

EXAMPLE

QUALITY ASSURANCE SURVEILLANCE PLAN

FORT XXX, [STATE]

DINING FACILITY ATTENDANT SERVICES

ADD/ CONTRACT#

ADD/INSERT DATE, E.G.

XXXXXXXXXXXXX
Contracting Officer

XXXXXXXXXXXXX
Contracting Officer's
Representative

Mission & Installation Contracting Command

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1. Overview

This Quality Assurance Surveillance Plan (QASP) details how the Dining Facility Attendant (DFA) Services contract will be monitored from award throughout its lifecycle.

1.1. Purpose

The purpose of this QASP is to identify methods and procedures the Government will use to ensure it receives the services under this contract as identified in the Performance Work Statement (PWS). This QASP is to serve as a guide for the Contractor Officer's Representative (COR) in developing a monthly inspection plan, performing evaluations, assessing and documenting performance, and recommending actions to the Contracting Officer (KO) throughout the life of the contract.

1.2. Intent

The intent of this QASP is to:

- 1) Ensure Contractor performance meets or exceeds contract terms, conditions and specifications
- 2) Hold the Contractor accountable for quality control
- 3) Encourage the Contractor to take appropriate steps to control and improve quality
- 4) Ensure all sections of FAR 46, Quality Assurance, are applied as required and applicable.

Accordingly, the Government will perform surveillance on the contract in accordance with this QASP, but reserves the right to monitor the contract in any manner necessary, at any time necessary, and at all places necessary to ensure the services rendered conform to contract requirements. The Government also reserves the right to perform quality assurance at the Subcontractor level, and at the contractor's place of business. Sub-contract service providers shall be accountable to the Contractor who, in turn, is responsible to the Government. Resolution of non-conforming services discovered at the Subcontractor level will be addressed with the prime Contractor. The Government will not exercise any supervisory controls over the contract service providers performing the services herein.

2. Description of Services

2.1. Scope of Work

The Contractor shall provide all supervision, labor, personnel, materials and supplies to perform activities as defined in the PWS. The Contractor shall perform the requirements in the PWS and conform to the professional standards identified in the contract, and shall follow all applicable instructions and directives as identified by the PWS. All services provided by the Contractor in the contract shall be performed in accordance with (IAW) Tri Service Food Code (TB MED 530), Army Policy, and all applicable local, state and federal laws, regulations and policies. In the event of a conflict between any law and regulation, the more stringent rule shall apply. Contractor tasks include, but are not limited to the following: facility sanitation duties, and the

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associated logistics analysis and management functions in support of the installation's mission.

2.2. Type of Contract

Firm Fixed Price (FFP), Indefinite Delivery Indefinite Quantity (IDIQ) with the ability to issue Fixed Price Task Orders.

3. Roles and Responsibilities

The following provides a synopsis for the roles and their respective authority during the performance of the contract:

3.1 Government

3.1.1 Contracting Officer (KO)

The KO is the only individual authorized to enter into, administer, and/or terminate contracts and make related determinations and findings on behalf of the Government. The KO is the only individual authorized to delegate (in writing) specific contract administration duties to other individuals. In the event the Contractor effects any such change at the direction of any person other than the KO, the change will be considered made without authority, and solely at the risk of the Contractor. No changes in, or deviation from the terms and conditions shall be affected, without a written modification to the contract, executed by the KO authorizing such changes. NOTE: The only individual who can legally bind the Government is the KO.

3.1.2 Contracting Officer's Representative (COR)

The COR shall be familiar with contract terms and conditions. The COR will monitor all technical and performance aspects of the contract and assist the KO in contract administration. The COR is authorized to perform the following functions:

- 1) Assure the Contractor performs the technical requirements of the contract
- 2) Monitor and evaluate Contractor's performance: Perform necessary inspections and cite Contractor deficiencies in connection with contract performance and provide specific details of each deficiency cited to the KO and to the Contractor.
- 3) Maintain written and oral communications with the Contractor concerning technical and performance aspects of the contract
- 4) Issue written interpretations of technical requirements, including Government drawings, designs, and specifications
- 5) Coordinate availability of Government Furnished Property
- 6) Facilitate site entry of Contractor personnel

Army Contracting Command (ACC) and Mission Installation and Contracting Command (MICC) do not use other acronyms to refer to and describe a COR. Terms such as the "COTR", "Onsite COR", "TM", etc., will not be used. Some personnel may be assigned as Alternate CORs, but other than a statement to that effect and what actions the KO expects that ACOR to take in the absence of the primary COR, there is no difference between a COR, an Alternate COR, or other Government surveillance personnel

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appointed to conduct contract oversight. Throughout the remainder of this QASP, the term "COR" will be used to refer to all Government surveillance personnel appointed to monitor the contractor's performance on this contract.

A letter of designation issued to the COR, a copy of which is sent to the Contractor, states the responsibilities and limitations of the COR, especially with regard to changes in cost, price, or delivery dates. The COR is not authorized to change any of the terms and conditions of the resulting Task Order. The KO shall use the Procurement Integrated Enterprise Environment (PIEE) / Joint Appointment Module (JAM) to electronically track COR nominations, appointments, terminations, and training certifications for each COR appointed to conduct oversight on this contract. The COR will upload their surveillance documents, such as Monthly Status Reports (MSR), COR trip reports, correspondence with the contractor, and other miscellaneous documents into Surveillance and Performance Monitoring (SPM) module within PIEE for this contract. PIEE is available at <https://wawf.eb.mil/piee-landing/>. This guidance will apply to other government surveillance personnel as defined in Army Regulation 70-13, paragraph 2-2 g.

