

SAMPLE

QUALITY ASSURANCE SURVEILLANCE PLAN (QASP) ENHANCED / INCREASED LAW ENFORCEMENT / LAKE PATROL SERVICES

**Suggested NAICS/SINs: 561612 - Protective Service Occupations
541990L - Professional Law Enforcement Services**

_____ COUNTY SHERIFF DEPARTMENT
_____ LAKE, _____ (STATE)

1. Introduction

This quality assurance surveillance plan (QASP) has been developed to objectively assess the Contractor support of the Government's requirements as prescribed under the terms and conditions of this contract. The QASP is designed to assess and document Contractor performance and systematic surveillance method for each listed service. Surveillance, while performed primarily by the Quality Assurance Evaluator (QAE), may be performed by any member of the Project Delivery Team (PDT). Changes of team members may be accomplished by contract modification as required by the contracting officer.

2. Objective

The objective of this contract is to provide cleaning services for the facilities listed the Performance Work Statement (PWS), _____ (agency), _____ (location). The QASP will provide oversight capability to ensure that the Contractor is delivering services that conform to the contract requirements as stated in the Performance Requirements Summary (PRS). It will also identify methods used for evaluation and surveillance of the Contractor.

3. Goals of the PDT

The PDT will strive to achieve efficiencies in contract performance and improve customer support. The team promotes good business decisions to meet customer requirements, fosters partnerships with industry to ensure exchanges of information with the Contractor and other business experts, develops performance metrics, develops Performance Based Service Acquisition (PBSA) requirements, and develops technical requirements. After contract award, the Contractor may become a member of the PDT. The planning and managing of this service contract will continue throughout the life of the requirement.

3.1. Contract Management

The team is responsible for managing contract performance in accordance with the QASP, assessing and documenting Contractor performance in accordance with the QASP, identifying opportunities to improve performance throughout the life of the contract, and completing reviews in the Contract Performance Assessment Reporting System (CPARS) if required.

3.2. Mission Support

All members of the PDT are responsible for determining if the contract continues to support the needs of the organization and notifying the Contracting Officer (KO) if it does not. In this context, members of the PDT should consider whether there are tasks covered by the contract which are no longer required, whether there are needs related to the contracts purpose which are not covered by contract but could or should be, and whether they have received any customer complaints regarding scope.

4. Roles and Responsibilities

4.1. Contracting Officer (KO) – TBD

- 4.1.1. Ensures performance of all necessary actions for effective contracting.
- 4.1.2. Ensures Compliance with the contract terms.
- 4.1.3. Safeguards the interests of the United States in the contractual relationship.
- 4.1.4. Assures that the Contractor receives impartial, fair and equitable treatment under this contract.
- 4.1.5. Ultimately responsible for the final determination of the adequacy of the Contractor's performance.

4.2. Project Manager TBD

- 4.2.1. Acts as an acquisition consultant and serves as a liaison between the _____ (agency), _____ (location) and the requesting office, as well as liaison between _____ (agency) and the supporting Contracting office.

4.3. Contracting Officers Representative/Quality Assurance Representative (COR/QAE) – TBD

- 4.3.1. Responsible for technical administration of the contract.
- 4.3.2. Assures proper surveillance of the Contractor's performance.
- 4.3.3. Maintains the quality assurance file.
- 4.3.4. Provides documentation of Contractor performance to the KO.
- 4.3.5. Not empowered to make and contractual commitments or to authorize and changes on the Government's behalf.

4.4. Contractor - TBD

- 4.4.1. Responsible for performing the requirements of the contract.
- 4.4.2. Responsible for providing Quality Control measures to ensure that contract requirements are met.

- 4.4.3. Provide best practices suggestions on how requirements can be met in accordance with current industry standards to the benefit of the Government and the Contractor.

5. Performance Management

5.1. Market Research

PDT meeting may be scheduled throughout the life of the contract. Attendees at specific team meetings may vary based on the circumstances or issues to be covered at each meeting. The goal of the PDT is to give all members or stakeholders the ability to maintain the highest quality representative service to our customers and propose/initiate improvements throughout the life of the contract. Continual contract assessment will be focused on ensuring the contract as written, continues to meet the needs of the customer.

5.2. PDT Meetings

PDT meeting may be scheduled throughout the life of the contract. Attendees at specific team meetings may vary based on the circumstances or issues to be covered at each meeting. The goal of the PDT is to give all members or stakeholders the ability to maintain the highest quality representative service to our customers and propose/initiate improvements throughout the life of the contract. Continual contract assessment will be focused on ensuring the contract as written, continues to meet the needs of the customer.

5.3. Performance Assessment

All performance assessment data will be reviewed. If performance improvement is necessary, the corrective action will be requested from the Contractor.

5.4. Incentives

There will be no incentives under this contract. Any negative incentives will be accomplished via the Inspection of Services clause or entry of appropriate reports in CPARS if required.

5.5. Surveillance Procedures

The surveillance procedures included within this QASP will be used to measure the Contractor's performance on this acquisition. Procedures for reductions in price when services do not meet contract requirements will be accomplished via the Government's rights under the Inspection of Services clause.

