreed format and schedules.	Per mutually agreed schedules	Assessment of Deliverables	Sections C/J/L *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.8_? (Repair Response Procedures)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (All four listed plan attachments)*	*Recommended Table of Required Submittals*	☐

	reps. Arrange meetings as necessary to address.				*J._? (Specific to contract submittal section)*		
b.	**Utility System Capacity Analysis** – COR will establish a frequency with the SO in which the current capacity of the utility system is measured (based on best available utility system information) and reported to the appropriate Installation reps for Master Planning purposes. • Verify timeliness of system capacity analysis report • Verify sufficiency of report with appropriate Installation reps • If any changes are required (to either content or format), coordinate issues with the UP SO and the appropriate Installation representatives. Arrange meetings as necessary to address.	SO will provide the COR/KO a utility system capacity report within a mutually agreed format and schedules.	Per mutually agreed schedules	Assessment of Deliverables	Sections C/J/L *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*	*Recommended Table of Required Submittals*	☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

c.	**Review of O&M Performance Plan Requirements** – COR and KO will meet with the SO to review the requirements in O&M plan, to include: - Inspections to be performed by SO - Preventative Maintenance to be performed on system - Predictive Maintenance to be performed on system - Resultant Annual O&M Plan *(to include specific schedule of inspections, deliverables required, and link to applicable standards and regulations)*	SO will provide most current O&M plan	Initial activation of O&M plan and as needed thereafter (at least annually)	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*	*Recommended Table of Required Submittals*	☐
d.	**Employee Training Plan Meeting** – COR will meet with SO to discuss the SO's Employee Training Plan to verify applicable required certifications are obtained (and maintained thereafter)	The SO will prepare a detailed plan for all employees training and the topics covered.	Initial activation of O&M plan and as needed thereafter (at least annually)	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership,*		☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

					Personnel, and Security) *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*		
e.	**Quality Management Plan Review** – KO/COR will review the SO's Quality Management Plan	The SO will prepare and brief the KO/COR on the Quality Management Plan	Initial activation of O&M plan and as needed thereafter	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.12._? (Operations and Maintenance/Quality Management)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*		☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

f.	**Review of Listing of O&M-related Plans/Deliverables requiring third-party involvement** – KO/COR review the current listing of plans/deliverables (related to the SO's O&M of the utility system) that need to be maintained by the SO for third-party involvement. This would include plans/deliverables monitored and overseen by parties such as: • OSHA • State Environmental Agency • Public Health Agency • Others	SO submits applicable listing of plans/deliverables to KO/COR for review	Initial activation of O&M plan and as needed thereafter (at least annually)	Assessment of Deliverables	Sections C/J/L *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)* *C.12_? (Operations and Maintenance/Quality Management)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*	*Recommended Table of Required Submittals*	☐
g.	**Incorporation of Customer Feedback** – COR will meet with SO to verify specific process/procedures used to incorporate customer feedback into its operations, as applicable; COR to verify	SO will meet with COR to discuss process/procedures used to incorporate customer feedback	As needed	Direct Observation (Note: Responsiveness to customer feedback -- including Government inquiries -- may be appropriate for inclusion in	*(insert correct reference(s) to be consistent with actual contract and remove title reference)*		☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

	adequacy of SO's retaining of customer feedback for a minimum of two (2) years.			the annual CPARS assessment.)	*C.8._? (Repair Response Procedures)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment*		
h.	**Submittal of Utility System Condition Assessment (USCA) –** COR will ensure the report is submitted by the SO IAW the timeframe specified in the contract. ***Note:*** *This is specifically an Army requirement.*	The SO will prepare a detailed assessment documenting complete and current system condition.	Annually	Assessment of Deliverable	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *J._? (Specific to contract submittal section)*	*Recommended Table of Required Submittals*	☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

