

SECTION 01 45 00
QUALITY CONTROL

PART 1 - GENERAL

1.1 DESCRIPTION

This section specifies requirements for Contractor Quality Control (CQC) for Design-Bid-Build (DBB) or Design-Build (DB) construction projects. This section can be used for both project types.

1.2 APPLICABLE PUBLICATIONS

- A. The publication 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.
- B. ASTM International (ASTM)
 - 1. ASTM D3740 - (2012a) Minimum Requirements for Agencies Engaged in the Testing and/or Inspection of Soil and Rock as Used in Engineering Design and Construction
 - 2. ASTM E29 - (2014a) Standard Specification for Agencies Engaged in the Testing and/or Inspection of Materials Used in Construction

1.3 SUBMITTALS

Government approval is required for all submittals. CQC inspection reports shall be submitted under this Specification section and follow the [Applicable CQC Control Phase (Preparatory, Initial, or Follow-Up)]: [Applicable Specification section] naming convention.

- 1. Preconstruction Submittals
 - a. Interim CQC Plan
 - b. CQC Plan
 - c. Additional Requirements for Design Quality Control (DQC) Plan
- 2. Design Data
 - a. Discipline-Specific Checklists
 - b. Design Quality Control
- 3. Test Reports
 - a. Verification Statement

PART 2 PRODUCTS - NOT USED

PART 3 - EXECUTION

3.1 GENERAL REQUIREMENTS

Establish and maintain an effective quality control (QC) system that complies with the FAR Clause 52.246.12 titled "Inspection of Construction". QC consists of plans, procedures, and organization necessary to produce an end product which complies with the Contract requirements. The QC system covers all design and construction operations, both onsite and offsite, and be keyed to the proposed design and construction sequence. The project superintendent will be held responsible for the quality of work and is subject to removal by the Contracting Office or Authorized designee for non-compliance with the quality requirements specified in the Contract. In this context the highest level manager responsible for the overall construction activities at the site, including quality and production is the project superintendent. The project superintendent maintains a physical presence at the site at all times and is responsible for all construction and related activities at the site, except as otherwise acceptable to the Contracting Officer.

3.2 CQC PLAN:

- A. Submit no later than 15 days after receipt of Notice to Proceed (NTP) the CQC Plan proposed to implement the requirements of the FAR Clause 52.246.12 titled "Inspection of Construction". The Government will consider an Interim CQC Plan for the first 45 days of operation, which must be accepted within 10 business days of NTP. Design and/or construction will be permitted to begin only after acceptance of the CQC Plan or acceptance of an Interim plan applicable to the particular feature of work to be started. Work outside of the accepted Interim CQC Plan will not be permitted to begin until acceptance of a CQC Plan or another Interim CQC Plan containing the additional work scope is accepted.
- B. Content of the CQC Plan: Include, as a minimum, the following to cover all design and construction operations, both onsite and offsite, including work by subcontractors, designers of record consultants, architects/engineers (A/E), fabricators, suppliers, and purchasing agents:

1. A description of the QC organization, including a chart showing lines of authority and acknowledgement that the CQC staff will implement the three phase control system for all aspects of the work specified. Include a CQC System Manager that reports to the project superintendent.
2. The name, qualifications (in resume format) duties, responsibilities, and authorities of each person assigned a CQC function.
3. 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. Letters of direction to all other various quality control representatives outlining duties, authorities, and responsibilities will to the Contracting Officer or Authorized designee. be issued by the CQC System Manager. Furnish copies of these letters
4. Procedures for scheduling, reviewing, certifying, and managing submittals including those of subcontractors, designers of record, consultants, A/E's offsite fabricators, suppliers and purchasing agents. These procedures must be in accordance with Section 01 33 23 Shop Drawings, Product Data, and Samples.
5. Control, verification, and acceptance of 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 approved by the Contracting Officer or Authorized designee are required to be used)
6. Procedures for tracking Preparatory, Initial, and Follow-Up control phases and control, verification, and acceptance tests including documentation.
7. Procedures for tracking design and construction deficiencies from identification through acceptable corrective action. Establish verification procedures that identified deficiencies have been corrected.
8. Reporting procedures, including proposed reporting formats.
9. A list of the definable features of work. A definable feature of work is a task which is separate and distinct from other tasks has

separate control requirements, and is identified by different trades or disciplines, or it is work by the same trade in a different environment. Although each section of specifications can 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.