3.1.2.1 Alternate Contracting Officer's Representative (ACOR)

The Alternate COR is an employee of the U.S. Government provided by the Requiring Activities (RA) and appointed by the KO to provide additional surveillance personnel in monitoring and documenting the contractor's performance. These alternate surveillance support personnel may serve as on-site representatives of the COR in performance of actual contract surveillance, if they meet all COR training and experience requirements and are appointed by the KO as Alternate CORs (ACOR) in PIEE / JAM.

3.2 Contractor

3.2.1 Project Manager

The Contractor responsible for running the program. May supervise the program team and manages conflicts within different departments. Plans and sets program goals and milestones and develops risk management strategies. Defines resources and schedules for the implementation of the program. Clearly defines requirements and sets targets accordingly. Recognizes areas for internal improvement and develops plans for implementing the improvements.

3.2.2 Dining Facility Manager

The Contractor responsible for running the program. May supervise the program team and manages conflicts within different departments. Plans and sets program goals and milestones and develops risk management strategies. Defines resources and schedules for the implementation of the program. Clearly defines requirements and sets targets accordingly. Recognizes areas for internal improvement and develops plans for implementing the improvements.

3.2.3 Government Personnel

Commented [FKJCUA(1)]: Ensure both positions are applicable.

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For quick access, the contact information for the performance of this QASP is provided:

Table 1: Key Positions for Contract Administration

Title	Name	Phone	E-mail
Contracting Officer			
COR			

4. Contract Quality Requirements

4.1 Contractor's Quality Control Plan/Program (QCP)

The Contractor is required to submit their Quality Control Plan for approval within 10 days from award for acceptance by the Government. The Contractor's quality control program (IAW FAR Part 46 and applicable 52.246 Clause(s)) is the means by which he assures that all work complies with the requirement of the contract PWS. The Contractor's QCP shall include a process that can identify, prevent, and ensure non-recurrence of defective services, as outlined in PWS para 1.8.2 Quality Control Plan.

It is essential that Government Surveillance Personnel understand that Quality Control (QC) is the responsibility of the contractor, and not the Government. As such, the Government will focus their efforts on validating if the Contractor is maintaining an adequate quality control inspection system that ensures the Contractor maintains evidence that services provided conform to contract quality requirements. The Contractor shall provide inspection data to the Government on request for validation.

The COR shall review and provide comments on the Contractor's QC and provide to the KO.

4.2 Government Quality Assurance

The Government shall evaluate the Contractor's performance under the contract IAW with this QASP. This plan describes what the Government will do to ensure the Contractor has performed in accordance with the performance standards within the PWS:

- 1) How the performance standards will be applied
 - a. Identifies the Performance Objectives (see Attachment 1) that will be surveilled to determine acceptable services. Lack of a PWS requirement included as a Performance Objective does not preclude the COR from inspecting those services when warranted.
 - b. Ensure the method of assessing contractor performance against performance standards is included in this QASP
 - c. Ensure each Performance Requirement includes an Acceptable Quality Level (AQL).
 - d. AQL is the worst tolerable performance still considered acceptable. For example; if "the Contractor shall provide personnel support within 2 hours", the AQL may be: + or - (+/-) 15 minutes.

- 2) Which Performance Elements Will Be Surveilled

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- a. All performance activities will be surveilled through-out the Period of Performance. The Performance Objectives will be populated on the Monthly Checklist and placed on the Surveillance Schedule for each period surveilled.
- 3) When Surveillance Will Be Scheduled
 - a. Surveillance Schedule (Attachment 3)
 - b. Surveillance may be scheduled on a daily, weekly or monthly frequency. However, each Contractor requirement must be audited for compliance prior to invoice payment being made.
- 4) Acceptable Quality Level (AQL) as outlined in the PRS.
- 5) The nature of Government contract quality assurance actions that include the number of observations made and the number and type of defects (defect rate).
 - a. Personnel conducting Contractor performance surveillance will use attachment 4, Surveillance Checklist, or equivalent in SPM?? to answer the Performance question asked, and provide comments in the area provided on the checklist. These comments and metrics from the Checklist will be included on each MSR submitted during the Period of Performance.

5. Government Surveillance

5.1 Methods of Surveillance

The following Methods of Surveillance may be utilized in monitoring the Contractors' performance:

1) Random Sampling

Will be used when a service is performed on a frequent basis and a statistically valid sample can be selected for audit. This is most appropriate method for frequently recurring tasks. The COR will develop an Inspection Plan for all performance objectives (services) listed in column 1 of the contract PRS using the American National Standard Sampling Procedures and Tables for Inspection by Attributes (ANSI/ASQCZ1.4). The Army standard for determining the lot size (population) for random inspection is: "the total number of operational days for all facilities each month (see column 3 of the PRS). To determine the sample size (number of evaluations/inspections) start with single, normal degree of inspection until such time contract performance dictates otherwise. The COR will use General Inspection Level II unless human resources are not adequate to perform the number of given evaluations in addition to other required evaluations. The KO must concur with any changes in the level or degree of inspection, which deviates from this standard.

2) RESERVED

3) Other Unscheduled Evaluations

- a. The COR may conduct unscheduled evaluations whenever the need arises. These evaluations are similar to planned evaluations, with the exception that they are not identified on the Inspection Schedule. Results of these evaluations will serve as further documentation and support for other evaluations that can be used to enforce the contract.

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4) Customer Feedback

Not a valid method of surveillance, but a good indicator of areas where surveillance should be conducted or intensified. Customer Comment Cards or Customer Surveys will be used as a means of documenting diner satisfaction; e.g., menus, temperature and quality of food, menu choices, portion sizes, cleanliness of the facility, friendliness of personnel, etc. Valid comments and complaints will be analyzed as an alternative means of evaluating contract performance and will be used as supporting documentation to enforce this contract. Customer comments will not be used to supplement or replace required random or planned inspections.

