US Department of Agriculture (USDA)

Quality Assurance Surveillance Plan

Contents

Project Name
Janitorial for The Tonopah Station

Solicitation / Contract Number

Section 1: Introduction
This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the performance work statement (PWS) entitled janitorial work for the Tonopah Station. This plan sets forth the procedures and guidelines that the USDA, Tonopah Ranger Station will use in ensuring the required performance standards or services levels are achieved by the contractor.

1.1 Purpose
The purpose of the QASP is to describe the systematic methods used to measure performance and to identify the reports required and the resources to be employed. The QASP provides a means for evaluating whether the contractor is meeting the performance standards identified in the PWS. This QASP is designed to define roles and responsibilities, identify the performance objectives, define the methodologies used to monitor and evaluate the contractor's performance, describe quality assurance reporting, and describe the analysis of quality assurance monitoring results.

1.2 QASP Relation to the Contract

1.2.1 QASP Revisions
The Contracting Officer Representative (COR) may make revisions or changes to the QASP procedures and surveillance methods or increase or decrease the degree of surveillance methods at any time during the contract performance period. Changes to the Metric must be incorporated into the PWS, Performance Requirement Summary (PRS) and QASP by a bilateral modification to contract that is issued by the Contracting Officer (CO). A copy of the QASP is provided to the contractor to enable the contractor to enhance its Quality Control (QC) program to perform in accordance with its Quality Control Plan (QCP).

1.2.2 Surveillance of Performance Progression
As the performance period progresses, the levels of surveillance may be altered for service areas where performance is either consistently excellent or unsatisfactory. If consistently good performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented.

1.3 QASP Relation to the Quality Control Plan (QCP)
The QCP is a required element of contract and the Contractor shall adhere to its established quality control processes and procedures in managing and performing work as described in the contract. While the QCP represents the way in which the Contractor will ensure its quality and timeliness of services, as defined in the PWS, the QASP represents the way in which the Government personnel specified in *Section 3: Contractor and Government Responsibilities, Paragraph 3.2, Government Responsibilities* will evaluate the contractor's performance. The contractor's QC program and the residual organization's QASP should be complementary programs that ensure successful contractor performance.

Section 2: Performance Description
Performance of the contractor will be monitored through the surveillance methods described in Section 4: Surveillance Methods to Perform Quality Assurance to assess the Contractor's performance against PWS requirements.

2.1 Performance Standards and Acceptable Quality Levels (AQLs)
For selected activities in the PWS, the PRS provides a performance standard and an AQL. A performance standard is the expected level of contractor performance. An AQL defines the level of performance that is satisfactory. Depending on the service evaluated and the evaluation method selected, performance standards and AQLs may be stated as a number of occurrences or as a percentage. Performance standards and AQLs for random sampling and 100 percent inspection are generally stated as percentages. For periodic inspections, performance standards may be stated as either percentages or as absolute numbers.

The contract requires the Contractor to perform all work as specified. Any inaccuracies or omissions in services or products are referred to as “defects” on the part of the Contractor. The Contractor shall be responsible for all identified defects and may be required to perform the work at no cost to the government. The AQLs take into account that in some instances an allowable level of deficiencies (deviations) is possible while overall performance continues to meet the government’s desired level of service.

2.1.1 Allowable Deviation

The AQLs define the level or number of performance deficiencies the Contractor is permitted to reach under this contract. AQLs take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is required, and no deviation is acceptable (e.g., where safety is involved).

2.1.2 Substantially Complete

In some cases, service outputs are evaluated using subjective values (e.g., excellent, satisfactory, unsatisfactory). The criteria for acceptable performance and for defects must be defined for these service outputs. The concept of “substantially complete” should be the basis for inspections based on subjective scales. Work is considered “substantially complete” where there has been no significant departure from the terms of the contract and no omission of essential work. In addition, the Contractor has performed the work required to the best of its ability and the only variance consists of minor omissions or deficiencies.

2.2 Non-Performance

Non-performance occurs when the contractor’s performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements, and therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness, etc.) or subject areas of effort.

When surveillance indicates that the contractor's service output is not in compliance with the contract requirements, the Contracting Officer’s Representative (COR) must determine whether the Contractor or the Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the contractor, the contractor is responsible for correction of the problem at no additional expense to the Government.

2.2.1 Documentation

Documentation of work non-performed or unacceptable work is essential for tracking Contractor performance. The COR will document deficient work by compiling facts describing the inspection methods and results and to substantiate nonconformance with the contract. A sample documentation reporting form is provided in Appendix A and Appendix B. The documentation, with any recommendations, will be forwarded to the CO. In the case of the Contractor, the COR will decide whether to elevate the problem to the CO for corrective action.

