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QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

Facility Operation and Maintenance Support Services

for the

**USDA, Agricultural Research Service
Western Regional Research Center
Albany, California**

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QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

1.0 INTRODUCTION

This Quality Assurance Surveillance Plan (QASP) is pursuant to the requirements listed in the performance-based Performance Work Statement (PWS) entitled “Facilities Operations and Maintenance Support Services for the Western Regional Research Center (WRRC)”. This performance-based plan sets forth the procedures and guidelines the Albany Research Center will use in evaluating the technical performance of the operations and maintenance (O&M) service contractor.

1.1 PURPOSE

1.1.1. 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.

1.1.2 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 PERFORMANCE MANAGEMENT APPROACH

1.2.1 The performance-based PWS structures the acquisition around “what” service is required as opposed to “how” the contractor should perform the work. This QASP will define the performance management approach taken by the WRRC to monitor, manage, and take appropriate action on the contractor’s performance against expected outcomes or performance objectives communicated in the PWS. Performance management rests upon developing a capability to review and analyze information generated through performance metrics. The ability to make decisions based on the analysis of performance data is the cornerstone of performance management. The data generated in a performance management approach provides information that indicates whether or not expected outcomes for required services are being achieved adequately by the contractor.

1.2.2 Performance management also represents a significant shift from the more traditional Quality Assurance (QA) concepts in several ways. Performance management focuses on assessing whether or not outcomes are being achieved and migrates away from scrutiny on compliance with the processes and practices used to achieve the outcome. The only exceptions to process reviews are those required by law (Federal, State, and local) and compelling business situations such as safety and health. An outcome focus provides the contractor flexibility to

continuously improve and innovate over the course of the contract as long as the critical outcomes expected are being achieved at the desired levels of performance.

1.3 PERFORMANCE MANAGEMENT STRATEGY

1.3.1 The contractor's Quality Control Plan (QCP) will set forth the staffing and procedures for self inspecting the quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. The contractor will develop and implement a performance management system with processes to assess and report their performance to the designated Government representative.

1.3.2 The Government representative will monitor performance and review performance reports furnished by the contractor to determine how the contractor is performing against communicated performance objectives. The Government will make decisions based on performance measurement metric data and notify the contractor of those decisions. The contractor will be responsible for making required changes in processes and practices to ensure performance is managed effectively.

2.0 ROLES AND RESPONSIBILITIES

2.1. The Contracting Officer (CO) is responsible for monitoring contract compliance, contract administration and cost control; and resolving any differences between the observations documented by the COR/COTR/ACO, and the contractor's performance.

2.2 The CO will designate one full-time COR/COTR/ACO as the Government authority for performance management. The number of additional representatives serving as Technical Inspectors depends upon the complexity of the services measured as well as the contractor's performance.

2.3 The COR/COTR/ACO is responsible for monitoring, assessing, and communicating the technical performance of the contractor and assisting the contractor. The COR/COTR/ACO will have the responsibility for completing QA monitoring forms (refer to Attachments 2 and 3) used to document the inspection and evaluation of the contractor's work performance. Government surveillance may occur under the Inspection of Services clause for any service relating to the contract.

3.0 IDENTIFICATION OF SERVICES TO BE PERFORMED

The contractor shall provide operations and maintenance support in accordance with the PWS. The performance standards are established in the paragraph of the PWS that covers the specific category of work. The acceptable level of performance is set in the acceptable quality level related to that paragraph.

4.0 METHODOLOGIES TO MONITOR PERFORMANCE

4.1 In an effort to minimize the contract administration burden, simplified methods of surveillance techniques shall be used by the Government to evaluate contractor performance. The primary methods of surveillance are random checks, observations, inspections, complaints and review of those records and files that are required to be maintained and delivered under this statement of work. The Government will use appointed representatives, as well as reports and input from Center employees and visitors as sources of comments on the contractor's performance.

4.2 The contractor is expected to establish and maintain professional communication between its employees and customers. The primary objective of professional communication between employees and customers is customer satisfaction. Customer satisfaction is the most significant external indicator of the success and effectiveness of all services provided and can be measured through customer complaints. Performance management drives the contractor to be customer focused through initially addressing customer complaints and investigating the issues and/or problems.