- a. Customer Comment Cards will be placed at convenient locations for the end user of these services, and made available to document/record all complaints. The COR will collect the Customer Comment cards frequently and investigate for validity ASAP.
- b. The following procedures will be followed when a complaint is received:
 - The COR/ACOR will investigate to determine the validity of the complaint
 - If the complaint is determined to be invalid, the COR will inform the person who submitted the complaint of the reason(s) as soon as practical
 - For validated complaints that are true contractual non-conformances, the procedures in paragraph 6 below will be applied
- c. A Customer Complaint Record will be used to document each validated customer complaint and attached to the COR Status Report in SPM DA Form 5477

5.2 Surveillance Schedule

The Government will utilize AFMIS to create a monthly Surveillance Schedule. The schedule is "FOR OFFICIAL USE ONLY" and is not releasable to anyone other than authorized Government personnel. Each month's Surveillance Schedule will be completed at the beginning of each month during the Period of Performance (PoP) to schedule the upcoming month surveillance activity. Completed Surveillance Schedules will be filed in SPM within PIEE file for this contract, either as an attachment to the monthly COR Status Report or uploaded separately in the Miscellaneous Documents Section of the CORs' SPM file.

5.3 Surveillance Checklists

Surveillance Checklists (Attachment 5), will be used to conduct surveillance IAW the Surveillance Schedule and filed in the PIEE, SPM, and Surveillance Documents Section of the Contract File using the Add Smart Form Function.

5.4 Surveillance Documentation

Surveillance documentation for the preceding month will be filed in the PIEE, SPM, and Surveillance Documents Section NLT the 15th of each month. Surveillance documentation includes a COR Status Report, the Surveillance Schedule, all completed Surveillance Checklist(s) for the period the COR Status Report covers, Non-Conformance Reports, if any, and Contractor Deliverables, if any. Surveillance

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documentation must be filed in the online COR SPM file for the contract, either as an attachment to the COR Status Report , or uploaded separately in the Miscellaneous Documents Section of the CORs' online SPM file IAW DoDI 5000.72, and DFARS PGI 201.602-2.

6. Non-Conforming Performance

The Non-Conformance process shall be IAW ACC Contracting Note 19-05, Nonconformance Report (NCR) Procedures. Non-conformance occurs when a contractor fails to meet contract or task order terms, conditions and/or specifications. All instances of non-conformance shall be documented via a Non-conformance Report Worksheet and the contractor shall be notified. Resolution of non-conformance discovered at the subcontractor level shall be addressed with the prime contractor. Non-conformance is classified as either: Level I (Minor); Level II (Major); or Level III (Critical). The level of NCR should normally correspond to the highest level of non-conformance listed in the NCR. For example, if an NCR had one Level 3, one Level 2, and three Level 1 non-conformances, the NCR level would be Level 3. The exception might be when the aggregate of multiple non-conformances considered in whole associate to a more serious type of non-conformance defined in FAR 46.101 (e.g. if an NCR had three Level 2 non-conformances but the definition of critical non-conformance letter describes the impact/effect when considered in whole, the NCR level would be 3). All verbal notifications of actual non-conformance shall be followed up with a written NCR. If the non-conformance involves a hazard which could result in injury or death of a person or damage to equipment, any observer should step in to engage the contractor to immediately correct the situation before an accident or incident occurs or becomes more serious. The NCR would follow the immediate on-the-spot engagement/corrective action. Do not wait to issue a NCR to begin correcting a hazardous non-conformance.

6.1 Level 1 (Minor)

Level I non-conformance(s) are those that are 'minor' in nature such that they can be promptly corrected by the contractor, present no need for root cause analysis or determination if other contract requirements are affected, present no need for further preventative action, and do not materially reduce the usability of the supplies, services, construction, or deliverables. While the contractor must correct the nonconformance, further actions and Government follow-up are not required, and no written response from the contractor is needed. The Government is still required to document verbal Level I NCRs. The COR may issue verbal Level I NCRs directly to the appropriate level of contractor management. The COR shall notify the KO as soon as practical when a verbal Level I NCR is issued and document the nonconformance(s) in their surveillance reports. If the nonconformance cannot be corrected on the spot, the contractor shall be given a suspense date to correct the deficiency. The KO shall issue to the contractor a Level I NCR.

6.2 Level II (Major)

Level II non-conformance(s) are those that are 'major' in nature such that they are not promptly correctable, and/or warrant root cause analysis and preventative action,

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and/or need action by the contractor to determine if other contract requirements are affected. These non-conformances are serious enough to warrant not only correction of the non-conformance, but also a written response from the contractor in the form of a Corrective Action Plan (CAP), and Government follow-up. The qualifying distinction between a Level 1 and Level 2 nonconformance is the need for a CAP and Government follow-up. An NCR identifying a Level 2 nonconformance may also be issued after repetitive Level 1 instances of the same or similar non-conformance, a large number of documented Level 1 NCRs, and trends indicating failure of the Contractor's quality control program. The KO issues all Level II NCRs in writing. The COR shall notify the KO as soon as practical when a major non-conformance is identified.

6.3. Level III (Critical)

Level III non-conformances are those that are 'critical' in nature such that they represent a serious weakness in internal controls; have actual or potential significant impact(s) on contract performance, result in hazardous or unsafe conditions due to the manner in which the services are performed; prevent or impact a vital agency mission as a result of performance; or are for repeated or uncorrected Level II NCRs. The Contracting Office Director or Deputy Director issues written Level III NCRs. The COR is responsible for notifying the KO immediately upon discovery of a critical nonconformance.

