

Section 12: Surveillance Plans

Surveillance Plans

Objectives:

Given student notes, handouts, and workbook, at the completion of this block of instruction, each participant will be able to correctly:

- **Identify five methods of inspection available for use on service contracts.**
- **Define acceptable quality levels in service contracts.**



Why Inspect Contracts?

- Protect Gov't Interests
- Inspect Contractor's Work (QA)
- Reject Non-Conforming Work/Items
- Meet Contract Requirements
- All Contracts Inspected

Quality Management of Contracts

Who is Responsible????

The Contract
Administration Office

OR The Contractor???

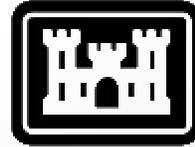


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Quality Management of Contracts

Who is Responsible????

**The Contract
Administration Office**



Quality Management of Contracts

Who is Responsible????

The Contractor:



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DA Pamphlet 715-15, Service Contract Administration

FAR 37.602-2

Quality Assurance Section

Service Contracts Require:

- Quality Assurance Surveillance Plans must be developed.
- Must recognize contractor's responsibility for Quality control.
- Must have measurable inspection and acceptance criteria based on level of performance rather than methodology used by contractor.



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The Quality Assurance Surveillance Plan (QASP)

Allows us Flexibility in the
methods of inspection.

Other Reasons for QASP's



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5 Methods to Inspect a Contract

- Random Sampling
- Planned Sampling
- 100% Inspections
- Unscheduled Inspections
- Validated Complaints

Random Sampling

Inspect part, but not all of items



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Planned Sampling

100% Inspection

- Inspect Everything
- Used for:



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Validated Complaints

Unscheduled Inspections



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Choose the Best Method for Each Bid Item in a Contract

Based on:

-
-
-
-
-

The Government has the right to change or modify inspection methods at its discretion.

Using these Inspection Methods.....

**The Quality Assurance
Surveillance Plan
(QASP)**



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QASP's Based on:

Acceptable Quality Level (AQL)

- Recognizes that perfection is near impossible or cost prohibitive for some contract items.
- Accepts that a small amount of deviation from specifications can be tolerated (Acceptable).
- We determine the amount of deviation we will tolerate with a predetermined value selected by the Government and known by the Contractor (Quality Level).

QASP

Sampling Guide

For each bid item to be inspected:

- Service Requirement
- Method of QA
- AQL
- Lot Size, Sampling Size, Reject Level
- Sampling Procedures
- Inspection Procedures
- Performance Criteria
- Estimated Man Hours



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QASP
Performance Requirements Summary <u>DA 5473-R</u>
<p>A consolidation of all the sampling guides for all bid items</p> <p>Easy to read summary explaining all work to be done and how it will be inspected.</p> <p>It is a part of the IFB but not the contract.</p>

Composition of a Typical QA Surveillance Plan (QASP)
<ul style="list-style-type: none">• AQL Tables• Definitions• Performance Requirements Summary• Method of Payment Analysis• Sample Forms and Other Appendices



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QASP
Acceptable Quality Level (AQL) Tables

QASP
Definitions
Best Described using the AQL Tables



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INSPECTION LEVEL - General Level II
SAMPLING PLAN - Single Normal

Sample Sizes and Reject Levels

Acceptable Quality Level (AQL)

Lot Size	Code Letter	Sample Size	.65 (Re)	1.0 (Re)	1.5 (Re)	2.5 (Re)	4.0 (Re)	6.5 (Re)	10 (Re)
2 to 8	A	2	1	1	1	1	1	1	1
9 to 15	B	3	1	1	1	1	1	1	1
16 to 25	C	5	1	1	1	1	1	1	1
26 to 50	D	8	1	1	1	1	1	1	1
51 to 90	E	13	1	1	1	1	1	1	1
91 to 150	F	20	1	1	1	1	1	1	1
151 to 280	G	32	1	1	1	1	1	1	1
281 to 500	H	50	2	2	2	2	2	2	2
501 to 1,200	J	80	2	3	3	3	3	3	3
1,201 to 3,200	K	125	3	4	4	4	4	4	4
3,201 to 10,000	L	200	4	6	6	6	6	6	6
10,001 to 35,000	M	315	6	8	8	8	8	8	8
35,001 to 150,000	N	500	8	11	11	11	11	11	11
150,001 to 500,000	P	800	11	15	15	15	15	15	15
500,001 to over	Q	1250	15	22	22	22	22	22	22

AQL Tables

1. Lot or Population Size

Total number of required services of each bid item per inspection period from which a sample is to be drawn.