NOTE: The customer always has the option to communicate complaints to the COR as opposed to the contractor. The COR will accept the customer complaints and will investigate using the Quality Assurance Monitoring Form – Customer Complaint Investigation identified in Attachment 3.

4.3 The acceptable quality levels (AQL) located in Attachment 1, Performance Requirements Summary Table, for contractor performance are structured to allow the contractor to manage how the work is performed while providing negative incentives for performance shortfalls. For certain critical activities such as those involving facility environment, security, chemical biological, radiological, and toxin activities, and accident control, the desired performance level is established at one hundred percent (100%). Other levels of performance are keyed to the relative importance of the task to the overall mission performance at WRRC/

5.0 QUALITY ASSURANCE REPORTING

5.1 The performance management feedback loop begins with the communication of expected outcomes. Performance standards are expressed in the PWS and measured by the required performance metrics in Attachment 1.

5.2 The Government's QA monitoring, accomplished by the COR, will be reported using the monitoring forms in Attachments 2 and 3. The forms, when completed, will document the COR's understanding of the contractor's performance under the contract to ensure that the PWS requirements are being met.

5.2.1 The COR will retain a copy of all completed QA monitoring forms.

6.0 ANALYSIS OF QUALITY ASSURANCE MONITORING RESULTS

6.1 The Government shall use the observation methods cited to determine whether the AQLs have been met. The Government will evaluate the results which then may be translated into the specific negative incentives that cause adjustments to the contractor's monthly payments, should performance not meet the AQL's.

6.2 At the end of each month, the QAS will prepare a written report for the ACO summarizing the overall results of the quality assurance monitoring of the contractor's performance. This written report which consists of the contractor's submitted monthly report and the completed Quality Assurance Monitoring Forms (Attachment II) will become part of the QA documentation.

6.3 The ACO may require the contractor's project manager, or a designated alternate, to meet with the ACO, QAS, and other Government personnel as deemed necessary to discuss performance evaluation. The ACO will define a frequency of in-depth reviews with the contractor, however if the need arises, the contractor will meet with the ACO as often as required or per the contractor's request. The agenda of the reviews may discuss:

- Monthly performance measured by the metrics and trends
- Issues and concerns of both parties
- Projected outlook for upcoming months and progress against expected trends
- Recommendations made by the QAS based on contractor information
- Issues arising from independent reviews and inspections

6.4 In addition to QA monitoring, the QAS will use the information contained in the contractor's monthly report to assess the contractor's level of performance for each objective measured in this QASP (detailed in Attachment 1). The QAS must coordinate and communicate with the contractor to resolve issues and concerns of marginal or unacceptable performance. The contractor will discuss with the ACO/QAS satisfaction ratings receiving a "less than acceptable" rating. For such cases, the contractor should highlight its perspective on factors driving customer satisfaction and present plans to adjust service levels accordingly to bring the satisfaction rating up to an acceptable level.

6.5 The ACO/QAS and contractor should jointly formulate tactical and long-term courses of action. Decisions regarding changes to metrics, thresholds, or service levels should be clearly documented. Changes to service levels, procedures, and metrics will be incorporated as a contract modification at the convenience of the PCO/ACO.

7.0. FAILURE TO PERFORM

7.1 The contractor may receive deductions or even termination based on failure to perform. The following criteria apply for determining appropriate action:

1. **Notifications.** Consistent with FAR Part 49, the PCO/ACO shall notify the service provider of failure to meet standards through QA monitoring forms, cure notices, or show cause notices and shall inform the service provider manager or designated alternate of such notices.
2. **Deductions.** The Government has the right to deduct a specified dollar for failure to meet performance standards. The amount is identified in the Required Performance Metrics (RPM) of Attachment I.
3. **Termination.** If the PCO determines that the contractor has failed to perform to the extent that a termination for default is justified, the PCO shall issue a notice of termination, consistent with FAR Part 49.

