

**FINAL QUALITY ASSURANCE
SURVEILLANCE PLAN (QASP)
for
DEPARTMENT OF ENERGY
FINANCIAL SERVICES**

Product of:
**Department of Energy
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TABLE OF CONTENTS

| Section | Page |
|--|----------|
| 1. GENERAL | 1 |
| 2. ELEMENTS OF A SURVEILLANCE GUIDE (SG) | 1 |
| 3. METHODS OF SURVEILLANCE | 3 |
| 4. EVALUATION PROCEDURE | 6 |
| 5. USE OF THE SURVEILLANCE GUIDE | 7 |
| SURVEILLANCE GUIDES | SG-1 |

LIST OF ATTACHMENTS

| Title | Page |
|--|------|
| ATTACHMENT 1 - SAMPLE SIZE TABLE | 1-1 |
| ATTACHMENT 2 - ACCEPTANCE/REJECTION TABLES | 2-1 |
| ATTACHMENT 3 - CUSTOMER COMPLAINT RECORD | 3-1 |
| ATTACHMENT 4 - EVALUATION WORKSHEET | 4-1 |
| ATTACHMENT 5 - EVALUATION SUMMARY SHEET | 5-1 |
| ATTACHMENT 6 - CONTRACT DISCREPANCY REPORT | 6-1 |

QUALITY ASSURANCE SURVEILLANCE PLAN DOE FINANCIAL SERVICES

1. **GENERAL.** This Quality Assurance Surveillance Plan (QASP) has been developed for DOE for use in ensuring the quality of the financial services work performed under Contract No. xxxxxxxxxxxxxx. Financial services include the following functional areas which corresponds to the Performance Work Statement (PWS):

- General Accounting Services
- Payment Services
- Billings and Collections
- Payroll Support Activities
- Travel Services
- Financial Systems Support
- Financial Reports
- Month-End and Year-End Closings

This QASP is a management tool with the intent of encouraging maximum performance, efficiencies, and cost effectiveness by the Contractor and can be modified at any time by the Government. The plan emphasizes the security and accountability of financial resources, property, life, and the environment. Although the QASP is written as if a private contractor will be performing the work, it may be implemented whether the work is performed by the Government or by a private contractor.

The QASP has been developed with the intent of providing Government Quality Assurance Evaluators (QAEs) with an understandable guide to systematically and effectively monitor and evaluate a contractor's work performance. It comprehensively defines surveillance and evaluation procedures to be followed by the Government QAEs to ensure that the Contractor provides the required services to DOE and that required performance standards are achieved. The Government QAEs perform surveillance of required services by assessing, accepting or rejecting, documenting, and reporting inspection and evaluation results to the CO.

2. **ELEMENTS OF A SURVEILLANCE GUIDE (SG).** Each SG consists of nine elements, outlined as follows:

- Contract Requirement
- Primary Method of Surveillance
- Quantity of Work
- Level of Surveillance
- Sample Size
- Sampling Procedures

- Evaluation Procedures
- Analysis of Results
- Suggested Action

Paragraphs 2.1 through 2.9 describe the contents of the SG elements.

2.1 Contract Requirement. The Contract Requirement element lists the title of the required service, the performance standards that comprise the contract requirement, references to the work requirements in the Performance Work Statement (PWS), and acceptable level of performance (ALP) percentages (as described below). This element presents the requirements as listed in the Summary of Required Services, Attachment 1.

Acceptable Level of Performance (ALP). Although the Government is paying to have all work performed as specified, there may be slips and omissions, referred to as defects, on the Contractor's part. The Contractor is held responsible for all defects. There is a difference, however, between an occasional defect and a gross number of defects. The ALP is used to distinguish between acceptable (few defects) and unacceptable (many defects) performance. The ALP is defined as the rate of defects, in any work requirement of a service, above which the Contractor's quality control for that work requirement is considered unsatisfactory. Depending on the evaluation method selected, the ALP may be stated as a number of defects or as a percentage.

Phase-In ALPs. To ensure a smooth transfer of operations between In-house and MEO or Contractor workforces, a transition or "phase-in" period of approximately 120 calendar days is programmed into the timeline beginning the day after final contract award decision. During this phase-in period, some degree of operational disruption and confusion will occur that will hinder the MEO or Contractor from providing optimum performance while assuming full control of the work. To compensate for this disruption and confusion, Phase-In ALPs, which are less restrictive than the ALPs, are established for each surveillance guide in this QASP.

2.2 Primary Method of Surveillance. The Primary Method of Surveillance element details which surveillance method will be used to monitor the contract requirement. Surveillance methods include random sampling, planned sampling, and 100 percent inspection and may be further supplemented with validated customer complaints and incidental inspections. These methods are defined in paragraph 3 below.

2.3 Quantity of Work. Usually, performance of a service occurs over a one-year contract term; however, some services are performed over a period of time less than one year, or are single actions. As a result, identification of the number of service requirements for a period is often complicated. The Quantity of Work element lists the number of times a service is to be performed for the contract term or for the periods in which the service is expected to be

performed. The QAE will always check the Contractor's work schedules or estimate quantity of work from historical and projected data to verify that the quantity of work listed in the SG is accurate and, therefore, sample sizes have been chosen correctly. Also, the QAE will check that all services specified for the contract term have been performed.

2.4 **Level of Surveillance**. The Level of Surveillance element identifies the intensity or degree of evaluation required for each performance standard of a work requirement. Two levels may be used: Normal Surveillance or Reduced Surveillance. The level of surveillance is modified according to the Contractor's past performance. If a Contractor has demonstrated consistent satisfactory performance in a particular contract area, the Government may reduce the level of surveillance. If a Contractor has demonstrated questionable or poor performance, the Government may increase the level of surveillance.

2.5 **Sample Size**. The Sample Size element lists the number of occurrences to be evaluated based on the possible surveillance levels. Sample sizes are determined by the quantity of work for the period, and the level and method of surveillance. The QAE will determine sample sizes and verify that sample size values for each period are correct based on the actual quantity of work and the sampling procedures listed in the SG.

2.6 **Sampling Procedures**. The Sampling Procedures element details the procedures the QAE will follow when drawing a sample. The procedures differ according to the task being sampled and the method of surveillance.

2.7 **Evaluation Procedures**. The Evaluation Procedures element details the process the QAE will follow when evaluating a contract requirement and the steps required to determine if the Contractor's performance is satisfactory or unsatisfactory.

2.8 **Analysis of Results**. The Analysis of Results element describes the process of determining if the contract requirement has been satisfactorily performed.

2.9 **Suggested Action**. The Suggested Action element briefly describes actions the QAE may recommend the CO take based upon Contractor's performance. These actions may include issuing Contract Discrepancy Reports (CDRs) and/or changing the level of surveillance.

3. **METHODS OF SURVEILLANCE**. There are three surveillance methods that will be used to evaluate work in the PWS: Random Sampling, Planned Sampling, and 100% Inspection. In addition, each of these surveillance methods may be supported by Validated Customer Complaints and/or Incidental Inspections. Paragraphs 3.1 through 3.4 detail the three surveillance methods, Validated Customer Complaints, and Incidental Inspections. Paragraph 3.5 discusses considerations in choosing between surveillance methods.

3.1 **Random Sampling**. Random sampling is a surveillance method based on statistical theory. Specifically, ANSI/ASQC Z1.4-1993 is the standard used for sample size and acceptance/rejection (satisfactory/unsatisfactory) determinations.

3.1.1 **Sample Size**. The QAE will use Attachment 2 to determine the number of items (occurrences) in the sample based on the lot size and level of surveillance. It is critical that the exact number of inspections is performed in order to maintain statistical relevance.

3.1.2 **Random Sampling Analysis of Results**. At the end of the period, the QAE will summarize the surveillance data and count the number of defects. Based on the ALP for the contract requirement, the QAE will use Attachment 2 to determine whether the performance is satisfactory or unsatisfactory. When the total number of defects exceeds the ALP, the Contractor's overall performance is considered to be unsatisfactory.

3.2 **Planned Sampling**. Planned sampling is a surveillance method based on subjective criteria and is used for specific contract requirements that are relatively important, highly sensitive, or costly. Specific occurrences (events) of contract requirements are selected for evaluation prior to the scheduled completion. Advance scheduling plans must be developed which may include designated hours or days of the month, specific events, or particular locations. In order to obtain a reliable indication of Contractor performance, a planned sampling evaluation method must be documented and applied consistently.

3.2.1 **Sample Size**. The lot size is usually small and arbitrarily determined and does not warrant a 100% inspection. The Government QAE will document the criteria used for sample selection. It is critical that the exact number of inspections is performed in order to maintain statistical relevance.

3.2.2 **Planned Sampling Analysis of Results**. At the end of the period, the QAE will summarize the surveillance data and count the number of defects. Based on the ALP for the required service, the QAE will use Attachment 2 to determine whether the performance is satisfactory or unsatisfactory. When the total number of defects exceeds the ALP, the Contractor's overall performance is considered to be unsatisfactory.

3.3 **100% Inspection**. One hundred percent inspection is an evaluation method that requires complete inspection of a contract requirement. It is best suited for monitoring scheduled contract requirements that occur infrequently or are of great importance. When possible, evaluation schedules for 100% Inspections will be prepared each period. When contract requirements, and thus inspections, are on an "as required" basis, the QAE should maintain accurate records of all inspections and the inspection results.

3.3.1 Sample Size. For 100% Inspection, a sample can not be drawn. By definition, a sample is a subset of the overall population. When 100% of the population is surveyed it is considered a census. Throughout this document either 100% inspection or census will be used to indicate when it is necessary to survey the entire population, or every item within a lot

3.3.1 100% Inspection Analysis of Results. At the end of the period, the QAE will summarize the surveillance data and compute the number of defects. As described above, the QAE will use Attachment 2 to determine whether the performance is satisfactory or unsatisfactory. When the total number of defects exceeds the ALP, the Contractor's overall performance is considered to be unsatisfactory.

3.4 Validated Customer Complaints. Validated customer complaints constitute a surveillance method based on customer awareness and satisfaction, and are mainly used to supplement other surveillance methods. Customers familiar with contract requirements notify the QAE when there is a case of poor performance or non-performance. Upon notification, the QAE investigates the report and, if valid, documents the performance problem. A Customer Complaint Program should be established as part of the Contractor's Quality Control Program (QCP) to provide a means of encouraging and enabling customers to identify and report problems with the performance of the Contractor.

3.4.1 Receipt of Customer Complaints. An aggressive Customer Complaint Program, once established, needs to be explained to every organization that receives the Contractor's services. An operating instruction should be given to each organization outlining the Customer Complaint Program, and the action that can be expected from those assigned to inspect and manage the service contract. Customer Complaint forms will be displayed by the Contractor in conspicuous locations along with a box in which to deposit complaint forms.

3.4.2 Documenting Customer Complaints. Normally each customer complaint is delivered, in person or by telephone, to the QAE. The QAE enters complaint information into a Customer Complaint Record, Attachment 3. The record contains the following information:

- Date and time of complaint
- Source of complaint - organization and/or individual
- Nature of complaint (narrative description)
- Contract reference of complaint related services
- Valid complaint (Yes or No)
- Date Contractor is informed of complaint
- Action taken by Contractor
- Signature of the person (QAE) receiving and validating the complaint

3.4.3 Validating Customer Complaints. The QAE will notify the Contractor of complaints received or make arrangements for the Contractor to pick up copies of complaints at a prescribed location and time. Occasionally, the QAE may need to validate complaints as soon as possible after they are received to ensure that daily operations have not affected site conditions. Upon receipt of the customer complaint, the QAE will:

- Evaluate the complaint.
- Receive input from the Contractor regarding corrective action.
- Determine the reason for any defective work.
- Report the results of the evaluation on the customer complaint record form.
- Inform the Contractor of any further corrective action necessary.
- Record any corrective action on customer complaint record form.
- Report the results of the evaluation to the customer.
- The QAE will assume the rework by the Contractor has been satisfactorily completed if the customer has not called back by a prescribed time.

3.4.4 Analysis of Results. Validated customer complaints are summarized each month by performance requirement. If there is a good customer complaint program, changes in the number of complaints per surveillance period may be useful in detecting trends in the Contractor's performance. Again, this method is intended to support the primary method of surveillance (i.e., Random Sampling or 100% Inspection).

3.5 Incidental Inspections. Incidental or unscheduled inspections may provide useful information as an indicator of how the Contractor may be performing. An incidental inspection is one that happens by chance and leads the QAEs to further investigate. Incidental inspections cannot be used to determine the Contractor's overall level of performance. This method is intended to be used as a supplement to other surveillance methods.

3.6 Considerations in Choosing Surveillance Methods. It is expected that several methods of evaluation will be used for monitoring the Contract requirements. Methods are selected based on several factors including population size, relative work importance, and service times.

3.6.1 Population Size. Population size (i.e., lot size or quantity of work) refers to the number of expected occurrences of a service during the surveillance period. Population size is determined from work schedules or estimated from historical and projected data. The "quantity of work" figures appearing in the surveillance guides are from FY02 historical data.

3.6.1.1 Large Population. Random Sampling is more appropriate for large populations. One hundred percent inspection would be extremely time consuming and expensive for the Government to implement.

3.6.1.2 **Small Population.** Small populations (less than 50) may be evaluated using Random Sampling or 100% Inspection.

3.6.2 **Relative Importance.** Some contract requirements are more important than others and thus non-performance or poor performance of these requirements may have an impact on an activity's mission. One hundred percent inspection may be considered for important work functions. Analysis of customer complaints might be considered for work functions deemed less important.

3.6.3 **Service Times.** If a contract requirement is continuous in nature (e.g., manning a customer service desk during normal working hours), 100% Inspection should not be used since it would require the QAE to be on-site full-time. However, Random Sampling methods could be used. If a service is on an unscheduled or as required basis, it is not possible to use a surveillance method that requires pre-scheduling of inspections to monitor work. A retrospective inspection of service outputs should be scheduled.

4. EVALUATION PROCEDURE. The QAE's primary function is to evaluate the performance of the Contractor. In order for evaluations to be conducted in an efficient and accurate manner, and minimize the opportunity for Contractor challenge, it is imperative that the QAE follow certain procedures when scheduling, conducting, and documenting inspections.

4.1 **Evaluations.** The QAE cannot evaluate a job before it is complete. The QAE may, however, inspect those parts of the job that are complete. The evaluation should always be conducted as soon as possible after completion of the work to ensure that evidence of the quality of the work performed is still apparent. In some cases inspections will have to be conducted during the period of work performance in order to evaluate the work process.

4.2 **Evaluation Worksheets.** The QAE will use the Evaluation Worksheet in Attachment 4 to document each inspection. As a minimum, the Evaluation Worksheet should contain the PWS reference numbers, location, and date of inspection. Regardless of how the evaluation is conducted, the Evaluation Worksheet should be completed during or immediately after the inspection. A clearly written record of the QAE's findings is the Government's primary evidence in the event of a dispute. The Contractor's representative will be issued Evaluation Worksheets that list deficiencies.

4.3 **Evaluation of Performance.** At the end of the evaluation period, the QAE will use the Evaluation Summary Sheet, Attachment 5, to summarize all of the information on the Evaluation Worksheets and determine the total number of defects for each required service. Any performance standard not in conformance with standards will be classified as a defect. Using the table in Attachment 2, the QAE will determine whether the performance is satisfactory or

unsatisfactory. The QAE will then advise the CO of the results and recommend an appropriate course of action.

4.5 **Re-performance.** Once the Contractor has been informed of defective services by the CO, he may be given the option to re-perform the work. The QAE will evaluate the defective service and the impact thereof. Based upon the criticality, the QAE may decide to strictly document the defects and not allow further expenditure of resources for rework. In the event of rework, the time of the Contractor notification shall serve as the beginning of the re-performance period. If at the completion of re-performance the work is still unacceptable, the QAE will prepare an Evaluation Worksheet that lists the defects.

5. **USE OF THE SURVEILLANCE GUIDE.** In order to ensure evaluation of all required services, the QAE will follow the procedures outlined below.

5.1 **Schedule.** The QAE will develop a schedule of surveillance activities based on the requirements of each SG. The schedule will show which activities the QAE will monitor each day and the inspection times. Surveillance should ideally cover all required hours of the Contractor's operation including nights, weekends and holidays (however, time and budget restraints must also be considered). When surveillance levels are specified in terms of days, surveillance should be performed on days in which the Contractor is performing those functions. The schedule will be completed by the last workday of the preceding period and copies will be submitted to the CO for review. Changes to the schedule should be posted weekly when needed, and copies should be sent to the CO with written justification for the change. Neither the schedule nor any weekly changes will be shown to the Contractor.

5.2 **Surveillance Activity.** Actual surveillance activity must be comparable to the schedule. There should be a complete audit trail from the schedule, to the performance of surveillance inspections, to the completion of the surveillance observation records, and finally to the contract discrepancy reports, when applicable. An auditor or inspector general must be able to completely track the surveillance documentation. The QAE will maintain a copy of all surveillance schedules, surveillance records, customers' complaints, and other supporting data and forward the documents to the CO's official contract file within XX business days after completion of inspection.

5.3 **Reporting.** The basic emphasis of the SG is the overall evaluation of the Contractor's performance for each contract requirement. It is important to determine an overall period performance to decide whether to increase, decrease or maintain the level of surveillance. The QAE will use the Evaluation Worksheets and Summary Sheets to record and summarize all observations. If the overall performance has been unsatisfactory, the QAE will prepare a Contract Discrepancy Report (CDR), Attachment 6, and submit to the CO not later than 5 business days after completion of the inspection.

ATTACHMENT 1 – SAMPLE SIZE TABLE
(Source: ANSI/ASQC Z1.4-1993)

| Lot Size | Sample Sizes | |
|--------------------|--------------|---------|
| | Normal | Reduced |
| 2 to 8 | 2 | 2 |
| 9 to 15 | 3 | 2 |
| 16 to 25 | 5 | 3 |
| 26 to 50 | 8 | 5 |
| 51 to 90 | 13 | 5 |
| 91 to 150 | 20 | 8 |
| 151 to 280 | 32 | 13 |
| 281 to 500 | 50 | 20 |
| 501 to 1,200 | 80 | 32 |
| 1,201 to 3,200 | 125 | 50 |
| 3,201 to 10,000 | 200 | 80 |
| 10,001 to 35,000 | 315 | 125 |
| 35,001 to 150,000 | 500 | 200 |
| 150,001 to 500,000 | 800 | 315 |
| 500,001 and over | 1,250 | 500 |

ATTACHMENT 2 – ACCEPTANCE/REJECTION TABLES
(Source: ANSI/ASQC Z1.4-1993)

NORMAL INSPECTION

| Sample size code letter | Sample size | Acceptable Quality Levels (normal inspection) | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-------------------------|-------------|---|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|--|
| | | 0.010 | 0.015 | 0.025 | 0.040 | 0.065 | 0.10 | 0.15 | 0.25 | 0.40 | 0.65 | 1.0 | 1.5 | 2.5 | 4.0 | 6.5 | 10 | 15 | 25 | 40 | 65 | 100 | 150 | 250 | 400 | 650 | 1000 | | |
| | | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | Ac Re | |
| A B C | 2 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 3 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 5 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| D E F | 8 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 13 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 20 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| G H J | 32 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 50 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 80 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| K L M | 125 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 200 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 315 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| N P Q | 500 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 800 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| | 1250 | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | ↓ | | |
| R | 2000 | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | ↑ | | |

 = Use first sampling plan below arrow. If sample size equals, or exceeds, lot or batch size, do 100 percent inspection.
 = Use first sampling plan above arrow.
 Ac = Acceptance number.
 Re = Rejection number.