AQL Tables

2. Code Letter

Designation used to identify the different sample sizes categories.



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AQL Tables

3. Sample Size

The number of units to be inspected in each lot per inspection period.

AQL Tables

4. AQL Percentage

The percentage of error allowed the Contractor under the Random and Planned Sampling method.



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AQL Tables

5. Reject Level

If the observed total number of defects per inspection period is equal to or greater than the reject level, the work will be considered unsatisfactory.

How do we know it is a **“REJECT”** ?

- Measurable and objective
- Based on Performance, not Method

**SCIMS - Service Contract
Inspection Measurement
System**



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SCIMS -

**Used for Random Sampling Method -
Automated Program:**

INPUT:

**Each item to be inspected
Population of each item, unit #'s
Dates and locations to be inspected**

SCIMS -

**Used for Random Sampling Method -
Automated Program:**

OUTPUT:

- 1. Daily lists of items to be inspected**
- 2. Summary of monthly quantity & frequency schedule**
- 3. Monthly tally sheet for each lake**



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CAYTON LAKE
RANDOM INSPECTION QUANTITY AND FREQUENCY SCHEDULE (DEC 99)

LOCATION DESCRIPTION	FACILITY DESCRIPTION	NUMBER OF UNITS	M O N T H L Y												SPECIFIC DATE		
			D	S	M	T	W	T	F	S	S	S	S	S		S	
NORTH RIVER ACCESS	RECEPTACLE DECK/FEET	1															12/15/99
	REFUSE DISPOSAL SERVICE	1	X														
	OVERLOOK PARK	1															12/23/99
	GENERAL GROUNDS CLEANUP	1															
	RECEPTACLE AREA GROUNDS	2															12/23/99
POTTER'S CREEK PARK	RECEPTACLE DECK/FEET	2															12/15/99
	REFUSE DISPOSAL SERVICE	2															
	RESTROOM	1	X														12/23/99
	RECEPTACLE DECK/FEET	1															12/23/99
	REFUSE DISPOSAL SERVICE	1															12/23/99
POTTER'S CREEK PARK	RECEPTACLE DECK/FEET	1															12/23/99
	RECEPTACLE DECK/FEET	2															12/23/99
	DRINKING FOUNTAIN	3															12/23/99
	DUMP STATION	2															12/23/99
	POUNDRING PILE	1															12/23/99
	GENERAL GROUNDS CLEANUP	1															12/23/99
	PAVILION/SHED SWELTER LARGE	1															12/23/99
	PAVILION/SHED SWELTER SMALL	8															12/23/99
	RESTROOM	1	X														12/23/99
	RECEPTACLE DECK/FEET	1															12/23/99

**OUTPUT:
Monthly
Planner**

**Summary of monthly quantity
& frequency schedule**

CAYTON LAKE
RANDOM INSPECTION INSPECTION SHEET

DATE OF INSPECTION: SUNDAY - 15 DEC 99
OPEN LETTERS AND TIME: A 9:00

INSPECTION LOCATION: OVERLOOK PARK
TYPE OF FACILITY: RESTROOM
NUMBER OF UNIT: 1

NAME OF INSPECTOR: *[Signature]*

ACCEPTED (OVER 84 POINTS) REJECTED (CLOSED/OCCUPIED)
 REJECTED (UNDER 85 POINTS) OFF-CHECKED (TIME)

SPECIFIC ITEM	POINT VALUE	POINTS GIVEN	REMARKS
GROUNDS (DETAIL)	8	7	small pieces of dirt
CHANGES SPECIFIC AREA	8	8	
WALK CONDITION	6	6	
COMMODES	10	10	
DISINFECTANT CASE	1	0	NO DIS. CASE
FLOOR	8	8	
HAND DRYER/REFLECTOR	1	1	
LOCK MECHANISM	4	4	
OBSTRUCTIONS	5	5	
PIPE SEARCH	4	4	
SMELL	10	10	
ODOR	4	4	
TISSUE PAPER	7	7	
TRIMMINGS	0	0	
WALLS/CYLINDER	10	10	
TOTAL POINT VALUE	100	93	

**Inspection of a
Restroom**

93 out of 100=Accept



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OUTPUT: Monthly SCIMS Report of Scores