6.4. Documenting NCRs

The COR will provide the details of the non-conformances exceeding the AQL using the Non-Conformance Report, Attachment 5, within 10 days after the event. All NCRs regardless of issuer will be included in the monthly COR Status Report. The COR and KO shall track NCRs to ensure the Contractor identifies and takes appropriate corrective action to the root cause and the specific non-conformance is corrected within the required timeline (10 days, unless an extension is requested and approved). The KO will make a final written determination of the Government's remedies if the non-conformance is not corrected by the Contractor after receiving notice and a reasonable opportunity to correct the work IAW ACC Contracting note 19-05.

6.5 Performance Management Reviews (PMRs)

The contracting office will hold periodic status or progress meetings (referred to as Performance Management Reviews in the PWS) with the KO, COR, Contractor, and other personnel as necessary IAW AR 70-13, Management and Oversight of Service Acquisitions and Army Sustainment Command (ASC) Performance Management Review Policy OPORD 103-17. These meetings will be held at least quarterly to discuss problems, progress of the contract, and Contractor performance. The Contractor shall participate and provide any necessary briefings and supporting data.

7. Payment Reduction Plan

The Contractor shall receive payment commensurate with services performed when contract requirements have been met and each PRS service is performed within the established AQL; e.g., number of recorded defects does not exceed the number allowed.

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Payment Reductions. When the Contractor fails to meet contract requirements of those services listed on the PRS; e.g., the number of recorded defects exceeds the number of allowable defects (AQL); performance will be deemed defective. The Contractor will be subject to a reduction in contract price based on the value of the service established by the percentages in column titled "Payment %" of the PRS. Payment for services not conforming to the specified AQL will be calculated as described below.

Determining PRS Reductions for Random Sampling. To determine a reduction in contract payment for unacceptable service, the maximum contract payment per month titled "Payment %" is multiplied by the percentage of the sample found unacceptable. The total number of defects found, not just those in excess of the reject level, are used to determine the percentage of the sample found unacceptable.

Example: Assume the maximum monthly contract payment is \$250,000.00, an AQL of 10%, and a Lot Size of 155 units. Using ANSI/ASQCZ1.4, General Inspection Level II, Normal Degree of Inspection, the resulting Sample Size would be 32 units with a Reject Level of 8 Defects. If 10 defects were found during the evaluation period the payment computation would be as follows:

Example payment computation for PRS random inspection:

(1) Maximum monthly contract payment	\$ 250,000.00
(2) Maximum payment percentage (from PRS) is 15%	x <u>.15</u>
(3) Maximum payment for acceptable work	\$ 37,500.00
(4) Percentage of sample found unacceptable: 10 defects exceeds reject level of 8 defects divided by the sample size (10/32 = .31)	
(5) Unacceptable percentage 31%	x <u>.31</u>
(6) Reduction for unacceptable work (line 3 X line 5)	\$ 11,625.00

Determining PRS Reductions for Planned Sampling. To determine a reduction in contract payment for unacceptable service the maximum contract payment per month (titled "Payment %") is multiplied by the percentage of the sample found unacceptable. The total number of defects found, not just those in excess of the reject level are used to determine the percentage of the sample found unacceptable. To determine the acceptance and rejection level (**different from random sampling**) the number of defects is divided by the lot size and rounded at .5 to the next whole number.

Example: Assume the maximum monthly contract payment is \$250,000.00, an AQL of 4%, and a Lot Size of 50 units. Using ANSI/ASQCZ1.4, Inspection Level II, Normal Degree of Inspection, the resulting Sample Size would be 8 units. Next, multiply 4% (AQL from PRS) times 50 (lot size). The resulting 2 is the number of allowable defects. The established reject level would be 3 defects. If 5 defects were found during the evaluation period the payment computation would be as follows:

8. Data Analysis

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Data Analysis will be performed to identify trends in cost, schedule and/or performance risks. The results of Data Analysis will be documented in COR Monthly Status Reports (MSR) and may be used to make adjustments to surveillance schedules and/or checklist items to increase or decrease surveillance, based on performance trends. Negative trends noted using Government data/observations could result in issuing the Contractor a NCR. Trends noted using Contractor data will not result in a NCR unless the Contractor has not addressed the negative trend.

9. Acceptance of Services WAWF

When all services have been deemed acceptable and there is documented, objective, quality evidence to support acceptable performance, the COR will accept the services provided and authorize payment to the Contractor. Acceptance and payment will be made by approving the Contractor's Receiving Reports in PIEE, WAWF as an iRAPT Inspector, and/or Acceptor Service.

10. COR Status Report

COR Status Reports will be submitted on a monthly basis to the KO via SPM. COR Status reports must be uploaded into SPM, using the "Smart Form" Monthly Surveillance Report. COR Status reports will be due NLT the 15th of each month for the preceding month. COR Status Reports will provide a synopsis of the Contractors performance for the inclusive dates of the report. The synopsis must contain a summary of surveillances performed, customer feedback if any, NCRs if any, an analysis of the Contractors performance, recommended adjustments to surveillance schedules, and any other pertinent contract information IAW FAR 46.104, and the COR Appointment Letter. Completed Surveillance Checklists and NCRs, if any, will be included as attachments to COR Status Reports, or referenced in the COR Status Report for that month and uploaded separately in the Miscellaneous Documents Section of the CORs' Online SPM file for this contract. See para 4.2.