ATTACHMENT 3 - CUSTOMER COMPLAINT RECORD

| CUSTOMER COMPLAINT RECORD | |
|---|---|
| Date and Time of Complaint: | |
| Source of Complaint (Name and Organization): | |
| Nature of Complaint: | |
| Contract Reference: | Contract #xxxxxxxxxxxxx PWS Paragraph: |
| Validation: | |
| Date and Time Contractor Informed of Complaint: | |
| Action Taken by Contractor: | |
| Received and Validated by: | |

ATTACHMENT 5 – EVALUATION SUMMARY SHEET

SURVEILLANCE GUIDE # __ EVALUATION SUMMARY

Contract Number: _____

Location: XXXXX

Contract Requirement: _____

PWS Paragraph: _____

Month _____

Method of Inspection _____

Surveillance Level This Month _____

Number of Inspections Assigned _____

Number of Inspections Performed _____

Recommended Surveillance Next Month _____

| Work Requirements | Population | Sample Size | No. Of Defects | ALP (%) | ALP (no. of defects) | QC Rating (Sat./Unsat.) |
|-------------------|------------|-------------|----------------|---------|----------------------|-------------------------|
| | | | | | | |
| | | | | | | |
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| | | | | | | |

Overall Evaluation: _____

Comments:

QAE: _____ Date _____
(Signature)

ATTACHMENT 6 - CONTRACT DISCREPANCY REPORT

| | | |
|---|--|--|
| CONTRACT DISCREPANCY REPORT | | 1. CONTRACT NUMBER xxxxxxxxxxxxxxxxxxxx |
| GOVERNMENT ACTION | | |
| 2. TO (Contractor and Manager Name) | | 3. FROM (Name of Government Representatives) |
| 4. DISCREPANCY OR PROBLEM (Describe in Detail: include reference in specification. Attach continuation sheet if necessary.) | | |
| 5. CONTRACTOR NOTIFIED (Date, Time, Contact point) | | |
| 6. SIGNATURE OF CONTRACTING OFFICER | | 7. DATE |
| CONTRACTOR ACTION | | |
| 8. TO (Contracting Officer) | | 9. FROM (Contractor) |
| 10. Contractor response as to cause, corrective action and actions to prevent recurrence (Attach continuation sheet if necessary) | | |
| 11. SIGNATURE OF CONTRACTOR REPRESENTATIVE | | 12. DATE |
| GOVERNMENT CLOSE OUT | | |
| 13. GOVERNMENT EVALUATION (Acceptance, partial acceptance, reaction attach continuation sheet if necessary) | | |
| 14. GOVERNMENT ACTIONS (Cure notice, show cause, other.) | | |
| 15. SIGNATURE OF CONTRACTING OFFICER | | 16. DATE |
| 17. SIGNATURE OF REVIEWING OFFICIAL (As Applicable) | | 18. DATE |

SURVEILLANCE GUIDES

**Index of Surveillance Guides
General Accounting**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.1-1 | CR-5.1-1 | Establish Vendor Profile Information |
| 5.1-2 | CR-5.1-2 | Record Reservation, Dereservation, Obligation and Deobligation Entries |
| 5.1-3 | CR-5.1-3 | Process Reservation, Dereservation, Obligation and Deobligation Data |
| 5.1-4 | CR-5.1-4 | Record Accumulated Costs |
| 5.1-5 | CR-5.1-5 | Record Automated Cost Accruals and Accrual Reversals |
| 5.1-6 | CR-5.1-6 | Review, Analyze, and Record Manual Accruals and Accrual Reversals |
| 5.1-7 | CR-5.1-7 | Retroactively Realign and Reconcile Payment Funding Sources to Costs Incurred |
| 5.1-8 | CR-5.1-8 | Prepare, Record, Issue, and Obtain Confirmation of Cost Transfers to Intra- and Inter-DOE Entities |
| 5.1-9 | CR-5.1-9 | Receive, Review, Analyze, Record, Confirm, and Reconcile Cost Transfers Received from Intra- and Inter-DOE Entities |
| 5.1-10 | CR-5.1-10 | Prepare and Submit SF 1151s |
| 5.1-11 | CR-5.1-11 | Receive and Record Approved SF 1151s |
| 5.1-12 | CR-5.1-12 | Record Appropriate Accounting Entries to Reflect Change in Inventory |
| 5.1-13 | CR-5.1-13 | Prepare, Consolidate, and Record Nuclear Materials Accounting Entries |
| 5.1-14 | CR-5.1-14 | Consolidate and Reconcile DIMS Reports |
| 5.1-15 | CR-5.1-15 | Conduct Trend Analysis, Research Inventory Issues, and Create Inventory Data Reports and Spreadsheets |
| 5.1-16 | CR-5.1-16 | Record and Confirm CO and Contractor Nuclear Materials Inventory Transfers |
| 5.1-17 | CR-5.1-17 | Provide Support to the CO Regarding Liaisons with Contractors and Federal Agencies |
| 5.1-18 | CR-5.1-18 | Notification of Net Disbursement Activity for Special Fund Activities |
| 5.1-19 | CR-5.1-19 | Reconcile Recorded Data to Reported Collections and Disbursements for Special Fund Activity Reports |
| 5.1-20 | CR-5.1-20 | Receive, Review, Research, Document, and Record Property Transactions |
| 5.1-21 | CR-5.1-21 | Issue Property Transfers and Record Complementing Entries |
| 5.1-22 | CR-5.1-22 | Reconcile Property Transactions |
| 5.1-23 | CR-5.1-23 | Provide Property Reports, Support Reconciliation of Property Reports and Financial Records, and Record Adjusting Entries |
| 5.1-24 | CR-5.1-24 | Process Interface Files to Generate Accounting Entries for Construction Work In Progress (CWIP) |
| 5.1-25 | CR-5.1-25 | Record Accounting Entries for CWIP and Close Out CWIP Account |
| 5.1-26 | CR-5.1-26 | Record Software Capitalization Entries |
| 5.1-27 | CR-5.1-27 | Record Accounting Entries or Prepare and Submit Transmittal Information for IPAC Issuance |
| 5.1-28 | CR-5.1-28 | Issue Manual IPACs |
| 5.1-29 | CR-5.1-29 | Issue, Transmit and Record Intra-cluster Cash Work Transfers |
| 5.1-30 | CR-5.1-30 | Transmit Bulk IPAC Files |
| 5.1-31 | CR-5.1-31 | Receive IPACs and SF 1221s and Record Entries Against Proper Funding Source or Suspense Account |
| 5.1-32 | CR-5.1-32 | Obtain Funding Information and Record in Accounting System |
| 5.1-33 | CR-5.1-33 | Reconcile FSC's IPAC and SF 1221 Reports |
| 5.1-34 | CR-5.1-34 | Purchase Securities, Notes, Bonds, Zero Coupon Bonds, and Certificates of Deposit From Treasury |

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|---|
| 5.1-35 | CR-5.1-35 | Conduct Full or Partial Early Redemption of Securities |
| 5.1-36 | CR-5.1-36 | Record Results of Matured Security |
| 5.1-37 | CR-5.1-37 | Record Interest Collections |
| 5.1-38 | CR-5.1-38 | Renew Existing CDs or Redeem Maturing CDs |
| 5.1-39 | CR-5.1-39 | Prepare and Submit Letters to Trustee Banks Requesting Collateral Action |
| 5.1-40 | CR-5.1-40 | Prepare and Submit Collateral Release Letters and Distribute to Federal Reserve Bank |
| 5.1-41 | CR-5.1-41 | Process and Correct Rejection of Automated Clearinghouse (ACH) CD Interest Deductions |
| 5.1-42 | CR-5.1-42 | Purchase 1-Day Certificates from Treasury |
| 5.1-43 | CR-5.1-43 | Review, Reconcile, Generate and Distribute Monthly Investment Reports |
| 5.1-44 | CR-5.1-44 | Record and Validate Zero Coupon Bond (ZCB) Market Value Amortization |
| 5.1-45 | CR-5.1-45 | Update 13-Week Treasury Bill Rate and Apply Interest Accruals to Spent Nuclear Fuel Receivables |
| 5.1-46 | CR-5.1-46 | Prepare and Submit Annual SF 220-1 |
| 5.1-47 | CR-5.1-47 | Prepare and Provide Rollover Reports |
| 5.1-48 | CR-5.1-48 | Record Treasury Warrants |
| 5.1-49 | CR-5.1-49 | Record Rescissions (Credit Warrants) |
| 5.1-50 | CR-5.1-50 | Update Tables and Record Transactions for Managerial Cost Allocations |
| 5.1-51 | CR-5.1-51 | Reconcile all Departmental Cash Transactions with Treasury Fund Balance by Appropriation |
| 5.1-52 | CR-5.1-52 | Generate Departmental Cash Reconciliation Report to Reconcile Inconsistencies |
| 5.1-53 | CR-5.1-53 | Conduct Reconciliation of Intra-Governmental Transactions (Fiduciary) |
| 5.1-54 | CR-5.1-54 | Conduct Reconciliation of Intra-Governmental Transactions (Non-Fiduciary) |
| 5.1-55 | CR-5.1-55 | Conduct Reconciliation of Undelivered Orders |
| 5.1-56 | CR-5.1-56 | Correct Undelivered Orders Differences |
| 5.1-57 | CR-5.1-57 | Maintain, Update, Reconcile, and Provide PMA and FERC SF 133 and FMS 2108 Spreadsheets and Trial Balances |
| 5.1-58 | CR-5.1-58 | Reconcile FACTS I and FACTS II Trial Balances and Enter Approved Adjustments to FACTS I |
| 5.1-59 | CR-5.1-59 | Prepare and Submit PMA and FERC Receipts, Deposits, and Suspense Account Reports |
| 5.1-60 | CR-5.1-60 | Establish Files in COTS |
| 5.1-61 | CR-5.1-61 | Generate and Distribute COTS Reports |
| 5.1-62 | CR-5.1-62 | Perform and Submit Reconciliation Between Payroll Health Insurance Benefits Data and Carrier's Health Insurance Benefits Data |
| 5.1-63 | CR-5.1-63 | Perform Reconciliation of Clearing Accounts Associated with Thrift Savings Plan (TSP), Federal and State Taxes, and Savings Bonds |
| 5.1-64 | CR-5.1-64 | Review, Research, Reconcile, and Process Reimbursement for Subsidy of Energy Employee Transportation Program and Record Costs |
| 5.1-65 | CR-5.1-65 | Generate LD Report to Reconcile and Record Adjustments to Prior Pay Period Cost Allocations |
| 5.1-66 | CR-5.1-66 | Generate LD Report to Verify and Record Payroll Accounting Entries |
| 5.1-67 | CR-5.1-67 | Generate LD Reports to Verify Payroll Entries and Record Payroll Accruals and Reversals |
| 5.1-68 | CR-5.1-68 | Update SGL Chart of Accounts and Related Codes Manual |

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxxxx</p> <p>Contract Title: Financial Services</p> <p>Location: XXXXX</p> <p>Surveillance Guide Number: 5.1-1</p> |
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1. Contract Requirement No. CR-5.1-1: Establish Vendor Profile Information.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Vendor profile information is established within specified timeframes. | Timeliness | 5.1.2.1.1 | 10% | XX |
| b. Vendor profile information is established with accurate data. | Quality | 5.1.2.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of vendor profile records established. Workload associated with this task is reflected in Surveillance Guides 5.2-17 and 5.2-18. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of vendor profile records established. Random sampling will be performed such that each record established in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vendor profile records. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory given the number of mistakes or omissions.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.1-2</p> |
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1. Contract Requirement No. CR-5.1-2: Record Reservation, Dereservation, Obligation and Deobligation Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Reservation, dereservation, obligation, and deobligation entries are recorded within specified timeframes. | Timeliness | 5.1.2.1.2 | 5% | XX |
| b. Reservation, dereservation, obligation, and deobligation entries are recorded accurately. | Quality | 5.1.2.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual entries. Random sampling will be performed such that each manual entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-3

1. Contract Requirement No. CR-5.1-3: Process and Validate Reservation, Dereservation, Obligation and Deobligation Data.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reservation, dereservation, obligation, and deobligation data is processed within specified timeframes. | Timeliness | 5.1.2.1.3 | 5% | XX |
| b. Reservation, dereservation, obligation, and deobligation data is processed accurately. | Quality | 5.1.2.1.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors and the number of interface files. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

- Normal Surveillance: XX
- Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors and the number of interface files. Random sampling will be performed such that each edit error and interface file in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect edit errors and interface files. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. Then, using the table in Attachment 2, the QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory, given the ALP.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-4

1. Contract Requirement No. CR-5.1-4: Record Accumulated Costs.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Accumulated costs are recorded within specified timeframes. | Timeliness | 5.1.3.1.1 | 10% | XX |
| b. Accumulated costs are recorded accurately. | Quality | 5.1.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality”.

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of cost entries. Random sampling will be performed such that each cost entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect cost entries. After inspecting the work, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-5

1. Contract Requirement No. CR-5.1-5: Record Automated Cost Accruals and Accrual Reversals.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Automated cost accruals and accrual reversals are recorded within specified timeframes. | Timeliness | 5.1.4.1.1 | 10% | XX |
| b. Automated cost accruals and accrual reversals are recorded accurately. | Quality | 5.1.4.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of files processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of files processed. Random sampling will be performed such that each file in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect files processed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.1-6</p> |
|---|

1. Contract Requirement No. CR-5.1-6: Review, Analyze, and Record Manual Accruals and Accrual Reversals.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Manual accruals and accrual reversals are reviewed, analyzed and recorded within specified timeframes. | Timeliness | 5.1.4.2.1 | 5% | XX |
| b. Manual accruals and accrual reversals are reviewed, analyzed and recorded accurately. | Quality | 5.1.4.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual cost entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual cost entries. Random sampling will be performed such that each manual cost entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual cost entries. After inspecting the work, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-7

1. Contract Requirement No. CR-5.1-7: Retroactively Realign and Reconcile Payment Funding Sources to Costs Incurred.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Payment funding sources are retroactively realigned and reconciled to costs incurred within specified timeframes. | Timeliness | 5.1.4.3.1 | 5% | XX |
| b. Payment funding sources are retroactively realigned and reconciled to costs incurred accurately. | Quality | 5.1.4.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual realigned payment entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual realigned payment entries. Random sampling will be performed such that each payment entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual realigned payment entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standard is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-8

1. Contract Requirement No. CR-5.1-8: Prepare, Record, Issue, and Obtain Confirmation of Cost Transfers to Intra- and Inter-DOE Entities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Confirmation of cost transfers to intra- and inter-DOE entities are prepared, recorded, issued, and obtained within specified timeframes. | Timeliness | 5.1.5.1.1 | 5% | XX |
| b. Confirmation of cost transfers to intra- and inter-DOE entities are prepared, recorded, issued, and obtained accurately. | Quality | 5.1.5.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions recorded. Random sampling will be performed such that each transaction recorded in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions recorded. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-9

1. Contract Requirement No. CR-5.1-9: Receive, Review, Analyze, Record, Confirm, and Reconcile Cost Transfers Received from Intra- and Inter-DOE Entities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Cost transfers received from intra- and inter-DOE entities are reviewed, analyzed, recorded, confirmed, and reconciled within specified timeframes. | Timeliness | 5.1.5.2.1 | 5% | XX |
| b. Cost transfers received from intra- and inter-DOE entities are reviewed, analyzed, recorded, confirmed, and reconciled accurately. | Quality | 5.1.5.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions recorded. Random sampling will be performed such that each recorded transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions recorded. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-10

1. Contract Requirement No. CR-5.1-10: Prepare and Submit SF 1151s

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. SF 1151s are prepared and submitted within specified timeframes | Timeliness | 5.1.6.1.1 | 10% | XX |
| b. SF 1151s are prepared and submitted accurately | Quality | 5.1.6.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.1-11</p> |
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1. Contract Requirement No. CR-5.1-11: Receive and Record Approved SF 1151s.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Approved SF 1151s are received and recorded within specified timeframes. | Timeliness | 5.1.6.2.1 | 10% | XX |
| b. Approved SF 1151s are received and recorded accurately. | Quality | 5.1.6.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-12

1. Contract Requirement No. CR-5.1-12: Record Appropriate Accounting Entries to Reflect Change in Inventory.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Appropriate accounting entries reflecting inventory changes are recorded within specified timeframes. | Timeliness | 5.1.7.1.1 | 10% | XX |
| b. Appropriate accounting entries reflecting inventory changes are recorded accurately. | Quality | 5.1.7.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-13

1. Contract Requirement No. CR-5.1-13: Prepare, Consolidate, and Record Nuclear Materials Accounting Entries, Perform Reconciliations, and Submit Nuclear Materials Inventory Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Nuclear materials accounting entries are prepared, consolidated, and recorded, reconciliations are performed, and nuclear materials inventory reports are submitted within specified timeframes. | Timeliness | 5.1.8.1.1 | 10% | XX |
| b. Nuclear materials accounting entries are prepared, consolidated, and recorded, reconciliations are performed, and nuclear materials inventory reports are submitted accurately. | Quality | 5.1.8.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality”.

3. Quantity of Work: The quantity of work is the number of entries, reconciliations, and reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries, reconciliations, and reports. Random sampling will be performed such that each entry, reconciliation, and report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries, reconciliations, and reports. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-14

1. Contract Requirement No. CR-5.1-14: Consolidate and Reconcile Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Reports are consolidated and reconciled within specified timeframes. | Timeliness | 5.1.8.1.2 | 10% | XX |
| b. Reports are consolidated and reconciled accurately. | Quality | 5.1.8.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports consolidated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of consolidated reports. Random sampling will be performed such that each consolidated report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect consolidated reports. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-15

1. Contract Requirement No. CR-5.1-15: Conduct Trend Analysis, Research Inventory Issues, and Create Inventory Data Reports and Spreadsheets.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Trend analysis is conducted, inventory issues are researched, and inventory data reports and spreadsheets are created within specified timeframes. | Timeliness | 5.1.8.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of asset types. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of asset types. Random sampling will be performed such that each asset type in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect asset types. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-16

1. Contract Requirement No. CR-5.1-16: Record and Confirm CO and Contractor Nuclear Materials Inventory Transfers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Nuclear materials inventory transfers are recorded and confirmed within specified timeframes. | Timeliness | 5.1.8.3.1 | 10% | XX |
| b. Nuclear materials inventory transfers are recorded and confirmed accurately. | Quality | 5.1.8.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of inventory transfer entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of nuclear material transfer entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-17

1. Contract Requirement No. CR-5.1-17: Provide Support to the CO Regarding Liaisons with Contractors and Federal Agencies.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Support is provided within specified timeframes. | Timeliness | 5.1.8.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of requests. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of requests. Random sampling will be performed such that each request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect requests. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-18

1. Contract Requirement No. CR-5.1-18: Notify CO on Net Disbursement Activity for Special Fund Activities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. The CO is notified on net disbursement activity for special fund activities within specified timeframes. | Timeliness | 5.1.9.1.1 | 15% | XX |
| b. Net disbursement information for special fund activities is accurate. | Quality | 5.1.9.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of notifications, original CAIS entries, and adjusting entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of notifications, original CAIS entries, and adjusting entries. Random sampling will be performed such that each notification, original CAIS entries, and adjusting entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect notifications and adjusting entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-19

1. Contract Requirement No. CR-5.1-19: Reconcile Recorded Data to Reported Collections and Disbursements for Special Fund Activity Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Recorded data is reconciled to the reported collections and disbursements for special fund activity reports within specified timeframes. | Timeliness | 5.1.9.1.2 | 10% | XX |
| b. Recorded data to the reported collections and disbursements for special fund activity reports is accurate. | Quality | 5.1.9.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-20

1. Contract Requirement No. CR-5.1-20: Receive, Review, Research, Document, and Record Property Transactions.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Property transactions are reviewed, researched, documented, and recorded within specified timeframes. | Timeliness | 5.1.10.1.1 | 10% | XX |
| b. Property transactions are reviewed, researched, documented, and recorded accurately. | Quality | 5.1.10.1.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual transactions. Random sampling will be performed such that each manual transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-21

1. Contract Requirement No. CR-5.1-21: Issue Property Transfers and Record Complementing Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Property transfers are issued and complementing entries recorded within specified timeframes. | Timeliness | 5.1.10.1.2 | 10% | XX |
| b. Property transfers are issued and complementing entries recorded accurately. | Quality | 5.1.10.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-22

1. Contract Requirement No. CR-5.1-22: Reconcile Property Transactions.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Property transactions are reconciled within specified timeframes. | Timeliness | 5.1.10.1.3 | 10% | XX |
| b. Property transactions are reconciled accurately. | Quality | 5.1.10.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality”.