ATTACHMENT I

REQUIRED PERFORMANCE METRICS (RPM)

Required Service	Performance Standards	Acceptable Quality Levels	Method Of Surveillance	Incentive (Negative) (Impact on Contractor Payments)
Work Management (See PWS Section C.2)	Submit a PM report of scheduled, completed and outstanding tasks monthly (PWS C.2.1.2 (G))	100%	Files review, periodic, random, observations, complaints	\$500 for each documented instance when a report is submitted after the 15 th of the month.
	Accomplish additional work in accordance with proposed time frames	90%	Files review, random, complaints	Contractual remedies
	Administer quality control program including subcontractor management in accordance with QC Plan	95%	Files review, periodic, random, observations, complaints	Contractual remedies
	Submit management reports as required	90%	Files review, random, complaints	Contractual remedies
Administrative Services (See PWS Section C.3)	Maintain stockroom inventory and requisition items prior to depleted stock levels	95%	Files review, periodic, random, complaints, observations	Contractual remedies
	Submit stockroom reports as required	95%	Files review, periodic, random, complaints, observations	Contractual remedies
	Deliver incoming shipments within one working day and express/perishables within one hour	95%	Periodic, random, observations, complaints	Contractual remedies
	Ensure visitor log entries are complete and visitor's escort requested (PWS C.3.2 (C))	100%	Periodic, random, observations, complaints	\$500 for each documented failure of noncompliance
	Distribute first class mail in same day (PWS C.3.3 (C))	98%	Periodic, random, observations, complaints	Contractual remedies
	Maintain vehicle operation records on a daily basis	90%	Files review, random observations, complaints	Contractual remedies
Environmental, Health & Safety Program (See PWS Section C.4)	Submit hazardous waste disposal logs every other month on the last workday of the month (PWS C.4.6 (A))	100%	Files review, periodic review, random, observations, complaints	\$500 for each instance when logs are submitted after the last workday of the month.

Facilities Services (See PWS Section C.5)	Housekeeping Services – Clean restrooms on a daily basis; and lobbies, and conference rooms in orderly manner	98%	Files/PM review, periodic, random, observations, complaints	Contractual remedies
	Maintain grounds in acceptable manner	90%	Periodic, random, observations, complaints	Contractual remedies
	Test and certify fire protection system in accordance with safety certification requirements (PWS C.5.5 (B))	100%	Periodic, random, observations, complaints	\$1,000 for each occurrence of noncertification
Utilities Services (See PWS Section C.6)	Perform required maintenance of EPS and UPS	98%	Files review, periodic, random, complaints, observations	Contractual remedies
	Maintain electrical services	95%	Periodic, random, observations, Complaints	Contractual remedies
	Maintain telecommunications support	95%	Random, complaints	Contractual remedies
	Provide plumbing/pipefitting services and emergency shower maintenance/ testing	95%	Periodic, random, observations, complaints	Contractual remedies
	Perform PM, including water treatment and testing, on boilers, cooling towers, chillers, high purity water systems (PWS C.6.3)	100%	Files review, periodic, random, observations, complaints	\$1000 for each documented instance when PM is more than 30 days delinquent

ATTACHMENT II

QUALITY ASSURANCE MONITORING FORM

SERVICE or STANDARD:

SURVEY PERIOD: _____

SURVEILLANCE METHOD (Check): ☐ Random Sampling
 ☐ 100% Inspection
 ☐ Periodic Inspection
 ☐ Customer Complaint

LEVEL OF SURVEILLANCE SELECTED (Check):

☐ 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): ☐ Meets Standards
 ☐ Does Not Meet Standards

NARRATIVE OF PERFORMANCE DURING SURVEY PERIOD:

PREPARED BY: _____

DATE: _____

ATTACHMENT III
QUALITY ASSURANCE MONITORING FORM –
CUSTOMER COMPLAINT INVESTIGATION

SERVICE or STANDARD:

SURVEY PERIOD: _____

DATE/TIME COMPLAINT RECEIVED: _____ AM / PM

SOURCE OF COMPLAINT: _____ (NAME)

_____ (ORGANIZATION)

_____ (PHONE NUMBER)

_____ (EMAIL ADDRESS)

NATURE OF COMPLAINT:

RESULTS OF COMPLAINT INVESTIGATION:

DATE/TIME SERVICE PROVIDER INFORMED OF COMPLAINT: _____ AM / PM

CORRECTIVE ACTION TAKEN BY SERVICE PROVIDER:

RECEIVED AND VALIDATED BY:

PREPARED BY: _____ **DATE:** _____

HELPFUL HINT FROM SEVEN STEPS TEAM: Be careful not to include more things to measure and assess than is manageable. E.g., on page 7, the Government will assess UPS maintenance via reviewing files. It may be easier to monitor UPS performance by observation – either they worked or they didn't work as needed.