10. Coordinate schedule work with Special Inspections required by Section 01 45 35 Special Inspections, the Statement of Special Inspections and Schedule of Special Inspections. Where the applicable Code issue by the International Code Council (ICC) calls for inspections by the Building Official, the Contractor must include the inspections in the CQC Plan and must perform the inspections required by the applicable ICC. The Contractor must perform these inspections using independent qualified inspectors. Include the Special Inspection Plan requirements in the CQC Plan.

C. Additional Requirements for Design Quality Control (DQC) Plan: The following additional requirements apply to the DQC Plan for DB projects only and not DBB projects:

1. Submit and maintain a DQC Plan as an effective QC program which assures that all services required by this contract are performed and provided in a manner that meets professional architectural and engineering quality standards. As a minimum, all documents must be technically reviewed by competent, independent reviewers identified in the DQC Plan. The same element that produced the product may not perform the independent technical review (ITR). Correct errors and deficiencies in the design documents prior to submitting them to the Government.
2. Include the design schedule in the master project schedule, showing the sequence of events involved in carrying out the project design tasks within the specific Contract period. This should be at a detailed level of scheduling sufficient to identify all major design tasks, including those that control the flow of work. Include review and correction periods associated with each item. This should be a forward planning as well as a project monitoring tool. The schedule reflects calendar days and not dates for each activity. If the schedule is changed, submit a revised schedule reflecting the change within 7 calendar days. Include in the DQC Plan the discipline-specific checklists to be used during the design and quality control

of each submittal. Submit at each design phase as part of the project documentation these completed discipline-specific checklists.

3. Implement the DQC Plan by a DQC Manager who has the responsibility of being cognizant of and assuring that all documents on the project have been coordinated. This individual must be a person who has verifiable engineering or architectural design experience and is a Professional Engineer or Registered Architect within the state of Construction location. Notify the Contracting Officer or Authorized designee, in writing, of the name of the individual, and the name of an alternate person assigned to the position.

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

E. Notification of Changes: After acceptance of the CQC Plan, notify the Contracting Officer or Authorized designee in writing of any proposed change. Proposed changes are subject to acceptance by the Government prior to implementation by the Contractor.

3.3 COORDINATION MEETING:

After the Preconstruction Conference Post-award Conference before start of design or construction, and prior to acceptance by the Government of the CQC Plan, meet with the Contracting Officer or Authorized designee to discuss the Contractor's quality control system. Submit the CQC Plan a minimum of 5 business days prior to the Coordination Meeting. During the meeting, a mutual understanding of the system details must be developed, including the forms for recording the CC operations, design activities (if applicable), control activities, testing, administration of the system for both onsite and offsite work, and the interrelationship of Contractor's Management and control with the Government's Quality Assurance. Minutes of the meeting will be prepared by the Government, signed by both the Contractor and Contracting Officer or Authorized designee and will become a part of

the contract file. There can be occasions when subsequent conferences will be called by either party to reconfirm mutual understandings or address deficiencies in the CQC system or procedures which can require corrective action by the Contractor.