11. Contractor Performance Assessment Reporting System (CPARS)

Documented surveillance data (COR Status Reports, completed Surveillance Checklists, customer feedback and NCRs, if any) will be used to support CPARS ratings. CPARS will be completed in accordance with AFARS, Subpart 5142.15 – Contractor Performance Information, supporting narratives with quantifiable or verifiable documentation in a clear and concise manner.

12. Combatting Trafficking In Persons (CTIP)

In accordance with DFARS PGI 222.17 and FAR Clause 52.222-50, the KO will be notified immediately of any information from any source that alleges a Contractor employee, subcontractor and/or subcontractor employee has engaged in conduct that violates the United States Government "zero" tolerance policy regarding trafficking in persons.

13. QASP Changes

This QASP is a living document and, as such, may be changed as needed based on Data Analysis (trends), contract modifications by the KO, etc. The COR will send any

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recommended changes to the Contracting Officer for approval and the Contracting Officer must approve all changes.

Attachments:

- 1) Contract/Task Order Performance Requirements Summary (PRS)
- 2) Additional Surveillance Items
- 3) Sample Surveillance Schedule
- 4) Inspection Guide Summary
- 5) Surveillance Checklist(s)
- 6) Non-Conformance Report

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Attachment 1 Contract/Task Order Performance Requirements Summary (PRS)

Dining Facility Sanitation Operations					
High Level Objective	Standard	Lot Size and AQL	Surveillance Method	Payment %	
1	The Contractor shall clean and sanitize all food service equipment and surfaces to support dining facility operations.	Service Meets standards of Paragraph 4.1.1	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (6.5%)</u>	Random	6% (.06)
2	The Contractor shall protect, clean, and sanitize all food preparation and serving equipment and utensils between uses.	Service Meets standards of Paragraph 4.1.2	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (6.5%)</u>	Random	7% (.07)
3	The Contractor shall operate and maintain the mechanical dishwashing machine.	Service Meets standards of Paragraph 4.1.3	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (6.5%)</u>	Random	7% (.07)
4	The Contractor shall clean and maintain interior and exterior areas of each dining facility.	Service Meets standards of Paragraph 4.1.4	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (10%)</u>	Random	5% (.05)
5	The Contractor shall clean, maintain and prepare dining room service operations.	Service Meets standards of Paragraph 4.1.5	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (10%)</u>	Random	5% (.05)
6	The Contractor shall furnish and maintain expendables cleaning and sanitary supplies to support sanitation and personal hygiene practices.	Service Meets standards of Paragraph 4.1.6	Lot size shall be equal to the total number of operational days for all facilities each month <u>AQL = (6.5%)</u>	Random	5% (.05)
Total					35%

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Attachment 2 Additional Surveillance Items

SEXUAL HARASSMENT AND SEXUAL ASSAULT TRAINING PLAN				Date: _____
FREQUENCY OF SURVEILLANCE	Once			
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION
Plan received within 30 days of award.				
Plan addresses minimum training requirements as identified in the PWS.				
QUALITY CONTROL PLAN				Date: _____
FREQUENCY OF SURVEILLANCE	Once			
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION
Plan received within 10 days of award.				
Plan addresses minimum requirements as identified in the PWS.				
PROPERTY MANAGEMENT SYSTEM PROCEDURES				Date: _____
FREQUENCY OF SURVEILLANCE	Once			
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION
Plan received within 30 days of award.				
TRAINING				Date: _____
FREQUENCY OF SURVEILLANCE	Random/As necessary			
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION
Contractor Food Sanitation and Safety Training requirements completed IAW timeline specified in PWS				
Contractor DoD Level 1 Anti-terrorism Training requirements				

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completed IAW with timeline specified in PWS				
Contractor iWatch Training requirements completed IAW with timeline specified in PWS				
Contractor DoD Information Assurance (IA) Awareness Training requirements completed IAW with timeline specified in PWS				
Contractor Operations Security (OPSEC) Training requirements completed IAW with timeline specified in PWS				
Contractor Information Security (INFOSEC) Training requirements completed IAW with timeline specified in PWS				
Contractor Controlled Unclassified Information (CUI) Training requirements completed IAW with timeline specified in PWS				
Contractor Threat Awareness and Reporting Program (TARP) Training requirements completed IAW with timeline specified in PWS				
Contractor Sexual Harassment and Sexual Assault Training requirements completed IAW Contractor's Sexual Assault and Sexual Harassment Training Plan.				
Contractor Installation Staff and Contractor Training Course requirements completed IAW with timeline specified in PWS				
Contractor maintained training records are on file and available				
All Contractor employees are trained and/or certified in the work they're performing				
SAFETY COMPLIANCE/REPORTING				Date: _____
FREQUENCY OF SURVEILLANCE	Random/As necessary			
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION
Contractor utilizes Government provided Accident/Incident Reporting Format				

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KEY PERSONNEL		Date: _____			
FREQUENCY OF SURVEILLANCE	Random/As necessary				
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION	
Key personnel have required Food Protection Manager Certificate					
Key position permanently filled within 30 days					
Key positions filled within 24 hours of being vacated					
COR notified immediately of replacement of key personnel					
KO notified within 72 hours of replacement of key personnel					
Management personnel on site during all dining facility hours					
MISCELLANEOUS		Date: _____			
		Time of Evaluation: From: _____ To: _____			
FREQUENCY OF SURVEILLANCE	Random/As necessary				
SURVEILLANCE ITEMS:	SAT	DEF	N/A	EXPLANATION	
Uniforms submitted for approval within 10 days of award					
Subsistence receipts are recorded IAW PWS requirements					
Subsistence receipts are submitted to SSMO post receipt					
Quality Assurance inspections are conducted IAW Contractors QCP					
Contractor participating in/conducting pest inspections					
Contractor employees wear and display proper ID badge					