CANYON LAKE RANDOM INSPECTION LISTING (DEC 99)						
DATE	DAY-OF-WEEK	NUMBER	TIME	LOCATION	FACILITY DESCRIPTION	UNIT
02	THURSDAY	1	A 9:00	JACOB'S CREEK PARK	RECEPTACLE AREA GROUNDS	11 100
03	FRIDAY	1	A 9:00	JACOB'S CREEK PARK	GENERAL GROUNDS CLEANUP	1 95
		2	A 9:00	POTTER'S CREEK PARK	GENERAL GROUNDS CLEANUP	1 95
		3	A 9:00	HEADQUARTERS AREA	HEADQUARTERS GROUNDS	1 100
		4	A 9:00	POTTER'S CREEK PARK	PAVILION/GROUP SHELTER LARGE	1 95
		5	A 9:00	POTTER'S CREEK PARK	PAVILION/GROUP SHELTER SMALL	3 92
		6	A 9:00	POTTER'S CREEK PARK	PICNIC/CAMPING UNIT	43 90
		7	A 9:00	JACOB'S CREEK PARK	PICNIC/CAMPING UNIT	57 90
		8	A 9:00	POTTER'S CREEK PARK	RESTROOM	2 93
		9	A 9:00	WETLANDS AREA	WETLANDS ENHANCEMENT GROUNDS	1 100
04	SATURDAY	1	A 9:00	CRANE'S MILL PARK	RESTROOM	1 92
		2	A 9:00	JACOB'S CREEK PARK	RESTROOM	2 92
		3	A 9:00	JACOB'S CREEK PARK	RESTROOM	3 92
06	MONDAY	1	:	POTTER'S CREEK PARK	REFUSE DISPOSAL SERVICE	9 100
		2	A 9:00	JACOB'S CREEK PARK	PICNIC/CAMPING UNIT	55 90
Monthly tally sheet for each lake						1 92
						2 92

To Determine Satisfactory Contract Performance:

1. Count the Number of Rejects per Item per month
2. Check Acceptable Level of Rejects from AQL Table
3. Make Full or Partial Payment



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QASP
Method of Payment Analysis
<p>Services will be received and payment will be authorized:</p> <ul style="list-style-type: none">• Full Payment• Full Payment plus Incentive• Reduction in Payment

QASP
Method of Payment Analysis
Determining Amount of Deductions:
<p>Payment Analysis examples will be shown for:</p> <ul style="list-style-type: none">• Random Sampling Method• Planned Sampling Method• 100% Sampling methods



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QASP
Method of Payment Analysis
Random Sampling Method
Deduction Exercise A
AQL Table for Single Normal
Performance Requirements Summary
Exercise Handout

QASP
Method of Payment Analysis
Random Sampling Method
Deduction Exercise A
AQL = 4.0 Single Normal
1. Population =
2. Code Letter =
3. Reject Level =
4. # of Insps. =



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QASP
Method of Payment Analysis
Random Sampling Method
Deduction Exercise A
AQL = 4.0 Single Normal
5. 10 inspections defective

QASP
Method of Payment Analysis
Random Sampling Method
Deduction Exercise A
AQL = 4.0 Single Normal
6. 20 inspections defective



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QASP	
Method of Payment Analysis	
Random Sampling Method	AQL = 4.0
Deduction Exercise B	Normal
Each Lake is a separate population	
Belton Lake - 5 rejects	
Stillhouse - 0 rejects	
Geog'town - 1 reject	
Granger - 4 rejects	

QASP	
Method of Payment Analysis	
Random Sampling Method	
Deduction Exercise B	
Granger Lake - 4 units/32 units in sample size = $1/8 = 0.125$	



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QASP
Method of Payment Analysis
Planned Sampling Method
Same AQL Tables as Random Sampling
Differs only in the way the samples are selected

QASP
Method of Payment Analysis
100% Inspection Method
Contractor has responsibility for QC
If Gov't QA finds work not done, we may: 1. 2. 3.