3. Quantity of Work: The quantity of work is the number of asset types and corrections. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of asset types and corrections. Random sampling will be performed such that each asset type and correction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect asset types and corrections. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-23

1. Contract Requirement No. CR-5.1-23: Provide Property Reports, Support Reconciliation of Property Reports and Financial Records, and Record Adjusting Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Property reports are provided, property reports and financial records are reconciled, and adjusting entries are recorded within specified timeframes. | Timeliness | 5.1.10.1.4 | 25% | XX |
| b. Property reports are provided, property reports and financial records are reconciled, and adjusting entries are recorded accurately. | Quality | 5.1.10.1.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of property reports generated and number of adjusting entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of property reports generated and number of adjusting entries. Random sampling will be

performed such that each property report and adjusting entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect property reports and adjusting entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-24

1. Contract Requirement No. CR-5.1-24: Process Interface Files and Generate Accounting Entries for Construction Work In Progress (CWIP).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Interface files are processed to generate accounting entries within specified timeframes. | Timeliness | 5.1.10.2.1 | 10% | XX |
| b. Interface files are processed and accounting entries are accurate. | Quality | 5.1.10.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of files. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of files. Random sampling will be performed such that each file in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect files. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-25

1. Contract Requirement No. CR-5.1-25: Record Accounting Entries for CWIP and Close Out CWIP Account.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. CWIP accounting entries are recorded and account closed out within specified timeframes. | Timeliness | 5.1.10.3.1 | 10% | XX |
| b. CWIP accounting entries are recorded and account closed out accurately. | Quality | 5.1.10.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual entries. Random sampling will be performed such that each manual entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-26

1. Contract Requirement No. CR-5.1-26: Record Capitalization Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Capitalization entries are recorded within specified timeframes. | Timeliness | 5.1.10.4.1 | 25% | XX |
| b. Capitalization entries are recorded accurately. | Quality | 5.1.10.4.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-27

1. Contract Requirement No. CR-5.1-27: Record Accounting Entries or Prepare and Submit Transmittal Forms for IPAC Issuance.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Accounting entries are recorded or transmittal information for IPAC issuance are prepared and submitted within specified timeframes. | Timeliness | 5.1.11.1.1 | 2% | XX |
| b. Accounting entries are recorded or transmittal information for IPAC issuance are prepared and submitted accurately. | Quality | 5.1.11.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transmittal forms and number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transmittal forms and entries. Random sampling will be performed such that each transmittal form and entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transmittal forms and entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-28

1. Contract Requirement No. CR-5.1-28: Issue Manual IPACs.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. IPACs are issued within specified timeframes. | Timeliness | 5.1.11.1.2 | 2% | XX |
| b. IPACs are issued accurately. | Quality | 5.1.11.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual IPACs issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of IPACs issued. Random sampling will be performed such that each manual IPAC issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect manual IPACs issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-29

1. Contract Requirement No. CR-5.1-29: Issue, Transmit and Record Intra-cluster Cash Work Transfers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Intra-cluster cash work transfers are issued, transmitted and recorded within specified timeframes. | Timeliness | 5.1.11.1.3 | 2% | XX |
| b. Intra-cluster cash work transfers are issued, transmitted and recorded accurately. | Quality | 5.1.11.1.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of forms and number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of forms and entries. Random sampling will be performed such that each form and entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the number of forms and number of entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.1-30</p> |
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1. Contract Requirement No. CR-5.1-30: Transmit Bulk IPAC Files.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. IPAC bulk files are transmitted within specified timeframes. | Timeliness | 5.1.11.1.4 | 2% | XX |
| b. IPAC bulk files are transmitted accurately. | Quality | 5.1.11.1.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of bulk file transmissions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of bulk file transmissions. Random sampling will be performed such that each bulk file transmission in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect bulk file transmissions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-31

1. Contract Requirement No. CR-5.1-31: Receive IPACs and SF 1221s and Record Entries Against Proper Funding Source or Suspense Account.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. IPACS and SF 1221s are received and entries recorded within specified timeframes. | Timeliness | 5.1.11.2.1 | 5% | XX |
| b. IPACS and SF 1221s are received and entries recorded accurately. | Quality | 5.1.11.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of accounting system IPAC entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of accounting system IPAC entries. Random sampling will be performed such that each IPAC entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect IPAC entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-32

1. Contract Requirement No. CR-5.1-32: Obtain Funding Information and Record in Accounting System.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Funding information is obtained and recorded within specified timeframes. | Timeliness | 5.1.11.2.2 | 5% | XX |
| b. Funding information is obtained and recorded accurately. | Quality | 5.1.11.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of requests for information and number of documents provided. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of requests for information and documents provided. Random sampling will be performed such that each request for information and document provided in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect requests for information and documents provided. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-33

1. Contract Requirement No. CR-5.1-33: Reconcile FSC’s IPAC and SF 1221 Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. FSCs IPAC and SF 1221 reports are reconciled within specified timeframes. | Timeliness | 5.1.11.2.3 | 10% | XX |
| b. FSCs IPAC and SF 1221 reports are reconciled accurately. | Quality | 5.1.11.2.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-34

1. Contract Requirement No. CR-5.1-34: Purchase Securities, Notes, Bonds, Zero Coupon Bonds, and Certificates of Deposit from Treasury.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Securities, notes, bonds, zero coupon bonds, and Certificates of Deposit are purchased from Treasury within specified timeframes. | Timeliness | 5.1.12.1.1 | 0% | XX |
| b. Securities, notes, bonds, zero coupon bonds, and Certificates of Deposit are purchased from Treasury accurately. | Quality | 5.1.12.1.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of purchases in CAIS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all investment purchases in CAIS.

7. Evaluation Procedures: The QAE will inspect purchases in CAIS. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-35

1. Contract Requirement No. CR-5.1-35: Conduct Full or Partial Early Redemption of Securities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Full or partial early redemption of securities are conducted within specified timeframes. | Timeliness | 5.1.12.2.1 | 0% | XX |
| b. Full or partial early redemption of securities are conducted accurately. | Quality | 5.1.12.2.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of redemptions in CAIS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all redemptions in CAIS.

7. Evaluation Procedures: The QAE will inspect redemptions made in CAIS. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-36

1. Contract Requirement No. CR-5.1-36: Record Results of Matured Security.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Results of matured securities are recorded within specified timeframes. | Timeliness | 5.1.12.3.1 | 0% | XX |
| b. Results of matured securities are recorded accurately. | Quality | 5.1.12.3.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspections for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries recorded in CAIS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all the recorded entries for matured securities in CAIS.

7. Evaluation Procedures: The QAE will inspect the recorded entries in CAIS. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-37

1. Contract Requirement No. CR-5.1-37: Record Interest Collections.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Interest collections are recorded within specified timeframes. | Timeliness | 5.1.12.4.1 | 0% | XX |
| b. Interest collections are recorded accurately. | Quality | 5.1.12.4.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of interest collection entries recorded in CAIS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all interest collection entries in CAIS.

7. Evaluation Procedures: The QAE will inspect interest collection entries in CAIS. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-38

1. Contract Requirement No. CR-5.1-38: Renew Existing CDs or Redeem Maturing CDs.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Existing CDs are renewed or maturing CDs are redeemed within specified timeframes. | Timeliness | 5.1.12.5.1 | 0% | XX |
| b. Existing CDs are renewed or maturing CDs are redeemed accurately. | Quality | 5.1.12.5.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of rollover CDs renewed or redeemed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all rollover CDs renewed or redeemed.

7. Evaluation Procedures: The QAE will inspect rollover CDs. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-39

1. Contract Requirement No. CR-5.1-39: Prepare and Submit Letters to Trustee Banks Requesting Collateral Action.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Collateral action letters are prepared and submitted for approval within specified timeframes. | Timeliness | 5.1.12.6.1 | 1% | XX |
| b. Collateral action letters contain accurate information and data. | Quality | 5.1.12.6.1 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of letters. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters. Random sampling will be performed such that each letter in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect letters. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-40

1. Contract Requirement No. CR-5.1-40: Prepare and Submit Collateral Release Letters to Federal Reserve Bank.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Collateral release letters are prepared and submitted to Federal Reserve Bank within specified timeframes. | Timeliness | 5.1.12.6.2 | 1% | XX |
| b. Collateral release letters contain accurate information. | Quality | 5.1.12.6.2 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of letters. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters. Random sampling will be performed such that each letter in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect letters. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-41

1. Contract Requirement No. CR-5.1-41: Process and Correct Rejection of Automated Clearinghouse (ACH) CD Interest Deductions.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Rejected ACH CD interest deductions are processed and corrected within specified timeframes. | Timeliness | 5.1.12.7.1 | 1% | XX |
| b. Rejected ACH CD interest deductions are corrected. | Quality | 5.1.12.7.1 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of CD interest rejections. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of CD interest rejections. Random sampling will be performed such that each rejection in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect CD interest rejections. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-42

1. Contract Requirement No. CR-5.1-42: Purchase 1-Day Certificates from Treasury.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. 1-day certificates are purchased within specified timeframes. | Timeliness | 5.1.12.8.1 | 0% | XX |
| b. 1-day certificates are purchased accurately. | Quality | 5.1.12.8.1 | 1% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of 1-day certificates purchased in CAIS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all 1-day certificates purchased in CAIS.

7. Evaluation Procedures: The QAE will inspect 1-day certificates purchased in CAIS. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-43

1. Contract Requirement No. CR-5.1-43: Review, Reconcile, Generate and Distribute Monthly Investment Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Monthly investment reports are reviewed, reconciled, generated, and distributed within specified timeframes. | Timeliness | 5.1.12.9.1 | 5% | XX |
| b. Monthly investment reports are reviewed and reconciled accurately. | Quality | 5.1.12.9.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations and entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations and entries. Random sampling will be performed such that each reconciliation and entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations and entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-44

1. Contract Requirement No. CR-5.1-44: Record and Validate Zero Coupon Bond (ZCB) Market Value Amortization.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. ZCB market value amortizations are recorded and validated within specified timeframes. | Timeliness | 5.1.12.9.2 | 1% | XX |
| b. ZCB market value amortizations are recorded and validated accurately. | Quality | 5.1.12.9.2 | 0% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% Inspection of all entries.

7. Evaluation Procedures: The QAE will inspect market value amortization entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-45

1. Contract Requirement No. CR-5.1-45: Update 13-Week Treasury Bill Rate and Apply Interest Accruals to Spent Nuclear Fuel Receivables.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. 13-week Treasury bill rates are updated and interest accruals are applied within specified timeframes. | Timeliness | 5.1.12.9.3 | 10% | XX |
| b. 13-week Treasury bill rates are updated and interest accruals are applied accurately. | Quality | 5.1.12.9.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of applications of T-bill rate, number of entries, and number of letters. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of applications of T-bill rate, number of entries, and number of letters. Random sampling will be performed such that each application of T-bill rate, entry, and letter in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect applications of T-bill rate, number of entries, and number of letters. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-46

1. Contract Requirement No. CR-5.1-46: Prepare and Submit Annual SF 220-1.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. SF 220-1 is prepared and submitted within specified timeframes. | Timeliness | 5.1.12.9.4 | 15% | XX |
| b. SF 220-1 is prepared accurately. | Quality | 5.1.12.9.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of market valuations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of market valuations. Random sampling will be performed such that each market valuation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect market valuations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-47

1. Contract Requirement No. CR-5.1-47: Prepare and Provide Rollover Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Rollover reports are prepared and provided within specified timeframes. | Timeliness | 5.1.12.9.5 | 5% | XX |
| b. Rollover reports are prepared accurately. | Quality | 5.1.12.9.5 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports. Random sampling will be performed such that each report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reports. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-48

1. Contract Requirement No. CR-5.1-48: Record Treasury Warrants.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Treasury warrants are recorded by appropriation and fund type within specified timeframes. | Timeliness | 5.1.13.1.1 | 5% | XX |
| b. Treasury warrants are recorded by appropriation and fund type accurately. | Quality | 5.1.13.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.1-49</p> |
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1. Contract Requirement No. CR-5.1-49: Record Rescissions (Credit Warrants).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Rescissions are recorded within specified timeframes. | Timeliness | 5.1.13.1.2 | 5% | XX |
| b. Rescissions are recorded accurately. | Quality | 5.1.13.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of letters and entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters and entries. Random sampling will be performed such that each letter and entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect letters and entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-50

1. Contract Requirement No. CR-5.1-50: Update Tables and Record Transactions for Managerial Cost Allocations.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Managerial cost allocation tables are updated and transactions recorded within specified timeframes. | Timeliness | 5.1.14.1.1 | 10% | XX |
| b. Managerial cost allocation tables are updated and transactions recorded accurately. | Quality | 5.1.14.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates and manual transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates and manual transactions. Random sampling will be performed such that each update and manual transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect updates and manual transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-51

1. Contract Requirement No. CR-5.1-51: Reconcile all Departmental Cash Transactions with Treasury Fund Balance by Appropriation.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Departmental cash transactions are reconciled with Treasury fund balance by appropriation within specified timeframes. | Timeliness | 5.1.15.1.1 | 10% | XX |
| b. Departmental cash transactions are reconciled with Treasury fund balance by appropriation accurately. | Quality | 5.1.15.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations and out-of-balance reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations and out-of-balance reports. Random sampling will be performed such that each reconciliation and out-of-balance report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations and out-of-balance reports. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-52

1. Contract Requirement No. CR-5.1-52: Generate Departmental Cash Reconciliation Report and Determine and Reconcile Inconsistencies.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Departmental cash reconciliation reports are generated and inconsistencies are determined and reconciled within specified timeframes. | Timeliness | 5.1.15.1.2 | 10% | XX |
| b. Departmental cash reconciliation inconsistencies are reconciled. | Quality | 5.1.15.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations and correcting entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations and correcting entries. Random sampling will be performed such that each reconciliation and correcting entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations and correcting entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-53

1. Contract Requirement No. CR-5.1-53: Conduct Reconciliation of Intra-Governmental Transactions (Fiduciary).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reconciliation of intra-governmental transactions is conducted within specified timeframes. | Timeliness | 5.1.15.2.1 | 5% | XX |
| b. Reconciliation of intra-governmental transactions is conducted accurately. | Quality | 5.1.15.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of out-of-balance accounts. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of out-of-balance accounts. Random sampling will be performed such that each out-of-balance account in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect out-of-balance accounts. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-54

1. Contract Requirement No. CR-5.1-54: Conduct Reconciliation of Intra-Governmental Transactions (Non-Fiduciary).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reconciliation of intra-governmental transactions is conducted within specified timeframes. | Timeliness | 5.1.15.3.1 | 5% | XX |
| b. Reconciliation of intra-governmental transactions is accurately. | Quality | 5.1.15.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of out-of-balance accounts and correcting entries made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of out-of-balance accounts and correcting entries. Random sampling will be performed such that each out-of-balance account and correcting entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect out-of-balance accounts and correcting entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-55

1. Contract Requirement No. CR-5.1-55: Conduct Reconciliation of Undelivered Orders.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Reconciliation of undelivered orders is conducted within specified timeframes. | Timeliness | 5.1.15.4.1 | 25% | XX |
| b. Reconciliation of undelivered orders is accurate. | Quality | 5.1.15.4.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-56

1. Contract Requirement No. CR-5.1-56: Correct Undelivered Orders Differences.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Undelivered order differences are corrected within specified timeframes. | Timeliness | 5.1.15.4.2 | 5% | XX |
| b. Undelivered order differences are corrected accurately. | Quality | 5.1.15.4.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of corrections made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of corrections. Random sampling will be performed such that each correction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect corrections. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-57

1. Contract Requirement No. CR-5.1-57: Maintain, Update, Reconcile, and Provide PMA and FERC SF 133 and FMS 2108 Spreadsheets and Trial Balances.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. PMA and FERC SF 133, and FMS 2108 spreadsheets and trial balances are maintained, updated, reconciled, and provided within specified timeframes. | Timeliness | 5.1.16.1.1 | 5% | XX |
| b. PMA and FERC SF 133, and FMS 2108 spreadsheets and trial balances are maintained, updated, reconciled accurately. | Quality | 5.1.16.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of appropriations reconciled. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of appropriations reconciled. Random sampling will be performed such that each appropriation reconciled in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect appropriations reconciled. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-58

1. Contract Requirement No. CR-5.1-58: Reconcile FACTS I and FACTS II Trial Balances and Enter Approved Adjustments to FACTS I.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. FACTS I and FACTS II trial balances are reconciled and approved adjustments entered to FACTS I within specified timeframes. | Timeliness | 5.1.16.1.2 | 5% | XX |
| b. FACTS I and FACTS II trial balances are reconciled and approved adjustments entered to FACTS I accurately. | Quality | 5.1.16.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of budgetary SGLs compared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of budgetary SGLs compared. Random sampling will be performed such that each budgetary SGL compared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect budgetary SGLs compared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-59

1. Contract Requirement No. CR-5.1-59: Prepare and Submit PMA and FERC Receipts, Deposits, and Suspense Account Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. PMA and FERC receipts, deposits and suspense account reports are prepared and submitted within specified timeframes. | Timeliness | 5.1.16.2.1 | 10% | XX |
| b. PMA and FERC receipts, deposits and suspense account reports are prepared accurately. | Quality | 5.1.16.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of appropriations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of appropriations. Random sampling will be performed such that each appropriation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect appropriations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-60

1. Contract Requirement No. CR-5.1-60: Establish Files in COTS.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. COTS files are established within specified timeframes. | Timeliness | 5.1.17.1.1 | 10% | XX |
| b. COTS files are established accurately. | Quality | 5.1.17.1.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-61

1. Contract Requirement No. CR-5.1-61: Generate and Distribute COTS Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Automated job scheduler reports are generated and distributed within specified timeframes. | Timeliness | 5.1.17.1.2 | 10% | XX |
| b. Automated job scheduler reports are generated accurately. | Quality | 5.1.17.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of report distributions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of report distributions. Random sampling will be performed such that each distribution in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect report distributions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-62

1. Contract Requirement No. CR-5.1-62: Perform and Submit Reconciliation Between Payroll Health Insurance Benefits Data and Carrier’s Health Insurance Benefits Data.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Health insurance benefits data is reconciled and submitted within specified timeframes. | Timeliness | 5.1.18.1.1 | 25% | XX |
| b. Health insurance benefits data is reconciled accurately. | Quality | 5.1.18.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations performed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-63

1. Contract Requirement No. CR-5.1-63: Perform Reconciliation of Clearing Accounts Associated with Thrift Savings Plan (TSP), Federal and State Taxes, and Savings Bonds.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Clearing accounts are reconciled quarterly within specified timeframes. | Timeliness | 5.1.18.1.2 | 25% | XX |
| b. Clearing accounts are reconciled. | Quality | 5.1.18.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations performed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-68

1. Contract Requirement No. CR-5.1-64: Review, Research, Reconcile, and Process Reimbursement for Subsidy of Energy Employee Transportation Program and Record Costs.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Subsidized costs for Employee Transportation Program are reviewed, researched, reconciled, reimbursements are processed, and costs recorded within specified timeframes. | Timeliness | 5.1.18.1.3 | 10% | XX |
| b. Subsidized costs for Employee Transportation Program are reviewed, researched, reconciled, reimbursements are processed, and costs recorded accurately. | Quality | 5.1.18.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors. Random sampling will be performed such that each edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect edit errors. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-65

1. Contract Requirement No. CR-5.1-69: Generate LD Report to Reconcile and Record Adjustments to Prior Pay Period Cost Allocations.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. LD report is generated and adjustments reconciled and recorded within specified timeframes. | Timeliness | 5.1.18.2.1 | 10% | XX |
| b. LD report is generated and adjustments reconciled and recorded accurately. | Quality | 5.1.18.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of adjustments recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of adjustments. Random sampling will be performed such that each adjustment in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect adjustments to prior pay period cost allocations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-66

1. Contract Requirement No. CR-5.1-66: Generate LD Report to Verify and Record Payroll Accounting Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. LD report is generated and payroll accounting entries verified and recorded within specified timeframes. | Timeliness | 5.1.18.2.2 | 10% | XX |
| b. LD report is generated and payroll accounting entries verified and recorded accurately. | Quality | 5.1.18.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-67

1. Contract Requirement No. CR-5.1-67: Generate LD Reports to Verify Payroll Entries and Record Payroll Accruals and Reversals.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. LDS reports are generated, payroll entries are verified, and payroll accruals and reversals are recorded within specified timeframes. | Timeliness | 5.1.18.2.3 | 10% | XX |
| b. LDS reports are generated, payroll entries are verified, and payroll accruals and reversals are recorded accurately. | Quality | 5.1.18.2.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of accrual and reversal entries recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of accrual and reversal entries. Random sampling will be performed such that each accrual and reversal entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect accrual and reversal entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.1-68

