UNIFIED FACILITIES GUIDE SPECIFICATIONS

References are in agreement with UMRL dated January 2021
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QUALITY CONTROL FOR MINOR CONSTRUCTION

02/10, CHG 3: 02/21

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USACE / NAVFAC / AFCEC / NASA	**UFGS-01 45 00.10 20 (February 2010)** **Change 3 - 02/21**
Preparing Activity: NAVFAC	**Superseding** **UFGS-01 45 02.10 (November 2008)**

UNIFIED FACILITIES GUIDE SPECIFICATIONS

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SECTION 01 45 00.10 20

QUALITY CONTROL FOR MINOR CONSTRUCTION
02/10, CHG 3: 02/21

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NOTE: This guide specification covers the requirements for Quality Control for small construction projects and repair or maintenance work. It may also be used for minor elements or small quantities of work in larger projects at the discretion of the Government.

Adhere to UFC 1-300-02 Unified Facilities Guide Specifications (UFGS) Format Standard when editing this guide specification or preparing new project specification sections. Edit this guide specification for project specific requirements by adding, deleting, or revising text. For bracketed items, choose applicable item(s) or insert appropriate information.

Remove information and requirements not required in respective project, whether or not brackets are present.

Comments, suggestions and recommended changes for this guide specification are welcome and should be submitted as a Criteria Change Request (CCR).

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PART 1 GENERAL

1.1 REFERENCES

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NOTE: This paragraph is used to list the publications cited in the text of the guide specification. The publications are referred to in the text by basic designation only and listed in this paragraph by organization, designation, date, and title.

Use the Reference Wizard's Check Reference feature when you add a Reference Identifier (RID) outside of the Section's Reference Article to automatically

place the reference in the Reference Article. Also use the Reference Wizard's Check Reference feature to update the issue dates.

References not used in the text will automatically be deleted from this section of the project specification when you choose to reconcile references in the publish print process.

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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.

U.S. ARMY CORPS OF ENGINEERS (USACE)

EM 385-1-1	(2014) Safety and Health Requirements Manual

1.2 SUBMITTALS

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NOTE: Review Submittal Description (SD) definitions in Section 01 33 00 SUBMITTAL PROCEDURES and edit the following list, and corresponding submittal items in the text, to reflect only the submittals required for the project. The Guide Specification technical editors have classified those items that require Government approval, due to their complexity or criticality, with a "G." Generally, other submittal items can be reviewed by the Contractor's Quality Control System. Only add a "G" to an item if the submittal is sufficiently important or complex in context of the project.

For Army projects, fill in the empty brackets following the "G" classification, with a code of up to three characters to indicate the approving authority. Codes for Army projects using the Resident Management System (RMS) are: "AE" for Architect-Engineer; "DO" for District Office (Engineering Division or other organization in the District Office); "AO" for Area Office; "RO" for Resident Office; and "PO" for Project Office. Codes following the "G" typically are not used for Navy, Air Force, and NASA projects.

The "S" classification indicates submittals required as proof of compliance for sustainability Guiding Principles Validation or Third Party Certification and as described in Section 01 33 00 SUBMITTAL PROCEDURES.

Choose the first bracketed item for Navy, Air Force, and NASA projects, or choose the second bracketed item for Army projects.

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Government approval is required for submittals with a "G" or "S"

classification. Submittals not having a "G" or "S" classification are [for Contractor Quality Control approval.][for information only. When used, a code following the "G" classification identifies the office that will review the submittal for the Government.] Submit the following in accordance with Section 01 33 00 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

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NOTE: For projects in the NAVFAC PAC Area of Operation, and for the submittal(s) identified as SD-01 Preconstruction Submittals, select the "G" designation requiring Government approval.
****

QC Plan; G[, [_____]]

1.3 INFORMATION FOR THE CONTRACTING OFFICER

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NOTE: Weekly CQC Reports and Contractor Production Reports may be submitted on contracts and task orders under $750,000.
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Prior to commencing work on construction, the Contractor can obtain a single copy set of the current report forms from the Contracting Officer. The report forms will consist of the Contractor Production Report, Contractor Production Report (Continuation Sheet), Contractor Quality Control (CQC) Report, CQC Report (Continuation Sheet), Preparatory Phase Checklist, Initial Phase Checklist, Rework Items List, and Testing Plan and Log.