2. System Deficiency Corrections / Renewals / Replacements:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**System Owner Specifications** – COR will coordinate with SO to ensure specifications are provided to the appropriate Installation representatives/third party entities at the appropriate time period. The purpose will be to eliminate potential disruption to design, funding, and/or construction processes related to the specific construction event, in advance of connection to the SO's utility system. • Arrange meetings as necessary to address.	SO will make readily available, within mutually agreed format and timetables, all applicable design specifications for service connections to be used on a facility/utility construction project that will ultimately connect to the SO's utility system.	Per mutually agreed format and schedules	Assessment of Deliverables	Sections C/J/L *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)*		☐

Appendix G

OPERATIONS AND MAINTENANCE / QUALITY MANAGEMENT PLAN -- CHECKLIST (cont'd)

3. Data Transfer:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Maps, Building Drawings and Pertinent Facility Files/Documents/Manuals** – COR will ensure that the SO has all available maps, building drawings and pertinent facility files/documents/manuals	The SO will ensure that all required maps, building drawings and all pertinent facility files/documents/manuals are received. SO provides acknowledgement of receipt.	During Transition and as applicable thereafter	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment* *Exhibit JE._? (Operational Transition Plan) attachment*		☐
b.	**GIS Data** – COR will provide the SO with all available GIS data	The SO will ensure that a list of all required GIS requirements are submitted to the KO/COR. SO provides	During Transition and as applicable thereafter	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual*		☐

		acknowledgement of receipt.			*contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment* *Exhibit JE._? (Operational Transition Plan) attachment*		
c.	**Transfer of Permits** – COR will facilitate the transfer of permits, as applicable.	The SO will provide the KO/COR a list of required permits, documents, and manuals that are needed; SO provides acknowledgement of receipt of any permit-related documentation provided by the government; SO will ensure all permits are in place prior to the end of	Initial activation of O&M plan and as needed	Assessment of Deliverable and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (Operations and Maintenance / Quality*		☐

		the Transition period, as required.			*Management Plan) attachment* *Exhibit JE._? (Operational Transition Plan) attachment*		

4. Environmental Compliance:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Environmental Compliance Plan** – KO/COR will review the SO's Environmental Compliance Plan	The SO will prepare and brief the KO/COR on the Environmental Compliance Plan	Initial activation of O&M plan and as needed	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (Operations and Maintenance / Quality Management Plan) attachment* *Exhibit JE._? (Operational*		

					Transition Plan) attachment		
b.	**Environmental Impact Assessment** Coordination – KO/COR will schedule a review of the SO's Environmental Impact Assessment documents.	The SO will prepare documents/records and review Environmental Impact Assessment with KO/COR.	As required	Assessment of Deliverables and Direct Observation	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.10._? (Environmental Compliance)*		☐

5. Regulatory Compliance:

a.	**Re-evaluate/update Regulatory Compliance notifications and documentation** – COR will establish and maintain a communication process with the SO to ensure both parties' awareness on new/updated regulatory-driven notification requirements that have a potential effect on the contract.	SO will ensure that the COR is notified of any new/updated regulatory compliance procedures and ensure any new/updated standards are met.	Initial and at least semi-annually thereafter.	As required and documented in the COR Monthly report.	C/L Sections *(insert correct reference(s) to be consistent with actual contract)* *C.3_? (Requirement)*	*Recommended Table of Required Submittals*	☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

(NOTE: This Appendix serves as a checklist to ensure actions necessary for sufficient monitoring of the SO's SDC/Upgrades/Connections and Renewals and Replacements Plan – and the SO's associated demonstrated actions for compliance – are accomplished by the COR and other Government representatives…Do not include this note as part of final QASP document.)

