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USACE / NAVFAC / AFCEA UFGS-01450N (August 2004)  
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Preparing Activity: NAVFAC Superseding  
UFGS-01450N (November 2003)

## UNIFIED FACILITIES GUIDE SPECIFICATIONS

References are in agreement with UMRL dated 22 December 2004

Revised throughout - changes not indicated by CHG tags

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08/04

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### SECTION 01450N

#### CONSTRUCTION QUALITY CONTROL 08/04

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NOTE: This guide specification covers the preparation and use of Design-Bid-Build (DBB) Quality Control. This guide specification will normally be used for Category One and Category Two projects. It may be also used for smaller, complex projects at the discretion of the Government. This section requires specific editing of the QC requirements. This section, as edited, shall be reviewed and approved by the Administering ROICC Office prior to the 100 percent design submission.

Comments and suggestions on this guide specification are welcome and should be directed to the technical proponent of the specification. A listing of technical proponents, including their organization designation and telephone number, is on the Internet.

Recommended changes to a UFGS should be submitted as a Criteria Change Request (CCR).

Use of electronic communication is encouraged.

Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.

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NOTE: When this specification is used, it will be in conjunction with Section 01321N, Network Analysis Schedule (NAS).

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NOTE: Two options for the QC Manager duties have been incorporated into this guide specification. The first option allows the QC Manager to perform production related duties and the second option does

not. Both options can include the use of QC Specialists responsible for performing QC for specific areas of work and for a specified frequency. Specify QC Specialists for those areas of work that are of sufficient complexity or size to justify the expense.

Determine whether a full time QC Manager is justified or designate the QC Manager as the Project Superintendent, i.e. to act in a dual role. If the QC Manager and Project Superintendent positions are being filled as a dual role, that person shall not be utilized as or the Commissioning Agent. Consider:

1. Design and complexity of project;
2. Location of project;
3. Cost and type of Contract;
4. Characteristics of area construction labor market;
5. Amount and type of off-site fabrication.
6. Duration of project.

When requiring the use of a Registered Professional Engineer/Architect or a graduate Engineer/Architect for the QC Manager or QC Specialist(s), keep in mind the additional cost. The over-specifying of expertise for QC personnel should be avoided.

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## PART 1 GENERAL

### 1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by the basic designation only.

U.S. ARMY CORPS OF ENGINEERS (USACE)

EM 385-1-1 (2003) Safety -- Safety and Health Requirements

### 1.2 SUBMITTALS

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NOTE: Submittals must be limited to those necessary for adequate quality control. The importance of an item in the project should be one of the primary factors in determining if a submittal for the item should be required.

A "G" following a submittal item indicates that the submittal requires Government approval. Some submittals are already marked with a "G". Only

delete an existing "G" if the submittal item is not complex and can be reviewed through the Contractor's Quality Control system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

For submittals requiring Government approval on Army projects, a code of up to three characters within the submittal tags may be used following the "G" designation 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 projects.

Submittal items not designated with a "G" are considered as being for information only for Army projects and for Contractor Quality Control approval for Navy projects.

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The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Construction Quality Control (QC) Plan; G

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NOTE: Coordinate the submittal requirement dates with the submittal dates in sections entitled Network Analysis Schedules.

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Submit a Construction QC Plan prior to start of construction.

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NOTE: Choose the following bracketed option for projects requiring training of Government personnel. Delete the following option for projects, which do not require training.

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[ SD-11 Closeout Submittals

Training Outline; G

Training Video Recording G

Validation of Training Completion; G]

1.3 INFORMATION FOR THE CONTRACTING OFFICER

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NOTE: When WebCM is not a requirement on the

project, delete the first set of bracketed sentence(s), in the paragraph below. When WebCM is a requirement on the project, delete the second set of bracketed sentence(s), in the paragraph below.

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[ All electronic submissions of QC documentation will be through the Web Based Construction Management (WebCM) system. Refer to the requirements of Section 01322 "Web Based Construction Management (WebCM)". The Contractor shall use the Daily Report forms that are available in WebCM.] [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 during Construction:

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NOTE: Delete the requirement for QC Specialist reports when QC Specialists are not specified.

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NOTE: When WebCM is a requirement on the project, use the first bracketed sentence only; when not using WebCM, use the second bracketed sentence only.

