UNITED STATES MILITARY GROUP – IRAQ (USMILGP-I)
SECURITY ASSISTANCE MENTORS AND CULTURAL ADVISORS (SAMA)
QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)

29 July 2026

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SECTION 1 - OVERVIEW

1.1. Purpose: This Quality Assurance Surveillance Plan (QASP) is designed to ensure effective and systematic management of SAMA contract. The Contractor, and not the government, is responsible for management and quality control actions to meet the terms and conditions of the contract. The role of the Government is quality assurance to ensure the achievement of contract standards. To that end the Contractor's Quality Control Plan (QCP) shall become the primary document from which oversight will be monitored.

The QASP provides a systematic method to evaluate the services the Contractor is required to furnish and not the details of how the Contractor accomplishes the work. This plan may involve Periodic Inspection, Contractor Metrics, Customer Feedback, Third Party Audits, or any other method deemed necessary to ensure compliance with the contract.

1.2. Intent: The intent of this plan is to rely on the Contractor's QCP, changing the Government's role from "oversight" to "insight." Relying on customer feedback where contract nonconformance can be validated and re-performance of unacceptable services at no additional cost, the preferred course of action, when appropriate. Any USMILGP-I personnel receiving services under the contract, including the Contracting Officer's Representative (COR), who observes unacceptable services, either incomplete or not performed, may submit customer feedback through the COR to the Contracting Officer (PCO). Other surveillance methods allowing variation in the extent of oversight to match changes in the quality of the Contractor's performance may be used. Other surveillance methods may include trend analysis, periodic inspections, Contractor metrics, random sampling, third party audits, 100% surveillance, quality index, etc. The performance objectives recognize that the Contractor is not a perfect manager and that unforeseen and uncontrollable problems do occur. Good management and use of an effective quality control plan will allow a Contractor to operate within specified performance thresholds. The COR is to be objective, fair, and consistent in evaluating Contractor performance against these standards.

SECTION 2 - DESCRIPTION OF SERVICES

2.1. Program Overview. The mission of the USMILGP-I is to provide Security Assistance to the Government of Iraq (GoI) so that they will be increasingly capable of defeating terrorism and providing a stable environment in which representative government, individual freedom, the rule of law, and free market economy can evolve and which, in time, will contribute to Iraq's external security and to the security of the Gulf Region. More specifically, the USMILGP-I goal in advising and assisting the Ministry of Defense (MoD), the Counter Terrorism Service (CTS), and the Ministry of Peshmerga Affairs (MoPA) is to build processes and institutional capacity in order to place them on the critical path towards Iraqi security self-reliance. The Contractor shall provide assistance and mentorship support to USMILGP-I in their interlocutions with the GoI, with key focus on core processes and systems which include, but are not limited to, the following activities:

- Administration
- Force Development
- Procurement & Acquisition
- Contracting
- Training Management
- Public Affairs
- Logistics
- Personnel Management

• Professional Development
• Communications
• Planning and Operations
• Infrastructure Management
• Intelligence
• Executive Development

Contractor personnel assist military and government personnel assigned to USMILGP-I in the assessment of MoD, CTS, MoI, and MoPA processes, policies and systems and then advising, coaching, mentoring, training and liaising with MoD, CTS, MoI, and MoPA officials to improve and refine these processes, policies, and systems. The Contractor shall also ensure that training facilitation and the degree of interaction between Contractor personnel and the Iraqis being trained conform to evolving local Iraqi requirements as may be agreed upon between the Contractor and the Contracting Officer.

2.1.1. Desired Outcomes:

2.1.1.1. Improved Iraqi Staff Proficiency. MoD, CTS, MoI, and MoPA staffs are able to carry out mission analysis and select and implement appropriate material and training solutions.

2.1.1.2. Improved Process. MoD, CTS, MoI, and MoPA develop and implement policies, processes, and procedures to allow their respective ministries to fulfill their assigned responsibilities in the context of providing security forces capable of securing the populace, providing internal security, and possessing the foundations for defense against external threats.