3.4 QUALITY CONTROL ORGANIZATION:

- A. **Personnel Requirements:** The requirements for the CQC organization are a Safety and Health Manager, CQC System Manager, a Design Quality Manager (if applicable), and sufficient number of additional qualified personnel to ensure safety and Contract compliance. The Safety and Health Manager shall satisfy the requirements of Specification 01 35 26 Safety Requirements and reports directly to a senior project (or corporate) official independent from the CQC System Manager. The Safety and Health Manager will also serve as a member of the CQC Staff. Personnel identified in the technical provisions as requiring specialized skills to assure the required work is being performed properly will also be included as part of the CQC organization. The Contractor's CQC staff maintains a presence at the site at all times during progress of the work and have complete authority and responsibility to take any action necessary to ensure Contract compliance. The CQC staff will be subject to acceptance by the Contracting Officer or Authorized designee. Provide adequate office space, filing systems, and other resources as necessary to maintain an effective and fully functional CQC organization. Promptly complete and furnish all letters, material submittals, shop drawings submittals, schedules and all other project documentation to the CQC organization. The CQC organization is responsible to maintain these documents and records at the site at all times, except as otherwise acceptable to the Government.
- B. **CQC System Manager:** Identify as CQC System Manager an individual within the onsite work organization that is responsible for overall management of CQC and has the authority to act in all CQC matters for the Contractor. The CQC system Manager is required to be a graduate engineer, graduate architect, or a graduate of construction management, with a minimum of 7 years construction experience on construction similar to the scope of this Contract. This CQC System manager is on the site at all times during construction and is employed by the General Contractor. The CQC System Manager is assigned no other duties.

The requirements for the alternate are the same as the CQC System Manager.

- C. CQC Personnel: In addition to CQC personnel specified elsewhere in the contract, provide as part of the CQC organization specialized personnel to assist in the CQC System Manager for the following areas, as applicable: electrical, mechanical, civil, structural, environmental, architectural, materials technician submittals clerk, Commissioning Agent/LEED specialist, and low voltage systems. These individuals or specified technical companies are directly employed by the General Contractor and cannot be employed by a supplier or subcontractor on this project are employees of the prime or subcontractor; be responsible to the CQC System Manager; be physically present at the construction site during work on the specialized personnel's areas of responsibility; have the necessary education or experience in accordance with the Experience Matrix listed herein. These individuals have no other duties other than quality control, can perform other duties but need to be allowed sufficient time to perform the specialized personnel's assigned quality controls duties as described in the CQC Plan. A single person can cover more than one area provided that the single person is qualified to perform QC activities in each designated and that workload allows.

EXPERIENCE MATRIX

Area	Qualifications
Civil	Graduate Civil Engineer or Construction Manager with 2 years experience in the type of work being performed on this project or technician with 5 years related experience.
Mechanical	Graduate Mechanical Engineer with 2 years experience or construction professional with 5 years of experience supervising mechanical features of work in the field with a construction company.
Electrical	Graduate Electrical Engineer with 2 years related experience or construction professional with 5 years of experience supervising electrical features of work in the field with a construction company.

Area	Qualifications
Structural	Graduate Civil Engineer (with Structural Track or Focus), Structural Engineer, or Construction Manager with 2 years experience or construction professional with 5 years experience supervising structural features of work in the field with a construction company.
Architectural	Graduate Architect with 2 years experience or construction professional with 5 years of related experience.
Environmental	Graduate Environmental Engineer with 3 years experience.
Submittals	Submittal Clerk with 1 year experience.
Concrete, Pavement, and Soils	Materials Technician with 2 years experience for the appropriate area.
Testing, Adjusting, and Balancing (TAB)	Specialist must be a member of AABC or an experienced technician of the firm certified by the NEBB.
Design Quality Control Manager	Registered Architect or Professional Engineer

D. **Additional Requirements:** In addition to the above experience and education requirements, the CQC System Manager and Alternate CQC System Manager are required to have completed the Construction Quality Management (CQM) for Construction course. If the CQC System Manager does not have a current specification, obtain the CQM for Contractors course identification within 90 days of award. This course is periodically offered by the Naval Facilities Engineering Command and the Army Corps of Engineers. Contact the Contracting Officer or Authorized designee for information on the next scheduled class.

E. **Organizational Changes:** Maintain the CQC staff at full strength at all times. When it is necessary to make changes to the CQC staff, revise the CQC Plan to reflect the changes and submit the changes to the Contracting Officer or Authorized designee for acceptance.