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a. CQC Report: [Submit the report electronically by 10:00 AM the next working day after each day that work is performed and for every seven consecutive calendar days of no-work.] [Mail or hand-carry the original (wet signatures) [and one copy] [and \_\_\_\_\_ copies] by 10:00 AM the next working day after each day that work is performed and for every seven consecutive calendar days of no-work.]

b. Contractor Production Report: [Submit the report electronically by 10:00 AM the next working day after each day that work is performed and for every seven consecutive calendar days of no-work.] [Mail or hand-carry the original (wet signatures) [and one copy] [and \_\_\_\_\_ copies] by 10:00 AM the next working day after each day that work is performed and for every seven consecutive calendar days of no-work, attached to the CQC Report.]

c. Preparatory Phase Checklist: [Submit the report electronically in the same manner as the CQC Report for each Preparatory Phase held.] [Original attached to the original CQC Report and one copy attached to each QC Report copy.]

d. Initial Phase Checklist: [Submit the report electronically in the same manner as the CQC Report for each Initial Phase held.] [Original attached to the original CQC Report and one copy attached to each QC Report copy.]

[e. QC Specialist Reports: [Submit the report electronically by 10:00 AM the next working day after each day that work is performed.] [Mail or hand-carry the original (wet signatures) [and one copy] [and \_\_\_\_\_ copies] by 10:00 AM the next working day after each day that work is

performed.]]

f. Field Test Reports: [Within two working days after the test is performed, submit the report as an electronic attachment to the CQC Report.] [Mail or hand-carry the original within two working days after the test is performed, attached to the original CQC Report and one copy attached to each QC Report copy.]

g. Monthly Summary Report of Tests: [Submit the report as an electronic attachment to the CQC Report at the end of each month.] [Mail or hand-carry the original attached to the last QC Report of the month.]

h. Testing Plan and Log: [Submit the report as an electronic attachment to the CQC Report, at the end of each month. A copy of the final Testing Plan and Log shall be provided to the OMSI preparer for inclusion into the OMSI documentation.] [Mail or hand-carry the original attached to the last CQC Report of each month and one copy attached to each CQC Report copy. A copy of the final Testing Plan and Log shall be provided to the OMSI preparer for inclusion into the OMSI documentation.]

i. Rework Items List: [Submit lists containing new entries daily, in the same manner as the CQC Report.] [Mail or hand-carry the original attached to the last CQC Report of each month and one copy attached to each CQC Report copy.]

j. CQC Meeting Minutes: [Within two working days after the meeting is held, submit the report as an electronic attachment to the CQC Report.] [Mail or hand-carry the original within two working days after the meeting is held, attached to the original CQC Report and one copy attached to each CQC Report copy.]

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

#### 1.4 QC PROGRAM REQUIREMENTS

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**NOTE: Use this paragraph for all projects except  
PACDIV's.**  
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Establish and maintain a QC program as described in this section. This QC program is a key element in meeting the objectives of NAVFAC Commissioning. The QC program consists of a QC Organization, QC Plan, QC Plan Meeting(s), a Coordination and Mutual Understanding Meeting, QC meetings, three phases of control, submittal review and approval, testing, completion inspections, 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 construction work or testing may be performed unless the QC Manager is on the work site. The QC Manager shall report to an officer of the firm and shall not be subordinate to the Project Superintendent or the Project Manager. The QC Manager, Project Superintendent and Project Manager must work together effectively. Although the QC Manager is the primary individual responsible for quality control, all individuals will be held responsible for the quality of work on the job.

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NOTE: Use this on PACDIV projects.  
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[ Establish and maintain a QC program as described in this section. This QC program is a key element in meeting the objectives of NAVFAC Commissioning. The QC program consists of a QC Organization, QC Plan, QC Plan Meeting(s), a Coordination and Mutual Understanding Meeting, QC meetings, three phases of control, submittal review and approval, testing, completion inspections, 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 construction work or testing may be performed unless the QC Manager is on the work site. The QC Manager shall report to the Project Superintendent. The QC Manager, Project Superintendent and Project Manager must work together effectively. Although the QC Manager is the primary individual responsible for quality control, all individuals will be held responsible for the quality of work on the job.]

#### 1.4.1 Commissioning

Commissioning is a systematic process of ensuring that all building systems meet the requirements and perform interactively according to the Contract. The QC Program is a key to this process by coordinating, verifying and documenting measures to achieve the following objectives:

- a. Verify that the applicable equipment and systems are installed in accordance with the Contract and according to the manufacturer's recommendations.
- b. Verify and document proper performance of equipment and systems.
- c. Verify that O&M documentation is complete.
- d. Verify that the Government's operating personnel are adequately trained.
- e. Document the successful achievement of the commissioning objectives listed above.