1. Contract Requirement No. CR-5.1-68: Update SGL Chart of Accounts and Related Codes Manual.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. SGL chart of accounts and related codes manual are updated within specified timeframes | Timeliness | 5.1.19.1.1 | 10% | XX |
| b. SGL chart of accounts and related codes manual are updated accurately | Quality | 5.1.19.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates. Random sampling will be performed such that each update in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect updates. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Payment Services**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.2-1 | CR-5.2-1 | Receive and Process Invoices for Payment |
| 5.2-2 | CR-5.2-2 | Provide Notification to Vendors with Improper Invoices |
| 5.2-3 | CR-5.2-3 | Receive, Review, and Validate Travel Voucher Files and Execute Travel Manager Interface |
| 5.2-4 | CR-5.2-4 | Process PCS Travel Vouchers |
| 5.2-5 | CR-5.2-5 | Schedule Approved Travel Advances for Payment |
| 5.2-6 | CR-5.2-6 | Receive, Process and Reconcile Airline Ticket Interface Files |
| 5.2-7 | CR-5.2-7 | Process Consent Order Tracking System (COTS) Payment File |
| 5.2-8 | CR-5.2-8 | Research Hard Copy Payment Documents and Payment Files, and Document and Submit Results of Research Regarding Lost Checks |
| 5.2-9 | CR-5.2-9 | Receive and Record Notifications of Cancelled Checks |
| 5.2-10 | CR-5.2-10 | Make a Determination of Cost Effective Pay Date and Advise CO of Recommended Payment Terms for Government Purchase Card |
| 5.2-11 | CR-5.2-11 | Prepare and Issue Letters of Indemnity |
| 5.2-12 | CR-5.2-12 | Conduct Current Year Deobligation Reviews of Previous Years' Outstanding Obligations |
| 5.2-13 | CR-5.2-13 | Close out Contracts |
| 5.2-14 | CR-5.2-14 | Perform Annual Retirement of Non-Contract CIDs |
| 5.2-15 | CR-5.2-15 | Perform Contract Transfers |
| 5.2-16 | CR-5.2-16 | Review and Update Accounting System to Record Invoices Paid by DOE that have been Off Set by the Treasury Offset Program (TOP) |
| 5.2-17 | CR-5.2-17 | Establish Vendor Profiles and Input Normal Payment Modifications |
| 5.2-18 | CR-5.2-18 | Establish Vendor Profiles and Input Expedited Payment Modifications |
| 5.2-19 | CR-5.2-19 | Conduct Reconciliation of Accounting System Vendor Profile Information for IRS 1099 Purposes |
| 5.2-20 | CR-5.2-20 | Consolidate and Review all Data Files Submitted by FSCs and Issue IRS Form 1099s |
| 5.2-21 | CR-5.2-21 | Resolve IRS Form 1099 Inquiries and Issue Revised IRS Form 1099s |
| 5.2-22 | CR-5.2-22 | Receive, Review, and Reconcile Payment Records |
| 5.2-23 | CR-5.2-23 | Review and Validate Accuracy of Accounting Data on Individual Cardholder Statements, and Forward Statement Information |
| 5.2-24 | CR-5.2-24 | Review and Verify Government Purchase Card Statements |
| 5.2-25 | CR-5.2-25 | Submit Bills and Invoices for Pre-Payment Audit of Transportation Services |
| 5.2-26 | CR-5.2-26 | Submit Government Paid Transportation Services from the Previous Month to GSA for Post Payment Audit |
| 5.2-27 | CR-5.2-27 | Record Vendor Draw Activities |
| 5.2-28 | CR-5.2-28 | Prepare Internal Ad Hoc ASAP Payment Reports |
| 5.2-29 | CR-5.2-29 | Provide Customer Service and Respond to and Resolve Requests for Support |

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.2-1</p> |
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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.2-1</p> |
|---|

1. Contract Requirement No. CR-5.2-1: Receive and Process Invoices for Payment.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Invoices are processed within specified timeframes. | Timeliness | 5.2.2.2.1 | 5% | XX |
| b. Invoices are processed accurately. | Quality | 5.2.2.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of invoices processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of invoices. Random sampling will be performed such that each invoice in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect invoices. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-2

1. Contract Requirement No. CR-5.2-2: Provide Notification to Vendors with Improper Invoices.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Vendors are notified of improper invoices within specified timeframes. | Timeliness | 5.2.2.3.1 | 5% | XX |
| b. Vendors are notified of improper invoices accurately. | Quality | 5.2.2.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of notices issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of notices. Random sampling will be performed such that each notice in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect notices. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-3

1. Contract Requirement No. CR-5.2-3: Receive, Review, and Validate Travel Voucher Files and Execute Travel Manager Interface.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Travel voucher files are received, reviewed and validated, and Travel Manager interface executed within specified timeframes. | Timeliness | 5.2.3.1.1 | 3% | XX |
| b. Travel voucher files are received, reviewed and validated, and Travel Manager interface executed accurately. | Quality | 5.2.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of vouchers and edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of vouchers and edit errors. Random sampling will be performed such that each voucher and edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vouchers and edit errors. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-4

1. Contract Requirement No. CR-5.2-4: Process PCS Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. PCS travel vouchers are processed within specified timeframes. | Timeliness | 5.2.3.2.1 | 5% | XX |
| b. PCS travel vouchers are processed accurately. | Quality | 5.2.3.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of vouchers processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of vouchers processed. Random sampling will be performed such that each voucher processed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vouchers processed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-5

1. Contract Requirement No. CR-5.2-5: Schedule Approved Travel Advances for Payment.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Payment for approved travel advances are scheduled within specified timeframes. | Timeliness | 5.2.3.3.1 | 5% | XX |
| b. Payment for approved travel advances are scheduled accurately. | Quality | 5.2.3.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of travel advances approved for payment. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of travel advances approved for payment. Random sampling will be performed such that each travel advance approved for payment in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect travel advances approved for payment. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-6

1. Contract Requirement No. CR-5.2-6: Receive, Process and Reconcile Airline Ticket Interface Files.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Airline ticket interface files are received, processed and reconciled within specified timeframes. | Timeliness | 5.2.3.4.1 | 10% | XX |
| b. Airline ticket interface files are received, processed and reconciled accurately. | Quality | 5.2.3.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors and transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors and transactions. Random sampling will be performed such that each edit error and transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect edit errors and transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-7

1. Contract Requirement No. CR-5.2-7: Process Consent Order Tracking System (COTS) Payment File.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. COTS payment file is processed within specified timeframes. | Timeliness | 5.2.4.1.1 | 10% | XX |
| b. COTS payment file is processed accurately. | Quality | 5.2.4.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of payment packages. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of payment packages. Random sampling will be performed such that each payment package in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect payment packages. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-8

1. Contract Requirement No. CR-5.2-8: Research Hard Copy Payment Documents and Payment Files, and Document and Submit Results of Research Regarding Lost Checks.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Lost checks are researched, and results documented and submitted within specified timeframes. | Timeliness | 5.2.4.2.1 | 5% | XX |
| b. Lost checks are researched, and results documented and submitted accurately. | Quality | 5.2.4.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of notifications of lost checks. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

- Normal Surveillance: XX
- Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of notifications. Random sampling will be performed such that each notification in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect notifications. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-9

1. Contract Requirement No. CR-5.2-9: Receive and Record Notifications of Cancelled Checks.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Notifications of cancelled checks are received and recorded within specified timeframes. | Timeliness | 5.2.4.2.2 | 5% | XX |
| b. Notifications of cancelled checks are received and recorded accurately. | Quality | 5.2.4.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of credits for cancelled checks. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of credits for cancelled checks. Random sampling will be performed such that each credit for cancelled checks in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect credits for cancelled checks. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-10

1. Contract Requirement No. CR-5.2-10: Make a Determination of Cost Effective Pay Date and Advise CO of Recommended Payment Terms for Government Purchase Card.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Cost effective pay dates are determined, and payment terms recommended within specified timeframes. | Timeliness | 5.2.4.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of reviews. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reviews. Random sampling will be performed such that each review in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reviews. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|--|
| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.2-11</p> |
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1. Contract Requirement No. CR-5.2-11: Prepare and Issue Letters of Indemnity.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Letters of indemnity are prepared and issued within specified timeframes. | Timeliness | 5.2.4.4.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of letters prepared and issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters issued. Random sampling will be performed such that each letter issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect letters issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-12

1. Contract Requirement No. CR-5.2-12: Conduct Current Year Deobligation Reviews of Previous Years’ Outstanding Obligations.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Deobligation reviews are conducted within specified timeframes. | Timeliness | 5.2.4.5.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of contractual documents reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of contractual documents reviewed. Random sampling will be performed such that each contractual document reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect contractual documents reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-13

1. Contract Requirement No. CR-5.2-13: Close Out Contracts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Contracts are closed out within specified timeframes. | Timeliness | 5.2.4.6.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of contracts closed out. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of contracts closed out. Random sampling will be performed such that each contract closed out in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect contracts closed out. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-14

1. Contract Requirement No. CR-5.2-14: Perform Close Out of Non-Contract CIDs.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Non-contract CIDs are closed out within specified timeframes. | Timeliness | 5.2.4.7.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of CIDs qualifying for close out. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of CIDs qualifying for close out. Random sampling will be performed such that each CID qualifying for close out in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect CIDs with no current year activities. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-15

1. Contract Requirement No. CR-5.2-15: Perform Contract Transfers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Contract transfers are performed within specified timeframes. | Timeliness | 5.2.4.8.1 | 5% | XX |
| b. Contract transfers are performed accurately. | Quality | 5.2.4.8.1 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-16

1. Contract Requirement No. CR-5.2-16: Review and Update Accounting System to Record Invoices Paid by DOE that have been off set by The Treasury Offset Program.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Accounting system is reviewed and updated to record TOP invoices within specified timeframes. | Timeliness | 5.2.4.9.1 | 10% | XX |
| b. TOP invoice entries are recorded accurately in accounting system. | Quality | 5.2.4.9.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect entries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-17

1. Contract Requirement No. CR-5.2-17: Establish Vendor Profiles and Input Normal Payment Modifications.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Vendor profiles are established and payment modifications are inputted within specified timeframes. | Timeliness | 5.2.5.1.1 | 4% | XX |
| b. Vendor profiles are established and payment modifications are inputted accurately. | Quality | 5.2.5.1.1 | 4% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of normal vendor profiles established and updated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of normal vendor profiles established and updated. Random sampling will be performed such that each vendor profile established and updated in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vendor profiles established and updated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-18

1. Contract Requirement No. CR-5.2-18: Establish Vendor Profiles and Input Expedited Payment Modifications.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Vendor profiles are established and payment modifications are inputted within specified timeframes. | Timeliness | 5.2.5.1.1 | 1% | XX |
| b. Vendor profiles are established and payment modifications are inputted accurately. | Quality | 5.2.5.1.1 | 4% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of expedited vendor profiles established and updated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of expedited vendor profiles established and updated. Random sampling will be performed such that each vendor profile established and updated in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vendor profiles established and updated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-19

1. Contract Requirement No. CR-5.2-19: Conduct Reconciliation of Accounting System Vendor Profile Information for IRS Form 1099 Purposes.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Vendor profile information is reconciled in accounting system within specified timeframes. | Timeliness | 5.2.5.1.2 | 2% | XX |
| b. Vendor profile information is reconciled in accounting system accurately. | Quality | 5.2.5.1.2 | 1.5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of vendor profiles reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of vendor profiles reviewed. Random sampling will be performed such that each vendor profile reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect vendor profiles reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-20

1. Contract Requirement No. CR-5.2-20: Consolidate and Review all Data Files Submitted by FSCs and Issue IRS Form 1099s.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Issue IRS Form 1099s within specified timeframes. | Timeliness | 5.2.5.1.3 | 2% | XX |
| b. Data files are consolidated and reviewed, and IRS Form 1099s issued accurately. | Quality | 5.2.5.1.3 | 1.5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of files consolidated and IRS Form 1099s issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of files consolidated and number of issued IRS Form 1099s. Random sampling will be performed such that each file consolidated and IRS Form 1099 issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect files consolidated and issued IRS Form 1099s. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-21

1. Contract Requirement No. CR-5.2-21: Resolve IRS Form 1099 Inquiries and Issue Revised IRS Form 1099s.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. 1099 inquiries are resolved and revised 1099s issued within specified timeframes. | Timeliness | 5.2.5.1.4 | 3% | XX |
| b. 1099 inquiries are resolved and revised 1099s issued accurately. | Quality | 5.2.5.1.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality”.

3. Quantity of Work: The quantity of work is the number of inquiries received and revised IRS Form 1099s issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of inquiries and revised IRS Form 1099s. Random sampling will be performed such that each inquiry and revised IRS Form 1099 in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect inquiries and revised IRS Form 1099s. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.2-22</p> |
|--|

1. Contract Requirement No. CR-5.2-22: Receive, Review, and Reconcile Payment Records.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. DOE and Treasury payment records are received, reviewed, and reconciled within specified timeframes. | Timeliness | 5.2.6.1.1 | 2% | XX |
| b. DOE and Treasury payment records are reconciled accurately. | Quality | 5.2.6.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of payment record reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reconciliations. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-23

1. Contract Requirement No. CR-5.2-23: Review Accuracy of Accounting Data on Individual Cardholder Statements and Forward Statement Information.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Accounting data on statements is reviewed and statement forwarded to FSC within specified timeframes. | Timeliness | 5.2.6.1.2 | 5% | XX |
| b. Accounting data is accurate. | Quality | 5.2.6.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions reviewed. Random sampling will be performed such that each transaction reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-24

1. Contract Requirement No. CR-5.2-24: Review and Verify Government Purchase Card Statements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Purchase card statements are reviewed and verified within specified timeframes. | Timeliness | 5.2.6.1.3 | 10% | XX |
| b. Purchase card charges are recorded accurately. | Quality | 5.2.6.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions reviewed. Random sampling will be performed such that each transaction reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect transactions reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-25

1. Contract Requirement No. CR-5.2-25: Submit Bills and Invoices for Pre-Payment Audit of Transportation Services.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Transportation service bills and invoices are submitted for pre-payment audits within specified timeframes. | Timeliness | 5.2.7.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of bills and invoices submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of bills and invoices. Random sampling will be performed such that each bill and invoice in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect bills and invoices. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-26

1. Contract Requirement No. CR-5.2-26: Submit Government Paid Transportation Services from the Previous Month to GSA for Post Payment Audit.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Government paid transportation service bills are submitted for post payment audits within specified timeframes. | Timeliness | 5.2.7.2.1 | 25% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of bills and invoices submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of bills and invoices submitted. Random sampling will be performed such that each bill and invoice submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect bills and invoices submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-27

1. Contract Requirement No. CR-5.2-27: Record Vendor Draw Activities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|---|-----------------------|
| a. Vendor draw activities are recorded within specified timeframes. | Timeliness | 5.2.8.1.1 | 10% normally; 2% during SF 224 preparation | XX; XX |
| b. Vendor draw activities are recorded accurately. | Quality | 5.2.8.1.1 | 5% normally; 2% during SF 224 preparation | XX; XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of interfaces and manual transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of interfaces and manual transactions. Random sampling will be performed such that each interface and manual transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect interfaces and manual transactions. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-28

1. Contract Requirement No. CR-5.2-28: Prepare Internal Ad Hoc ASAP Payment Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Internal ad hoc ASAP payment reports are prepared within specified timeframes. | Timeliness | 5.2.8.1.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of reports prepared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports prepared. Random sampling will be performed such that each report prepared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect reports prepared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.2-29

1. Contract Requirement No. CR-5.2-29: Provide Customer Service and Respond to and Resolve Requests for Support.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Customer service provided and requests for support responded to and resolved within specified timeframes. | Timeliness | 5.2.9.1.1 | 2% | XX |
| b. Customer service provided and requests for support responded to and resolved accurately. | Quality | 5.2.9.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of inquiries received. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of inquiries. Random sampling will be performed such that each inquiry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect inquiries. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Billings and Collections**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.3-1 | CR-5.3-1 | Prepare and Submit Billing Requests for Overpayments |
| 5.3-2 | CR-5.3-2 | Record, Prepare, and Issue Bills and Invoices for Public Receivables |
| 5.3-3 | CR-5.3-3 | Record, Prepare, Issue, Transmit, and Mail Bills and Invoices for Other Federal Agency Receivables |
| 5.3-4 | CR-5.3-4 | Prepare and Issue Advance Bills |
| 5.3-5 | CR-5.3-5 | Establish and Reconcile Nuclear Waste Fund (NWF) and Uranium Enrichment Decontamination and Decommissioning (D&D) Fund Receivable Accounts |
| 5.3-6 | CR-5.3-6 | Finalize CAIS Record Following Collection, and Copy and Submit Remittance Advice |
| 5.3-7 | CR-5.3-7 | Make Bank Deposits or Forward Monies to Lockbox Service |
| 5.3-8 | CR-5.3-8 | Record Collections |
| 5.3-9 | CR-5.3-9 | Prepare Misdirected Collections Memorandum and Submit for Approval |
| 5.3-10 | CR-5.3-10 | Status of Collections Calls |
| 5.3-11 | CR-5.3-11 | Record and Reconcile Monthly Accruals of Interest Earned for Designated Investment Accounts |
| 5.3-12 | CR-5.3-12 | Clear Deposit Suspense Account |
| 5.3-13 | CR-5.3-13 | Clear Credits in Payroll Suspense Account |
| 5.3-14 | CR-5.3-14 | Record Deposits of Unclaimed Monies |
| 5.3-15 | CR-5.3-15 | Process Refunds |
| 5.3-16 | CR-5.3-16 | Reconcile Unclaimed Monies Account Balances |
| 5.3-17 | CR-5.3-17 | Clear DOE Suspense Account of Unclaimed Monies |
| 5.3-18 | CR-5.3-18 | Process Receipt of Advance Funds |
| 5.3-19 | CR-5.3-19 | Process Receipt of Advance Funds for FEMP |
| 5.3-20 | CR-5.3-20 | Prepare and Mail Collection Letters |
| 5.3-21 | CR-5.3-21 | Prepare and Refer Delinquent Accounts |
| 5.3-22 | CR-5.3-22 | Record Allowance for Receivable Loss |
| 5.3-23 | CR-5.3-23 | Prepare and Submit Write-Off, Cancellation, and Compromise Letters and Record Entries |
| 5.3-24 | CR-5.3-24 | Prepare and Issue Penalty and Lost Interest Letters |

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-1

1. Contract Requirement No. CR-5.3-1: Prepare and Submit Billing Requests for Overpayments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Billing requests for overpayments are prepared and submitted within specified timeframes. | Timeliness | 5.3.2.1.1 | 10% | XX |
| b. Billing requests for overpayments are prepared accurately. | Quality | 5.3.2.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of billing requests submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of billing requests submitted. Random sampling will be performed such that each billing request submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each billing request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-2

1. Contract Requirement No. CR-5.3-2: Record, Prepare, and Issue Bills and Invoices for Public Receivables.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Bills and invoices for public receivables are recorded, prepared, and issued within specified timeframes. | Timeliness | 5.3.2.1.2 | 10% | XX |
| b. Bills and invoices for public receivables are recorded, prepared, and issued accurately. | Quality | 5.3.2.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of bills and invoices issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

- Normal Surveillance: XX
- Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of bills and invoices issued. Random sampling will be performed such that each bill and invoice issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each bill and invoice issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-3

1. Contract Requirement No. CR-5.3-3: Record, Prepare, Issue, Transmit, and Mail Bills and Invoices for Other Federal Agency Receivables.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Bills and invoices for other Federal agency receivables are recorded, prepared, issued, transmitted, and mailed within specified timeframes. | Timeliness | 5.3.2.2.1 | 10% | XX |
| b. Bills and invoices for other Federal agency receivables are recorded, prepared, issued, transmitted, and mailed accurately. | Quality | 5.3.2.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of bills and invoices issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of bills and invoices issued. Random sampling will be performed such that each bill and invoice issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each bill and invoice. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-4

1. Contract Requirement No. CR-5.3-4: Prepare and Issue Advance Bills.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Advance bills based on CRADA and other funds are prepared and issued within specified timeframes. | Timeliness | 5.3.2.3.1 | 5% | XX |
| b. Advance bills based on CRADA and other funds are prepared accurately. | Quality | 5.3.2.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of advance bills issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of advance bills issued. Random sampling will be performed such that each advance bill issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each advance bill issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-5

1. Contract Requirement No. CR-5.3-5: Establish and Reconcile Nuclear Waste Fund (NWF) and Uranium Enrichment Decontamination and Decommissioning (D&D) Fund Receivable Accounts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. NWF and D&D fund receivable accounts are established and reconciled within specified timeframes. | Timeliness | 5.3.2.4.1 | 3% | XX |
| b. NWF and D&D fund receivable accounts are established and reconciled accurately. | Quality | 5.3.2.4.1 | 3% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of receivable accounts in CAIS and the number of NWF receivables in the DOE primary accounting and reporting system. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of receivable accounts in CAIS and the number of NWF receivables in the DOE primary accounting and reporting system. Random sampling will be performed such that each

receivable account in CAIS and each NWF receivable in the DOE primary accounting and reporting system in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the receivable accounts in CAIS and the NWF receivable in the DOE primary accounting and reporting system. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-6

1. Contract Requirement No. CR-5.3-6: Finalize CAIS Record Following Collection, and Copy and Submit Remittance Advice.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. CAIS record is finalized, and remittance advice is copied and submitted within specified timeframes. | Timeliness | 5.3.2.4.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of NWF remittance advices submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of remittance advices submitted. Random sampling will be performed such that each remittance advice submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the remittance advices submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-7

1. Contract Requirement No. CR-5.3-7: Make Bank Deposits or Forward Monies to Lockbox Service.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Bank deposits are made or monies forwarded to lockbox within specified timeframes. | Timeliness | 5.3.3.1.1 | 5% | XX |
| b. Bank deposits are made or monies forwarded to lockbox accurately. | Quality | 5.3.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of deposit tickets and the number of items on deposit tickets. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of deposit tickets. Random sampling will be performed such that each deposit ticket in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the deposit tickets. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-8

1. Contract Requirement No. CR-5.3-8: Record Collections.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Collections are recorded within specified timeframes. | Timeliness | 5.3.3.2.1 | 5% | XX |
| b. Collections are recorded accurately. | Quality | 5.3.3.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of collection entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of collection entries made. Random sampling will be performed such that each collection entry made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each collection entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-9