Deliver the following to the Contracting Officer:

a. CQC Report: Original and one copy, by 10:00 AM the next working [day][week]after each [day][week]that work is performed;

b. Contractor Production Report: Original and one copy by 10:00 AM the next working [day][week]after each [day][week]that work is performed;

c. Preparatory Phase Checklist: Original attached to the original CQC Report and one copy attached to each copy;

d. Initial Phase Checklist: Original attached to the original CQC Report and one copy attached to each copy;

e. Field Test Reports: One copy, within [two working days][the week]after the test is performed, attached to the CQC Report;

f. QC Meeting Minutes: One copy, within [two working days][the week]after the meeting; and

g. QC Certifications: As required by the paragraph entitled "QC Certifications."

1.4 QC PROGRAM REQUIREMENTS

Establish and maintain a QC program as described in this section. The QC program consists of a QC Manager, a QC plan, a Coordination and Mutual Understanding Meeting, QC meetings, three phases of control, submittal review and approval, testing, and QC certifications and documentation necessary to provide materials, equipment, workmanship, fabrication, construction and operations which comply with the requirements of this contract. The QC program shall cover on-site and off-site work and shall be keyed to the work sequence. No work or testing may be performed unless the QC Manager is on the work site.

1.4.1 Preliminary Work Authorized Prior to Acceptance

The only work that is authorized to proceed prior to the acceptance of the QC plan is mobilization of storage and office trailers, temporary utilities, and surveying.

1.4.2 Acceptance

Acceptance of the QC plan is required prior to the start of construction. The Contracting Officer reserves the right to require changes in the QC plan and operations as necessary, including removal of personnel, to ensure the specified quality of work. The Contracting Officer reserves the right to interview any member of the QC organization at any time in order to verify the submitted qualifications.

1.4.3 Notification of Changes

Notify the Contracting Officer, in writing, of any proposed change, including changes in the QC organization personnel, a minimum of seven calendar days prior to a proposed change. Proposed changes shall be subject to the acceptance by the Contracting Officer.

1.5 QC ORGANIZATION

1.5.1 QC Manager

1.5.1.1 Duties

Provide a QC Manager at the work site to implement and manage the QC program. In addition to implementing and managing the QC program, the QC Manager may perform the duties of project superintendent. The QC Manager is required to attend the Coordination and Mutual Understanding Meeting, conduct the QC meetings, perform the three phases of control, perform submittal review and approval, ensure testing is performed and provide QC certifications and documentation required in this contract. The QC Manager is responsible for managing and coordinating the three phases of control and documentation performed by others.

1.5.1.2 Qualifications

An individual with a minimum of [5] [10] years combined experience as a superintendent, inspector, QC Manager, project manager, or construction manager on similar size and type construction contracts which included the major trades that are part of this contract. The individual must be familiar with the requirements of the EM 385-1-1 and have experience in the areas of hazard identification and safety compliance.

1.5.1.3 Construction Quality Management Training

In addition to the above experience and education requirements, the QC Manager shall have completed the course Construction Quality Management for Contractors and will have a current certificate.

1.5.2 Alternate QC Manager Duties and Qualifications

Designate an alternate for the QC Manager to serve in the event of the designated QC Manager's absence. The period of absence may not exceed two weeks at one time, and not more than 30 workdays during a calendar year. The qualification requirements for the Alternate QC Manager shall be the same as for the QC Manager.

1.6 QC PLAN

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NOTE: For projects in the NAVFAC PAC Area of Operation, select the second set of brackets.
****

[Submit a QC plan within 15 calendar days after receipt of Notice of Award.] [Submit a QC Plan within 30 calendar days of Contract Award. The Accepted QC plan is required prior to start of construction.]

1.6.1 Requirements

Provide, for acceptance by the Contracting Officer, a QC plan submitted in a three-ring binder that covers both on-site and off-site work and includes the following with a table of contents listing the major sections identified with tabs.

I. QC ORGANIZATION: A chart showing the QC organizational structure and its relationship to the production side of the organization.

II. NAMES AND QUALIFICATIONS: In resume format, for each person in the QC organization. Include the CQM for Contractors course certification requiredby the paragraph entitled "Construction Quality Management Training".

III. DUTIES, RESPONSIBILITY AND AUTHORITY OF QC PERSONAL: Of each person in the QC organization.

IV. OUTSIDE ORGANIZATIONS: A listing of outside organizations such as architectural and consulting engineering firms that will be employed by the Contractor and a description of the services these firms will provide.

V. APPOINTMENT LETTERS: Letters signed by an officer of the firm appointing the QC Manager and Alternate QC Manager and stating that they are responsible for managing and implementing the QC program as described in this contract. Include in this letter the QC Manager's authority to direct the removal and replacement of non-conforming work.