#### 1.4.2 Acceptance of the Construction Quality Control (QC) Plan

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. All QC organization personnel shall be subject to acceptance by the Contracting Officer. The Contracting Officer may require the removal of any individual for non-compliance with quality requirements specified in the Contract.

#### 1.4.3 Preliminary Construction Work Authorized Prior to Acceptance

The only construction 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.



#### 1.4.4 Notification of Changes

Notify the Contracting Officer, in writing, of any proposed changes in the QC Plan or changes to the QC organization personnel, a minimum of 10 work days prior to a proposed change. Proposed changes shall be subject to acceptance by the Contracting Officer.

### 1.5 QC ORGANIZATION

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NOTE: Qualifications of members of the QC organization must be approved by the Administering ROICC Office before final RFP. The Project Manager shall submit to the ROICC a copy of the General Description of the work with the proposed qualifications of members of the QC organization when requesting approval.  
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#### 1.5.1 QC Manager

##### 1.5.1.1 Duties

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NOTE: Select the first bracketed sentence for routine projects. Select the second bracketed sentences for large or complex projects. Remove the third and fourth bracketed phrases when QC Specialists are not specified.  
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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 only duties and responsibilities of the QC Manager are to manage and implement the QC program on this Contract. ]The QC Manager shall not be designated as the safety competent person as defined by EM 385-1-1. The QC Manager is required to attend the partnering meetings, QC Plan Meetings, Coordination and Mutual Understanding Meeting, conduct the QC meetings, perform the three phases of control [except for those phases of control designated to be performed by QC Specialists], 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 [the QC Specialists,] testing laboratory personnel and any other inspection and testing personnel required by this Contract. The QC Manager is the manager of all QC activities.

##### 1.5.1.2 Qualifications

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NOTE: Select and edit the first set of bracketed sentences for routine projects. Select and edit the second group of bracketed sentences for large or complex projects. For qualifications in excess of options listed, consult the Administering ROICC Office.  
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[ An individual with a minimum of 10 years combined experience in the following positions: Project Superintendent, QC Manager, Project Manager, Project Engineer or Construction Manager on similar size and type construction contracts which included the major trades that are part of this Contract. The individual shall have at least two years experience as a QC Manager. The individual must be familiar with the requirements of EM 385-1-1, and have experience in the areas of hazard identification and safety compliance.]

[ A graduate of a four year accredited college or university program in one of the following disciplines: Engineering, Architecture, Construction Management, Engineering Technology, Building Construction, or Building Science, with a minimum of 10 years experience as a Project Superintendent, QC Manager, Project Manager, Project Engineer or Construction Manager on similar size and type construction contracts which included the major trades that are part of this Contract. The individual shall have at least two years experience as a QC Manager. The individual must be familiar with the requirements of EM 385-1-1, and have experience in the areas of hazard identification and safety compliance.]

#### 1.5.2 Construction Quality Management Training

In addition to the above experience and education requirements, the QC Manager shall have completed the course entitled "Construction Quality Management (CQM) for Contractors." If the QC Manager does not have a current certification, they shall obtain the CQM for Contractors course certification 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 for information on the next scheduled class.

#### 1.5.3 Alternate QC Manager Duties and Qualifications

Designate an alternate for the QC Manager at the work site 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.

#### [1.5.4 Assistant QC Manager Duties and Qualifications

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NOTE: This option will rarely be used. Consider specifying an Assistant QC Manager only if this is a labor intensive project, a very complex project, a project with multiple work sites, or a project where shifts are worked. Select the first option in most cases. Select and edit the second option when the project involves shift work. Select the qualifications from the QC Manager options.

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NOTE: Delete the words "Assistant QC Manager" throughout this section when this paragraph is not used.

\*\*\*\*\*

[ Provide an assistant to the QC Manager at the work site to perform the

three phases of control, perform submittal review, ensure testing is performed, and prepare QC certifications and documentation required by this Contract. The qualification requirements for the Assistant QC Manager shall be [FILL IN BASED ON NATURE AND COMPLEXITY OF JOB]. The individual must be familiar with the requirements of EM 385-1-1, and have experience in the areas of hazard identification and safety compliance.]