6. Performance Assessment

- 6.1. This QASP is based on the premise that the Contractor, not the Government, is responsible for the management and quality control actions needed to meet the standards of the contract.

6.2. Assessment of Performance

Following is the approach the team will use to assess the Contractor's performance against the performance thresholds/metrics identified in the contract.

7. **Contract Performance Requirements Summary:**

7.1 A Performance Requirements Summary is included in the PWS, and is repeated below for quick reference purposes. This document summarizes the performance thresholds required by the Government in the Contractor's performance. These performance objectives directly relate to mission essential items. The performance thresholds briefly describe the minimum acceptable levels of service required for each objective, and are critical to mission success.

8. **Surveillance Procedures:** These surveillance procedures have been developed and deigned to provide the QAE instructions on how to perform surveillance and document findings on this contract for inspection services for the _____ (agency), _____ (location).

8.1. QAE may inspect any aspect of the Contractor's performance at any time during the contract.

8.2. Any non-conformance with contract requirements is a "defect". The term defective is used in reference to a service output that does not meet the outputs associated with the standard.

8.3. The Performance Thresholds recognize the Contractor is not a perfect manager and unforeseen and uncontrollable problems do occur. QAE's are to be objective, fair, and consistent in evaluating Contractor performance against the standards.

9. **Performance of Surveillance:** Various methods exist to monitor performance. The COR shall use the surveillance methods listed below in the administration of this QASP

9.1. **Customer Complaints:** Relies on the user of the services to identify deficiencies. Complaints are then investigated and validated. Highly applicable to services provided in quantity and where quality is highly subjective. An example Customer Complaint Form is included in Exhibit A of this QASP.

9.2. **Random Inspection:** Designed to evaluate the outputs of the award requirement by randomly selecting and inspecting a statistically significant sample. Highly recommended for large quantity repetitive activities with objective and measurable quality attributes.

9.3. **Planned Sampling:** Planned sampling is an approach that anticipates surveillance of subjectively selected tasks. The sample size is usually based on QAE time availability. Typically, the sample selected for surveillance is heavily slanted toward areas perceived as user critical. There is, therefore, no basis to

assume that the conditions found in the sample inspected accurately represent the balance of the uninspected work.

9.4. Unscheduled Inspections: This approach is used with planned sampling, particularly if there has been a pattern of performance deficiencies that need special attention. The QA Manager, _____ Manager, or other personnel directly responsible for maintenance and services may initiate unscheduled inspections. Those unscheduled inspections initiated due to patterns of performance deficiencies noted during planned sampling shall be conducted using the normal inspection checklists. Such inspections shall be in addition to planned sampling inspections. Unscheduled inspections also include happenstance events which are noticed during planned surveillance or non-surveillance activities. In these cases, discrepancies noted by non-QA personnel shall be reported for verification as with customer complaints. Discrepancies noted by QA personnel during planned sampling of other areas shall be investigated and reported to the Contractor for correction as appropriate. Such discrepancies shall then be handled the same as those noted during planned sampling.

9.5. 100 Percent Inspection: This is an approach that anticipates surveillance of all lots. All of the work is evaluated. The Government inspector will inspect all sites each service day.

10. QASP Exhibits

- 10.1. Exhibit A Customer Complaint record**
- 10.2. Exhibit B Contract Discrepancy Report**
- 10.3. Exhibit C Sampling Guide**
- 10.4. Exhibit D Sampling Schedule**
- 10.5. Exhibit E Surveillance Checklist**
- 10.6. Exhibit F Payment Calculation Example**

10.1 EXHIBIT A
CUSTOMER COMPLAINT RECORD

CUSTOMER COMPLAINT RECORD
Date and Time of Complaint:
Location of Complaint:
Source of Complaint Organization: Individual :(i.e. Camper, etc.)
Nature of Complaint:
Contract Reference:
Validation:
Date and Time Contractor Informed of Complaint:

Action Taken by Contractor:

Received and Validated by:

**10.2 EXHIBIT B
CONTRACTOR DISCREPANCY REPORT**

1. CONTRACT NUMBER:

2. TO:(Contractor and Manager's Name)

3. FROM: (Name of QAE)

DATES

4. DESCRIPTION OF PROBLEM: (Describe in Detail: Include reference in PWS/Directive: Attach continuation sheet if necessary.)

5. SIGNATURE OF CONTRACTING OFFICER'S REPRESENTATIVE

6. TO:(COR)

7. FROM (CONTRACTOR)

8. CONTRACTOR RESPONSE AS TO CLAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. ATTACH CONTINUATION SHEET IF NECESSARY. (Cite applicable QC program procedures or new QC procedures.)

