

SECTION 01 40 00

CONTRACTOR QUALITY CONTROL

PART 1 - GENERAL

1.1 SUMMARY

- A. This section covers the establishment and operation of the Contractor's Quality Control (CQC) system as specified by the General Conditions of the Contract.

1.2 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to within the text by the basic designation only. All publications are "Latest Edition" unless specified otherwise.

- A. American Society for Testing and Materials (ASTM)
 - ASTM D 3740 Minimum Requirements for Agencies Engaged in the Testing and/or Inspection of Soil and Rock as Used in Engineering Design and Construction.
 - ASTM E 329 Agencies Engaged in the Testing and/or Inspection of Materials Used in Construction

1.3 SUBMITTALS

The following shall be submitted in accordance with SECTION 01 33 00 SUBMITTAL PROCEDURES.

- A. Contractor Quality Control Plan
 - 1. At or before the scheduled pre-construction meeting, the Contractor shall submit the Contractor Quality Control (CQC) Plan for review and acceptance by the Engineer. The District will consider an interim plan for the first twenty (20) calendar days of operation. However, the Contractor shall furnish, no later than twenty (20) calendar days after receipt of the Notice to Proceed, an acceptable final CQC Plan to implement the requirement of paragraph entitled "INSPECTION AND ACCEPTANCE" of SECTION 00 72 00 GENERAL CONDITIONS. The plan shall identify personnel, procedures, control, instructions, tests, records, and forms to be used.
 - 2. If the Contractor fails to submit an acceptable CQC Plan with the time prescribed, construction shall not start unless an acceptable interim plan is submitted and approved. While the Contractor is operating an acceptable interim plan, the Engineer shall retain fund from progress payments until such time as the Contractor submits an acceptable final plan. If an acceptable final plan is not submitted within a reasonable time, and determined by the Engineer, the Engineer may order the Contractor to stop work until such time as an acceptable plan has been submitted and approved. Any such stop work order shall be considered a suspension of work for an unreasonable period of time under SECTION 00 72 00 GENERAL CONDITIONS (Article 15) in the paragraph "SUSPENSION OF WORK" and the Contractor shall not be entitled to pay adjustments as a result of the stop work order.

3. Failure to comply with the above requirements within the time prescribed will be considered a condition endangering the performance of the Contract and may be considered grounds for termination of the Contract in accordance with paragraph "TERMINATION FOR DEFAULT", Section 00 72 00 GENERAL CONDITIONS (Article 15, et. al.)

B. Preparatory and Initial Phase Checklists

1. For each definable feature of work (see 3.2.A.i), the Contractor shall submit the Preparatory and Initial Phase Checklists a minimum of fifteen (15) calendar days prior to the start of each Phase to the Engineer.

C. Registered Surveyor Qualifications

1. At least fifteen (15) days before construction commencement, the Contractor shall submit the name and credentials of the Florida Registered Surveyor consultant and personnel who will be performing the surveying portions of the contract work for Engineer approval. The company and personnel shall show experience in this type of work. The submittal must provide the name and type of equipment used for the project. All work shall be overseen by a registered professional surveyor.

PART 2 - PRODUCTS (NOT APPLICABLE)

PART 3 - EXECUTION

3.1 GENERAL

- A. The Contractor is responsible for quality control and shall establish and maintain an effective quality control system in accordance with these specifications. The quality control system shall consist of plans, procedures, and organization necessary to produce an end product which complies with the contract requirements. The system shall cover all construction operations, both onsite and offsite, and shall be keyed to the proposed construction sequence. The project superintendent will be held responsible for the quality of work on the job and is subject to removal by the Engineer and/or Owner for non-compliance with quality requirements specified in the contract. The project superintendent in this context shall mean the individual with the responsibility for the overall management of the project including quality and production.