[ Provide an assistant to the QC Manager at the work site to perform the three phases of control, perform submittal review, ensure testing is performed, and prepare QC certifications and documentation required by this Contract. The Assistant QC Manager shall be on the work site during supplemental work shifts [beyond the regular shift] and shall perform the duties of the QC Manager during such supplemental shift work. The qualification requirements for the Assistant QC Manager shall be [FILL IN BASED ON NATURE AND COMPLEXITY OF JOB]. The individual must be familiar with the requirements of EM 385-1-1, and have experience in the areas of hazard identification and safety compliance.]

] [1.5.5 QC Specialists Duties and Qualifications

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NOTE: Only specify QC Specialists for those areas of work of sufficient complexity or size where a specialist is required to supplement the QC Manager.

The requirement for a QC Specialist must be included in Part 3 of the technical section of the specification where a QC Specialist is needed. The use of Registered Professional Engineers or Architects for QC Specialists may be allowed in special cases, but only after consultation with and approval by the Administering ROICC Office. Indicate the specific time and frequency when the QC Specialist must be on the site.

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NOTE: Delete the words "QC Specialists" throughout this section when this paragraph is not used.

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Provide a separate QC Specialist at the work site for each of the areas of responsibilities, specified in Part 3, Execution, of the technical sections, who shall assist and report to the QC Manager and who [may perform production related duties but must be allowed sufficient time to perform] [shall have no duties other than] their assigned quality control duties. QC Specialists are required to attend the [Coordination and Mutual Understanding Meeting, ]QC meetings and be physically present at the construction site to perform the three phases of control and prepare documentation for each definable feature of work in their area of responsibility[ at the frequency specified below].

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NOTE: The following are examples of QC Specialists duties and qualifications:

<u>Qualification/Experience in Area of Responsibility</u>	<u>Area of Responsibility</u>	<u>Frequency</u>
Roofing Manufacturer's	Installation and	Full time

Technical Representative/ five years minimum	testing of roofing systems, Section 07536	
Diesel Electric Technical Manufacturer's Representative/ five years minimum	Section 16230	Minimum three times during install- ation and testing
Mechanical Inspector, International Code Council (ICC) Certified/ five years minimum	Installation and testing of boilers, Section 15516	Minimum three times a week during installation and full time during testing
Registered Structural Engineer, (P.E.)	Erection of structural steel, Section 05120	Minimum twice a week
Mechanical Commissioning QC Specialist / Registered Mechanical Engineer, (P.E.)	Commissioning of Mechanical Systems	Full time during testing

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<u>Qualification/Experience in Area of Responsibility</u>	<u>Area of Responsibility</u>	<u>[Frequency]</u>
[_____]	[_____]	[_____]

] [1.5.6 Registered Fire Protection Engineer

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NOTE: For projects administered by the Pacific Division or by the Engineering Field Activity NW, Naval Facilities Engineering Command, include the services of a U.S. Registered Fire Protection Engineer for review and approval of all fire protection submittals.

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The U.S. Registered Fire Protection Engineer (FPE) shall be an independent third party hired directly by the Prime Contractor as an integral part of the Prime Contractor's Quality Control Organization. This FPE shall have no business relationships (owner, partner, operating officer, distributor, salesman, or technical representative) with any subcontractors involved with this project, or with any fire protection equipment device manufacturers, suppliers or installers for any such equipment provided as part of this project. This FPE shall be responsible for review, approval, and coordination of all fire protection system material submittals, calculations, shop drawings, etc.

] [1.5.7 Submittal Reviewer[s] Duties and Qualifications

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NOTE: Edit as appropriate. Select this paragraph along with one of the three options available when submittal reviewers are desired to assist the QC Manager. Consult with the Administering ROICC

Office on which option to use.

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Provide [a] Submittal Reviewer[s], other than the QC Manager, qualified in the discipline[s] being reviewed, to review and certify that the submittals meet the requirements of this Contract prior to certification or approval by the QC Manager.

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NOTE: Select this bracketed phrase for routine projects.

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[ Each submittal shall be reviewed by an individual with 10 years of construction experience.]

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NOTE: Select this bracketed phrase for large or complex projects.

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[ Each submittal shall be reviewed by a registered architect or professional engineer.]

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NOTE: Select and edit this bracketed group of phrases and table for projects where [a] submittal reviewer(s) of specific discipline for certain specification sections or submittals are needed.