9. SIGNATURE OF CONTRACTOR REPRESENTATIVE

10. DATE

11. GOVERNMENT EVALUATION: (Acceptance, partial acceptance, rejection: attach continuation sheet if necessary.)

12. GOVERNMENT ACTIONS (Payment deduction, cure notice, show cause, other.)

CLOSE OUT			
	NAME AND TITLE	SIGNATURE	DATE
COR			
KO			

**10.3 EXHIBIT C
SAMPLING GUIDE**

_____ (agency) **OFFICE**

- 1. Contract Requirement:** Provide services at _____ (location). Specific requirements from the PWS and the performance standards are provided in the attached surveillance checklists.
- 2. Primary Method of Surveillance:** Planned Sampling.
- 3. Maximum Allowable Degree of Deviation from Requirement:** As shown in the contract specifications. Single minor defects (non-critical elements of each standard) do not require re-performance of services. However, two minor defects constitute a major defect and a corresponding deduction from payment.
- 4. Quantity of Work:** The Contractor is required to perform the work specified in the Performance Work Statement and maintain specified conditions each working day of the contract. Each scheduled working day, the Contractor delivers specified services according to his/her operating schedule for that day. Conditions at the park having received services are to be evaluated by the Contractor each day to confirm conformance with contract requirements.
- 5. Level of Surveillance:**
 - Normal – 20% of lot size
 - Reduced – 10% of lot size.
 - Tightened – 40% of lot size.
 - 100 Percent – 100% of lot size.

6. **Sample Size:** The lot size is the number of services scheduled for a specific month. As a starting point for planned sampling, the QAE may select 20% of the total lot size for a given month. From that starting point, a modification of the sample size may be made for reasons of QAE personnel availability and contractor performance to date. If the Contractor has demonstrated questionable or poor performance for two consecutive months, the Government may tighten the level of surveillance.
7. **Sampling Procedures:** Prior to the beginning of a month, a Planned Sampling Schedule is prepared showing the total workdays for the month and the number of services to be performed. A sample schedule is included in Exhibit D to this QASP. The QAE, working with the COR shall prepare the schedule to assure adequate coverage of inspections for their projects. Each inspection may consist of up to a 100% inspection of all work performed on a specific day. The QAE and Manager may opt to perform inspection of only specific tasks within the contract due to their importance to public health and safety.
8. **Evaluation Procedures:** Using the appropriate Surveillance Checklists, the QAE will inspect work performed in the service as determined in the above sampling procedures. Surveillance Checklists shall be completed for the service inspected. Surveillance Checklist form is included as Exhibit E. Completed Surveillance Checklists shall be maintained on file throughout the duration of the contract. All deficiencies in services shall be recorded. Each service is evaluated using the checklist to determine if deficiencies are noted in critical or non-critical elements of the stated standards. Failure to perform satisfactory service in any critical element constitutes a major defect. Failure to perform satisfactory service in any non-critical element constitutes a minor defect. Single minor defects do not require corrective action. Failure to perform satisfactory service in any two non-critical elements (two minor defects) in the same serviced area constitutes a major defect. Critical and non-critical elements are described in detail for each service in Section 5 of the PWS. Major defects require corrective action, or, if no corrective action is taken or corrective action taken is not satisfactory, a deduction in payment is warranted.
9. **Analysis of Results:** The service performance for any given service day is evaluated based on the results of the surveillance inspections. Surveillance checklists shall be reviewed daily to determine if stand-alone minor defects previously reported have been corrected in subsequent services. Although it is not acceptable to combine a minor defect in a service in one specific task with another same or similar minor defect in another specific task to make a major defect, trends should be noted by reviewing checklists that show repeated minor defects in services which should be brought to the attention of the Contractor.
10. **Suggested Action:** Single minor defects will not require corrective action or payment deduction, but the contractor should be notified that a minor defect has

been noted in a service performed. For the first incident, a verbal notification shall be made by the QAE to the contractor or the crew foreman. For repeated incidents with no effort of correction, written notification shall be made. Repeated failure to take corrective action on a specific defect will require a Contract Discrepancy Report to be forwarded to the Contractor (Exhibit B).

- 11. Evaluate Contractor's Corrective Action:** After the contractor documents the proposed Corrective Action, the QAE will evaluate the proposed CA and forward the record to the KO for review. The KO has final say in the corrective action or payment deduction if warranted.
- 12. Payment Computation:** An example of payment computation for deductions due to defects is shown in Exhibit F.

**10.4 EXHIBIT D
SERVICE**

PLANNED SAMPLING SCHEDULE FOR MONTH OF: _____ (fill in month)

CONTRACT NUMBER: _____ (fill in)

Start Date	A: # of Days to be worked	B: # of Days to be inspected	C: Dates to perform inspections
TOTAL		_____	

Total # of days to be worked (total of Col. A) _____ = Lot Size

Total scheduled inspections = Lot size times selected percentage (start at 20%) = _____
(Normal = 20%, reduced = 10%, tightened = 60%)

Inspections to be performed based on schedule provided by Contractor.

SCHEDULE PREPARED

BY: _____

DATE: _____

10.5 EXHIBIT E
SURVEILLANCE CHECKLIST

10.6 EXHIBIT F
PAYMENT COMPUTATION EXAMPLE

The following table shall be used to calculate the payment for each service based upon satisfactory completion of each requirement in accordance with the specifications. An uncorrected major defect shall result in computation of a deduction in payment for that service. The following table is given as an example only.