3.5 **SUBMITTALS AND DELIVERABLES:** Submittals have to comply with the requirements in Section 01 33 23 Shop Drawings, Product Data, and Samples. The CQC organization is responsible for certifying that all submittals and deliverables are in compliance with the contract requirements. When Section 01 91 00 General Commissioning Requirements

is included in the contract, the submittals required by the section have to be coordinated with the Section 01 33 23 Shop Drawings, Product Data, and Samples to ensure adequate time is allowed for each type of submittal required.

3.6 CONTROL:

- A. CQC 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 are required to be conducted by the CQC System Manager for each definable feature of the construction work as follows:

1. Preparatory Phase: This phase is 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 includes:
 - a. A review of each paragraph of applicable specifications, references codes, and standards. Make available during the preparatory inspection a copy of those sections of referenced codes and standards applicable to that portion of the work to be accomplished in the field. Maintain and make available in the field for use by Government personnel until final acceptance of the work.
 - b. Review of the Contract drawings.
 - c. Check to assure that all materials and equipment have been tested, submitted, and approved.
 - d. Review of provisions that have been made to provide required control inspection and testing.
 - e. Review Special Inspections required by Section 01 45 35 Special Inspections, that Statement of Special Inspections and the Schedule of Specials Inspections.
 - f. Examination of the work area to assure that all required preliminary work has been completed and is in compliance with the Contract.
 - g. 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.
 - h. Review of the appropriate Activity Hazard Analysis (AHA) to assure safety requirements are met.

- i. Discussion of procedures for controlling quality of the work including repetitive deficiencies. Document construction tolerances and workmanship standards - contract defined or industry standard if not contract defined - for that feature of work.
 - j. Check to ensure that the portion of the plan for the work to be performed has been accepted by the Contracting Officer.
 - k. Discussion of the initial control phase.
 - l. The Government needs to be notified at least 48 hours or 2 business days in advance of beginning the Preparatory control phase. Include a meeting conducted by the CQC System Manager and attended by the superintendent, other CQC personnel (as applicable), and the foreman responsible for the definable feature. Document the results of the Preparatory phase actions by separate minutes prepared by the CQC System Manager and attach to the daily CQC report. Instruct applicable workers as to the acceptable level of workmanship required in order to meet contract specifications.
- B. Initial Phase: This phase is accomplished at the beginning of a definable feature of work. Accomplish the following:
1. Check work to ensure that it is in full compliance with contract requirements. Review minutes of the Preparatory meeting.
 2. Verify adequacy of controls to ensure full contract compliance. Verify the required control inspection and testing is in compliance with the contract.
 3. Establish level of workmanship and verify that it meets minimum acceptable workmanship standards. Compare with required sample panels as appropriate.
 4. Resolve all differences.
 5. Check safety to include compliance with an upgrading of the safety plan and activity hazard analysis. Review the activity analysis with each worker.
 6. The Government needs to be notified at least 48 hours or 2 business days in advance of beginning the initial phase for definable features of work. Prepare separate minutes of this phase by the CQC System Manager and attach to the daily CQC report. Indicate the exact location of initial phase for definable feature of work for future reference and comparison with Follow-Up phases.

7. The initial phase for each definable feature of work is repeated for each new crew to work onsite, or any time acceptable specified quality standards are not being met.
 8. Coordinate scheduled work with Special Inspections required by Section 01 45 35 Special Inspections, the Statement of Special Inspections, and the Schedule of Special Inspections.
- C. Follow-Up Phase: Perform daily checks to assure control activities, including control testing, are providing continued compliance with contract requirements until the completion of the particular feature of work. Record the checks in the CQC documentation. Conduct final Follow-Up checks and correct all deficiencies prior to the start of additional features of work which may be affected by the deficient work. Do not build upon nor conceal non-conforming work. Coordinate scheduled work with Special Inspections required by Section 01 45 35 Special Inspections, the Statement of Special Inspections, and the Schedule of Special Inspections
- D. Additional Preparatory and Initial Phases on the same definable features of work if: the quality ongoing work is unacceptable; if there are changes in the applicable CQC staff, onsite production supervision or work crew; if work on a definable feature is resumed after a substantial period of inactivity, or if other problems develop.