2.2.2 Remedial Actions

The Federal Acquisition Regulation allows for penalties in the event that the Contractor fails to perform the required services. Penalties are defined as those actions taken under the direction of the CO against the contractor within the general provisions of the contract for nonconformance to the PWS and PRS.

Section 3: Contractor and Government Responsibilities

3.1 Contractor Responsibility

The Contractor is responsible for delivering products or services in accordance with the contract. Implementing its QCP, which describes the Contractor’s methods for ensuring all products and services under the contract meet established performance standards and AQLs. Maintaining, and providing for audit, quality control records and reports and all records associated with the investigation and complaint resolutions. Appointing a single quality control point-of-contact to act as a central recipient of communication from the COR or CO.

3.2 Government Responsibility

3.2.1 Contracting Officer (CO)

The CO is responsible for administering and monitoring contract compliance, contract administration, and cost control and for resolving any differences between the observations documented by COR and the contractor's performance. The CO may delegate various day-to-day contract administration duties to a Administering ACO (ACO) and/or the COR for performance management and administrative actions such as invoice approval and issuance of Contract Discrepancy Reports may be, and normally are, delegated by the CO to the COR. The CO shall approve any revisions to the QASP processes or standards.

3.2.2 Contracting Officer Representative (COR)

The COR, is designated in writing, by the CO. The COR will ensure that the QA function is properly executed, plays a key role in contract administration and performs the contract surveillance and monitoring. Some key contract administration duties include, but are not limited to, performs surveillance as required by this QASP; make recommendations to the CO for issuance of Contract Discrepancy Reports or letters of commendation and acceptance or rejection of completed work and for administrative actions based on unsatisfactory or non-performed work, and revisions or changes to the QASP; and assists the CO in identifying necessary contract modifications and preparing reports of Contractor performance and cost.

The COR may use the form(s) included in the Appendices to perform the inspection or other forms as approved by the CO. The Contractor overall guidance is also provided by Inspection and Payments on page 10 of the contract.

3.2.3 Customers

Insert this Section if applicable

Customers or organizations/offices that the Contractor provided support may be requested to assist the COR in conducting QA to provide information relating to the Contractor's performance through Customer Feedback. Information gained from the Customer Feedback may be used in conjunction with other methods of observation to rate the performance of the Contractor.

Section 4: Surveillance Methods to Perform Quality Assurance

4.1 Surveillance Methods

The surveillance methods used in the QA process are the Government's tools to monitor the Contractor's products and services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor's service products and analyze the results. Further, documented inspection results are an effective tool in contract administration that can confirm the successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary.

Explain how the PRS method of surveillance will be measured.

Summary of Description for Inspection/Summary/Discrepancies:

Decribe surveillance method.
4.1.1 100 Percent Inspection
The 100 percent inspection method requires complete inspection each month and will be used for critical contract requirements.

4.1.1.1 Performance Standards and AQLs
The performance standards and AQLs may be stated as either percentages or absolute numbers.

4.1.1.2 Evaluation Procedures
Observed defects for a service monitored by 100 percent inspection is compared to the performance standard and AQL.

4.2 Analysis and Results

When the inspections COR's inspection have been completed, the COR will perform an analysis of the Contractor's performance. The purpose of the analysis is to ensure Government is receiving high-quality products and services from the Contractor. The COR will review the results, rate the Contractor's compliance with the performance standards and

AQLs, and characterize the Contractor's overall performance. Analysis of all types of contract monitoring will result in one of the following outcomes:

Insert and define the Performance Outcome. Below is an Example.

4.2.1 Outstanding Performance

Outstanding performance is the result of the Contractor substantially exceeding the performance standards with significant achievements and no significant deficiencies. The Government may reduce its level of surveillance when the COR determines that the Contractor provides sustained performance that significantly exceeds the requirements with no significant deficiencies.

Insert Performance Outcomes Here

Satisfactory Performance

Deficient Performance

[THIS PAGE IS FOR INFORMATIONAL PURPOSES]

The Contacting Officer must include as attachments or exhibits the appropriate performance requirement summary, forms, checklists, etc. in the QASP that will be used during surveillance / monitoring for the applicable contract.