VI. SUBMITTAL PROCEDURES AND INITIAL SUBMITTAL REGISTER: Procedures for reviewing, approving and managing submittals. Provide the name(s) of the person(s) in the QC organization authorized to review and certify submittals prior to approval.

VII. TESTING LABORATORY INFORMATION: Testing laboratory information required by the paragraphs "Accredited Laboratories" or "Testing Laboratory Requirements", as applicable.

VIII. TESTING PLAN AND LOG: A Testing Plan and Log that includes the tests required, referenced by the specification paragraph number requiring the test, the frequency, and the person responsible for each test.

IX. PROCEDURES TO COMPLETE REWORK ITEMS: Procedures to identify, record, track and complete rework items.

X. DOCUMENTATION PROCEDURES: Use Government formats.

XI. LIST OF DEFINABLE FEATURES: A Definable Feature of Work (DFOW) is a task, which is separate and distinct from other tasks, has the same control requirements and work crews. The list shall be cross-referenced to the Contractor's Construction Schedule and the specification sections. For projects requiring a Progress Chart, the list of definable features of work shall include but not be limited to all items of work on the schedule. For projects requiring a Network Analysis Schedule, the list of definable features of work shall include but not be limited to all critical path activities.

XII. PROCEDURES FOR PERFORMING THREE PHASES OF CONTROL: For each DFOW provide Preparatory and Initial Phase Checklists. Each list shall include a breakdown of quality checks that will be used when performing the quality control functions, inspections, and tests required by the contract documents. The preparatory and initial phases shall be conducted with a view towards obtaining quality construction by planning ahead and identifying potential problems.

XIII. PERSONNEL MATRIX: Not Applicable.

XIV. PROCEDURES FOR COMPLETION INSPECTION: See the paragraph entitled "COMPLETION INSPECTIONS".

XV. TRAINING PROCEDURES AND TRAINING LOG: Not Applicable.

1.7 COORDINATION AND MUTUAL UNDERSTANDING MEETING

During the Pre-Construction conference meeting and prior to the start of construction, discuss the QC program required by this contract. The purpose of this meeting is to develop a mutual understanding of the QC details, including documentation, administration for on-site and off-site work, and the coordination of the Contractor's management, production and the QC personnel. At the meeting, the Contractor will be required to explain how three phases of control will be implemented for each DFOW. Contractor's personnel required to attend shall include the QC Manager, project manager, and superintendent. Minutes of the meeting will be prepared by the QC Manager and signed by both the Contractor and the Contracting Officer. The Contractor shall provide a copy of the signed minutes to all attendees. Repeat the coordination and mutual understanding meeting when a new QC Manager is appointed.

1.8 QC MEETINGS

After the start of construction, the QC Manager shall conduct QC meetings once every [one] [two] weeks at the work site with the superintendent and

the foreman responsible for the ongoing and upcoming work. The QC Manager shall prepare the minutes of the meeting and provide a copy to the Contracting Officer within two working days after the meeting. As a minimum, the following shall be accomplished at each meeting:

a. Review the minutes of the previous meeting;

b. Review the schedule and the status of work and rework;

c. Review the status of submittals;

d. Review the work to be accomplished in the next two weeks and documentation required;

e. Resolve QC and production problems (RFIs, etc.);

f. Address items that may require revising the QC plan; and

g. Review Accident Prevention Plan (APP).

1.9 THREE PHASES OF CONTROL

The three phases of control shall adequately cover both on-site and off-site work and shall include the following for each DFOW.

1.9.1 Preparatory Phase

Notify the Contracting Officer at least two work days in advance of each preparatory phase. Conduct the preparatory phase with the superintendent and the foreman responsible for the definable feature of work. Document the results of the preparatory phase actions in the daily CQC Report and in the QC checklist. Perform the following prior to beginning work on each definable feature of work:

a. Review each paragraph of the applicable specification sections;

b. Review the contract drawings;

c. Verify that appropriate shop drawings and submittals for materials and equipment have been submitted and approved. Verify receipt of approved factory test results, when required;

d. Review the testing plan and ensure that provisions have been made to provide the required QC testing;

e. Examine the work area to ensure that the required preliminary work has been completed;

f. Examine the required materials, equipment and sample work to ensure that they are on hand and conform to the approved shop drawings and submitted data;

g. Review the APP and appropriate Activity Hazard Analysis (AHA) to ensure that applicable safety requirements are met, and that required Safety Data Sheets (SDS) are submitted; and

h. Discuss specific controls used and the construction methods and the approach that will be used to provide quality construction by planning ahead and identifying potential problems for each DFOW.