2.1.1.3. Improved Integration. MoD, CTS, MoI, and MoPA become capable of integrating and synchronizing their efforts between Services within the MoD, CTS, or MoPA and with other Iraqi governmental and societal institutions in support of Iraqi sovereignty and democracy.

2.2. Scope of Work. The scope of work associated with the task activities will vary by program precedent and volume throughout the performance period. The Contractor is responsible for providing suitable management and business expertise to support ongoing responsibilities delineated by activity, as well as variance in the scope of activities.

2.3. Type of Contract. The contract is a single award Firm-Fixed Price contract with a base 12-month period of performance and four 12-month option periods.

SECTION 3 - CONTRACT QUALITY CONTROL REQUIREMENTS

3.1. Quality Control Program. The Contractor QCP's requirements are defined in the basic contract Performance Work Statement (PWS). The Contractor shall establish their Quality Control Plan so that it encompasses all aspects of the PWS.
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SECTION 4 - SURVEILLANCE APPROACH

4.1. Purpose. This section details the method to be used in verifying the Contractor compliance with the contract requirements. The key element of this process is the Contractor's QCP. This Quality Assurance Surveillance Plan (QASP) provides the procedures on how to validate the Contractor's metrics identified in that program.

4.2. Surveillance Approach. To facilitate the surveillance of the Contractor's QCP, government personnel will verify Contractor compliance with designated performance requirements. The specific surveillance procedures are delineated in this plan. It is the responsibility of the CORs to review the critical requirements to assess their applicability and recommend addition or subtraction from the plan as conditions warrant. The intent of this surveillance approach is to gain confidence in the Contractor's way of doing business and then adjusting the level of oversight to a point that maintains that confidence. With this intent, the surveillance approach may not be one that remains the same throughout the duration of the contract. All Government evaluators should be prepared to periodically update the surveillance approach when the situation arises.

4.2.1. The Government shall designate a Contracting Officer Representative (COR) for overall contract surveillance.

4.2.1.1. The COR will lead the overall surveillance effort, monitoring contract performance, collecting and analyzing performance data, and communicating issues to the Contractor and contracting officer. The COR will monitor Contractor performance of the PWS, validate SAMA qualifications, and trace progress to objectives.

4.2.2. The COR will develop a monthly surveillance schedule not later than seven (7) calendar days before the beginning of the period it covers. Copies of the schedule shall be coordinated with the PCO. The schedule shall be marked "FOR OFFICIAL USE ONLY" and shall not be revealed to the Contractor.

4.2.3. Changes to the monthly surveillance schedule will be coordinated with the PCO and posted to the monthly schedule. Documentation of the reasons for the changes will be included.

4.3. Reserved.

4.4. Surveillance Folders. A surveillance folder must be established and maintained by the COR. The folder is typically contained in hard copy, but may be maintained in a computer database provided there is adequate back up of the data to preclude accidental loss. The surveillance folder must contain the following sections, but may contain any other sections or information that the COR finds useful.

4.4.1. Section 1: Quality Assurance Surveillance Plan

4.4.2. Section 2: Contractor's Quality Control Plan (QCP).

4.4.3. Section 3: Activity Log: A chronological log of the actions taken in the accomplishment of contract quality assurance of the assigned requirements. The types of information that may be included are details of inspections or data gathering, conversations or meetings with the Contractor, or notes and comments that may be of value at some later date.

4.4.4. Section 4. Contract. The portions of the contract that apply to the functional area(s) of the surveillance folder, e.g. PWS chapters, directive documents references, pertinent terms defined by the contract, equipment listings, etc.

4.4.5. Section 5. COR PCO Appointment Letters.

4.4.6. Section 6. A section used for filing all documentation associated with contract quality assurance or locally devised form, discrepancy reports (both active and resolved), correspondence, letters of interpretation from PCO.

4.5. Deficiency Reporting. When performance is determined to be unacceptable, the COR must inform the Contractor's on-site representative that performance is unacceptable and why and request his or her initials and date on the surveillance form. The COR will provide a copy of any deficiency report to the Contractor's quality assurance representative to afford him/her the opportunity to show where the problem is already working. If evidence is shown where the Contractor's QCP has already documented the deficiency and timely corrective action is working on the problem, a contract discrepancy report may not need to be issued. The COR would then evaluate the Contractor's action in correcting the cited deficiency and ensure effective and timely corrective action is being obtained.