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1. Project Review/Master Planning:

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Annual Submittal of Five - Year Plan** – Ensure the Five - Year Plan oftentimes referred to as the "Annual Capital Plan."is submitted annually IAW the timeframe specified in the contract.	The SO will prepare a detailed Plan documenting all required System Deficiency Corrections and major renewals/replacements that will need to occur for the next 5 years; SO identifies and prioritizes all necessary improvements to reach the standards typical maintained by the SO on its utility system	Annually	Assessment of Deliverable	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)*	*Recommended Table of Required Submittals*	☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

b.	**Government Review of Five -Year Plan** – Ensure the appropriate Government representatives review the submitted Five -Year Plan also referred to as the "Annual Capital Plan." (engineering, environmental, security, etc.) to confirm consistency with identified long-term missions/initiatives within their areas of responsibility. • Ensure, as a minimum, all Government-identified requirements (i.e. upgrades, corrections, and R&R) are addressed by the SO	NA – Internal Government review activity	Annually	Assessment of Deliverables (Internal meetings/communications among Government representatives.)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.3._? (Requirement)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)*		☐
c.	**Government/SO Meeting to Review, Discuss and Approve Five -year Plan also referred to as the "Annual Capital Plan** – Ensure the appropriate Government representatives meet with the SO to review, discuss, and approve the submitted Five -Year Plan.	The SO will prepare and present a priority plan for project execution and show the timeline for project execution; detailed schedules/scopes/costs will be presented for Year 1; generalized schedules/scopes/costs	Annually, and as needed throughout year	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)*		☐

	Items include (but are not limited to): • Recently completed Upgrade/Correction/R&R activity • Upgrade/Correction/R&R Project Schedules & Scopes • Interface/compatibility w/ Installation Master Plan • Utility System capacity modeling (and recommended improvements/adjustments/studies) to address projected future load • Other related issues (ex: regulatory changes, energy conservation, etc.)	will be presented for Years 2 through 5 of the Plan			*C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *C.3._? (Requirement)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		
d.	**COR/SO Meeting with Installation's Engineering and Planning Staff** – COR will coordinate with SO to ensure SO is invited to applicable planning meetings with the Installation's engineering and planning staff	The SO will ensure they attend the meeting when invited	As needed	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)*		☐

e.	**Integration of Installation Energy and Water Plans (IEWP)** COR will coordinate with the SO concerning all requirements and deliverables relevant to the IEWP and ensure integration into the five (5) Year plan and Installation Master Plan.	SO submits applicable listing of plans/deliverables to KO/COR for review.	As needed	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.3._? (Requirement)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)*		☐
f.	**Review of Applicable Installation Policies and Regulations Review Meeting** – KO/COR will ensure that all applicable installation policies and regulations -- with a potential to interface with associated utility project activities -- are covered and explained in detail to the SO.	The SO will ensure that all applicable installation policies and regulations are followed, and compliance with these directives is mandated (and disseminated) to all contracted personnel	As needed	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.2._? (Authority, Scope, and Program Goal)* *C.5._? (Utility System Ownership, Personnel, and Security)* *C.7._? (Response to Service Interruptions/Conting*		☐

					encies and Catastrophes) *C.9._? (Coordination of Work)* *C.10._? (Environmental Compliance)* *Exhibit JE._? (Service Interruption/Contingency and Catastrophic Loss Plan) attachment*		
g.	**Specific Project Planning: Initial System Deficiency Corrections (ISDC)/Upgrades Project Timeline Review** – The Government and the SO will review the SO's plan project with contract requirements	The SO will prepare and present a yearly time phase project plan to the Government for review and concurrence	As needed.	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrade*		☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

					s/Connections and Renewals and Replacements Plan) attachment		
h.	**Specific Project Planning: ISDC/Upgrades Project Review Meeting** – Government and the SO will review all ISDCs, and Upgrade projects identified. Issues for discussion will include: • Coordination plan for any necessary service connections/disconnections required for execution of the project • *(insert other applicable issues)*	The SO will provide a detailed list of all ISDC and Upgrade projects to the Government for review and concurrence	As needed	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