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Attachment 3 Sample Surveillance Schedule

SUN	MON	TUE	WED	THU	FRI	SAT
		1	2 1362 (1)	3	4	5
6	7	8 1362 (1)	9	10	11	12 1362 (1)
13	14 1362 (1)	15	16 1362 (1)	17	18	19
20	21	22	23	24	25	26
27 1362 (1)	28	29 1362 (1)	30	31 1362 (1)		

Code **Contract Number**
(1) xxxxxxxx-xx-D-xxxx

Service Type
Dining Facility
Attendant (DFA)

For the month of xxxxxxx, 2019

Sample Size: 8

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Attachment 4 Inspection Guide Summary

Inspection Guide Summary for Performance Requirements Summary –Dining Facility Attendant (DFA) Services				
Date:		Bldg.:		Meal/Type: _____ Proj HC: _____ Actual HC: _____
PRS #	Satisfactory	Defective	N/A	Remarks
1				Clean & Sanitize Food Service Equipment & Surfaces
2				Wash, Rinse & Sanitize Pots & Pans in Three Compartment Sinks
3				Operate & Maintain Mechanical Dishwasher Machine
4				Clean & Maintain Dining Facility Interior and Exterior Areas
5				Maintain & Prepare Dining Room Service Areas
6				Furnish & Maintain Expendable Cleaning & Sanitary Supplies
Note: Signing the guide acknowledges receipt of this evaluation and does not indicate agreement with the findings.				
ACOR/COR: Print Name & Signature				
CONTRACTOR REPRESENTATIVE: Print Name & Signature				

EXAMPLE

Attachment 5 Surveillance Checklist(s)

PRS 1 CLEAN AND SANITIZE FOOD SERVICE EQUIPMENT AND SURFACES TO SUPPORT DINING FACILITY OPERATIONS.			Building #: _____ Date: _____	
			Time of Evaluation: From: _____ To: _____	
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if all critical standards are met and not more than 2 of the non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.				
SURVEILLANCE METHOD: Random			AQL: 6.5%	
CRITICAL STANDARDS:	SAT	DEF	N/A	EXPLANATION
Food contact surfaces & equipment cleaned and sanitized using proper procedures for mechanical, manual, or in-place method (TRI-SERVICE FOOD CODE). Example: Cleaned & sanitized equipment is air dried (TRI-SERVICE FOOD CODE).				
Cleaned & sanitized equipment reassembled and protected from contamination between uses and not stored in prohibited areas.				
Cleaning towels are for a designated purpose and properly stored. The sanitizer solution should be changed as required and maintain concentration (Tri-Service Food Code 4-501.114).				
Are all lines cleaned after each use- Beverage, Serving, Salad Bar				
Ice Machines are emptied, drained, cleaned and sanitized at least every 30 days or as often as needed to prevent accumulation of mold and mildew. Is the cleaning schedule posted and initialed to ensure compliance IAW cleaning schedule.				

EXAMPLE

PRS 1 CLEAN AND SANITIZE FOOD SERVICE EQUIPMENT AND SURFACES TO SUPPORT DINING FACILITY OPERATIONS. (CONTINUED)				
Not more than 2 remaining standards from the list below are found defective during the evaluation period.				
NON- CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Spilled food debris on floors, shelves and in refrigerators & freezers routinely cleaned (TB MED 530). Example: Refrigerators/Freezers. (Check for debris, food, dirty gaskets, and or spills)				
No signs of accumulation of dirt, dust, grease, food particles or debris around equipment (TRI-SERVICE FOOD CODE).				
Bussing carts for dispensing dinnerware, refrigerators, warming equipment and toasters cleaned and sanitized (i.e., tray, dinnerware, cups and mug dispensers).				
Exhaust hoods, filters, ledges & drip pans cleaned IAW cleaning schedule (TRI-SERVICE FOOD CODE).				
Equipment de-scaled to reduce the accumulation of lime deposits as needed (i.e., serving lines, dishwashers etc.).				
REMARKS:				
EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____				
COR/ACOR Signature _____ Contractor's Representative Signature _____				

EXAMPLE

PRS 2 THE CONTRACTOR SHALL PROTECT, CLEAN, AND SANITIZE ALL FOOD PREPARATION AND SERVING EQUIPMENT AND UTENSILS BETWEEN USES.	Building #: _____ Date: _____ Time of Evaluation: From: _____ To: _____
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if all critical standards are met and not more than 1 of the non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.	
SURVEILLANCE METHOD: Random	AQL: 6.5%
CRITICAL STANDARDS:	SAT DEF N/A EXPLANATION
Thermometers & chemical test kits on-hand & used to verify temperatures and sanitizing agent concentration.	
Are dishes scraped/rinsed before washing/ the wash, rinse, and sanitize sinks at proper temperatures for manual ware washing in three-compartment sinks IAW TRI-SERVICE FOOD CODE. 3 Compartment Wash Solution (110 degrees F (43 degrees C) 3 Compartment Rinse Solution (120 degrees F (49 degrees C) Sanitizing rinse during manual ware washing meets one of the following: (TRI-SERVICE FOOD CODE) a. Hot water at 171°F with a 30 second complete immersion b. Approved chemical sanitizer used IAW Mfg.'s label. c. Chlorine solution at 100-PPM; water 75-110°F, complete immersion for 15 seconds.	
Utensils, pots & pans washing performed without cross contamination (TRI-SERVICE FOOD CODE).	
Three compartments sink drained and sanitized when water or soap solution does not meet standards IAW TRI-SERVICE FOOD CODE.	
Air-dry pots/pans and utensils after items have been cleaned and sanitized. Items should be stacked in a self-draining position that allows air drying, wet stacking/wet nesting.	
Stored clean equipment & utensils protected from contamination and not in prohibited areas.	