1. Contract Requirement No. CR-5.3-9: Prepare Misdirected Collections Memorandum and Submit for Approval.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Memorandum requesting redirection of collections is prepared and submitted for approval within specified timeframes. | Timeliness | 5.3.3.2.2 | 10% | XX |
| b. Memorandum requesting redirection of collections is prepared accurately. | Quality | 5.3.3.2.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of memorandums prepared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of memorandums prepared. Random sampling will be performed such that each memorandum prepared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the memorandums prepared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-10

1. Contract Requirement No. CR-5.3-10: Status of Collections Calls.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Status of collection calls are made within specified timeframes. | Timeliness | 5.3.3.2.3 | 20% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of calls made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of status of collection calls. Random sampling will be performed such that each collection call in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each collection call. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-11

1. Contract Requirement No. CR-5.3-11: Record and Reconcile Monthly Accruals of Interest Earned for Designated Investment Accounts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Accruals of interest earned for designated investment accounts are recorded and reconciled within specified timeframes. | Timeliness | 5.3.3.2.4 | 10% | XX |
| b. Accruals of interest earned for designated investment accounts are recorded and reconciled accurately. | Quality | 5.3.3.2.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries made. Random sampling will be performed such that each entry made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-12

1. Contract Requirement No. CR-5.3-12: Clear Deposit Suspense Account.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Deposit suspense account is cleared within specified timeframes. | Timeliness | 5.3.3.3.1 | 10% | XX |
| b. Deposit suspense account is cleared accurately. | Quality | 5.3.3.3.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of suspense items cleared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of suspense items cleared. Random sampling will be performed such that each suspense item cleared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each suspense item cleared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.3-13</p> |
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1. Contract Requirement No. CR-5.3-13: Clear Credits in Payroll Suspense Account.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Credits in payroll suspense account are cleared within specified timeframes. | Timeliness | 5.3.3.4.1 | 10% | XX |
| b. Credits in payroll suspense account are cleared accurately. | Quality | 5.3.3.4.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of payroll suspense items cleared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of payroll suspense items cleared. Random sampling will be performed such that each payroll suspense item cleared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each cleared payroll suspense item. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.3-14</p> |
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1. Contract Requirement No. CR-5.3-14: Record Deposits of Unclaimed Monies.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Deposits of unclaimed monies are recorded within specified timeframes. | Timeliness | 5.3.3.5.1 | 5% | XX |
| b. Deposits of unclaimed monies are recorded accurately. | Quality | 5.3.3.5.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of collections recorded. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of collections recorded. Random sampling will be performed such that each collection recorded in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each collection recorded. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.3-15</p> |
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1. Contract Requirement No. CR-5.3-15: Process Refunds.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Refunds are processed within specified timeframes. | Timeliness | 5.3.3.5.2 | 10% | XX |
| b. Refunds are processed accurately. | Quality | 5.3.3.5.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of payees. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of payees. Random sampling will be performed such that each payee in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each payee refund. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.3-16</p> |
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1. Contract Requirement No. CR-5.3-16: Reconcile Unclaimed Monies Account Balances.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Unclaimed monies account balances are reconciled within specified timeframes. | Timeliness | 5.3.3.5.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each reconciliation. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-17

1. Contract Requirement No. CR-5.3-17: Clear DOE Suspense Account of Unclaimed Monies.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Unclaimed monies suspense account is cleared within specified timeframes. | Timeliness | 5.3.3.5.4 | 10% | XX |
| b. Unclaimed monies suspense account is cleared accurately. | Quality | 5.3.3.5.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-18

1. Contract Requirement No. CR-5.3-18: Process Receipt of Advance Funds.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Advance funds are processed within specified timeframes. | Timeliness | 5.3.3.6.1 | 5% | XX |
| b. Advance funds are processed accurately. | Quality | 5.3.3.6.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-19

1. Contract Requirement No. CR-5.3-19: Process Receipt of Advance Funds for FEMP.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. FEMP advance funds are processed within specified timeframes | Timeliness | 5.3.3.6.2 | 10% | XX |
| b. FEMP advance funds are processed accurately | Quality | 5.3.3.6.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-20

1. Contract Requirement No. CR-5.3-20: Prepare and Mail Collection Letters.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Collection letters are prepared and mailed within specified timeframes. | Timeliness | 5.3.4.1.1 | 10% | XX |
| b. Collection letters are prepared accurately. | Quality | 5.3.4.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of follow-up letters issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of follow-up letters issued. Random sampling will be performed such that each follow-up letter issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each follow-up letter issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-21

1. Contract Requirement No. CR-5.3-21: Prepare and Refer Delinquent Accounts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Delinquent account documentation is prepared and account referred within specified timeframes. | Timeliness | 5.3.4.1.2 | 5% | XX |
| b. Delinquent account documentation is prepared accurately. | Quality | 5.3.4.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of referrals. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of referrals. Random sampling will be performed such that each referral in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each referral. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-22

1. Contract Requirement No. CR-5.3-22: Record Allowance for Receivable Loss.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Allowance for receivable loss is recorded within specified timeframes. | Timeliness | 5.3.4.1.3 | 5% | XX |
| b. Allowance for receivable loss is recorded accurately. | Quality | 5.3.4.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries made. Random sampling will be performed such that each entry made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.3-23</p> |
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1. Contract Requirement No. CR-5.3-23: Prepare and Submit Write-Off, Cancellation, and Compromise Letters and Record Entries.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Write-off, cancellation, and compromise letters are prepared and submitted, and entries recorded within specified timeframes. | Timeliness | 5.3.4.1.4 | 5% | XX |
| b. Write-off, cancellation, and compromise letters are prepared and submitted, and entries recorded accurately. | Quality | 5.3.4.1.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of write-off, cancellation, and compromise letters, and the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of number of write-off, cancellation, and compromise letters. Random sampling will be performed

such that each number of write-off, cancellation, and compromise letter in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect write-off, cancellation, and compromise letters. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.3-24

1. Contract Requirement No. CR-5.3-24: Prepare and Issue Penalty and Lost Interest Letters.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Penalty and lost interest letters are prepared and issued within specified timeframes. | Timeliness | 5.3.4.2.1 | 10% | XX |
| b. Penalty and lost interest letters are prepared accurately. | Quality | 5.3.4.2.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of letters issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters issued. Random sampling will be performed such that each letter issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each letter issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Payroll Support Activities**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.4-1 | CR-5.4-1 | Process and Record Requests for Leave Restoration |
| 5.4-2 | CR-5.4-2 | Process Unemployment Verification Forms |
| 5.4-3 | CR-5.4-3 | Collect and Analyze Payroll Data Involving EEO Settlements |
| 5.4-4 | CR-5.4-4 | Update DFAS Master Employee Record |
| 5.4-5 | CR-5.4-5 | Maintain Local Tables in DFAS Payroll and Time and Attendance (T&A) Systems |
| 5.4-6 | CR-5.4-6 | Prepare and Submit IRS Form W-2s |
| 5.4-7 | CR-5.4-7 | Enter Data into DFAS T&A System |
| 5.4-8 | CR-5.4-8 | Investigate Causes of T&A Submission Problems and Perform Follow-on Corrective Steps to Assure Entry of All T&A Data |
| 5.4-9 | CR-5.4-9 | Provide System Administrative Support to DFAS T&A System |
| 5.4-10 | CR-5.4-10 | Transfer Federal Withholding Taxes |
| 5.4-11 | CR-5.4-11 | Transfer State and Federal Withholding Taxes for PCS Travel Entitlements |
| 5.4-12 | CR-5.4-12 | Scan Source Documents |
| 5.4-13 | CR-5.4-13 | Update Security Access Files in DFAS |
| 5.4-14 | CR-5.4-14 | Forward Payroll Documents to DFAS Payroll Staff |
| 5.4-15 | CR-5.4-15 | Provide Training on DFAS Payroll and T&A Systems |
| 5.4-16 | CR-5.4-16 | Research and Develop Various Payroll Ad Hoc Reports |
| 5.4-17 | CR-5.4-17 | Download DFAS Payroll Data and Distribute Activity Level Reports to Timekeepers |
| 5.4-18 | CR-5.4-18 | Perform Payroll Customer Service and Liaison Between DOE Customers and DFAS |

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-1

1. Contract Requirement No. CR-5.4-1: Process and Record Requests for Leave Restoration.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Requests for leave restoration are processed and recorded within specified timeframes. | Timeliness | 5.4.2.1.1 | 20% | XX |
| b. Requests for leave restoration are processed and recorded accurately. | Quality | 5.4.2.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of approved requests processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of approved requests. Random sampling will be performed such that each approved request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each approved request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|---|
| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.4-2</p> |
|---|

1. Contract Requirement No. CR-5.4-2: Process Unemployment Verification Forms.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Unemployment verification forms are processed within specified timeframes. | Timeliness | 5.4.2.1.2 | 25% | XX |
| b. Unemployment verification forms are processed and recorded accurately. | Quality | 5.4.2.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of forms processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of forms. Random sampling will be performed such that each form in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each form. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-3

1. Contract Requirement No. CR-5.4-3: Collect and Analyze Payroll Data Involving EEO Settlements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Collect, analyze, and submit pay data within specified timeframes. | Timeliness | 5.4.2.1.3 | 10% | XX |
| b. Develop scenarios with accurate pay data. | Quality | 5.4.2.1.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for "Timeliness" and "Quality."

3. Quantity of Work: The quantity of work is the number of requests. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of requests. Random sampling will be performed such that each request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-4

1. Contract Requirement No. CR-5.4-4: Update DFAS Master Employee Record.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Update DFAS Master Employee Record within specified timeframes. | Timeliness | 5.4.2.1.4 | 2% | XX |
| b. Update DFAS Master Employee Record accurately. | Quality | 5.4.2.1.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry processed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-5

1. Contract Requirement No. CR-5.4-5: Maintain Local Tables in DFAS Payroll and Time and Attendance (T&A) Systems.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Maintain local tables in DFAS payroll and T&A systems within specified timeframes. | Timeliness | 5.4.2.1.5 | 25% | XX |
| b. Maintain local tables in DFAS payroll and T&A systems accurately. | Quality | 5.4.2.1.5 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

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SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-6

1. Contract Requirement No. CR-5.4-6: Prepare and Submit IRS Form W-2s.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Prepare and submit IRS Form W-2s within specified timeframes. | Timeliness | 5.4.2.1.6 | 5% | XX |
| b. Prepare accurate IRS Form W-2s. | Quality | 5.4.2.1.6 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of W-2 forms. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of W-2 forms. Random sampling will be performed such that each W-2 form in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each W-2 form. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-7

1. Contract Requirement No. CR-5.4-7: Enter Data into DFAS T&A.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Enter data into DFAS T&A system within specified timeframes. | Timeliness | 5.4.2.2.1 | 2% | XX |
| b. Enter data into DFAS T&A system accurately. | Quality | 5.4.2.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of entries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of entries. Random sampling will be performed such that each entry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each entry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.4-8

1. Contract Requirement No. CR-5.4-8: Enter Data into DFAS T&A.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Investigate causes of T&A submission problems and perform follow-on corrective steps to assure all T&A data has been entered within specified timeframes. | Timeliness | 5.4.2.2.2 | 5% | XX |
| b. Assure all T&A data has been entered accurately. | Quality | 5.4.2.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of corrections. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of corrections. Random sampling will be performed such that each correction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each correction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|--|
| Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.4-9 |
|--|

1. Contract Requirement No. CR-5.4-9: Provide System Administrative Support to DFAS T&A System.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Provide system administrative support to DFAS T&A system within specified timeframes. | Timeliness | 5.4.2.2.3 | 1% | XX |
| b. Provide accurate system administrative support. | Quality | 5.4.2.2.3 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of requests. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of requests. Random sampling will be performed such that each request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|---|
| Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.4-10 |
|---|

1. Contract Requirement No. CR-5.4-10: Transfer Federal Withholding Taxes.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Transfer Federal withholding taxes for IPA personnel within specified timeframes. | Timeliness | 5.4.2.3.1 | 5% | XX |
| b. Transfer Federal withholding taxes for IPA personnel accurately. | Quality | 5.4.2.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transfers. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transfers. Random sampling will be performed such that each transfer in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transfer. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|------------------------------------|
| Contract Number: xxxxxxxxxxxx |
| Contract Title: Financial Services |
| Location: XXXXX |
| Surveillance Guide Number: 5.4-11 |

1. Contract Requirement No. CR-5.4-11: Transfer State and Federal Withholding Taxes for PCS Travel Entitlements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Transfer State and Federal withholding taxes for employees paid PCS travel entitlements within specified timeframes. | Timeliness | 5.4.2.3.2 | 5% | XX |
| b. Transfer State and Federal withholding taxes for employees paid PCS travel entitlements accurately. | Quality | 5.4.2.3.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transfers. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transfers. Random sampling will be performed such that each transfer in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transfer. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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|---|
| Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.4-12 |
|---|

1. Contract Requirement No. CR-5.4-12: Scan Source Documents.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Scan source documents within specified timeframes. | Timeliness | 5.4.2.4.1 | 25% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of scanned documents. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of scanned documents. Random sampling will be performed such that each scanned document in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each scanned document. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

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| Contract Number: xxxxxxxxxxxx |
| Contract Title: Financial Services |
| Location: XXXXX |
| Surveillance Guide Number: 5.4-13 |

1. Contract Requirement No. CR-5.4-13: Update Security Access Files in DFAS.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Update security access files in DFAS within specified timeframes. | Timeliness | 5.4.2.4.2 | 10% | XX |
| b. Update security access files in DFAS accurately. | Quality | 5.4.2.4.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates. Random sampling will be performed such that each update in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each update. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p style="text-align: center;">SURVEILLANCE GUIDES</p> <p style="text-align: center;">Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX</p> |
|---|

Surveillance Guide Number: 5.4-14

1. Contract Requirement No. CR-5.4-14: Forward Payroll Documents to DFAS Payroll Staff.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Forward payroll-related documents to DFAS payroll staff within specified timeframes. | Timeliness | 5.4.2.4.3 | 5% | XX |
| b. Forward payroll-related documents to DFAS payroll staff accurately. | Quality | 5.4.2.4.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of documents. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of documents. Random sampling will be performed such that each document in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each document. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
Contract Title: Financial Services
Location: XXXXX

Surveillance Guide Number: 5.4-15

1. Contract Requirement No. CR-5.4-15: Provide Training on DFAS Payroll and T&A Systems.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Provide training on DFAS payroll and T&A systems within specified timeframes. | Timeliness | 5.4.2.4.4 | 5% | XX |
| b. Provide training on DFAS payroll and T&A systems and record training information accurately. | Quality | 5.4.2.4.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of training sessions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

- Normal Surveillance: XX
- Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of training sessions. Random sampling will be performed such that each training session in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect survey documents for each training session. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
Contract Title: Financial Services
Location: XXXXX
Surveillance Guide Number: 5.4-16

1. Contract Requirement No. CR-5.4-16: Research and Develop Various Payroll Ad Hoc Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Research and develop various payroll ad hoc reports within specified timeframes. | Timeliness | 5.4.2.5.1 | 2% | XX |
| b. Develop various payroll ad hoc reports accurately. | Quality | 5.4.2.5.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports. Random sampling will be performed such that each report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor’s overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation

to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
Contract Title: Financial Services
Location: XXXXX
Surveillance Guide Number: 5.4-17

1. Contract Requirement No. CR-5.4-17: Download DFAS Payroll Data and Distribute Activity Level Reports to Timekeepers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Download DFAS payroll data and distribute activity level reports to timekeepers within specified timeframes. | Timeliness | 5.4.2.5.2 | 2% | XX |
| b. Download DFAS payroll data accurately. | Quality | 5.4.2.5.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

- Normal Surveillance: XX
- Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports. Random sampling will be performed such that each report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor’s overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation

to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
Contract Title: Financial Services
Location: XXXXX
Surveillance Guide Number: 5.4-18

1. Contract Requirement No. CR-5.4-18: Perform Payroll Customer Service and Liaison Between DOE Customers and DFAS.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Log inquiries, research, and respond within specified timeframes. | Timeliness | 5.4.2.6.1 | 5% | XX |
| b. Provide accurate data and information. | Quality | 5.4.2.6.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of inquiries. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX
 Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of inquiries. Random sampling will be performed such that each inquiry in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each inquiry. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor’s overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation

to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

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**Index of Surveillance Guides
Travel Services**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.5-1 | CR-5.5-1 | Prepare and Submit Training Manuals, Materials, and Handouts |
| 5.5-2 | CR-5.5-2 | Conduct Training for Travel Manager and Record Information Regarding Individuals Trained |
| 5.5-3 | CR-5.5-3 | Execute Travel Manager Interface |
| 5.5-4 | CR-5.5-4 | Perform Weekly Review of Travel Data and Provide Follow-up Notification to Travelers |

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.5-5 | CR-5.5-5 | Submit Applications for Travel Charge Cards |
| 5.5-6 | CR-5.5-6 | Monitor Delinquencies and Misuse of Travel Charge Cards, and Prepare and Send Delinquent or Misuse Notices and Summary Report to CO |
| 5.5-7 | CR-5.5-7 | Coordinate use of Corporate Credit Card |
| 5.5-8 | CR-5.5-8 | Review, Record and Validate Paper Travel Vouchers |
| 5.5-9 | CR-5.5-9 | Audit Intergovernmental Personnel Act (IPA) Post-Payment Vouchers |
| 5.5-10 | CR-5.5-10 | Audit Paper Travel Vouchers |
| 5.5-11 | CR-5.5-11 | Run Random Sampling Process, Issue Initial and Follow-Up Notifications to Audit Candidates, and Refer Non-Responses to CO |
| 5.5-12 | CR-5.5-12 | Audit Post-Payment Travel Vouchers |
| 5.5-13 | CR-5.5-13 | Prepare and Submit Billing Requests for Overpayments, and Notify Travelers of Underpayments |
| 5.5-14 | CR-5.5-14 | Prepare PCS Travel Authorizations, Procurement Requests, and Amendments |
| 5.5-15 | CR-5.5-15 | Coordinate and Review PCS Travel Authorizations |
| 5.5-16 | CR-5.5-16 | Process PCS Travel Vouchers |
| 5.5-17 | CR-5.5-17 | Prepare and Submit PCS Billing Requests |
| 5.5-18 | CR-5.5-18 | Process Home Marketing Incentive Reimbursement |
| 5.5-19 | CR-5.5-19 | Enter Payment Information for Real Estate Expenses and Shipping and Storage of Household Goods |
| 5.5-20 | CR-5.5-20 | Test Relocation Income Tax Allowance (RITA) Disk |
| 5.5-21 | CR-5.5-21 | Generate Report to Identify Individuals with Taxable Payments and Send Notifications Regarding Eligibility to Receive Taxable Payments |
| 5.5-22 | CR-5.5-22 | Issue Follow-Up Notices to Travelers Eligible for Taxable Payments |
| 5.5-23 | CR-5.5-23 | Process RITA Travel Vouchers |
| 5.5-24 | CR-5.5-24 | Prepare and Submit Billing Request and Supporting Documentation for Approval if Traveler Owes Government |
| 5.5-25 | CR-5.5-25 | Complete Close Out of PCS Travel Authorizations |
| 5.5-26 | CR-5.5-26 | Review and Research Purchase Orders to Determine Eligibility for Close Out and Inform CO of Purchase Orders to be Closed Out |
| 5.5-27 | CR-5.5-27 | Generate, Review, Reconcile, and Provide Individual Year-To-Date Actual Relocation Costs Report |
| 5.5-28 | CR-5.5-28 | Review, Confirm, and Reconcile Reported Payroll Amounts with Actual Payment Amounts |
| 5.5-29 | CR-5.5-29 | Review, Confirm, and Reconcile Payments with Amounts Charged |
| 5.5-30 | CR-5.5-30 | Review, Confirm, and Reconcile Taxes Withheld with Amount Paid |
| 5.5-31 | CR-5.5-31 | Manage Receipt and Distribution of Airline Tickets and Ticket Receipts |
| 5.5-32 | CR-5.5-32 | Maintain Ticket Information in Accounting System and Resolve Interface Errors |
| 5.5-33 | CR-5.5-33 | Extract, Compile, and Submit Local Mileage for Annual Local Mileage Reimbursable Report |
| 5.5-34 | CR-5.5-34 | Provide Customer Service and Respond to and Resolve User Requests |

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-1

1. Contract Requirement No. CR-5.5-1: Prepare and Submit Training Manuals, Materials, and Handouts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Training manuals, materials, and handouts are prepared and submitted within specified timeframes. | Timeliness | 5.5.2.1.1 | 5% | XX |
| b. Training manuals, materials, and handouts are prepared and submitted accurately. | Quality | 5.5.2.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of documents prepared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of documents prepared. Random sampling will be performed such that each document prepared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the documents prepared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.5-2</p> |
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1. Contract Requirement No. CR-5.5-2: Conduct Training for Travel Manager and Record Information Regarding Individuals Trained.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Travel Manager training is conducted and training information recorded within specified timeframes. | Timeliness | 5.5.2.1.2 | 5% | XX |
| b. Travel Manager training is conducted and training information recorded accurately. | Quality | 5.5.2.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of classes and number of 1-on-1 individuals trained. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of classes and number of 1-on-1 individuals trained. Random sampling will be performed such that each class and individual trained in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect classes and number of 1-on-1 individuals trained. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.5-3</p> |
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1. Contract Requirement No. CR-5.5-3: Execute Travel Manager Interface.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Travel Manager interface is executed within specified timeframes. | Timeliness | 5.5.2.2.1 | 3% | XX |
| b. Travel Manager interface is executed accurately. | Quality | 5.5.2.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: See Surveillance Guides 5.1-3 and 5.2-3.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: See Surveillance Guides 5.1-3 and 5.2-3.