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NOTE: The following are examples of Submittal Reviewer qualification, duties and experience.

<u>Qualification/Experience in Submittal Discipline</u>	<u>Submittals to be reviewed: Section No.</u>	<u>Submittal</u>
Registered Mechanical Engineer	Division 15	All
Registered Structural Engineer, (P.E.)	Section 05120	Fabrication Drawings Erection Plan
Certified Industrial Hygienist (CIH)/ Comprehensive practice with five years experience in asbestos	Section 13281	Asbestos Hazard Abatement Plan

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[Each of the following submittals shall be reviewed by [an] individual[s] meeting the qualifications/experience specified below:

<u>Qualification/Experience in Submittal Discipline</u>	<u>Submittals to be reviewed: Spec Section No.</u>	<u>Submittal</u>
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[\_\_\_\_\_] [\_\_\_\_\_] [\_\_\_\_\_] ]

] 1.5.8 QC Administrative Assistant

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**NOTE: Use this paragraph for a project requiring a large volume of submittals.**  
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Provide an Administrative Assistant at the work site until the work has been accepted. The primary duty shall be to assist the QC Manager in processing and maintaining files for submittals, preparing and publishing reports and meeting minutes. After primary duties are accomplished, other duties may be assigned provided the duties do not interfere with primary duties.

] 1.5.9 Underwater QC Team

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**NOTE: This paragraph to be used only when the inspection of underwater work is required.**  
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Provide Underwater QC (UWQC) Team at the work site to perform underwater surveillance and inspection for the Contractor. The UWQC Team divers shall have current commercial diver's license, with a minimum of five (5) years experience with underwater inspection. The personnel make up of the UWQC team shall comply with EM 385-1-1, OSHA and local requirements for Contract diving operations. The UWQC team shall comply with all the applicable safety requirements of EM 385-1-1, OSHA and local requirements for Contract diving operations. The UWQC lead diver shall be thoroughly familiar with the design plans and specifications to sufficiently understand the engineering aspects of the underwater construction and to be able to recognize and document potential problem areas such as improperly constructed or defective areas. The UWQC Team shall provide all necessary equipment to conduct surveillance and inspection services, including diver's equipment, dive boat, communication equipment, and photographic/video equipment. Diver(s) shall be equipped to maintain two-way communication with QC personnel during diving operations. A report including photographs and/or videos shall be prepared and submitted with the QC report after each dive. Frequency of underwater surveillance and inspection shall be [\_\_\_\_\_] during installation and including final inspection. The UWQC Team shall be an independent third party hired directly by the Prime Contractor, and shall have no involvement with the design, preparation of Contract, or installation of work.

] 1.6 QUALITY CONTROL (QC) PLAN

1.6.1 Construction Quality Control (QC) Plan

1.6.1.1 Requirements

Provide, for acceptance by the Contracting Officer, a Construction QC Plan submitted in a three-ring binder that includes a table of contents, major sections identified with tabs, with pages numbered sequentially, and that documents the proposed methods and responsibilities for accomplishing commissioning activities during the construction of the project:

I. QC ORGANIZATION: A chart showing the QC organizational structure.

II. NAMES AND QUALIFICATIONS: Names and qualifications, in resume format, for each person in the QC organization. Include the CQM for Contractors course certifications for the QC Manager and Alternate QC Manager as required by the paragraphs entitled "Construction Quality Management Training" and "Alternate QC Manager Duties and Qualifications".

III. DUTIES, RESPONSIBILITY AND AUTHORITY OF QC PERSONNEL: Duties, responsibilities, and authorities 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 implementing and managing the QC program as described in this Contract. Include in this letter the responsibility of the QC Manager and Alternate QC Manager to implement and manage the three phases of control, and their authority to stop work which is not in compliance with the Contract. The QC Manager shall issue letters of direction to [the Assistant QC Manager and ]all other QC Specialists outlining their duties, authorities, and responsibilities. Copies of the letters shall be included in the QC Plan.

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. Provide the initial submittal of the Submittal Register as specified in section 01330 SUBMITTAL PROCEDURES.

VII. TESTING LABORATORY INFORMATION: Testing laboratory information required by the paragraphs entitled "Accreditation 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. Use Government forms to log and track tests.

IX. PROCEDURES TO COMPLETE REWORK ITEMS: Procedures to identify, record, track, and complete rework items. Use Government [WebCM ]forms to record and track rework items.