3.2 QUALITY CONTROL PLAN

- A. Content of the CQC Plan

The CQC Plan shall include, as a minimum, the following to cover all construction operations, both onsite and offsite, including work by subcontractors, fabricators, suppliers, and purchasing agents:

- a. A description of the quality control organization. The staff shall include a CQC System Manager who shall perform his duties in tandem with those of the Project Superintendent and with direct reporting responsibility to an officer of the prime Contractor and/or an individual not directly responsible for production. The Project Manager/Superintendent may have dual roles as CQC System Manager or Safety Officer. Additionally, a qualified Florida Registered Surveyor or is required for all surveys;

- b. The name, qualifications (in resume format), duties, responsibilities, and authorities of each person assigned a CQC function.
- c. A copy of the letter to the CQC System Manager signed by an authorized official of the firm which describes the responsibilities and delegates sufficient authorities to adequately perform the functions of the CQC System Manager, including authority to stop work which is not in compliance with the Contract. The CQC System Manager shall issue letters of direction to all other various quality control representatives outlining duties, authorities, and responsibilities. Copies of these letters shall also be furnished to the Engineer.
- d. Procedures for scheduling, reviewing, certifying, and managing submittals, including those of subcontractors, offsite fabricators, suppliers, and purchasing agents. These procedures shall be in accordance with SECTION 01 33 00 SUBMITTAL PROCEDURES.
- e. Control, verification, and acceptance testing procedures for each specific test to include the test name, specification paragraph requiring test, feature of work to be tested, test frequency, and person responsible for each test. (Laboratory facilities will be approved by the Engineer.)
- f. Procedures for tracking preparatory, initial, and follow-up control phases and control, verification, and acceptance tests including documentation.
- g. Procedures for tracking construction deficiencies from identification through acceptable corrective action. These procedures shall establish verification that identified deficiencies have been corrected.
- h. Reporting procedures, including proposed reporting formats.
- i. A list of the definable features of work. A definable feature of work is a task that is separate and distinct from other tasks, has separate control requirements, and may be identified by different trades or disciplines, or it may be work by the same trade in a different environment. Although each section of the specifications may generally be considered as a definable feature of work, there are frequently more than one definable feature under a particular section. This list will be agreed upon during the Coordination Meeting.

B. Acceptance of CQC Plan

- 1. Acceptance of the Contractor's CQC plan is required prior to the start of construction. Acceptance is conditional and will be predicated on satisfactory performance during the construction. Engineer reserves the right to require the Contractor to make changes to his CQC Plan and operations including removal of personnel, as necessary, to obtain the quality specified.

C. Failure to Submit Acceptable CQC Plan

- 1. If the Contractor fails to submit an acceptable CQC plan within the time prescribed, construction SHALL NOT start unless an acceptable interim plan is submitted. If an acceptable final plan is not submitted within a reasonable time, as determined by the Engineer, the Engineer may order the Contractor to stop work until such time as an acceptable plan has been submitted. Any such stop work order shall not be considered a suspension of work for an unreasonable period of time under Article 15 of the General Conditions and the Contractor shall not be entitled to pay adjustments as a result of the stop work order. Failure to comply with the above requirements within the time prescribed

will be considered a condition endangering the performance of the Contract and may be considered grounds for termination of the Contract in accordance with paragraph "TERMINATION FOR DEFAULT" of SECTION 00 72 00 GENERAL CONDITIONS.

D. Notification of Changes

1. After acceptance of the CQC Plan, the Contractor shall notify the Engineer in writing a minimum of seven (7) calendar days prior to any proposed change. Proposed changes are subject to acceptance by the Engineer.

3.3 COORDINATION MEETING

- A. After award of the contract, but before physical work starts and before the acceptance by the Engineer of the CQC Plan, the Contractor shall meet with the Engineer or Authorized Representative and discuss the Contractor's quality control system. During the meeting, a mutual understanding of the system details shall be developed, including the forms for recording the CQC operations, control activities, testing, administration of the system for both onsite and offsite work, and the interrelationship of Contractor's Management and control with Owner's Quality Assurance. Minutes of the meeting shall be prepared by the Engineer and signed by the Contractor. The minutes shall become a part of the contract file. There may also be occasions when subsequent conferences will be called by either party to reconfirm mutual understandings and/or address deficiencies in the CQC system or procedures which may require corrective action by the Contractor.