7. Evaluation Procedures: See Surveillance Guides 5.1-3 and 5.2-3.

8. Analysis of Results: See Surveillance Guides 5.1-3 and 5.2-3.

9. Suggested Action: See Surveillance Guides 5.1-3 and 5.2-3.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-4

1. Contract Requirement No. CR-5.5-4: Perform Weekly Review of Travel Data and Provide Follow-up Notification to Travelers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reviews are performed and follow-up notifications issued within specified timeframes. | Timeliness | 5.5.2.2.2 | 10% | XX |
| b. Reviews are performed and follow-up notifications issued accurately. | Quality | 5.5.2.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of rejected vouchers and the number of follow-up notifications issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of rejected vouchers and follow-up notifications issued. Random sampling will be performed such that each rejected voucher and follow-up notification issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each rejected voucher and follow-up notification issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.5-5</p> |
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1. Contract Requirement No. CR-5.5-5: Submit Applications for Travel Charge Cards.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Applications for travel charge cards are submitted within specified timeframes. | Timeliness | 5.5.3.1.1 | 5% | XX |
| b. Applications for travel charge cards are submitted accurately. | Quality | 5.5.3.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of applications submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of applications submitted. Random sampling will be performed such that each application submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each application submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-6

1. Contract Requirement No. CR-5.5-6: Monitor Delinquencies and Misuse of Travel Charge Cards, and Prepare and Send Delinquent or Misuse Notices and Summary Report to CO.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Use of travel charge cards is monitored, and delinquent or misuse notices and summary reports are prepared and sent within specified timeframes. | Timeliness | 5.5.3.2.1 | 10% | XX |
| b. Use of travel charge cards is monitored, and delinquent or misuse notices and summary reports are prepared accurately. | Quality | 5.5.3.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality”.

3. Quantity of Work: The quantity of work is the number of accounts reviewed, the number of notices for delinquent and misused accounts prepared and sent, and the number of reports prepared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of accounts reviewed, notices for delinquent and misused accounts prepared and sent, and reports prepared. Random sampling will be performed such that each account reviewed, notice

for delinquent and misused accounts prepared and sent, and report prepared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each account reviewed, notice for delinquent and misused accounts prepared and sent, and report prepared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.5-7</p> |
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1. Contract Requirement No. CR-5.5-7: Coordinate use of Corporate Credit Card.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Use of corporate credit card is coordinated within specified timeframes. | Timeliness | 5.5.3.2.2 | 5% | XX |
| b. Use of corporate credit card is coordinated accurately. | Quality | 5.5.3.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of approved requests. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of approved requests. Random sampling will be performed such that each approved request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each approved request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-8

1. Contract Requirement No. CR-5.5-8: Review, Record and Validate Paper Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Paper travel vouchers are reviewed and recorded within specified timeframes. | Timeliness | 5.5.4.1.1 | 5% | XX |
| b. Paper travel vouchers are reviewed and recorded accurately. | Quality | 5.5.4.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of vouchers. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of vouchers. Random sampling will be performed such that each voucher in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each voucher. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-9

1. Contract Requirement No. CR-5.5-9: Audit Intergovernmental Personnel Act (IPA) Post-Payment Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. IPA post-payment vouchers are audited within specified timeframes. | Timeliness | 5.5.5.1.1 | 10% | XX |
| b. IPA post-payment vouchers are audited accurately. | Quality | 5.5.5.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of IPA vouchers audited. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of IPA vouchers audited. Random sampling will be performed such that each IPA voucher audited in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each IPA voucher audited. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-10

1. Contract Requirement No. CR-5.5-10: Audit Paper Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Paper vouchers are audited within specified timeframes. | Timeliness | 5.5.5.2.1 | 5% | XX |
| b. Paper vouchers are audited accurately. | Quality | 5.5.5.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of paper vouchers audited. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of paper vouchers audited. Random sampling will be performed such that each paper voucher audited in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect paper vouchers audited. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-11

1. Contract Requirement No. CR-5.5-11: Run Random Sampling Process, Issue Initial and Follow-Up Notifications to Audit Candidates, and Refer Non-Responses to CO.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Random sampling process is run, audit notifications are issued, and non-responses referred within specified timeframes. | Timeliness | 5.5.5.3.1 | 5% | XX |
| b. Random sampling process is run, audit notifications are issued, and non-responses referred are accurate. | Quality | 5.5.5.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of initial notifications, the number of follow-up notifications, and the number of non-response referrals made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required initial notifications, follow-up notifications, and non-response referrals made. Random sampling will be performed such that each initial notification, follow-up notification, and non-response referral made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each initial notification, follow-up notification, and non-response referral made. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.5-12</p> |
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1. Contract Requirement No. CR-5.5-12: Audit Post-Payment Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Post-payment travel vouchers are audited within specified timeframes. | Timeliness | 5.5.5.4.1 | 5% | XX |
| b. Post-payment travel vouchers are audited accurately. | Quality | 5.5.5.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of audits performed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of audits performed. Random sampling will be performed such that each audit performed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect audited vouchers. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-13

1. Contract Requirement No. CR-5.5-13: Prepare and Submit Billing Requests for Overpayments, and Notify Travelers of Underpayments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Billing requests are prepared and submitted, and travelers notified of underpayments within specified timeframes. | Timeliness | 5.5.5.1 | 5% | XX |
| b. Billing requests are prepared and submitted, and travelers notified of underpayments accurately. | Quality | 5.5.5.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of billing requests submitted and underpayment notifications issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of billing requests submitted and underpayment notifications issued. Random sampling will be performed such that each billing request submitted and underpayment notification issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each billing request submitted and underpayment notification issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-14

1. Contract Requirement No. CR-5.5-14: Prepare PCS Travel Authorizations, Procurement Requests, and Amendments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. PCS travel authorizations, procurement requests, and amendments are prepared within specified timeframes. | Timeliness | 5.5.6.1.1 | 5% | XX |
| b. PCS travel authorizations, procurement requests, and amendments are prepared accurately. | Quality | 5.5.6.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of PCS travel authorizations, procurement requests, and amendments prepared. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of PCS travel authorizations, procurement requests, and amendments prepared. Random sampling will be performed such that each PCS travel authorization, procurement request, and amendment prepared in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each PCS travel authorization, procurement request, and amendment prepared. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-15

1. Contract Requirement No. CR-5.5-15: Coordinate and Review PCS Travel Authorizations.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. PCS travel authorizations are coordinated and reviewed within specified timeframes. | Timeliness | 5.5.6.2.1 | 3% | XX |
| b. PCS travel authorizations are coordinated and reviewed accurately. | Quality | 5.5.6.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of PCS travel authorizations reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of PCS travel authorizations reviewed. Random sampling will be performed such that each PCS travel authorization reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each PCS travel authorization reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-16

1. Contract Requirement No. CR-5.5-16: Process PCS Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. PCS travel vouchers are processed within specified timeframes. | Timeliness | 5.5.6.2.2 | 5% | XX |
| b. Process PCS Travel Vouchers accurately. | Quality | 5.5.6.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of PCS travel vouchers processed for payment and the number of PCS travel vouchers returned for correction. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of PCS travel vouchers processed for payment and the number of PCS travel vouchers returned for correction. Random sampling will be performed such that each PCS travel voucher processed for payment and PCS travel voucher returned for correction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each PCS travel voucher processed for payment and PCS travel voucher returned for correction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-17

1. Contract Requirement No. CR-5.5-17: Prepare and Submit PCS Billing Requests.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. PCS billing requests are prepared and submitted within specified timeframes. | Timeliness | 5.5.6.3.1 | 5% | XX |
| b. PCS billing requests are prepared and submitted accurately. | Quality | 5.5.6.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of billing requests submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of billing requests submitted. Random sampling will be performed such that each billing request submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect billing requests submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-18

1. Contract Requirement No. CR-5.5-18: Process Home Marketing Incentive Reimbursement.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Home Marketing Incentive reimbursements are processed within specified timeframes. | Timeliness | 5.5.6.4.1 | 5% | XX |
| b. Home Marketing Incentive reimbursements are processed accurately. | Quality | 5.5.6.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of Home Marketing Incentive forms processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of Home Marketing Incentive forms processed. Random sampling will be performed such that each Home Marketing Incentive form processed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect Home Marketing Incentive forms processed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-19

1. Contract Requirement No. CR-5.5-19: Enter Payment Information for Real Estate Expenses and Shipping and Storage of Household Goods.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Payment information is entered within specified timeframes. | Timeliness | 5.5.6.4.2 | 5% | XX |
| b. Payment information is entered accurately. | Quality | 5.5.6.4.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions entered. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions entered. Random sampling will be performed such that each transaction entered in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction entered. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-20

1. Contract Requirement No. CR-5.5-20: Test Relocation Income Tax Allowance (RITA) Disk.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. RITA disk is tested within specified timeframes. | Timeliness | 5.5.6.5.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of tests performed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of tests performed. Random sampling will be performed such that each test performed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each test performed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-21

1. Contract Requirement No. CR-5.5-21: Generate Report to Identify Individuals with Taxable Payments and Send Notifications Regarding Eligibility to Receive Taxable Payments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reports are generated and notifications sent within specified timeframes. | Timeliness | 5.5.6.5.2 | 5% | XX |
| b. Reports are generated and notifications sent accurately. | Quality | 5.5.6.5.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of individuals identified and number of notifications sent. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of individuals identified and number of notifications sent. Random sampling will be performed such that each individual identified and notification sent in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect the report which identifies each individual with taxable payments and each notification sent. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-22

1. Contract Requirement No. CR-5.5-22: Issue Follow-up Notices to Travelers Eligible for Taxable Payments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Traveler responses are monitored and follow-up notices issued within specified timeframes. | Timeliness | 5.5.6.5.3 | 10% | XX |
| b. Traveler responses are monitored and follow-up notices issued accurately. | Quality | 5.5.6.5.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of follow-up notifications issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of follow-up notifications issued. Random sampling will be performed such that each follow-up notification issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each follow-up notification issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-23

1. Contract Requirement No. CR-5.5-23: Process RITA Travel Vouchers.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. RITA travel vouchers are processed within specified timeframes. | Timeliness | 5.5.6.5.4 | 10% | XX |
| b. RITA travel vouchers are processed accurately. | Quality | 5.5.6.5.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of RITA travel vouchers processed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of RITA travel vouchers processed. Random sampling will be performed such that each RITA travel voucher processed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each RITA travel voucher processed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-24

1. Contract Requirement No. CR-5.5-24: Prepare and Submit Billing Request and Supporting Documentation for Approval if Traveler Owes Government.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Billing requests and supporting documentation are prepared and submitted within specified timeframes. | Timeliness | 5.5.6.5.5 | 5% | XX |
| b. Billing requests and supporting documentation are prepared and submitted accurately. | Quality | 5.5.6.5.5 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of billing requests submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of billing requests submitted. Random sampling will be performed such that each billing request submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each billing request submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-25

1. Contract Requirement No. CR-5.5-25: Complete Close Out of PCS Travel Authorizations.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. PCS travel authorizations are closed out within specified timeframes. | Timeliness | 5.5.6.6.1 | 5% | XX |
| b. PCS travel authorizations are closed out accurately. | Quality | 5.5.6.6.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions entered. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions entered. Random sampling will be performed such that each transaction entered in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction entered. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-26

1. Contract Requirement No. CR-5.5-26: Review and Research Purchase Orders to Determine Eligibility for Close Out and Inform CO of Purchase Orders to be Closed Out.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Purchase orders are reviewed and researched for close out eligibility and CO is informed of purchase orders to be closed out within specified timeframes. | Timeliness | 5.5.6.6.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of purchase orders reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of purchase orders reviewed. Random sampling will be performed such that each purchase order reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each purchase order reviewed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-27

1. Contract Requirement No. CR-5.5-27: Generate, Review, Reconcile, and Provide Individual Year-To-Date Actual Relocation Costs Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Year-to-date relocation costs report is generated, reviewed, reconciled, and provided within specified timeframes. | Timeliness | 5.5.6.7.1 | 5% | XX |
| b. Year-to-date relocation costs report is generated, reviewed, reconciled, and provided accurately. | Quality | 5.5.6.7.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports generated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports generated. Random sampling will be performed such that each report generated in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report generated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-28

1. Contract Requirement No. CR-5.5-28: Review, Confirm, and Reconcile Reported Payroll Amounts with Actual Payment Amounts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Payroll amounts are reviewed, confirmed, and reconciled within specified timeframes. | Timeliness | 5.5.6.7.2 | 5% | XX |
| b. Payroll amounts are reviewed, confirmed, and reconciled accurately. | Quality | 5.5.6.7.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors. Random sampling will be performed such that each edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each edit error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-29

1. Contract Requirement No. CR-5.5-29: Review, Confirm, and Reconcile Payments with Amounts Charged.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Payments are reviewed, confirmed, and reconciled within specified timeframes. | Timeliness | 5.5.6.7.3 | 5% | XX |
| b. Payments are reviewed, confirmed, and reconciled accurately. | Quality | 5.5.6.7.3 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors. Random sampling will be performed such that each edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each edit error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-30

1. Contract Requirement No. CR-5.5-30: Review, Confirm, and Reconcile Taxes Withheld with Amount Paid.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Amount of taxes withheld is reviewed, confirmed, and reconciled within specified timeframes. | Timeliness | 5.5.6.7.4 | 5% | XX |
| b. Amount of taxes withheld is reviewed, confirmed, and reconciled accurately. | Quality | 5.5.6.7.4 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors. Random sampling will be performed such that each edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each edit error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-31

1. Contract Requirement No. CR-5.5-31: Manage Receipt and Distribution of Airline Tickets and Ticket Receipts.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Airline tickets and ticket receipts are managed and distributed within specified timeframes. | Timeliness | 5.5.7.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of tickets distributed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of tickets distributed. Random sampling will be performed such that each ticket distributed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect ticket log to ensure timely distribution of tickets. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-32

1. Contract Requirement No. CR-5.5-32: Maintain Ticket Information in Accounting System and Resolve Interface Errors.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Ticket information is maintained in accounting system and interface errors resolved within specified timeframes. | Timeliness | 5.5.7.2.1 | 10% | XX |
| b. Ticket information is maintained in accounting system and interface errors resolved accurately. | Quality | 5.5.7.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of manual ticket entries, number of files processed, and number of errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of manual ticket entries, files processed, and errors. Random sampling will be performed such that each manual ticket entry, file processed, and error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each manual ticket entry, file processed, and error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-33

1. Contract Requirement No. CR-5.5-33: Extract, Compile, and Submit Local Mileage for Annual Local Mileage Reimbursable Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Local mileage is extracted and compiled and report submitted to CO within specified timeframes. | Timeliness | 5.5.8.1.1 | 10% | XX |
| b. Local mileage is extracted and compiled and report submitted to CO accurately. | Quality | 5.5.8.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of trip records reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of trip records reviewed. Random sampling will be performed such that each trip record reviewed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each trip record reviewed with the local mileage reimbursable report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.5-34

1. Contract Requirement No. CR-5.5-34: Provide Customer Service and Respond to and Resolve User Requests.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Customer service is provided, and user requests responded to and resolved within specified timeframes. | Timeliness | 5.5.9.1.1 | 2% | XX |
| b. Customer service is provided, and user requests responded to and resolved accurately. | Quality | 5.5.9.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of inquiries received. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of inquiries received. Random sampling will be performed such that each inquiry received in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each inquiry received. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Financial Systems Support**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|---|
| 5.6-1 | CR-5.6-1 | Review User Access Summary Reports |
| 5.6-2 | CR-5.6-2 | Provide the CO with Notices of Non-responsive Offices |
| 5.6-3 | CR-5.6-3 | Prepare and Update Training Manuals, Materials, and Handouts (Excludes Travel Manager) |
| 5.6-4 | CR-5.6-4 | Provide Training and Record The Number of Individuals Trained for Financial Applications (Excludes Travel Manager) |
| 5.6-5 | CR-5.6-5 | Create or Update Documentation and User Manuals for Financial Applications and Distribute Documentation to User Community (Excludes Travel Manager) |
| 5.6-6 | CR-5.6-6 | Analyze, Prepare, and Submit Modification Requests |
| 5.6-7 | CR-5.6-7 | Perform User Testing to Application Software Changes (Excluding Travel Manager) and Report Errors Encountered |
| 5.6-8 | CR-5.6-8 | Update Application Tables |
| 5.6-9 | CR-5.6-9 | Perform Data Comparison Routines and Correct Imbalances |
| 5.6-10 | CR-5.6-10 | Generate Internal Reports |
| 5.6-11 | CR-5.6-11 | Resolve Application and User Issues |
| 5.6-12 | CR-5.6-12 | Coordinate Scheduled Downtimes |
| 5.6-13 | CR-5.6-13 | Analyze and Submit B&R Codes to the CO for Approval |
| 5.6-14 | CR-5.6-14 | Prepare, Execute, and Validate Transmission of B&R Data to Other Systems |
| 5.6-15 | CR-5.6-15 | Test New TM Versions and Upgrades and Report All Problems Encountered to the CO |
| 5.6-16 | CR-5.6-16 | Resolve Errors Detected in Testing New Versions and Upgrades |
| 5.6-17 | CR-5.6-17 | Receive and Input Updated TM Tables |
| 5.6-18 | CR-5.6-18 | Manually Update Information in the TM System |
| 5.6-19 | CR-5.6-19 | Prepare Documentation and Notify Users When Problems Are Detected in TM Data or Software |
| 5.6-20 | CR-5.6-20 | Provide Recommendations for New and Innovative Financial System Enhancements |
| 5.6-21 | CR-5.6-21 | Maintain Data Within Software Applications |
| 5.6-22 | CR-5.6-22 | Prepare Training Manuals, Materials, and Hand-Outs for Training Related to Other Software Applications |
| 5.6-23 | CR-5.6-23 | Provide Training and Record the Number of Individuals Trained for Other Applications |
| 5.6-24 | CR-5.6-24 | Document and Distribute Operational System Documentation to the User Community |
| | | |

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-1

1. Contract Requirement No. CR-5.6-1: Review User Access Summary Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Reports are reviewed within specified timeframes. | Timeliness | 5.6.2.1.1 | 10% | XX |
| b. Changes to user access summary reports are accurate. | Quality | 5.6.2.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of users reviewed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of users. Random sampling will be performed such that each user in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect users to determine if the review of their access was performed correctly. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-2

1. Contract Requirement No. CR-5.6-2: Provide the CO with Notices of Non-responsive Offices.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Notices of non-responsive offices are provided within specified timeframes. | Timeliness | 5.6.2.1.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of notices provided by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of notices. Random sampling will be performed such that each notice in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each notice. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-3

1. Contract Requirement No. CR-5.6-3: Prepare and Update Training Manuals, Materials, and Handouts (Excludes Travel Manager).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Training manuals, materials, and handouts are prepared and updated within specified timeframes. | Timeliness | 5.6.3.1.1 | 15% | XX |
| b. Training manuals, materials, and handouts are prepared and updated accurately. | Quality | 5.6.3.1.1 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of training materials prepared and updated by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of training materials. Random sampling will be performed such that each item of training material in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each training material. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-4

1. Contract Requirement No. CR-5.6-4: Provide Training and Record The Number of Individuals Trained for Financial Applications (Excludes Travel Manager).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Training is provided and the number of individuals trained for financial applications is recorded within specified timeframes. | Timeliness | 5.6.3.1.2 | 10% | XX |
| b. Training is provided and the number of individuals trained for financial applications is recorded accurately. | Quality | 5.6.3.1.2 | 10% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of individuals trained by 1-on-1 instruction and the number of classes provided by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of individuals trained by 1-on-1 instruction and the number of classes. Random sampling will be performed such that each individual and class in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect record logs and surveys for individuals trained and classes conducted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-5

1. Contract Requirement No. CR-5.6-5: Create or Update Documentation and User Manuals for Financial Applications and Distribute Documentation to User Community (Excludes Travel Manager).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Documentation and user manuals are created or updated, and distributed within specified timeframes. | Timeliness | 5.6.3.1.3 | 5% | XX |
| b. Documentation and user manuals are created or updated, and distributed accurately. | Quality | 5.6.3.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of documents created or updated by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of documents. Random sampling will be performed such that each document in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each document. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-6

1. Contract Requirement No. CR-5.6-6: Analyze, Prepare, and Submit Modification Requests.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Modification requests are analyzed, prepared, and submitted within specified timeframes. | Timeliness | 5.6.4.1.1 | 5% | XX |
| b. Modification requests are analyzed, prepared, and submitted accurately. | Quality | 5.6.4.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of modification requests prepared and submitted by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of modification requests. Random sampling will be performed such that each modification request in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each modification request. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-7

1. Contract Requirement No. CR-5.6-7: Perform User Testing to Application Software Changes (Excluding Travel Manager) and Report Errors Encountered.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Perform testing to application software changes and reports errors within specified timeframes. | Timeliness | 5.6.4.2.1 | 5% | XX |
| b. Perform testing and report errors accurately. | Quality | 5.6.4.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of test cases performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of test cases. Random sampling will be performed such that each test case in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each test case documentation. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-8

1. Contract Requirement No. CR-5.6-8: Update Application Tables.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Application tables are updated within specified timeframes. | Timeliness | 5.6.5.1.1 | 10% | XX |
| b. Application tables are updated accurately. | Quality | 5.6.5.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates. Random sampling will be performed such that each update in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each update. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-9

1. Contract Requirement No. CR-5.6-9: Perform Data Comparison Routines and Correct Imbalances.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Data comparison routines are performed and imbalances are corrected within specified timeframes. | Timeliness | 5.6.5.1.2 | 10% | XX |
| b. Data comparison routines are performed and imbalances are corrected accurately. | Quality | 5.6.5.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports reviewed and the number of corrections made by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports and corrections. Random sampling will be performed such that each report and correction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report and correction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-10

1. Contract Requirement No. CR-5.6-10: Generate Internal Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Reports are generated within specified timeframes. | Timeliness | 5.6.5.2.1 | 15% | XX |
| b. Reports are generated accurately. | Quality | 5.6.5.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports generated by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports. Random sampling will be performed such that each report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-11

1. Contract Requirement No. CR-5.6-11: Resolve Application and User Issues.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Application and user issues are resolved within specified timeframes. | Timeliness | 5.6.5.2.2 | 5% | XX |
| b. Application and user issues are resolved accurately. | Quality | 5.6.5.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of issues resolved by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of issues. Random sampling will be performed such that each issue in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each issue. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-12

1. Contract Requirement No. CR-5.6-12: Coordinate Scheduled Downtimes.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Downtimes are coordinated within specified timeframes. | Timeliness | 5.6.5.2.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness.”