Appendix A: Example Performance Requirement Summaries

The following documents are examples only, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

EXAMPLE- 1

PERFORMANCE REQUIREMENT SUMMARY

Performance Task	Acceptable Quality Level (AQL)	Method of Surveillance
Contact Information	**Provide up to date contacts for Contractor POC, employees. When a change occurs, Contractor responsible for notifying the CO and COR**	**Maintenance of Contractor Provided contact list.**
Room Cleaning Page 7	**Dusting. Dusting includes the removal of soil and grease with a treated damp cloth. Tables should be free of all dirt, dust, lint, streaks, coffee rings, and soil spots. Windowsills and door frames shall be free of dust. Webs should be removed at each cleaning. Dust ceiling fan blades and picture frames. Dust base of chairs.**	**Visual Inspection – Carpet floors clear of debris by vacuum. Linoleum floors are clean, free of smudges and streaks. Office space is Dusted, includes the removal of soil and grease with a treated damp cloth. Tables should be free of all dirt, dust, lint, streaks, coffee rings, and soil spots. Windowsills and door frames shall be free of dust. Webs should be removed at each cleaning. Dust ceiling fan blades and picture frames. Dust base of chairs. . Pictures will be taken with brief narrative on surveillance date.**
Waste Receptacles	Waste receptacles will be emptied, and a plastic liner placed in the receptacles. The outsides of the waste receptacle should be free of dust, dirt, and other matter.	**Check each waste receptacle for being emptied and new can liner. Pictures taken when not clean with documentation notes.**
Restrooms	Two times a week, not on consecutive days	**Restroom sinks, toilets, urinal are cleaned, free of dust or stain marks. Pictures taken when not clean with documentation notes.**
	Keep towels, toilet tissue, and soap containers stocked.	**Visual for presence of toilet tissue, soap containers full, paper towels stocked. Pictures taken when not clean with documentation notes.**
	Paper towel waste receptacles shall be emptied and towel, soap and toilet paper dispensers serviced.	**Visual for presence of toilet tissue, soap containers full, paper towels stocked, and trash receptacles emptied with new liners. Pictures taken when not clean with documentation notes.**
February	Wax vinyl floors and tiled areas Clean window blinds Wax vinyl floors and tile areas Thoroughly wash and clean windows inside and outside, remove any bug nests close to window edge	**Duties to be performed May, August, November and February Visual inspection for dust on blinds, vinyl floors have shinny newly waxed appearance. Windows are clean of smudges/spots inside and outside. Ensure window frame is clear of debris. Pictures taken when not clean with documentation notes**
August and February	Shampoo Carpet	**Visual inspection of fresh carpet shampoo appearance and fresh smell.**
SUBMITTALS	I-9, Employee Eligibility Verification Form, with a copy of the documents that establish employment eligibility and identity. This information may be used for an initial background check.	
	Full Name of Employee with a valid email address and telephone number.	
10 days from start	Complete list of all personnel employed under this	

of contract	contract with a designated-on site working Quality Control Plan ensuring contract compliances, supervisor.	
	Material Safety Data Sheets (SDS) and chemical lists in a notebook for chemicals stored in Government-Furnished storage spaces. SDS notebooks shall be kept up-to-date and stored in storage spaces with chemicals	**Periodically check the SDS book in Janitor Closet and compare SDS with inventory. A brief summary of SDS being complete or missing.**
Safety	The Contractor shall be responsible for maintenance and upkeep of the SDS forms and chemical list for all chemicals used and stored on site.	**Periodically check if there was any update to SDS Forms in the Binder. Record responses from Contractor.**
CONTRACTOR FURNISHED SUPPLIES	Air Freshener	
	Liquid hand soap including dispenser Cream cleaner	

EXAMPLE-2

PERFORMANCE REQUIREMENT SUMMARY

Performance Objective	**Acceptable Quality Level (AQL)**	**Method of Surveillance**

Appendix B: Example Discrepancy Report

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

DISCREPANCY REPORT			1. DISCREPENCY REPORT NO.
2. **TO:** (Contractor / Project Manager Name)		3. **FROM:** (Name of COR)	
CONTRACT NUMBER:		**DATE:**	
PREPARED	**ORAL NOTIFICATION**	**RETURNED BY CONTRACTOR**	**ACTION COMPLETE**
4. **DISCREPENCY OR PROBLEM** (Describe in Detail. Include PWS references. Attach Continuation Sheet if Necessary)			
5. **SIGNATURE OF COR**			
6. **TO:** (Name of COR)		7. **FROM:** (Contractor / Project Manager)	
8. **CONTRACTOR RESPONSE AS TO CAUSE, EFFECT, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE** (Attach Continuation Sheet if necessary. Cite applicable Contractor QC program procedures or new QC procedures)			
9. **SIGNATURE OF CONTRACTOR REPRESENTIVE**		10. **DATE**	
11. **GOVERNMENT EVALUATION** (Acceptance, partial acceptance, or rejection. Attach Coordination Sheet if necessary)			
12. **GOVERNMENT ACTIONS** (Cure notice, show cause, other)			