3.4 QUALITY CONTROL ORGANIZATION

A. General

1. The requirements for the CQC organization are a CQC System Manager and sufficient number of additional qualified personnel to ensure contract compliance. The Contractor shall provide a CQC organization which shall be at the site at all times during progress of the work and with complete authority to take any action necessary to ensure compliance with the contract. All CQC staff members shall be subject to acceptance by the Engineer. The organization shall designate a Safety Officer and a qualified Endangered Species Monitor who will serve as members of the CQC staff and designate a qualified surveyor for quantity measurement.

B. CQC System Manager

1. The Contractor shall identify as CQC System Manager an individual within the onsite work organization who shall be responsible for overall management of CQC and have the authority to act in all CQC matters for the Contractor. The CQC System Manager shall be a dredging or construction person with a minimum of ~~eight (8)~~three (3) years of experience in related work. This CQC System Manager shall be on the site at all times during construction and shall be employed by the prime Contractor. The CQC System Manager shall be assigned as System Manager but may have duties as project superintendent in addition to quality control. An alternate for the CQC System Manager, containing a minimum of three (3) years of experience, shall be identified in the plan to serve in the event of the System Manager's absence.

C. CQC Personnel

1. A staff shall be maintained under the direction of the CQC System Manager to perform all CQC activities. The staff must be of sufficient size to ensure adequate CQC coverage of

all work phases, work shifts, and work crews involved in the construction. These personnel may perform other duties, but must be fully qualified by experience and technical training to perform their assigned CQC responsibilities and must be allowed sufficient time to carry out these responsibilities. The CQC plan will clearly state the duties and responsibilities of each staff member.

D. Registered Land Surveyor

1. A registered Land Surveyor registered in the State of Florida shall perform all layouts of the work and quantity surveys required to carry out the project work. The Registered Land Surveyor shall certify all field notes, computations, and all other records relating to surveys or layouts of the work.
2. The Registered Surveyor must have appropriate equipment (i.e., heave, pitch, and roll compensator) to be able to work within inclement weather conditions.

E. Organizational Changes

1. The Contractor shall maintain the CQC staff at full strength at all times. When it is necessary to make changes to the CQC staff, the Contractor shall revise the CQC Plan to reflect the changes and submit the changes to the Engineer for acceptance.

3.5 SUBMITTALS

- A. Submittals shall be made as specified in SECTION 01 33 00 SUBMITTAL PROCEDURES. The CQC organization shall be responsible for certifying that all submittals are in compliance with the contract requirements.

3.6 CONTROL

- A. The Contractor Quality Control is the means by which the Contractor ensures that the construction, to include that of subcontractors and suppliers, complies with the requirements of the contract. At least three phases of control shall be conducted by the CQC System Manager for each definable feature of work as follows:

1. Preparatory Phase (see **APPENDIX J** for worksheet)

This phase shall be performed prior to beginning work on each definable feature of work, after all required plans/documents/materials are approved/accepted, and after copies are at the work site. This phase shall include:

- a. A review of each paragraph of applicable specifications.
- b. A review of the Project Drawings
- c. A check to assure that all materials and/or equipment have been tested, submitted, and approved.
- d. Review of provisions that have been made to provide required control inspection and testing.
- e. Examination of the work area to assure that all required preliminary work has been completed and is in compliance with the contract.
- f. A physical examination of required materials, equipment, and sample work to assure that they are on hand, conform to approved shop drawings or submitted data, and are properly stored.
- g. Reviews of the appropriate activity hazard analysis to assure safety requirements are met.

- h. Discussion of procedures for controlling quality of the work including repetitive deficiencies. Document construction tolerances and workmanship standards for the feature of work.
 - i. A check to ensure that the portion of the plan for the work to be performed has been accepted by the Engineer.
 - j. Review requirements under permits, environmental protection, and protection of environmental species.
 - k. Discussion of the initial control phase (workmanship).
 - l. The Engineer shall be notified at least 24 hours in advance of beginning the preparatory control phase. This phase shall include a meeting conducted by the CQC System Manager and attended by superintendent, other CQC personnel (as applicable), and the foreman responsible for the definable feature. The results of the preparatory phase actions shall be documented by separate minutes prepared by the CQC Systems Manager and attached to the daily CQC report. The Contractor shall instruct applicable workers as to the acceptable level of workmanship required in order to meet contract specifications.
2. Initial Phase (see **APPENDIX J** for worksheet)