1.9.2 Initial Phase

Notify the Contracting Officer at least two work days in advance of each initial phase. Conduct the Initial Phase with the foreman responsible for that DFOW. Observe the initial segment of the work to ensure that it complies with contract requirements. Document the results of the Initial Phase in the daily CQC Report and in the QC checklist. Perform the following for each DFOW:

a. Establish the quality of workmanship required;

b. Resolve conflicts;

c. Ensure that testing is performed by the approved laboratory; and

d. Check work procedures for compliance with the APP and the appropriate AHA to ensure that applicable safety requirements are met.

1.9.3 Follow-Up Phase

Perform the following for on-going work daily, or more frequently as necessary, until the completion of each DFOW and document in the daily CQC Report and in the QC checklist:

a. Ensure the work is in compliance with contract requirements;

b. Maintain the quality of workmanship required;

c. Ensure that testing is performed by the approved laboratory;

d. Ensure that rework items are being corrected; and

e. Assure manufacturers representatives have performed necessary inspections, if required.

1.9.4 Additional Preparatory and Initial Phases

Additional preparatory and initial phases shall be conducted on the same DFOW if the quality of on-going work is unacceptable, if there are changes in the applicable QC organization, if there are changes in the on-site production supervision or work crew, if work on a DFOW is resumed after substantial period of inactivity, or if other problems develop.

1.9.5 Notification of Three Phases of Control for Off-Site Work

Notify the Contracting Officer at least two weeks prior to the start of the preparatory and initial phases.

1.10 SUBMITTAL REVIEW AND APPROVAL

Procedures for submission, review, and approval of submittals are described in Section 01 33 00 SUBMITTAL PROCEDURES.

1.11 TESTING

Except as stated otherwise in the specification sections, perform sampling and testing required under this contract.

1.11.1 Accreditation Requirements

Construction materials testing laboratories must be accredited by a laboratory accreditation authority and will be required to submit a copy of the Certificate of Accreditation and Scope of Accreditation. The laboratory's scope of accreditation must include the appropriate ASTM standards (i.e.; E 329, C 1077, D 3666, D 3740, E 543) listed in the technical sections of the specifications. Laboratories engaged in Hazardous Materials Testing shall meet the requirements of OSHA and EPA. The policy applies to the specific laboratory performing the actual testing, not just the "Corporate Office."

1.11.2 Laboratory Accreditation Authorities

Laboratory Accreditation Authorities include the National Voluntary Laboratory Accreditation Program (NVLAP) administered by the National Institute of Standards and Technology, the American Association of State Highway and Transportation Officials (AASHTO), International Accreditation Services, Inc. (IAS), U. S. Army Corps of Engineers Materials Testing Center (MTC), the American Association for Laboratory Accreditation (A2LA), the Washington Association of Building Officials (WABO) (Approval authority for WABO is limited to projects within Washington State), and the Washington Area Council of Engineering Laboratories (WACEL) (Approval authority by WACEL is limited to projects within the NAVFAC WASH and Public Works Center Washington geographical area).

1.11.3 Capability Check

The Contracting Officer retains the right to check laboratory equipment in the proposed laboratory and the laboratory technician's testing procedures, techniques, and other items pertinent to testing, for compliance with the standards set forth in this contract.

1.11.4 Test Results

Cite applicable Contract requirements, tests or analytical procedures used. Provide actual results and include a statement that the item tested or analyzed conforms or fails to conform to specified requirements. If the item fails to conform, notify the Contracting Officer immediately. Conspicuously stamp the cover sheet for each report in large red letters "CONFORMS" or "DOES NOT CONFORM" to the specification requirements, whichever is applicable. Test results shall be signed by a testing laboratory representative authorized to sign certified test reports. Furnish the signed reports, certifications, and other documentation to the Contracting Officer.

1.12 QC CERTIFICATIONS

1.12.1 Contractor Quality Control Report Certification

Each CQC Report shall contain the following statement: "On behalf of the Contractor, I certify that this report is complete and correct and equipment and material used and work performed during this reporting period is in compliance with the contract drawings and specifications to the best of my knowledge except as noted in this report."

1.12.2 Invoice Certification

Furnish a certificate to the Contracting Officer with each payment

request, signed by the QC Manager, attesting that as-built drawings are current and attesting that the work for which payment is requested, including stored material, is in compliance with contract requirements.