3. Quantity of Work: The quantity of work is the number of notifications provided to the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of notifications. Random sampling will be performed such that each notification in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each notification. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor’s

performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-13

1. Contract Requirement No. CR-5.6-13: Analyze and Submit B&R Codes to the CO for Approval.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. B&R codes are analyzed and submitted to the CO within specified timeframes. | Timeliness | 5.6.5.2.4 | 5% | XX |
| b. B&R codes are analyzed and submitted to the CO accurately. | Quality | 5.6.5.2.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of B&R codes updated by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of B&R codes. Random sampling will be performed such that each B&R code in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each B&R code. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-14

1. Contract Requirement No. CR-5.6-14: Prepare, Execute, and Validate Transmission of B&R Data to Other Systems.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Transmission of B&R data to other systems is prepared, executed, and validated within specified timeframes. | Timeliness | 5.6.5.2.5 | 5% | XX |
| b. Transmission of B&R data to other systems is prepared, executed, and validated accurately. | Quality | 5.6.5.2.5 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transmissions performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transmissions. Random sampling will be performed such that each transmission in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect record log for each transmission. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-15

1. Contract Requirement No. CR-5.6-15: Test New TM Versions and Upgrades and Report All Problems Encountered to the CO.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. New versions and upgrades are tested and problems are reported within specified timeframes. | Timeliness | 5.6.6.1.1 | 10% | XX |
| b. New versions and upgrades are tested and problems are reported accurately. | Quality | 5.6.6.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of test cases performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of test cases. Random sampling will be performed such that each test case in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each test case. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-16

1. Contract Requirement No. CR-5.6-16: Resolve Errors Detected in Testing New Versions and Upgrades.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Errors detected in testing new versions and upgrades are resolved within specified timeframes. | Timeliness | 5.6.6.1.2 | 10% | XX |
| b. Errors detected in testing new versions and upgrades are resolved accurately. | Quality | 5.6.6.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of errors resolved by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of errors. Random sampling will be performed such that each error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-17

1. Contract Requirement No. CR-5.6-17: Receive and Input Updated TM Tables.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Tables are received and input within specified timeframes. | Timeliness | 5.6.6.2.1 | 10% | XX |
| b. Tables are received and input accurately. | Quality | 5.6.6.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates. Random sampling will be performed such that each update in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each update. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-18

1. Contract Requirement No. CR-5.6-18: Manually Update Information in the TM System.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Information is manually updated in the TM system within specified timeframes. | Timeliness | 5.6.6.2.2 | 5% | XX |
| b. Information is manually updated in the TM system accurately. | Quality | 5.6.6.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of updates performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of updates. Random sampling will be performed such that each update in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each update. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-19

1. Contract Requirement No. CR-5.6-19: Prepare Documentation and Notify Users When Problems Are Detected in TM Data or Software.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Documentation is prepared and users are notified within specified timeframes. | Timeliness | 5.6.6.2.3 | 10% | XX |
| b. Documentation is prepared and users are notified accurately. | Quality | 5.6.6.2.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of problems reported by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of problems reported. Random sampling will be performed such that each problem reported in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each problem reported. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-20

1. Contract Requirement No. CR-5.6-20: Provide Recommendations for New and Innovative Financial System Enhancements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Recommendations for new and innovative financial systems enhancements are provided within specified timeframes. | Timeliness | 5.6.7.1.1 | 5% | XX |
| b. Recommendations for new and innovative financial systems enhancements are provided accurately. | Quality | 5.6.7.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of recommendations provided by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of recommendations. Random sampling will be performed such that each recommendation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each recommendation. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx</p> <p>Contract Title: Financial Services</p> <p>Location: XXXXX</p> <p>Surveillance Guide Number: 5.6-21</p> |
|--|

1. Contract Requirement No. CR-5.6-21: Maintain Data Within Software Applications.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Data within software applications is maintained within specified timeframes. | Timeliness | 5.6.7.1.2 | 5% | XX |
| b. Data within software applications is maintained accurately. | Quality | 5.6.7.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of changes performed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of changes. Random sampling will be performed such that each change in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each change. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-22

1. Contract Requirement No. CR-5.6-22: Prepare Training Manuals, Materials, and Hand-Outs for Training Related to Other Software Applications.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Training manuals, materials, and hand-outs related to other software applications are prepared within specified timeframes. | Timeliness | 5.6.7.1.3 | 5% | XX |
| b. Training manuals, materials, and hand-outs related to other software applications are prepared accurately. | Quality | 5.6.7.1.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of training materials prepared by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of training materials. Random sampling will be performed such that each item of training material in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each training material. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-23

1. Contract Requirement No. CR-5.6-23: Provide Training and Record the Number of Individuals Trained for Other Applications.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Training is provided and the number of individuals trained is recorded within specified timeframes. | Timeliness | 5.6.7.1.4 | 5% | XX |
| b. Training is provided and the number of individuals trained is recorded accurately. | Quality | 5.6.7.1.4 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of individuals trained and the number of classes conducted by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of individuals and classes. Random sampling will be performed such that each individual and class in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect record logs and surveys for individual training sessions and classes conducted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.6-24

1. Contract Requirement No. CR-5.6-24: Document and Distribute Operational System Documentation to the User Community.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Operational system documentation is documented and distributed within specified timeframes. | Timeliness | 5.6.7.1.5 | 5% | XX |
| b. Operational system documentation is documented and distributed accurately. | Quality | 5.6.7.1.5 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of document files documented and distributed by the Service Provider during the month. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of document files. Random sampling will be performed such that each document file in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each document file. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Financial Reports**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|--|
| 5.7-1 | CR-5.7-1 | Prepare and Submit International Transaction Reports (A-65) and Corrected A-65 Reports |
| 5.7-2 | CR-5.7-2 | Prepare and Submit Plant Acquisition and Construction Report |
| 5.7-3 | CR-5.7-3 | Prepare and Submit SF 133 Reports (Monthly) |
| 5.7-4 | CR-5.7-4 | Prepare and Submit SF 133 Reports (Quarterly) |
| 5.7-5 | CR-5.7-5 | Prepare and Submit Aging Schedule Statement of Differences Balance Summary Report |
| 5.7-6 | CR-5.7-6 | Review, Update and Submit Master Appropriation File (MAF) |
| 5.7-7 | CR-5.7-7 | Perform Tie Point Analysis During Preparation and After Submission of SF 133 |
| 5.7-8 | CR-5.7-8 | Maintain FACTS II Extract File and Complete Maintenance Actions |
| 5.7-9 | CR-5.7-9 | Transmit Extract File for FACTS II and Respond to Edit Errors from Treasury |
| 5.7-10 | CR-5.7-10 | Prepare and Submit Consolidated Federal Support Survey Report (CASE Report) |
| 5.7-11 | CR-5.7-11 | Prepare and Submit Report on Emergency Response Fund (ERF) |
| 5.7-12 | CR-5.7-12 | Prepare and Submit Report on Resources for Financial Management Activities |
| 5.7-13 | CR-5.7-13 | Prepare and Submit Status of Appropriations Report |
| 5.7-14 | CR-5.7-14 | Prepare and Submit Report on Results of Operations on NWF and D&D Funds |
| 5.7-15 | CR-5.7-15 | Prepare and Submit Report of Contractor Property Asset Sales |
| 5.7-16 | Cr-5.7-16 | Prepare and Submit Prompt Pay and Electronic Funds Transfer Reports |
| 5.7-17 | CR-5.7-17 | Prepare and Submit Reports of Erroneous Payments |
| 5.7-18 | CR-5.7-18 | Prepare and Submit Economic Impact Analysis Reports for New Mexico, Idaho, and Tennessee |
| 5.7-19 | CR-5.7-19 | Prepare and Submit SF 220.9, Part I and Part II |
| 5.7-20 | CR-5.7-20 | Review, Reconcile, Consolidate, and Submit SF 220.9 Reports |
| 5.7-21 | CR-5.7-21 | Prepare and Submit Current Status of Accounts Receivables from Foreign Obligors Report |
| 5.7-22 | CR-5.7-22 | Prepare and Submit Statement of Payments and Cover Letters |
| 5.7-23 | CR-5.7-23 | Generate and Submit Non-Cash Fringe Benefits Report |
| 5.7-24 | CR-5.7-24 | Issue Work Years and Personnel Cost Reports |
| 5.7-25 | CR-5.7-25 | Prepare and Submit Intergovernmental Personnel Act (IPA) and PCS Payment Report |
| 5.7-26 | CR-5.7-26 | Prepare and Submit Report of Federal Employment and Wages |
| 5.7-27 | CR-5.7-27 | Prepare and Submit Non-Federal Source Travel Payment Report |
| 5.7-28 | CR-5.7-28 | Reconcile and Correct any Differences on FMS 6653 |
| 5.7-29 | CR-5.7-29 | Reconcile and Submit Collection Reports |
| 5.7-30 | CR-5.7-30 | Prepare and Transmit SF 224 and Supplemental SF 224 |
| 5.7-31 | CR-5.7-31 | Review and Analyze FMS 6652 Differences, and Coordinate Corrections |
| 5.7-32 | CR-5.7-32 | Prepare and Submit Quarterly Financial Statements |
| 5.7-33 | CR-5.7-33 | Prepare and Submit Year-end Financial Statements |
| 5.7-34 | CR-5.7-34 | Prepare and Submit FMS 2108 Report |
| 5.7-35 | CR-5.7-35 | Prepare and Submit Various Annual Reports |

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-1

1. Contract Requirement No. CR-5.7-1: Prepare and Submit International Transaction Reports (A-65), Corrected A-65 Reports, and Consolidated A-65 Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|-------------------------------|------------|-----------------------|
| a. International Transaction Reports are prepared and submitted within specified timeframes. | Timeliness | 5.7.2.1.1 and 5.7.2.1.2 | 25% | XX |
| b. International Transaction Reports are prepared accurately. | Quality | 5.7.2.1.1 and 5.7.2.1.2 | 5% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports and corrected reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each quarter, the QAE will conduct a 100% inspection of all reports and corrected reports submitted.

7. Evaluation Procedures: The QAE will inspect each report and corrected report for timely submission and data accuracy. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the reported quarter. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified quarterly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-2

1. Contract Requirement No. CR-5.7-2: Prepare and Submit Plant Acquisition and Construction Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Plant Acquisition and Construction report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.2.1 | 20% | XX |
| b. Plant Acquisition and Construction report is prepared and submitted accurately. | Quality | 5.7.2.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-3

1. Contract Requirement No. CR-5.7-3: Prepare and Submit SF 133 Reports (Monthly).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. SF 133 reports are prepared and submitted within specified timeframes. | Timeliness | 5.7.2.3.1 | 10% | XX |
| b. SF 133 reports are prepared and submitted accurately. | Quality | 5.7.2.3.1 | 5% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and Random Sampling for “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the submitted monthly report. For quality, the quantity of work is the number of appropriations reported. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of the submitted report for timeliness. Additionally, the QAE will randomly select and review the required number of appropriations reported with the source document. Random sampling will be performed such that each appropriation reported in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report and appropriation reported. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the reported month. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-4

1. Contract Requirement No. CR-5.7-4: Prepare and Submit SF 133 Reports (Quarterly).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. SF 133 reports are prepared and submitted within specified timeframes. | Timeliness | 5.7.2.3.1 | 0% | XX |
| b. SF 133 reports are prepared and submitted accurately. | Quality | 5.7.2.3.1 | 2% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and Random Sampling for “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the submitted quarterly report. For quality, the quantity of work is the number of appropriations reported. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each quarter, the QAE will conduct a 100% inspection of the submitted report for timeliness. Additionally, the QAE will randomly select and review the required number of appropriations reported with the source document. Random sampling will be performed such that each appropriation reported in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report and appropriation reported. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the reported quarter. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified quarterly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-5

1. Contract Requirement No. CR-5.7-5: Prepare and Submit Aging Schedule Statement of Differences Balance Summary Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Aging Schedule Statement of Differences Balance Summary report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.4.1 | 5% | XX |
| b. Aging Schedule Statement of Differences Balance Summary report is prepared and submitted accurately. | Quality | 5.7.2.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reported differences. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reported differences. Random sampling will be performed such that each reported difference in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each reported difference. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-6

1. Contract Requirement No. CR-5.7-6: Prepare and Submit FACTS I Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. FACTS I Report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.5.1 | 1% | XX |
| b. FACTS I Report is prepared accurately. | Quality | 5.7.2.5.1 | 2% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of FACTS I report submissions and the workload identified in 5.7.2.5.1 of the PWS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Annually, the QAE will conduct a 100% inspection of the FACTS I report submission.

7. Evaluation Procedures: The QAE will inspect the FACTS I report for timeliness of submission and quality of the data in the report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later 30 calendar days following report due date published by Treasury. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-7

1. Contract Requirement No. CR-5.7-7: Perform Tie Point Analysis During Preparation and After Submission of SF 133.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Tie point analysis is performed within specified timeframes. | Timeliness | 5.7.2.6.1 | 5% | XX |
| b. Tie point analysis is performed accurately. | Quality | 5.7.2.6.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of corrections made from the tie point comparison. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of corrections made from the tiepoint comparison. Random sampling will be performed such that each correction made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each correction made. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-8

1. Contract Requirement No. CR-5.7-8: Maintain FACTS II Extract File and Complete Maintenance Actions.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. FACTS II extract file is maintained and maintenance actions are completed within specified timeframes. | Timeliness | 5.7.2.6.2 | 5% | XX |
| b. FACTS II extract file is maintained and maintenance actions are completed accurately. | Quality | 5.7.2.6.2 | 4% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of actions taken and the number of footnotes. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of actions taken and footnotes. Random sampling will be performed such that each action taken and footnote in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each action taken and footnote submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-9

1. Contract Requirement No. CR-5.7-9: Transmit Extract File for FACTS II and Respond to Edit Errors from Treasury.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. FACTS II extract file is transmitted and edit errors responded to within specified timeframes | Timeliness | 5.7.2.6.3 | 5% | XX |
| b. FACTS II extract file is transmitted and edit errors responded to accurately | Quality | 5.7.2.6.3 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transmissions and number of edit errors responded to. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transmissions and edit errors. Random sampling will be performed such that each transmission and edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transmission and edit error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-10

1. Contract Requirement No. CR-5.7-10: Prepare and Submit Consolidated Federal Support Survey Report (CASE Report).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. CASE report is prepared, concurrence obtained, corrections are coordinated, and report submitted within specified timeframes. | Timeliness | 5.7.2.7.1 | 5% | XX |
| b. CASE report is prepared, concurrence obtained, corrections are coordinated, and report submitted accurately. | Quality | 5.7.2.7.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted and number of corrections made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted and corrections made. Random sampling will be performed such that each report submitted and correction made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted and correction made. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-11

1. Contract Requirement No. CR-5.7-11: Prepare and Submit Report on Emergency Response Fund (ERF).

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. ERF report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.8.1 | 0% | XX |
| b. ERF report is prepared and submitted accurately. | Quality | 5.7.2.8.1 | 5% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of new CIDs obligated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all new CIDs obligated.

7. Evaluation Procedures: The QAE will inspect all new CIDs obligated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-12

1. Contract Requirement No. CR-5.7-12: Prepare and Submit Report on Resources for Financial Management Activities.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Report on Resources for Financial Management Activities is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.9.1 | 1% | XX |
| b. Report on Resources for Financial Management Activities is prepared and submitted accurately. | Quality | 5.7.2.9.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports and the number of revised reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports and the number of revised reports submitted. Random sampling will be performed such that each report and revised report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report and revised report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-13

1. Contract Requirement No. CR-5.7-13: Prepare and Submit Status of Appropriations Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Status of Appropriations report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.10.1 | 0% | XX |
| b. Status of Appropriations report is prepared and submitted accurately. | Quality | 5.7.2.10.1 | 2% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports distributed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of all reports distributed.