This phase shall be accomplished at the beginning of a definable feature of work. The following shall be accomplished:

- a. A check of work to ensure that it is in full compliance with contract requirements. Review minutes of the preparatory meeting.
 - b. Verify adequacy of turbidity monitoring and survey controls to ensure full contract compliance. Verify required control inspection and testing.
 - c. Establish a level of workmanship and verify that it meets minimum acceptable workmanship standards and review allowable tolerances. Compare with required sample panels as appropriate.
 - d. Resolve all differences.
 - e. Check safety to include compliance with and upgrading of the safety plan and activity hazard analysis. Review the activity analysis with each worker.
 - f. The Engineer shall be notified at least 24 hours in advance of beginning the initial phase. Separate minutes of this phase shall be prepared by the CQC Systems Manager and attached to the daily CQC report. Exact location of initial phase shall be indicated for future reference and comparison with follow-up phases; and
 - g. The initial phase should be repeated for each new crew to work onsite, or any time acceptable specified quality standards are not being met.
3. Follow-up Phase
- a. Daily checks shall be performed to assure control activities, including control testing, are providing continued compliance with contract requirements, until completion of the particular feature of work. The checks shall be made a matter of record in the CQC documentation. Final follow-up checks shall be conducted and all deficiencies corrected prior to the start of additional features of work which may be affected by the deficient work. The Contractor shall not build upon nor conceal non-conforming work.
4. Additional Preparatory and Initial Phases
- a. Additional preparatory and initial phases shall be conducted on the same definable features of work if the quality of on-going work is unacceptable; there are changes in the applicable CQC staff, onsite production supervision or work crew; work on the definable feature is resumed after a substantial period of inactivity; when other problems develop.

3.7 TESTS

A. Testing Procedure

1. The Contractor shall perform specified tests and required monitoring instrumentation or tests to verify that control measures are adequate to provide an end product which conforms to contract requirements. Upon request, the Contractor shall furnish to the Engineer duplicate samples of test specimens for possible testing by the Owner. Testing includes operations and/or acceptance tests when specified. The Contractor shall procure the services of an Engineer-approved testing laboratory or establish an approved testing laboratory at the project site. The Contractor shall perform the following activities and record and provide the following data:
 - a. Verify that testing standard or procedures comply with contract requirements
 - b. Verify that facilities and testing equipment are available and comply with testing standards.
 - c. Check test instruments calibration data against certified standards
 - d. Verify that recording forms and test identification control number system, including all of the test documentation requirements, have been prepared.
 - e. Results of tests and monitoring instruments, both passing and failing, shall be recorded on the CQC report for the date taken. Specification paragraph reference, location where tests were taken, and the sequential control number identifying the test shall be given. If approved by Engineer, actual test reports may be submitted later with a reference to the test number and date taken. An information copy of test performed by an offsite or commercial test facility shall be provided directly to the Engineer. Failure to submit timely test reports as stated or maintain adequate monitoring testing may result in nonpayment for related work performed and disapproval of the test facility for this contract.

3.8 TESTING LABORATORIES

A. Capability Check

1. The Owner reserves the right to check laboratory equipment in the proposed laboratory for compliance with the standards set forth in the contract specifications and to check the laboratory technician's testing procedures and techniques.

B. Capability Recheck

1. If the selected laboratory fails the capability check, the Contractor will be assessed a charge to reimburse the Owner for each succeeding recheck of the laboratory or the checking of a subsequently selected laboratory. Such costs will be deducted from the contract amount due the Contractor.

C. Onsite Laboratory

1. The Owner reserves the right to utilize the Contractor's control testing laboratory and equipment to make assurance tests and to check Contractor's testing procedures, techniques, and test results at no additional cost to the Owner.

D. Furnishing or Transportation of Samples for Testing

1. Costs incidental to the transportation of samples or materials shall be borne by the Contractor. Samples of materials for test verification and acceptance testing by the Owner shall be delivered to Engineer-approved laboratory. Coordination for each specific test, exact delivery location, and dates will be made with the Engineer.