i.	**Scope Review of System Deficiency Corrections** – KO/COR will start the review of anticipated System Deficiency Corrections to the current UP System	SO will brief the KO/COR on all pending System Deficiency Corrections needed for current UP system	Initial activation of SDC and R&R Plan and at least annually thereafter as part of the annually submitted 5-Year Plan.	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		☐
j.	**Schedule Review of System Deficiency Corrections** – KO/COR will review future schedule for all anticipated System Deficiency Corrections from the SO	The SO will prepare a detail plan for the future plan in regard to the System Deficiency Corrections to the current UP System	Initial activation of SDC and R&R Plan and at least annually thereafter as part of the annually	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and*		☐

			submitted 5-Year Plan.		*Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		
k.	**Review of Renewals and Replacements/Upgrades Projects** – KO/COR will review all Initial Upgrades, Renewals and Replacement Projects with SO	The SO will brief the KO/COR on all proposed Initial Upgrades, Renewals and Replacement Projects	Initial activation of SDC and R&R Plan at least annually thereafter as part of the annually submitted 5-Year Plan.	Assessment of Deliverables and Direct Observation (Weekly status meetings)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

l.	**Specific Project Planning: O&M / R&R Monthly Rate Adjustment** – Ensure SO provides applicable equitable adjustments to the O&M and R&R monthly charge as a result of the completion of the project.	The SO will prepare and present a proposal which clearly details the changes to the utility system inventory, as well as the resulting increase/decrease to the monthly O&M / R&R service charge.	Upon completion of each capital project (i.e., system upgrades, R&R, new service connections/ disconnections)	Assessment of Deliverables (SO-produced report and joint meetings between Government personnel and the SO)	Section C.11 of Contract *(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *G.2._? (Submission and Payment of Invoices)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment*		☐

					Attachment JA42 (B-Schedules and Price Data Sheets)		
m.	**Cost Proposals and Cost Performance Data Review** – COR reviews SO's cost proposals and cost performance data and provides comments to the KO.	The SO will provide cost proposals and cost performance data.	As needed	Assessment of Deliverables (Note: Cost Proposal and Cost Performance Data may be appropriate for inclusion in the annual CPARS assessment.)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)* *Exhibit JE._? (Initial System Deficiency Corrections/Upgrades/Connections and Renewals and Replacements Plan) attachment* *Attachment JA42 (B-Schedules and Price Data Sheets)*		

n.	**Specific Project Planning: Coordination/Transfer of Project-Specific Engineering/Technical Information** – Ensure the appropriate Government representatives and third parties (if applicable) meet with the SO to review, discuss, and transfer the appropriate engineering technical data related to a specific, upcoming project. Examples include (but are not limited to): • Review Existing and Planned Future Third-Party Service Connections – technical specifications to ensure compatible and acceptable connection to the SO's utility system. • Inspection Activities – Agreement on the level (and intervals) of construction inspection activities by the UP SO (in cases where a third-party construction agent is involved). • Material Submittals • Service Connections	The SO will be prepared to discuss with Government representative all appropriate engineering technical data related to specific upcoming projects in order to minimize disruptions during project execution.	As needed	Direct Observation (Joint meetings between Government personnel and the SO)	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.9._? (Coordination of Work)* *C.11._? (SDCs/Upgrades/Connections and Renewals and Replacements)*		☐

Appendix H

INITIAL SYSTEM DEFICIENCY CORRECTIONS / RENEWALS AND REPLACEMENTS PLAN - CHECKLIST

	✓ Funding Sources ✓ Permitting ✓ Invoicing						

2. **Project Completion Actions:**

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Update Records Drawings and GIS Systems and System Utility Model** – Upon completion of each renewal and replacement/upgrade project, ensure SO provides updates to applicable system drawings according to the methodology and timelines specified in the Contract.	The SO will update all applicable utility system drawings (and any associated documents) within (*insert timeframe*) and provide the COR a copy of those drawings and documents as required within the contract.	As needed	Assessment of Deliverables and Direct Observation	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *C.5._? (Utility System Ownership, Personnel, and Security)*		☐

Appendix I

OTHER AREAS TO BE MONITORED -- CHECKLIST (cont'd)

(NOTE: This Appendix serves as a checklist to ensure actions necessary for sufficient monitoring of other areas -- in which the SO must demonstrate compliant actions -- are accomplished by the COR and other Government representatives…Do not include this note as part of final QASP document.)