7. Evaluation Procedures: The QAE will inspect all reports distributed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-14

1. Contract Requirement No. CR-5.7-14: Prepare and Submit Report on Results of Operations on NWF and D&D Funds.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Results of Operations on NWF and D&D funds report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.11.1 | 1% | XX |
| b. Results of Operations on NWF and D&D funds report is prepared accurately. | Quality | 5.7.2.11.1 | 1% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-15

1. Contract Requirement No. CR-5.7-15: Prepare and Submit Report of Contractor Property Asset Sales.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Contractor Property Asset Sales report is prepared and submitted within specified timeframes. | Timeliness | 5.7.2.12.1 | 25% | XX |
| b. Contractor Property Asset Sales report is prepared and submitted accurately. | Quality | 5.7.2.12.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports. Random sampling will be performed such that each report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-16

1. Contract Requirement No. CR-5.7-16: Prepare and Submit Prompt Pay and Electronic Funds Transfer Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Prompt Pay and Electronic Funds Transfer Reports are prepared and submitted within specified timeframes | Timeliness | 5.7.3.1.1 | 25% | XX |
| b. Prompt Pay and Electronic Funds Transfer Reports are prepared and submitted accurately | Quality | 5.7.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of final reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of final reports. Random sampling will be performed such that each final report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each final report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-17

1. Contract Requirement No. CR-5.7-17: Prepare and Submit Reports of Erroneous Payments.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Erroneous payment reports are prepared and submitted within specified timeframes. | Timeliness | 5.7.3.2.1 | 25% | XX |
| b. Erroneous payment reports are prepared accurately. | Quality | 5.7.3.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports transmitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports transmitted. Random sampling will be performed such that each report transmitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report transmitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-18

1. Contract Requirement No. CR-5.7-18: Prepare and Submit Economic Impact Analysis Reports for New Mexico, Idaho, and Tennessee.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Economic impact analysis reports are prepared and submitted within specified timeframes. | Timeliness | 5.7.3.3.1 | 5% | XX |
| b. Economic impact analysis reports are prepared accurately. | Quality | 5.7.3.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-19

1. Contract Requirement No. CR-5.7-19: Prepare and Submit SF 220.9, Part I and Part II.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. SF 220.9 Part I and Part II are prepared and submitted within specified timeframes. | Timeliness | 5.7.4.1.1 | 25% | XX |
| b. SF 220.9 Part I and Part II are prepared and submitted accurately. | Quality | 5.7.4.1.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of field office reports and number of feeder reports from integrated contractors submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-20

1. Contract Requirement No. CR-5.7-20: Review, Reconcile, Consolidate, and Submit SF 220.9 Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. SF 220.9 reports are reviewed, reconciled, consolidated, and submitted within specified timeframes. | Timeliness | 5.7.4.1.2 | 25% | XX |
| b. SF 220.9 reports are reviewed, reconciled, consolidated, and submitted accurately. | Quality | 5.7.4.1.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of feeder reports consolidated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of feeder reports consolidated. Random sampling will be performed such that each feeder report consolidated in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each feeder report consolidated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-21

1. Contract Requirement No. CR-5.7-21: Prepare and Submit Current Status of Accounts Receivables from Foreign Obligors Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Current Status of Accounts Receivables from Foreign Obligors report is prepared and submitted within specified timeframes. | Timeliness | 5.7.4.2.1 | 25% | XX |
| b. Current Status of Accounts Receivables from Foreign Obligors report is prepared and submitted accurately. | Quality | 5.7.4.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of foreign receivables. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of foreign receivables. Random sampling will be performed such that each foreign receivable in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each foreign receivable. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-22

1. Contract Requirement No. CR-5.7-22: Prepare and Submit Statement of Payments and Cover Letters.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Statement of payments and cover letters are prepared and submitted within specified timeframes. | Timeliness | 5.7.4.3.1 | 10% | XX |
| b. Statement of payments and cover letters are prepared and submitted accurately. | Quality | 5.7.4.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of letters and number of statements submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of letters and number of statements submitted. Random sampling will be performed such that each letter and statement submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each letter and statement submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-23

1. Contract Requirement No. CR-5.7-23: Generate and Submit Non-Cash Fringe Benefits Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Non-cash fringe benefits report is generated and submitted within specified timeframes. | Timeliness | 5.7.5.1.1 | 25% | XX |
| b. Non-cash fringe benefits report is generated and submitted accurately. | Quality | 5.7.5.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-24

1. Contract Requirement No. CR-5.7-24: Issue Work Years and Personnel Cost Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|-------------------------------|------------|-----------------------|
| a. Work years and personnel cost reports are issued within specified timeframes. | Timeliness | 5.7.5.2.1 and 5.7.5.2.2 | 1% | XX |
| b. Work years and personnel cost reports are issued accurately. | Quality | 5.7.5.2.1 and 5.7.5.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports issued. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports issued. Random sampling will be performed such that each report issued in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report issued. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-25

1. Contract Requirement No. CR-5.7-25: Prepare and Submit Intergovernmental Personnel Act (IPA) and PCS Payment Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. IPA and PCS Payment Report is prepared and submitted within specified timeframes. | Timeliness | 5.7.5.3.1 | 50% | XX |
| b. IPA and PCS Payment Report is prepared and submitted accurately. | Quality | 5.7.5.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-26

1. Contract Requirement No. CR-5.7-26: Prepare and Submit Report of Federal Employment and Wages.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Report of Federal Employment and Wages is prepared and submitted within specified timeframes. | Timeliness | 5.7.5.4.1 | 5% | XX |
| b. Report of Federal Employment and Wages is prepared and submitted accurately. | Quality | 5.7.5.4.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports submitted. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

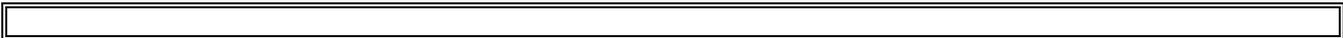
6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports submitted. Random sampling will be performed such that each report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.



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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.7-27</p> |
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1. Contract Requirement No. CR-5.7-27: Prepare and Submit Non-Federal Source Travel Payment Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|-------------------------------|------------|-----------------------|
| a. Non-Federal Source Travel Payment Report is prepared and submitted within specified timeframes. | Timeliness | 5.7.6.1.1 and 5.7.6.1.2 | 50% | XX |
| b. Non-Federal Source Travel Payment Report is prepared accurately. | Quality | 5.7.6.1.1 and 5.7.6.1.2 | 2% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the number of reports submitted. For quality, the quantity of work is the travel authorization information entered in the report. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Every 6 months, the QAE will conduct a 100% inspection of all reports submitted and the travel authorization information used to prepare the report.

7. Evaluation Procedures: The QAE will inspect each report submitted with the travel authorization information used to prepare the report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the reported 6-month period. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-28

1. Contract Requirement No. CR-5.7-28: Reconcile and Correct any Differences on FMS 6653.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Differences on FMS 6653 are reconciled and corrected within specified timeframes. | Timeliness | 5.7.7.1.1 | 2% | XX |
| b. Differences on FMS 6653 are reconciled and corrected accurately. | Quality | 5.7.7.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of differences reported. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of differences reported. Random sampling will be performed such that each difference reported in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each difference reported. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-29

1. Contract Requirement No. CR-5.7-29: Reconcile and Submit Collection Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Collection reports are reconciled and submitted for approval within specified timeframes. | Timeliness | 5.7.7.1.2 | 2% | XX |
| b. Collection reports are reconciled accurately. | Quality | 5.7.7.1.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports reconciled. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reports reconciled. Random sampling will be performed such that each report reconciled in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report reconciled. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-30

1. Contract Requirement No. CR-5.7-30: Prepare and Transmit SF 224 and Supplemental SF 224.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|-------------------------|------------|-----------------------|
| a. SF 224 and supplemental SF 224 are prepared and transmitted within specified timeframes. | Timeliness | 5.7.7.1.3 and 5.7.7.2.1 | 2% | XX |
| b. SF 224 and supplemental SF 224 are prepared and transmitted accurately. | Quality | 5.7.7.1.3 and 5.7.7.2.1 | 2% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and Random Sampling for “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the timely submission of the monthly SF 224 and, as required, a supplemental SF 244. For quality, the quantity of work is the numbers of categories of disbursements and collections reconciled, entries made in GOALS II, and transmissions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will conduct a 100% inspection of SF 244 and supplemental SF 224 for timely transmission. For quality of the data transmitted, the QAE will randomly select the required number of categories of disbursements and collections reconciled,

the number of entries made in GOALS II, and the number of transmissions. Random sampling will be performed such that each category of disbursement and collection reconciled, entry made in GOALS II, and transmission in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each SF 244 and supplemental SF 244 transmitted to determine timeliness of transmission as stated in the PWS; and randomly select and review disbursement and collections reconciled, entries made in GOALS II, and transmissions for data quality. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the reported month. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-31

1. Contract Requirement No. CR-5.7-31: Review and Analyze FMS 6652 Differences, and Coordinate Corrections.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. FMS 6652 differences are reviewed and analyzed, and corrections coordinated within specified timeframes. | Timeliness | 5.7.7.3.1 | 10% | XX |
| b. FMS 6652 differences are reviewed and analyzed, and corrections coordinated accurately. | Quality | 5.7.7.3.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of differences reported on the FMS 6652. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of differences reported on the FMS 6652. Random sampling will be performed such that each difference reported on the FMS 6652 in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each difference reported on the FMS 6652. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-32

1. Contract Requirement No. CR-5.7-32: Prepare and Submit Quarterly Financial Statements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Quarterly financial statements are prepared and submitted within specified timeframes. | Timeliness | 5.7.8.1.1 | 25% | XX |
| b. Quarterly financial statements are prepared accurately. | Quality | 5.7.8.1.1 | 10% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the submission of the financial statements. For quality, the quantity of work is the workload identified in task 5.7.8.1.1 of the PWS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each quarter, the QAE will conduct a 100% inspection of the financial statements.

7. Evaluation Procedures: The QAE will inspect for timely submission of financial statements and all workload identified in the PWS task as stated above for preparing and submitting quarterly financial statements. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the financial statements due date published in the DOE quarter-end schedule. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-33

1. Contract Requirement No. CR-5.7-33: Prepare and Submit Year-end Financial Statements.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Year-end financial statements are prepared and submitted within specified timeframes. | Timeliness | 5.7.8.1.1 | 0% | XX |
| b. Year-end financial statements are prepared accurately. | Quality | 5.7.8.1.1 | 5% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the submission of the financial statements. For quality, the quantity of work is the workload identified in task 5.7.8.1.1 of the PWS. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Annually, the QAE will conduct a 100% inspection of the year-end financial statements.

7. Evaluation Procedures: The QAE will inspect for timely submission of financial statements and all workload identified in the PWS task as stated above for preparing and submitting year-end financial statements. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the financial statements due date published in the DOE year-end schedule. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.7-34

1. Contract Requirement No. CR-5.7-34: Prepare and Submit FMS 2108 Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. FMS 2108 Report is prepared and submitted within specified timeframes. | Timeliness | 5.7.8.2.1 | 0% | XX |
| b. FMS 2108 Report data is accurate. | Quality | 5.7.8.2.1 | 5% | XX |

2. Primary Method of Surveillance: 100% Inspection for “Timeliness” and “Quality.”

3. Quantity of Work: For timeliness, the quantity of work is the submission of the FMS 2108 report. For quality, the quantity of work is the numbers of abnormal balances reviewed and corrected, source documents reviewed, footnotes developed, statement-level adjustments made, and field office feeder reports reviewed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Annually, the QAE will conduct a 100% inspection of the completed FMS 2108 report.

7. Evaluation Procedures: The QAE will inspect all workload identified in the PWS task stated above for preparing and submitting the FMS 2108 Report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard not later than 30 calendar days following the end of the due date published in the DOE year-end schedule. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx</p> <p>Contract Title: Financial Services</p> <p>Location: XXXXX</p> <p>Surveillance Guide Number: 5.7-35</p> |
|--|

1. Contract Requirement No. CR-5.7-35: Prepare and Submit Various Annual Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|--|------------|-----------------------|
| a. Reports are submitted within specified timeframes. | Timeliness | 5.7.8.3.1, 5.7.8.3.2, 5.7.8.4.1, 5.7.8.4.2, 5.7.8.5.1, 5.7.8.5.2, 5.7.8.6.1, 5.7.8.6.2, and 5.7.8.7.1 | 10% | XX |
| b. Reports are prepared accurately. | Quality | 5.7.8.3.1, 5.7.8.3.2, 5.7.8.4.1, 5.7.8.4.2, 5.7.8.5.1, 5.7.8.5.2, 5.7.8.6.1, 5.7.8.6.2, and 5.7.8.7.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reports and corrected reports submitted. This data was used in developing the initial set of ALPs shown above. For tasks 5.7.8.4.2 and 5.7.8.6.2, the QAE will inspect only the Departmental report developed as a result of consolidating feeder reports.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Annually, the QAE will randomly select the required number of reports and corrected reports submitted. Random sampling will be performed such that each report and corrected report submitted in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each report and corrected report submitted. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: The QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard following the end of the QAE's designated inspection period. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

**Index of Surveillance Guides
Month-End and Year-End Closings**

| Surveillance Guide Number | Contract Requirement Number | Title |
|---------------------------|-----------------------------|---|
| 5.8-1 | CR-5.8-1 | Execute Interfaces |
| 5.8-2 | CR-5.8-2 | Process Data Contained in Automated Sub-Systems |
| 5.8-3 | CR-5.8-3 | Submit Requests for Creation and Modification of Edits and Update Edits |
| 5.8-4 | CR-5.8-4 | Perform Edits and Analysis to Verify Accuracy of Month-End Data |
| 5.8-5 | CR-5.8-5 | Process Departmental Financial Data |
| 5.8-6 | CR-5.8-6 | Generate and Distribute Internal Month-End Reports |
| 5.8-7 | CR-5.8-7 | Run Year-to-date Edits |
| 5.8-8 | CR-5.8-8 | Generate and Review Year-end Edits and Correct Discrepancies |
| 5.8-9 | CR-5.8-9 | Review and Correct Abnormal Balances in Trial Balance Summary Report |
| 5.8-10 | CR-5.8-10 | Perform Year-end Confirmation of Balances |
| 5.8-11 | CR-5.8-11 | Reconcile Contractor Certification Letters and Recommend Transfer of Funds |
| 5.8-12 | CR-5.8-12 | Record Accruals for Annual Leave and Compensatory Time |
| 5.8-13 | CR-5.8-13 | Enable Dual-Year Capability |
| 5.8-14 | CR-5.8-14 | Perform Year-End Closing |
| 5.8-15 | CR-5.8-15 | Perform Departmental Consolidation to Process Financial Data |
| 5.8-16 | CR-5.8-16 | Generate and Distribute Internal Year-End Reports |
| 5.8-17 | CR-5.8-17 | Conduct Reconciliation of Legal Representation Letter to Contingency Footnote |

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|---|
| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.8-1</p> |
|---|

1. Contract Requirement No. CR-5.8-1: Execute Interfaces.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Interfaces are executed within specified timeframes. | Timeliness | 5.8.2.2.1 | 5% | XX |
| b. Interfaces are executed accurately. | Quality | 5.8.2.2.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of interfaces executed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of interfaces executed. Random sampling will be performed such that each interface executed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each interface executed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-2

1. Contract Requirement No. CR-5.8-2: Process Data Contained in Automated Sub-Systems.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Data contained in automated sub-systems is processed within specified timeframes. | Timeliness | 5.8.2.2.2 | 5% | XX |
| b. Data contained in automated sub-systems is processed accurately. | Quality | 5.8.2.2.2 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of interfaces executed and the number of errors corrected. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of interfaces executed and the number of errors corrected. Random sampling will be performed such that each interface executed and error corrected in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each interface and corrected error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-3

1. Contract Requirement No. CR-5.8-3: Submit Requests for Creation and Modification of Edits and Update Edits.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Edit requests are submitted and edits updated within specified timeframes. | Timeliness | 5.8.2.3.1 | 5% | XX |
| b. Edit requests are submitted and edits updated accurately. | Quality | 5.8.2.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of requests submitted and the number of edits updated. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of requests submitted and edits updated. Random sampling will be performed such that each request submitted and edit updated in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each request submitted and each edit updated. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-4

1. Contract Requirement No. CR-5.8-4: Perform Edits and Analysis to Verify Accuracy of Month-End Data.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Edits and analysis are performed within specified timeframes. | Timeliness | 5.8.2.3.2 | 10% | XX |
| b. Edits and analysis are performed accurately. | Quality | 5.8.2.3.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of discrepancies edited. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of discrepancies edited. Random sampling will be performed such that each discrepancy edited in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each discrepancy edited. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-5

1. Contract Requirement No. CR-5.8-5: Process Departmental Financial Data.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Process Departmental financial data within specified timeframes. | Timeliness | 5.8.2.4.1 | 10% | XX |
| b. Process Departmental financial data accurately. | Quality | 5.8.2.4.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of files. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of files. Random sampling will be performed such that each file in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each file. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-6

1. Contract Requirement No. CR-5.8-6: Generate and Distribute Internal Month-End Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Internal month-end reports are generated and distributed within specified timeframes. | Timeliness | 5.8.2.5.1 | 20% | XX |
| b. Internal month-end reports are generated accurately. | Quality | 5.8.2.5.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of internal reports. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of internal reports. Random sampling will be performed such that each internal report in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each internal report. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-7

1. Contract Requirement No. CR-5.8-7: Run Year-to-date Edits.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Year-to-date edits are run within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Year-to-date edits are run accurately. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of edit errors. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of edit errors. Random sampling will be performed such that each edit error in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each edit error. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-8

1. Contract Requirement No. CR-5.8-8: Generate and Review Year-end Edits and Correct Discrepancies.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Year-end edits are generated and reviewed, and discrepancies corrected within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Year-end edits are generated and reviewed, and discrepancies corrected accurately. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of corrections made. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of corrections made. Random sampling will be performed such that each correction made in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each correction made. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-9

1. Contract Requirement No. CR-5.8-9: Review and Correct Abnormal Balances in Trial Balance Summary Report.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Abnormal balances in Trial Balance Summary Report are reviewed and corrected within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Abnormal balances in Trial Balance Summary Report are corrected. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of abnormal balances corrected. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of abnormal balances corrected. Random sampling will be performed such that each abnormal balance corrected in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each abnormal balance corrected. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

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| <p>SURVEILLANCE GUIDES</p> <p>Contract Number: xxxxxxxxxxxx Contract Title: Financial Services Location: XXXXX Surveillance Guide Number: 5.8-10</p> |
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1. Contract Requirement No. CR-5.8-10: Perform Year-end Confirmation of Balances.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Year-end confirmation is performed within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Year-end confirmation is performed accurately. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of confirmations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of confirmations. Random sampling will be performed such that each confirmation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each confirmation. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-11

1. Contract Requirement No. CR-5.8-11: Reconcile Contractor Certification Letters and Recommend Transfer of Funds.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Contractor certification letters are reconciled and transfer of funds recommended within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Contractor certification letters are reconciled and transfer of funds recommended accurately. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of reconciliations. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of reconciliations. Random sampling will be performed such that each reconciliation in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each reconciliation. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-12

1. Contract Requirement No. CR-5.8-12: Record Accruals for Annual Leave and Compensatory Time.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Accruals for annual leave and compensatory time are recorded within specified timeframes. | Timeliness | 5.8.3.1.1 | 2% | XX |
| b. Accruals for annual leave and compensatory time are recorded accurately. | Quality | 5.8.3.1.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of transactions. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of transactions. Random sampling will be performed such that each transaction in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each transaction. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-13

1. Contract Requirement No. CR-5.8-13: Enable Dual-Year Capability.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Accounting system dual-year capability is enabled within specified timeframes. | Timeliness | 5.8.3.2.1 | 5% | XX |
| b. Accounting system dual-year capability is enabled accurately. | Quality | 5.8.3.2.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of events. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of events. Random sampling will be performed such that each event in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each event. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-14

1. Contract Requirement No. CR-5.8-14: Perform Year-End Closing.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Year-end closing is performed within specified timeframes. | Timeliness | 5.8.3.2.2 | 5% | XX |
| b. Year-end closing is performed accurately. | Quality | 5.8.3.2.2 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of events performed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of events performed. Random sampling will be performed such that each event performed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each event performed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number

of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-15

1. Contract Requirement No. CR-5.8-15: Perform Departmental Consolidation to Process Financial Data.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Departmental financial data consolidation is performed within specified timeframes. | Timeliness | 5.8.3.3.1 | 5% | XX |
| b. Departmental financial data consolidation is performed accurately. | Quality | 5.8.3.3.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of events occurring. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of events. Random sampling will be performed such that each event in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each event occurring. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-16

1. Contract Requirement No. CR-5.8-16: Generate and Distribute Internal Year-End Reports.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|---|-----------------------------|------------------|------------|-----------------------|
| a. Internal year-end reports are generated and distributed within specified timeframes. | Timeliness | 5.8.3.4.1 | 5% | XX |
| b. Internal year-end reports are generated accurately. | Quality | 5.8.3.4.1 | 5% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of internal reports distributed. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of internal reports distributed. Random sampling will be performed such that each internal report distributed in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each internal report distributed. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.

SURVEILLANCE GUIDES

Contract Number: xxxxxxxxxxxx
 Contract Title: Financial Services
 Location: XXXXX
 Surveillance Guide Number: 5.8-17

1. Contract Requirement No. CR-5.8-17: Conduct Reconciliation of Legal Representation Letter to Contingency Footnote.

| <u>Performance Standard</u> | <u>Performance Category</u> | <u>Paragraph</u> | <u>ALP</u> | <u>ALP (Phase-In)</u> |
|--|-----------------------------|------------------|------------|-----------------------|
| a. Reconciliation of legal representation letter to contingency footnote is conducted within specified timeframes. | Timeliness | 5.8.3.5.1 | 5% | XX |
| b. Reconciliation of legal representation letter to contingency footnote is conducted accurately. | Quality | 5.8.3.5.1 | 2% | XX |

2. Primary Method of Surveillance: Random Sampling for “Timeliness” and “Quality.”

3. Quantity of Work: The quantity of work is the number of legal cases reconciled. This data was used in developing the initial set of ALPs shown above.

4. Level of Surveillance (circle one): Normal Reduced

5. Sample Size (use Attachment 1):

Normal Surveillance: XX

Reduced Surveillance: XX

6. Sampling Procedures: Each month, the QAE will randomly select the required number of legal cases reconciled. Random sampling will be performed such that each legal case reconciled in the total population has an equal probability of being selected.

7. Evaluation Procedures: The QAE will inspect each legal case reconciled. After performing the inspection, the QAE will verify and document the discrepancies on the Evaluation Worksheet.

8. Analysis of Results: At the end of the month, the QAE will use the Evaluation Summary sheet to summarize all the information on the Evaluation Worksheets and compute the number of defects for each performance standard. The QAE will determine if the Contractor's performance for the specific standard is satisfactory or unsatisfactory based on an assessment of criticality of the defects.

If one or more standards is unsatisfactory, further evaluation is required to determine if the Contractor's overall performance is unsatisfactory. The QAE will assess the results of each performance standard, taking into consideration the importance and criticality of each in relation to the total service being evaluated. The QAE will document the overall evaluation for the service on the Evaluation Summary.

9. Suggested Action: The Contractor should be notified monthly as to whether work performance has been satisfactory or not. If the Contractor's performance was unsatisfactory, a Contract Discrepancy Report should be issued and other actions, such as increasing the level of surveillance, may be considered.