4.6. Contract Discrepancy Report (CDR). If, at any time during the surveillance period the results of surveillance show that the number of unacceptable observations during the period exceeds the performance threshold, and the COR determines that it is not Government caused, the COR will initiate a Contract Discrepancy Report and send it to the PCO. The seriousness of the situation should govern whether the COR should provide the CDR to the PCO as soon as unacceptable performance is indicated.

4.7. Re-Performance. If any of the services performed do not conform to contract requirements, the Government shall require the Contractor to re-perform the services again in conformity with the contract requirements at no additional cost to the Government. The COR will document the non-conformity and forward it to the PCO who will ensure that these services are identified in the performance report as "services re-performed at no additional cost to the Government".

4.8. Corrective Action Request (CAR). A CAR alone is not considered a contract remedy. It is used as a notice to the contractor (issued by PCO) to document a nonconformance, notify the contractor of Government rejection of supplies or services (including construction) not conforming to contract requirements, and to require contractor corrective action. The purpose is to provide the contractor with an opportunity to correct or replace nonconforming supplies and services when this can be accomplished within the required delivery schedule IAW FAR 46.407 and contract terms and conditions. Nonconformances identified in CARs must be traced to contractual requirements. CARs may be issued as precursors to contract remedies but are not a required precursor to contractor remedies.

SECTION 5 - DOCUMENTATION REQUIREMENTS

5.1. General. Documentation is required to record, evaluate, and report Contractor's performance. This documentation provides the PCO with Contractor status as it applies to the performance criteria. The CORs are required to maintain accurate records of the Contractor's performance.

5.2. Documenting Surveillance. The COR must document each surveillance upon completion. A Surveillance Activity Checklist or suitable spreadsheet developed by the COR may be used for this purpose. Customer surveys are the preferred source when appropriate. Any USMILGP-I employee,

including the COR, can complete a survey for services performed by the Contractor. These will be received through the customer feedback. The COR will complete appropriate documentation to record the complaint and conduct an investigation to determine the validity of the complaint. If it is determined as a valid complaint, they will document the written complaint of the findings and notify the customer. The COR will retain the annotated copy of the written complaint for his/her files. The complaint will be processed by the Contractor according to the section of their QCP that covers problem resolution if the COR determines the complaint as valid. Each time the COR documents his or her surveillance actions, it must contain as a minimum:

5.2.1. The contract number.

5.2.2. A short description of the requirement being surveyed.

5.2.3. The contract paragraph number referencing the requirement.

5.2.4. The method of surveillance, and the observations.

5.2.5. The date, time and location of surveillance.

5.2.6. The results of the surveillance and the signature and title of the individual doing the surveillance. If performance is unacceptable, the COR must document the areas not in compliance with the contract requirements.

SECTION 6 - REVISIONS TO QASP

6.1. Revisions to this QASP are the joint responsibility of the PCO and COR. Revisions should coincide with the Contractor's QCP and focus on specific Contractor compliance with designated performance requirements. It is the responsibility of the COR to review the requirements and assess their applicability and recommend addition or subtraction from the plan as conditions warrant. The intent of this surveillance approach is to gain confidence in the Contractor's way of doing business and then adjusting the level of oversight to a point that maintains that confidence. With this intent, the surveillance approach may not be one that stays the same throughout the duration of the contract. The COR will periodically review and update the surveillance approach when the situation arises.

APPENDIX A

PERFORMANCE OBJECTIVES

A.1 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Overall Program): The Contractor effectively manages the entire program effectively and efficiently and follows the QCP and effectively coordinates and communicates with the PCO and COR on all issues potentially affecting contact performance

The Contractor provides information requested by the PCO and COR.

METHOD OF SURVEILLANCE: Customer Complaint/Feedback.

PERFORMANCE THRESHOLD: No more than 2 validated customer complaints in a 30-calendar day period.