X. DOCUMENTATION PROCEDURES: Use Government [WebCM ]form.

XI. LIST OF DEFINABLE FEATURES: A Definable Feature of Work (DFOW) is a task that is separate and distinct from other tasks and has control requirements and work crews unique to that task. A DFOW is identified by different trades or disciplines and is an item or activity on the construction schedule. The list of DFOWs shall include, but not be limited to, all critical path activities on the NAS. Include all activities for which this specification requires QC Specialists or specialty inspection personnel. Each design development stage and submittal package shall have separate DFOWs in the Network Analysis

Schedule.

XII. PROCEDURES FOR PERFORMING THE THREE PHASES OF CONTROL: Identify procedures you will use to ensure the three phases of control are used to manage the quality on this project. For each DFO, a Preparatory and Initial phase checklist will be filled out during the Preparatory and Initial phase meetings. [The checklist(s) will then also be entered in WebCM. ]The Preparatory and Initial Phases and meetings shall be conducted with a view towards obtaining quality construction by planning ahead and identifying potential problems for each DFO.

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NOTE: Contact the Administering ROICC Office to determine if the following three paragraphs are applicable to the project and edit accordingly. Include "XV. TRAINING PROCEDURES AND TRAINING LOG" if the project will be submitted for LEED certification.  
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XIII. PERSONNEL MATRIX: [Not Applicable] [A personnel matrix showing for each section of the specification who will review and approve submittals, who will perform and document the three phases of control, and who will perform and document the testing.]

XIV. PROCEDURES FOR COMPLETION INSPECTION: [Not Applicable] [Procedures for identifying and documenting the completion inspection process. Include in these procedures the responsible party for punch out inspection, pre-final inspection, and final acceptance inspection.]

XV. TRAINING PROCEDURES AND TRAINING LOG: [Not Applicable] [Procedures for coordinating and documenting the training of personnel required by the Contract. Include a sample record of training for reporting what systems were included in the training, who provided the training, when and where the training was performed and who attended the training.]

XVI. ORGANIZATION AND PERSONNEL CERTIFICATIONS LOG: Procedures for coordinating, tracking and documenting all certifications on subcontractors, testing laboratories, suppliers, personnel, etc. QC Manager will ensure that certifications are current, appropriate for the work being performed, and will not lapse during any period of the contract that the work is being performed.

#### 1.7 QC PLAN MEETINGS

Prior to submission of the QC Plan, the QC Manager will meet with the Contracting Officer to discuss the QC Plan requirements of this Contract. The purpose of this meeting is to develop a mutual understanding of the QC Plan requirements prior to plan development and submission and to agree on the Contractor's list of DFOs.

#### 1.8 COORDINATION AND MUTUAL UNDERSTANDING MEETING

\*\*\*\*\*  
NOTE: Remove the first and second bracketed phrases when Assistant QC Manager or QC Specialist options are not specified. Remove the third and fourth bracketed phrases when the A/E is not required to



attend. Consult with the Administrating  
ROICC Office on whether to use the last group of  
bracketed words.

\*\*\*\*\*

After submission of the QC Plan, and prior to the start of construction, the QC Manager will meet with the Contracting Officer to present 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 QC personnel. At the meeting, the Contractor will be required to explain in detail how three phases of control will be implemented for each DFOW. As a minimum, the Contractor's personnel required to attend shall include an officer of the firm, the Project Manager, Project Superintendent, QC Manager, Alternate QC Manager, [Assistant QC Manager,] [QC Specialists,] [A/E,] and subcontractor representatives. Each subcontractor who will be assigned QC responsibilities shall have a principal of the firm at the meeting. Minutes of the meeting will be prepared by the QC Manager and signed by the Contractor[, the A/E] and the Contracting Officer. The Contractor shall provide a copy of the signed minutes to all attendees[ and shall be included in the QC Plan]. Repeat the coordination and mutual understanding meeting when a new QC Manager is appointed.

#### 1.9 QC Meetings

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**NOTE: Edit as appropriate.**

\*\*\*\*\*

After the start of construction, the QC Manager shall conduct [weekly] QC meetings [once every two weeks] at the work site with the Project Superintendent[, QC Specialists] and the foremen who are performing the work of the DFOWs. 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. The Contracting Officer may attend these meetings. 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 (RFI, etc.);
- f. Address items that may require revising the QC Plan, and;
- g. Review Accident Prevention Plan (APP).