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Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
a.	**Points of Demarcation (PODs)** – Ensure all PODs are clearly and consistently tagged/labeled in the field and correlated with nomenclature in the approved GIS or other locating system format, and data in updated in a timely manner. (Note: PODs identify the physical and geographic limits/boundaries of the SO's utility system covered in this contract.)	The SO will ensure that all pertinent POD update information is captured and recorded, and a full mutual concurrence is obtained.	Annually	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Attachment JAX of Contract* *C.3._? (Requirement)* *C.9._? (Coordination of Work)*		☐

Appendix I

OTHER AREAS TO BE MONITORED -- CHECKLIST (cont'd)

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
b.	**America's Water Infrastructure Act (AWIA) of 2018** – Ensure all risk and resilience assessments for all community water systems are received. Verify that an emergency response plan is in place and that the Environmental Protection Agency (EPA) has received a certification letter from the System Owner stating the above assessment(s) were accomplished and an emergency response plan is in place.	The SO will ensure that all community water risk and resilience assessment(s) are accomplished, emergency response plans are updated, and a certification letter is provided to the EPA. SO will provide copies to the COR/KO upon completion.	Initially (within the established deadline on 25 Oct 2019 OASD (Sustainment) memo, *Reporting Policy for Implementation of Section 2013 of the America's Water Infrastructure Act*, and every five years thereafter.	Assessment of Deliverables	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Attachment JAX of Contract* *C.3._? (Requirement)* *C.10._? (Environmental Compliance)*		☐

Appendix I

OTHER AREAS TO BE MONITORED -- CHECKLIST (cont'd)

Item #	COR Action / Requirement	SO Requirement	Frequency of Occurrence	Method of Surveillance/Monitoring	Contract Reference, Section/Paragraph	Remarks	Check
c.	**Combatting Trafficking in Persons (CTIP)** – The COR briefs the CTIP requirement and contract clause to the SO and discusses specific support requirements/documents as applicable under the US contract. COR will complete the CTIP checklist and note any violations.	The SO will inform its employees of the zero-tolerance CTIP policy and provide their CTIP compliance plan to the KO/COR. SO will notify the COR of any indication or signs of violations and provide any applicable documentation upon request.	Randomly / As Needed	Assessment of Deliverables and Direct Observation	*(insert correct reference(s) to be consistent with actual contract and remove title reference)* *Attachment JAX of Contract* *I._? (Contract Clauses)*		☐

Appendix J

RECOMMENDED TABLE OF REQUIRED SUBMITTALS

***Recommended Table of Required Submittals** (COR Cheat Sheet.) If deemed appropriate the COR may use/develop a consolidated list of deliverable/submittals required under the contract. A recommended format (not mandatory) is provided below:*

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Submittal/Deliverable	References	Frequency
Example references below are some of the "common" submittals that are seen (but not all inclusive). ***NOTE: A CORs "actual deliverable/submittal" are very specific per their contract so adding or deleting some of the listed below "EXAMPLE" submittals may be required to match contract requirements.***	***Examples – C._? / JA_? / J._? etc…***	***Examples – Initially, With Proposal and then when changed, Annually, Semi-annually, Quarterly, Monthly, Weekly, Daily, As needed/required, etc…***
Outage Report		
Monthly System Performance Report		
Meter Reading Report		
Spill Contingency plan		
System Efficiency Report (electric, gas, and water) and Infiltration and Inflow Report (wastewater)		
Five-Year Plan		
American Water Infrastructure Act (AWIA) Community Water System (CWS) Assessment		
Utility System Condition Assessment (USCA) *Note: This is an Army Requirement*		