3.7 TESTS

- A. Testing Procedure: Perform specified or required tests to verify that control measures are adequate to provide a product which conforms to contract requirements. Upon request, furnish to the Government duplicate samples of test specimens for possible testing by the Government. Testing includes operation and acceptance test when specified. Procure the services of a Department of Veteran Affairs approved testing laboratory or establish an approved testing laboratory at the project site. Perform the following activities and record and provide the following data:
1. Verify that testing procedures comply with contract requirements.
 2. Verify that facilities and testing equipment are available and comply with testing standards.
 3. Check test instrument calibration data against certified standards.
 4. Verify that recording forms and test identification control number system, including all of the test documentation requirements, have been prepared.

5. Record results of all tests taken, both passing and failing on the CQC report for the date taken. Specification paragraph reference, location where tests were taken, and the unique sequential control number identifying the test. If approved by the Contracting Officer or Authorized designee, actual test reports are submitted later with a reference to the test number and date taken. Provide an information copy of tests performed by an offsite or commercial test facility directly to the Contracting Officer or Authorized designee. Failure to submit timely test reports as stated results in nonpayment for related work performed and disapproval of the test facility for this Contract.
- B. Testing Laboratories: All testing laboratories must be validated through the procedures contained in Specification section 01 45 29 Testing Laboratory Services.
1. Capability Check: The Government 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. Laboratories utilized for testing soils, concrete, asphalt and steel is required to meet criteria detailed in ASTM D3740 and ASTM E329.
 2. Capability Recheck: If the selected laboratory fails the capability check, the Contractor will be assessed a charge equal to value of recheck to reimburse the Government 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: The Government reserves the right to utilize the Contractor's control testing laboratory and equipment to make assurance tests, and to check the Contractor's testing procedures, techniques, and test results at no additional cost to the Government.

3.8 COMPLETION INSPECTION

- A. Punch-Out Inspection: Conduct an inspection of the work by the CQC system Manager near the end of the work, or any increment of the work established by a time stated FAR 52.211-10 - Commencement, Prosecution, and Completion of Work, or by the specifications. Prepare and include in the CQC documentation a punch list of items which do not conform to the approved drawings and specifications. Include within the list of deficiencies the estimated date by which the deficiencies will be

corrected. Make a second inspection the CQC System Manager or staff to ascertain that all deficiencies have been corrected. Once this is accomplished, notify the Government that the facility is ready for the Government Pre-Final Inspection.

52.211-10 -- Commencement, Prosecution, and Completion of Work.

As prescribed in [11.404](#)(b), insert the following clause in solicitations and contracts when a fixed-price construction contract is contemplated. The clause may be changed to accommodate the issuance of orders under indefinite-delivery contracts for construction.

Commencement, Prosecution, and Completion of Work (Apr 1984)

The Contractor shall be required to:

- (a) commence work under this contract within _____ // *Contracting Officer insert number*// calendar days after the date the Contractor receives the notice to proceed,
- (b) prosecute the work diligently, and
- (c) complete the entire work ready for use not later than _____.* The time stated for completion shall include final cleanup of the premises.

(End of Clause)

* The Contracting Officer shall specify either a number of days after the date the contractor receives the notice to proceed, or a calendar date.

Alternate I (Apr 1984). If the completion date is expressed as a specific calendar date, computed on the basis of the contractor receiving the notice to proceed by a certain day, add the following paragraph to the basic clause:

The completion date is based on the assumption that the successful offeror will receive the notice to proceed by _____ // *Contracting Officer insert date* //. The completion date will be extended by the number of calendar days after the above date that the Contractor receives the notice to proceed, except to the extent that the delay in issuance of the notice to proceed results from the failure of the Contractor to execute the contract and give the required performance and payment bonds within the time specified in the offer.