EXAMPLE

<p>For Mechanical pot washer in three compartment sink area:</p> <ul style="list-style-type: none">a. Mfg.'s recommended chemical & detergents on hand & used during mechanical ware washing (i.e., Mfg.'s detergents, de-scaling agent, chlorine solution).b. Dish washing machine drained & cleaned after meal period.c. Hot water sanitizing rinse for mechanical ware washing yields minimum contact temperature of 180° F (TRI-SERVICE FOOD CODE 4-501.112).				
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EXAMPLE

PRS 2 THE CONTRACTOR SHALL PROTECT, CLEAN, AND SANITIZE ALL FOOD PREPARATION AND SERVING EQUIPMENT AND UTENSILS BETWEEN USES.				
(CONTINUED)				
Not more than 1 remaining standards from the list below are found defective during the evaluation period				
NON-CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Non-food contact surfaces cleaned after each meal period (floors, walls, shelving, etc.) (TRI-SERVICE FOOD CODE).				
Pots, pans & utensils are progressively washed and not permitted to accumulate.				
Personnel in and using proper Personal Protective Equipment (PPE) (TB MED 530).				
REMARKS:				
EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____				
COR/ACOR Signature _____ Contractor's Representative Signature _____				

EXAMPLE

PRS 3 THE CONTRACTOR SHALL OPERATE AND MAINTAIN THE MECHANICAL DISHWASHING MACHINE.		Building #: _____ Date: _____		
		Time of Evaluation: From: _____ To: _____		
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if all critical standards are met and not more than 2 of the non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.				
SURVEILLANCE METHOD: Random		AQL: 6.5%		
CRITICAL STANDARDS:	SAT	DEF	N/A	EXPLANATION
Mechanical dishwashing machine assembled correctly prior to use IAW applicable user's manual.				
Dinnerware from previous meal cleaned NLT the scheduled start of the following meal serving period (TRI-SERVICE FOOD CODE).				
Plates and eating utensils are visibly free of grease, food particles and foreign matter prior to use.				
Clean & sanitized dish wares are handled as to prevent cross-contamination (i.e., same person does not handle the dirty and clean dishes without washing hands in-between).				
Dinnerware protected from cross contamination and not stored in prohibited areas (TRI-SERVICE FOOD CODE).				
Hot water sanitizing rinse for mechanical ware washing yields minimum contact temperature of 180° F (TB MED 530 4-501.112).				
Mfg.'s recommended chemical & detergents on hand & used during mechanical ware washing (i.e., Mfg.'s detergents, de-scaling agent, chlorine solution).				
Thermometers & chemical test kits on-hand & used to verify temperatures & sanitizing agent concentration.				
Dish washing machine drained & cleaned after each use. Curtains removed and catch trays cleaned.				
Dishwashers maintain customer flow rates. Sufficient soiled tray drop-off area is available to allow diners to exit without waiting. Dinnerware and utensils are available to diners without delay.				

EXAMPLE

PRS 3 THE CONTRACTOR SHALL OPERATE AND MAINTAIN THE MECHANICAL DISHWASHING MACHINE. (CONTINUED)

Not more than 2 remaining standards from the list below are found defective during the evaluation period.

NON-CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Diner wares & trays pre-scraped and rinsed prior to washing.				
Non-food contact surfaces in wash areas cleaned and sanitized (floors, walls, storage carts, etc.) after each meal period (TRI-SERVICE FOOD CODE).				
COR notified 100% upon occurrence when dishwasher is not operating properly.				

REMARKS:

EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____

COR/ACOR Signature _____ Contractor's Representative Signature _____

EXAMPLE

PRS 4 THE CONTRACTOR SHALL CLEAN AND MAINTAIN INTERIOR AND EXTERIOR AREAS OF EACH DINING FACILITY.		Building #: _____ Date: _____		
		Time of Evaluation: From: _____ To: _____		
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if the critical standards are met and not more than 3 of the non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.				
SURVEILLANCE METHOD: Random		AQL: 10%		
CRITICAL STANDARDS:	SAT	DEF	N/A	EXPLANATION
Clean restrooms, dining facility hand washing stations and employee locker rooms. Restroom trash has been removed and new liners installed in waste containers. Restroom soap dispenser's and dining room entry and exit area hand sanitizers are supplied with manufactures recommended products and are available 100% of the time. Restroom paper towels and toilet tissue are available 100% of the time IAW Tri Service food Code (TRI-SERVICE FOOD CODE).				

EXAMPLE

PRS 4 THE CONTRACTOR SHALL CLEAN AND MAINTAIN INTERIOR AND EXTERIOR AREAS OF EACH DINING FACILITY (CONTINUED)				
Not more than 3 remaining standards from the list below are found defective during the evaluation period.				
NON-CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Receptacles and recycling containers are clean.				
Mop racks used to store mops. Mops & brooms stored properly in organized closets (mop heads down) TRI-SERVICE FOOD CODE.				
Entry rugs/mats and non-slip mats are visibly clean at the scheduled start of each meal period and prior to closing for the day.				
Non-food contact surfaces are cleaned (floors, walls, etc... TRI-SERVICE FOOD CODE).				
Door windows, door kick plates and windowsills are visibly free of dust, dirt, grease, and debris.				
Fixtures, partitions, and mirrors are visibly free of dirt, grime, grease, residue and foreign matter, prior to the scheduled start of each meal serving period and prior to closing of day.				
Cleaned and polished stainless steel doors of refrigeration units and warmer cabinets.				
Dispose of trash when containers are full and prior to closing for the day.				
Garbage and trash receptacles remain covered while not in continuous use (TRI-SERVICE FOOD CODE).				
Maintain and clean interior dining facility floors before, during and after each meal service.				
Safety practices adhered to. The Contractor shall follow installation, local, state and federal policies				
Personnel practice energy conservation measures: shut lights, equipment, and water off when not in use.				
Outside areas and 20 feet surrounding dumpsters are visibly free of trash, cigarette butts, raw food/ingredients, food waste, grease and foreign matter at the schedule start of the meal period.				
Loading docks free of excess pallets, debris & equipment (TRI-SERVICE FOOD CODE).				
Snow and ice are partially removed from sidewalks and access areas within 50 feet of the dining facilities during precipitation and completely removed within 2 hours after precipitation stops.				
Follow installation, local, state and federal policies concerning recycling and environmental waste program. TB MED 530, PARAGRAPH 5-503.11, Environmental Compliance and Protection Manual MCO P5090.2.				