#### 1.10 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.

#### 1.10.1 Preparatory Phase

\*\*\*\*\*  
NOTE: Edit as appropriate. Remove the second  
bracketed phrase if WebCM is specified on this  
project.  
\*\*\*\*\*

Notify the Contracting Officer at least two work days in advance of each preparatory phase meeting. The meeting shall be conducted by the QC Manager and attended by [the QC Specialists, ]the Project Superintendent, and the foreman responsible for the DFO. When the DFO will be accomplished by a subcontractor, that subcontractor's foreman shall attend the preparatory phase meeting. Document the results of the preparatory phase actions in the [daily Contractor Quality Control Report and in the ]Preparatory Phase Checklist. Perform the following prior to beginning work on each DFO:

- 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. Discuss construction methods, construction tolerances, workmanship standards, and the approach that will be used to provide quality construction by planning ahead and identifying potential problems for each DFO; and
- h. Review the APP and appropriate Activity Hazard Analysis (AHA) to ensure that applicable safety requirements are met, and that required Material Safety Data Sheets (MSDS) are submitted.

#### 1.10.2 Initial Phase

\*\*\*\*\*  
NOTE: Edit as appropriate. Remove the second  
bracketed phrase if WebCM is specified on this  
project.  
\*\*\*\*\*

Notify the Contracting Officer at least two work days in advance of each initial phase. When construction crews are ready to start work on a DFO, conduct the initial phase with [the QC Specialists, ]the Project Superintendent, and the foreman responsible for that DFO. Observe the initial segment of the DFO to ensure that the work complies with Contract requirements. Document the results of the initial phase in the [daily CQC

Report and in the ]Initial Phase Checklist. Repeat the initial phase for each new crew to work on-site, or when acceptable levels of specified quality are not being met. 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.

#### 1.10.3 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:

- 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; and
- d. Ensure that rework items are being corrected.

#### 1.10.4 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.

#### 1.10.5 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.

#### 1.11 SUBMITTAL REVIEW AND APPROVAL

Procedures for submission, review and approval of submittals are described in Section 01330 SUBMITTAL PROCEDURES.

#### 1.12 TESTING

\*\*\*\*\*  
NOTE: A check must be made to ensure that all required field and factory tests are listed in each technical section. Use of accredited laboratories overseas, when available, will be implemented at the discretion of the Contracting Officer. Edit the following paragraphs accordingly.  
\*\*\*\*\*

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

#### 1.12.1 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 (E 329, C 1077, D 3666, D 3740, A 880, 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.

#### 1.12.2 Laboratory Accreditation Authorities

\*\*\*\*\*  
**NOTE: Request for listing additional laboratory accreditation programs shall be submitted to NAVFACENGCOM EOC/OCR.**  
\*\*\*\*\*

Laboratory Accreditation Authorities include the National Voluntary Laboratory Accreditation Program (NVLAP) administered by the National Institute of Standards and Technology at <http://ts.nist.gov/ts/htdocs/210/214/214.htm>, the American Association of State Highway and Transportation Officials (AASHTO) program at <http://www.transportation.org/aashto/home.nsf/frontpage>, International Accreditation Services, Inc. (IAS) at <http://www.iasonline.org>, U. S. Army Corps of Engineers Materials Testing Center (MTC) at <http://www.wes.army.mil/SL/MTC/>, the American Association for Laboratory Accreditation (A2LA) program at <http://www.a2la.org/>, the Washington Association of Building Officials (WABO) at <http://www.wabo.org/> (Approval authority for WABO is limited to projects within Washington State), and the Washington Area Council of Engineering Laboratories (WACEL) at <http://www.wacel.org/labaccred.html> (Approval authority by WACEL is limited to projects within Facilities Engineering Command (FEC) Washington geographical area).

#### 1.12.3 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.

#### 1.12.4 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 via the QC Manager. Furnish a summary report of field tests at the end of each month, per the paragraph entitled "INFORMATION FOR THE CONTRACTING OFFICER".

#### 1.12.5 Test Reports and Monthly Summary Report of Tests

The QC Manager shall furnish the signed reports, certifications, and a summary report of field tests at the end of each month to the Contracting Officer. Attach a copy of the summary report to the last daily Contractor Quality Control Report of each month. A copy of the signed test reports and certifications shall be provided to the OMSI preparer for inclusion into the OMSI documentation.