- B. Pre-Final Inspection: The Government will perform the Pre-Final Inspection to verify that the facility is complete and ready to be occupied. A Government Pre-Final Punch List may be developed as a result of this inspection. Ensure that all items on this list have been corrected before notifying the Government, so that a Final Acceptance Inspection with the customer can be scheduled. Correct any items noted

on the Pre-Final Inspection in a timely manner. These inspections and any deficiency corrections required by this paragraph need to be accomplished within the time slated for completion of the entire work or any particular increment of the work if the project is divided into increments by separate construction completion dates.

- C. Final Acceptance Inspection: The Contractor's QC Inspection personnel, plus the superintendent or other primary management person, and the Contracting Officer's Authorized designee is required to be in attendance at the Final Acceptance Inspection. Additional Government personnel can also be in attendance. The Final Acceptance Inspection will be formally scheduled by the Contracting Officer's or Authorized designee based upon results of the Pre-Final Inspection. Notify the Contracting Officer through the COR at least 14 days prior to the Final Acceptance Inspection and include the Contractor's assurance that all specific items previously identified at 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 the Contractor to have all contract work acceptably complete for this inspection will be cause for the Contracting Officer to bill the Contractor for the Government's additional inspection cost in accordance with FAR Clause 52.246-12 titled "Inspection of Construction".

3.9 DOCUMENTATION

- A. Quality Control Activities: Maintain current records providing factual evidence that required QC activities and tests have been performed. Include in these records the work of subcontractors and suppliers on an acceptable form that includes, as a minimum, the following information:
1. The name and area of responsibility of the Contractor/Subcontractor
 2. Operating plant/equipment with hours worked, idle, or down for repair.
 3. Work performed each day, giving location, description, and by whom. When Network Analysis (NAS) is used, identify each phase of work performed each day by NAS activity number.
 4. Test and control activities performed with results and references to specification/drawing requirements. Identify the Control Phase (Preparatory, Initial, and/or 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 specification/drawing requirements.
 6. Submittals and deliverables reviewed, with Contract reference, by whom, and action taken.
 7. Offsite surveillance activities, including actions taken.
 8. Job safety evaluations stating what was checked, results, and instructions or corrective actions.
 9. Instructions given/received and conflicts in plans and specifications.
 10. Provide documentation of design quality control activities. For independent design reviews, provide, as a minimum, identification of the Independent Technical Reviewer (ITR) team, the ITR review comments, responses, and the record of resolution of the comments.
- B. Verification Statement: Indicate a description of trades working on the project; the number of personnel working; weather conditions encountered; and any delays encountered. Cover both conforming and deficient features and include a statement that equipment and materials incorporated in the work and workmanship comply with the Contract. Furnish the original and one copy of these records in report form to the Government daily with 1 week after the date covered by the report, except that reports need not be submitted for day son which no work is performed. As a minimum, prepare and submit on report for every 7 days of no work and on the last day of a no work period. All calendar days need to be accounted for throughout the life of the contract. The first report following a day of no work will be for that day only. Reports need to be signed and dated by the CQC System Manager. Include copies of test reports and copies of reports prepared by all subordinate QC personnel within the CQC System Manager Report.

3.10 SAMPLE FORMS



**014500 Referenced
Example Form Templa**

- 3.11 **NOTIFICATION OF NONCOMPLIANCE:** The Contracting Officer or Authorized designee will notify the Contractor of any detected noncompliance with the foregoing requirements. The Contractor should take immediate

corrective action after receipt of such notice. Such notice, when delivered to the Contractor at the work site will be deemed sufficient for the purpose of notification. If the Contractor fails or refuses to comply promptly, the Contracting Officer can 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 will be made the subject of claim for extension of time or for excess costs or damages by the Contractor.

--- End of Section ---