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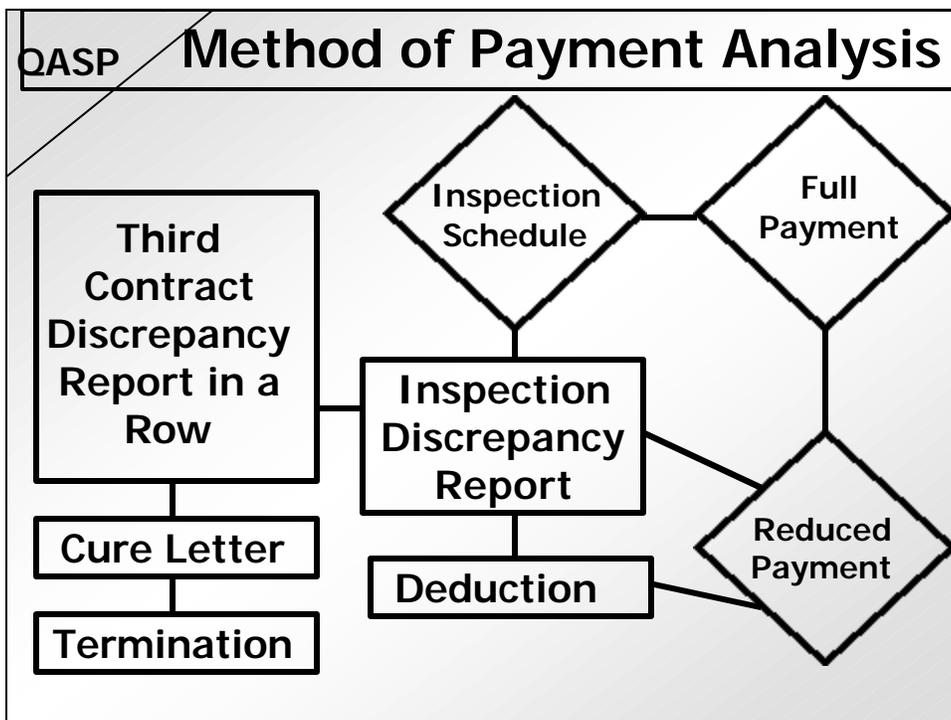
QASP
Method of Payment Analysis
100% Inspection Method
Example of deductions for re-inspections:
Example: Re-inspection of Facility Mowing is required on 15 sites in Temple Park and on 2 sites in Westcliff Park. The re-inspection deduction is made as follows:

QASP
Method of Payment Analysis
100% Inspection Method
Deductions for Work <u>not</u> preformed:
Handout Exercise C.
Amount of deduction = Cost of having work performed by an alternate method



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QASP	
Forms - Contract Deficiency Report (CDR)	
CONTRACT DISCREPANCY REPORT <small>For use of this form, See DA PAM 715-15; the proponent agency is DCSSLOG.</small>	
1. CONTRACT NUMBER	
2. TO: (Contractor and Manager Name)	3. FROM: (Name of QAE)
DATES	
PREPARED	ORAL NOTIFICATION
RETURNED BY CONTRACTOR	ACTION COMPLETE
4. DISCREPANCY OR PROBLEM (Describe in Detail: Include reference in PWS/Directive: Attach continuation sheet if necessary.)	
5. SIGNATURE OF CONTRACTING OFFICER OR AUTHORIZED REPRESENTATIVE	
6. TO: (Contracting Officer or Authorized Representative)	7. FROM: (Contractor)
8. CONTRACTOR RESPONSE AS TO CAUSE, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. ATTACH CONTINUATION SHEET IF NECESSARY. (Cite applicable Q.A. program procedures or new A.W. procedures.)	



Section 12: Surveillance Plans

QASP
Appendices
Sample Forms
Tabulations of Park Areas and Facilities
Maps of Cleaning Areas
Frequency Tables
<u>Typical Drawings</u>

Preparing the Surveillance Plan

Select Type of Inspections

1. Select the Type of Inspections Required for Each Work Item:



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Preparing the Surveillance Plan

Select Type of Inspections

Select the AQL

2. Select the AQL for Each Item to be Inspected:

Preparing the Surveillance Plan

Select Type of Inspections

Select the AQL

Sampling Guide for Each Item

3. Prepare a Sampling Guide for Each Item to be Inspected:



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Preparing the Surveillance Plan

Select Type of Inspections

Select the AQL

Sampling Guide for Each Item

Performance Requirements Summary

4. Prepare a Performance Requirements Summary (DA Form 5473-R) lists:

Preparing the Surveillance Plan

Select Type of Inspections

Select the AQL

Sampling Guide for Each Item

Performance Requirements Summary

Write the Plan

5. Write the Plan

- Opening Statement
- AQL Tables
- Definitions
- Performance Requirements Summary
- Method of Payment Analysis
- Appendices



Section 12: Surveillance Plans

A surveillance plan and adequately trained quality assurance people should be in place prior to the start of a contract:

- **Inspectors**
- **Administrative Specialists**
- **COR's**

FAR 37.602-2 Quality Assurance

QASP in place

Contractor does QC

Measurable Criteria

Performance, not methods



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Questions?