CLOSE OUT

	NAME AND TITLE	SIGNATURE	DATE
KTR NOTIFIED			
COR			

Appendix C: Customer Feedback Record

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

CUSTOMER FEEDBACK RECORD	
DATE AND TIME OF COMPLAINT	CONTRACT NUMBER/ OR PROJECT:
SOURCE OF COMPLAINT ORGANIZATION INDIVIDUAL	
NATURE OF COMPLAINT	
PWS REFERENCE	
VALIDATION	
DATE AND TIME CONTRACTOR INFORMED OF COMPLAINT	NAME OF CONTRACTOR REPRESENTATIVE INFORMED OF COMPLAINT
ACTION TAKEN BY CONTRACTOR (Responsible officer):	
RECEIVED AND VALIDATED BY	
Determination: Complaint Valid ☐ Complaint Invalid ☐	

Appendix D: Example Guide / Inspection List

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

CONTRACT NUMBER: ___________________________________

SERVICE FUNCTION: ____

PWS SECTION: ____

<table>
<tr><td>1</td><td colspan="4">Method of Surveillance:</td></tr>
<tr><td>2</td><td colspan="4">Lot Size:</td></tr>
<tr><td>3</td><td colspan="4">Sample Size:</td></tr>
<tr><td>4</td><td colspan="4">Performance Requirement: Performance is Excellent (E) when ____________or fewer defects are discovered per month. Performance is Satisfactory (S) when ________________or fewer defects are discovered per month. Performance is Unsatisfactory (U) when __________or more defects are discovered per month.</td></tr>
<tr><td>5</td><td colspan="4">Sampling Procedure: Instructions on how to select the sample must be clear and complete</td></tr>
<tr><td>6</td><td colspan="4">Inspection Procedure: The procedure must be detailed enough to allow a yes/no objective decision as to the acceptability of performance by anyone making the inspection. Explain when evaluation is to occur and what is acceptable/unacceptable</td></tr>
<tr><td></td><td></td><td colspan="3">Performance: Excellent (E), Satisfactory (S), Unsatisfactory (U), Not Applicable (N/A)</td></tr>
<tr><td></td><td>PRS Requirements</td><td>Timeliness</td><td>Quality of Work</td><td>Notes</td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>Overall Rating Of Inspection
(E, S, U or N/A)</td><td></td><td></td><td></td></tr>
</table>

COR/Inspector Comments: ____

____

Contractor Signature: ______________________________ Date: ______________________

COR Signature: _____________________________Date: ____________________

Appendix E: Example Quality Assurance Monitoring

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

CONTRACT NUMBER: ____

SERVICE or STANDARD: ____

____

____

SURVEY PERIOD: ____

SURVEILLANCE METHOD (*Check the applicable item***):**

❒ Random Sampling ❒ 100% Inspection ❒ Periodic Inspection ❒ Customer Complaint

LEVEL OF SURVEILLANCE (*Check the applicable item***):**

❒ Monthly ❒ Quarterly ❒ As needed

PERCENTAGE OF ITEMS SAMPLED DURING SURVEY PERIOD: ______ %

ANALYSIS OF RESULTS:

Observed Service Provider Performance Measurement Rate: ______%

Service Provider's Performance (*Check the applicable item***):**

❒ Meets Standards

❒ Does Not Meet Standards

Narrative of Performance During Survey Period: ____

____

____

____

____

Prepared By: _________________________________ *Date:* _______________

Appendix F: Example Customer Complaint Investigation

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

CONTRACT NUMBER: ___________________________
SERVICE or STANDARD:

____
____
____

SURVEY PERIOD: ____________________
DATE COMPLAINT RECEIVED: _____________
SOURCE OF COMPLAINT: ____ (Name)
____ (Organization)
____________________ (Phone No.) ___________________________________ (Email Address)

NATURE OF COMPLAINT:

____
____
____
____

RESULTS OF COMPLAINT INVESTIGATION:

____
____
____
____

DATE SERVICE PROVIDER INFORMED OF COMPLAINT: ______________
CORRECTIVE ACTION TAKEN BY SERVICE PROVIDER:

____
____
____

Received and Validated By: ____
Prepared By: _______________________________ Date: __________________

Appendix G: Example Surveillance Activity Checklist

The following document is only an example, which is not all inclusive, that can be revised and used, if applicable, in the QASP as attachments or exhibits.

Performance Requirement	Performance Standard	Method of Measurement	Performance Metrics	Method of Surveillance	Date Accomplished	Compliance (Exceed, Met, Partial Met)