3.9 COMPLETION INSPECTION

A. Punch-Out Inspection

1. Near the completion of all work or any increment thereof, the CQC System Manager shall conduct an inspection of the work and develop a "punch list" of items which do not conform to the approved drawings and specifications. Such a list of deficiencies shall be included in the CQC documentation, as required by paragraph DOCUMENTATION below, and shall include the estimated date by which the deficiencies will be corrected. The CQC System Manager or staff shall make a second inspection to ascertain that all deficiencies have been correct. Once this is accomplished, the Contractor shall notify the Engineer that the facility is ready for "Pre-Final" inspection.

B. Pre-Final Inspection

1. The Engineer may perform a Pre-Final Inspection to verify that the Work is complete. The Contractor's CQC System Manager shall ensure that all items identified as needing completion or corrections have been addressed before requesting a final inspection. Any items noted on the Pre-Final Inspection shall be corrected in a timely manner. These inspections and any deficiency corrections required by this paragraph shall be accomplished within the time slated for completion of the entire work or any particular increment thereof if the project is divided into increments by separate completion dates.

C. Final Acceptance Inspection

1. The Contractor's Quality Control Inspection personnel, plus the superintendent or other primary management person, and Engineer's Representative shall be in attendance at this inspection. Additional Owner personnel may also be in attendance. The final acceptance inspection will be formally scheduled by the Engineer based upon results of the Pre-Final inspection. Notice shall be given to the Engineer at least 14 days prior to the final acceptance inspection and shall include the Contractor's assurance that all specific items previously identified to the Contractor as being unacceptable, along with all remaining work performed under the contract, will be complete and acceptable by the date scheduled for the final acceptance inspection. Failure of Contractor to have all contract work acceptably complete for this inspection will be cause for the Owner to bill the Contractor for the Owner's additional inspection cost in accordance with Paragraph 14.06 of the General Conditions. In addition to the Owner, other agencies may attend.

3.10 DOCUMENTATION

- A. The Contractor shall maintain current records providing factual evidence that required quality control activities and/or tests have been performed. These records shall include the work of subcontractors and suppliers and shall be on an acceptable form that includes, as a minimum, the following information:

1. Contractor/subcontractor and their area of responsibility.
2. Operating plan/equipment with hours worked, idle, or down for repair.

3. Work performed each day, giving location, description, and by whom.
 4. Test and/or control activities performed with results and references to specifications/drawings requirements. The control phase should be identified (Preparatory, Initial, Follow-up). List deficiencies noted along with corrective action.
 5. Quantity of materials received at the site with statement as to acceptability, storage, and reference to specifications/drawings requirements.
 6. Submittals reviewed, with contract reference, by whom, and action taken.
 7. Off-site surveillance activities, including actions taken.
 8. Job safety evaluations stating what was checked, results, and instructions or corrective actions.
 9. Instructions give/received and conflicts in plans and/or specifications.
 10. Contractor's verification statement.
- B. These records shall indicate a description of trades working on the project; the number of personnel working; weather conditions encountered; and any delays encountered. These records shall cover both conforming and deficient features and shall include a statement that equipment and materials incorporated in the work and workmanship comply with the contract. One copy of these records in electronic report form (Adobe PDF format) shall be furnished to the Engineer daily within 24 hours after the date(s) covered by the report, except that reports need not be submitted for days which no work is performed. As a minimum, one report shall be prepared and submitted for every 7 days of no work and on the last day of a no work period. All calendar days shall be accounted for throughout the life of the contract. The first report following a day of no work shall be for that day only. Reports shall be signed and dated by the CQC System Manager. The report from the CQC System Manager shall include copies of test reports and copies of reports prepared by all subordinate quality control personnel.

3.11 NOTIFICATION OF NONCOMPLIANCE

- A. The Engineer will notify the contractor of any detected noncompliance with the foregoing requirements. The Contractor shall take immediate corrective action after receipt of such notice. Such notice, when delivered to the Contractor at the work site, shall be deemed sufficient for the purpose of notification. If the Contractor fails or refuses to comply promptly, the Engineer may issue an order stopping all or part of the work until satisfactory corrective action has been taken. No part of the time lost due to such stop orders shall be made the subject of claim for extension of time or for excess costs or damages by the Contractor.

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