1.12.3 Completion Certification

Upon completion of work under this contract, the QC Manager shall furnish a certificate to the Contracting Officer attesting that "the work has been completed, inspected, tested and is in compliance with the contract."

1.13 COMPLETION INSPECTIONS

1.13.1 Punch-Out Inspection

Near the completion of all work or any increment thereof established by a completion time stated in the Contract clause "Commencement, Prosecution, and Completion of Work," or stated elsewhere in the specifications, the QC 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. Include in the punch list any remaining items of the "Rework Items List", which were not corrected prior to the Punch-Out inspection. The punch list shall include the estimated date by which the deficiencies will be corrected. A copy of the punch list shall be provided to the Contracting Officer. The QC Manager or staff shall make follow-on inspections to ascertain that all deficiencies have been corrected. Once this is accomplished, the Contractor shall notify the Government that the facility is ready for the Government "Pre-Final Inspection".

1.13.2 Pre-Final Inspection

The Government and QC manager will perform this 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. The QC Manager shall ensure that all items on this list are corrected prior to notifying the Government that a "Final" inspection with the customer can be scheduled. Any items noted on the "Pre-Final" inspection shall be corrected in a timely manner and shall be accomplished before the contract completion date for the work or any particular increment thereof if the project is divided into increments by separate completion dates.

1.13.3 Final Acceptance Inspection

The QC Manager, the superintendent, or other Contractor management personnel and the Contracting Officer will be in attendance at this inspection. Additional Government personnel may be in attendance. The final acceptance inspection will be formally scheduled by the Contracting Officer based upon results of the "Pre-Final Inspection". Notice shall be given to the Contracting Officer at least 14 days prior to the final inspection. The notice shall state that all specific items previously identified to the Contractor as being unacceptable will be complete 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 the contract clause "Inspection of Construction".

1.14 DOCUMENTATION

Maintain current and complete records of on-site and off-site QC program operations and activities. The forms identified under the paragraph "INFORMATION FOR THE CONTRACTING OFFICER" shall be used. Reports are required for each day work is performed. Account for each calendar day throughout the life of the contract. Every space on the forms must be filled in. Use N/A if nothing can be reported in one of the spaces. The superintendent and the QC Manager must prepare and sign the Contractor Production and CQC Reports, respectively. The reporting of work shall be identified by terminology consistent with the construction schedule. In the "remarks" section in this report which will contain pertinent information including directions received, problems encountered during construction, work progress and delays, conflicts or errors in the drawings or specifications, field changes, safety hazards encountered, instructions given and corrective actions taken, delays encountered and a record of visitors to the work site. For each remark given, identify the Schedule Activity No. that is associated with the remark.

1.14.1 Quality Control Validation

Establish and maintain the following in a series of three ring binders. Binders shall be divided and tabbed as shown below. These binders shall be readily available to the Government's Quality Assurance Team during all business hours.

a. All completed Preparatory and Initial Phase Checklists, arranged by specification section.

b. All milestone inspections, arranged by Activity/Event Number.

c. A current up-to-date copy of the Testing and Plan Log with supporting field test reports, arranged by specification section.

d. Copies of all contract modifications, arranged in numerical order. Also include documentation that modified work was accomplished.

e. A current up-to-date copy of the Rework Items List.

f. Maintain up-to-date copies of all punch lists issued by the QC Staff on the Contractor and Sub-Contractors and all punch lists issued by the Government.

1.14.2 As-Built Drawings

The QC Manager is required to review the as-built drawings, required by Section 01 78 00 CLOSEOUT SUBMITTALS, are kept current on a daily basis and marked to show deviations, which have been made from the Contract drawings. Ensure each deviation has been identified with the appropriate modifying documentation, e.g. PC number, modification number, RFI number, etc. The QC Manager shall initial each deviation or revision. Upon completion of work, the QC Manager shall submit a certificate attesting to the accuracy of the as-built drawings prior to submission to the Contracting Officer.

1.15 NOTIFICATION ON NON-COMPLIANCE

The Contracting Officer will notify the Contractor of any detected non-compliance with the foregoing requirements. The Contractor shall take

immediate corrective action. If the contractor fails or refuses to correct the non-compliant work, the Contracting Officer will issue a non compliance 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 Contracting Officer may issue an order stopping all or part of the work until satisfactory corrective action has been taken. The Contractor shall make no part of the time lost due to such stop orders the subject of claim for extension of time, for excess costs, or damages.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

Not Used

-- End of Section --