A.2 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Communication) (Timeliness of Reports, Plans, and Data): The Contractor develops and provides meeting minutes, reports, and briefing materials that are timely. Contractor develops and implements an "emergency" reporting system to notify the COR of late breaking issues between established reporting dates.

The Contractor provides information requested by the PCO and COR.

METHOD OF SURVEILLANCE: Monthly review of Contractor reporting products and communications for timeliness, accuracy, clarity and content.

PERFORMANCE THRESHOLD: Reports are timely, complete and accurate 95% of the time. No major surprises.

A.3 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Communication) (Accuracy of Meeting Minutes, Reports, Plans, and Data): The Contractor develops and provides meeting minutes, reports, and briefing materials that are accurate, clear, concise and complete.

The Contractor provides information requested by the PCO and COR.

METHOD OF SURVEILLANCE: Monthly review of Contractor reporting products and communications for timeliness, accuracy, clarity and content.

PERFORMANCE THRESHOLD: No more than 2 rejections within a 30-calendar day period

A.4 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Initial Contract Mobilization of New Personnel): The Contractor hires SAMAs that meet education, experience, training and physical readiness standards stated in the basic contract.

METHOD OF SURVEILLANCE: 100% Government review of Mobilization Plan and agreed to timeframes

PERFORMANCE THRESHOLD: 100% mobilized within specified time-period stated in the Contractor's Mobilization Plan and agreed to by PCO.

A.5 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Qualifications of Personnel): The Contractor hires SAMAs that meet education, experience, training and physical readiness standards stated in the basic contract.

METHOD OF SURVEILLANCE: 100% Government review of potential employee qualifications (resumes, training records, etc.)

PERFORMANCE THRESHOLD: 100% of Contractor personnel qualifications presented to the Government meet contract and PLN standards.

A.6 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Replacement Personnel):
Contractor establishes a work environment and personnel management processes that result in sufficient qualified SAMAs to effectively meet contract objectives.

METHOD OF SURVEILLANCE: Monthly review of Contractor reports.

PERFORMANCE THRESHOLD(S): Provide replacement personnel boots on ground within 75 calendar days.

A.7 PERFORMANCE OBJECTIVE: PROGRAM MANAGEMENT (Personnel Retention):
Contractor has a plan, with milestones for replacement of departing personnel and is meeting milestones to ensure replacement arrives prior to departure of outgoing employee.

METHOD OF SURVEILLANCE: Monitor Contractor's personnel roster and projected incoming and outgoing reports.

PERFORMANCE THRESHOLD(S): Personnel vacancy rate is 34% or less.

APPENDIX B

SERVICE DECISION SUMMARY

Performance Objective	Performance Threshold	Method of Surveillance
PRS # 1. The Contractor shall provide Program Management (Overall Program). PWS Para 1.12	No more than 2 validated customer complaints in a 30-calendar day period.	Validated by COR and PCO.
PRS # 2 The Contractor shall provide Program Management (Communication) Timeliness of Meeting Minutes, Reports, Plans, and Data. PWS Para 1.12	Reports are timely, complete and accurate 95% of the time.	Validated by COR.
PRS # 3 The Contractor shall provide Program Management (Communication) Accuracy of Meeting Minutes, Reports, Plans, and Data. PWS Para 1.12	No more than 2 rejections within a 30-calendar day period.	Validated by COR.
PRS # 4 The Contractor shall provide Program Management (Initial Contract Mobilization of New Personnel) (timeliness). PWS Para 1.12	100% mobilized within specified time-period stated in the Contractor's Mobilization Plan and agreed to by the PCO.	Validated by COR and PCO.
PRS # 5 The Contractor shall provide Program Management (Qualifications of Personnel). PWS Para 1.12	100% of Contractor personnel qualifications presented to the USG meet contract and contract standards.	Validated by COR and PCO.
PRS # 6 The Contractor shall provide Program Management (Personnel Replacement) (timeliness). PWS Para 1.12	Provide replacement personnel boots on ground within 75 calendar days.	Validated by PCO.
PRS # 7 The Contractor shall provide Program Management (Personnel Retention). PWS Para 1.12	Personnel vacancy rate is 34% or less.	Validated by PCO.