Commented [FKJCUA(2): Verify during PPI

EXAMPLE

REMARKS:

EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____

COR/ACOR Signature _____ Contractor's Representative Signature _____

EXAMPLE

PRS 5 THE CONTRACTOR SHALL CLEAN, MAINTAIN, AND PREPARE DINING ROOM SERVICE OPERATIONS.		Building #: _____ Date: _____		
		Time of Evaluation: From: _____ To: _____		
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if all critical standards are met and not more than 2 of the non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.				
SURVEILLANCE METHOD: Random		AQL: 10%		
CRITICAL STANDARDS:	SAT	DEF	N/A	EXPLANATION
Dining areas are clean prior to the scheduled start of meal periods & upon closing for the day.				
Each diner has a clean table & chair to eat without waiting.				
Spills are cleaned and soiled trays are bussed within 5 minutes of occurrence.				
Holiday decorations are displayed on the day of the Army's birthday and NLT one week prior to Thanksgiving and Christmas. All applicable decorations are removed within 96 hours after the Thanksgiving, Christmas and the Army's birthday (Army Reserve's Birthday).				

EXAMPLE

PRS 5 THE CONTRACTOR SHALL CLEAN, MAINTAIN AND PREPARE DINING ROOM SERVICE OPERATIONS. (CONTINUED)				
Not more than 2 remaining standards from the list below are found defective during the evaluation period.				
NON-CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Condiment dispensers are visibly clean & product available (TRI-SERVICE FOOD CODE).				
Napkin holders visibly clean & napkins available without diner delay.				
Buss and replace tray, cup mug and dinnerware carts during meal serving periods without diner delay.				
Does the contractor provide a customer feedback program IAW the contractors Quality Control Plan				
Clean dining room walls baseboards, door/doorframes, windows/ledges, ceiling fans, TV's pictures, wall art, artificial plants, trophies/display cases, drapes/curtains, venetian blinds, and microwaves.				
REMARKS:				
EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____				
COR/ACOR Signature _____ Contractor's Representative Signature _____				

EXAMPLE

PRS 6 THE CONTRACTOR SHALL FURNISH AND MAINTAIN EXPENDABLES CLEANING AND SANITARY SUPPLIES TO SUPPORT SANITATION AND PERSONAL HYGIENE PRACTICES.		Building #: _____ Date: _____ Time of Evaluation: From: _____ To: _____		
PERFORMANCE CRITERIA: Overall performance of this service for the day of the evaluation will be rated as either satisfactory (SAT) or defective (DEF). Performance will be rated as satisfactory if all critical standards are met and not more than 1 non-critical standards are deficient. Performance will be rated defective if any one of the critical standards are deficient.				
SURVEILLANCE METHOD: Random		AQL: 6.5%		
CRITICAL STANDARDS:	SAT	DEF	N/A	EXPLANATION
Hazardous Chemicals segregated from food storage and preparation areas. (TRI-SERVICE FOOD CODE).				
100% compliance with CFR 1910.1200 hazard communication standards. a. Warning labels on hazardous chemicals. b. Safety Data Sheets (SDS) available on-site for all chemicals."				
Sanitation supplies are available during operations to support cleaning and sanitation operations of the dining facility. For informational purposes, a typical supplies list is provided in Attachment E - Sample Materials List.				

EXAMPLE

PRS 6 THE CONTRACTOR SHALL FURNISH AND MAINTAIN EXPENDABLES CLEANING AND SANITARY SUPPLIES TO SUPPORT SANITATION AND PERSONAL HYGIENE PRACTICES. (CONTINUED)

Not more than 2 remaining standards from the list below are found defective during the evaluation period.

NON-CRITICAL STANDARDS	SAT	DEF	N/A	EXPLANATION
Hazardous chemical area is organized and clean.				
Maintain accountability of chemicals sanitizers and supplies (inventory current & on-hand).				

REMARKS:

EVALUATION RESULTS: Overall Rating of This Evaluation: Satisfactory: _____ Defect _____

COR/ACOR Signature _____ Contractor's Representative
Signature _____

The COR will utilize the standardized ASC Monthly Checklist for conducting surveillance.

EXAMPLE

Attachment 6 Non-Conformance Report

DA 5479, Contract Discrepancy Report. DA 5479 was rescinded 23 May 2019, is obsolete and no longer available for use. IAW 46-2 the "NCR Worksheet" should be used to document non-conforming performance. Everyone who works with and actively updates data in the NCR module on/in the ACC Database will need to download the latest version at the below link.

https://acc.aep.army.mil/Contract_Operations/OversightCoP/CPNTDB/SitePages/Home.aspx

Requires approval. A prompt asks for a reason for requiring access to the site.