#### 1.13 QC CERTIFICATIONS

##### 1.13.1 CQC 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."

##### 1.13.2 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, coordinated and attesting that the work for which payment is requested, including stored material, is in compliance with Contract requirements.

##### 1.13.3 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." A copy of this final QC Certification for completion shall be provided to the OMSI preparer for inclusion into the OMSI documentation.

#### 1.14 COMPLETION INSPECTIONS

##### 1.14.1 Punch-Out Inspection

Near the completion of all work or any increment thereof, established by a completion time stated in the Contract Clause entitled "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, specifications and Contract. Include in the punch list any remaining items on 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".

##### 1.14.2 Pre-Final Inspection

The Government 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 Client 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.

#### 1.14.3 Final Acceptance Inspection

The Contractor shall notify the Contracting Officer at least 14 calendar days prior to the date a final acceptance inspection can be held. The notice shall state that all items previously identified on the pre-final punch list will be corrected and acceptable, along with any other unfinished Contract work, by the date of the final acceptance inspection. The Contractor shall be represented by the QC Manager, the Project Superintendent, and others deemed necessary. Attendees for the Government will include the Contracting Officer, other ROICC personnel, and personnel representing the Client. 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 entitled "Inspection of Construction."

#### 1.15 TRAINING

Prior to acceptance of the facility by the Contracting Officer for beneficial occupancy, the QC Manager shall provide a comprehensive project-specific Government personnel training program for the systems of the facility specified in the technical specifications of this Contract. The core of this training will be based on manufacturer's recommendations and the operation and maintenance information provided as a part of this Contract. [The course shall provide a brief summary of Part I, "Facility Information" and a more detailed presentation of Part II, "Primary Systems Information" from the operation and maintenance manuals provided under Section 01782 FACILITY OPERATION AND MAINTENANCE SUPPORT INFORMATION. The presentation shall be weighted so as to spend 95% of instruction time on Part II.] Instructors shall be well-versed in the particular systems that they are presenting. Provide instruction time on site at a location approved by the Contracting Officer.

##### 1.15.1 Training Outline

Provide each trainee in the course a written course outline, listing the major and minor topics to be discussed by the instructor on each day of the course.

##### 1.15.2 Video Recording

Provide to the Contracting Officer two copies of the training course in [DVD] [VHS] video recording format. The recording shall capture, in video and audio, all instructors' training presentations including question and answer periods with the trainees.

##### 1.15.3 Unresolved Questions From Trainees

If, at the end of the training course, there are questions from trainees that remain unresolved, the instructor shall send the answers, in writing, to the Contracting Officer for transmittal to the trainees, and the training video should be modified to include the appropriate clarifications.

#### 1.15.4 Validation of Training Completion

Provide completed and signed validation of training forms as provided in the QC Plan for all training sessions accomplished. Provide two copies of the signed training validation forms to the Contracting Officer and one copy to the OMSI preparer for inclusion into the OMSI documentation.

#### 1.16 DOCUMENTATION

\*\*\*\*\*  
**NOTE: Include the bracketed sentence when WebCM  
will be used on the project.**  
\*\*\*\*\*

Maintain current and complete records of on-site and off-site QC program operations and activities. [ The Contractor shall submit all documentation per Section 01322 WEB BASED CONSTRUCTION MANAGEMENT (WEBCM). ]

##### 1.16.1 Construction Documentation

\*\*\*\*\*  
**NOTE: Use the first set of brackets for projects  
using WebCM, use the second set of brackets for  
projects not using WebCM.**  
\*\*\*\*\*

Reports are required for each day that work is performed and shall [accompany the submission of ] [be attached to ] the Contractor Quality Control Report prepared for the same day. 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 Project 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" sections of the reports, enter 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, quality control problem areas, deviations from the QC Plan, construction deficiencies encountered, meetings held. For each entry in the report(s), identify the Schedule Activity No. that is associated with the entered remark.

##### 1.16.2 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 Contracting Officer during all business hours.

- a. All completed Preparatory and Initial Phase Checklists, arranged by specification section.
- b. All milestone inspections, arranged by Activity Number.

- c. An up-to-date copy of the Testing Plan and 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. An up-to-date copy of the Rework Items List.
- f. Maintain up-to-date copies of all punch lists issued by the QC staff to the Contractor and Sub-Contractors and all punch lists issued by the Government.

#### [1.16.3 Reports from the QC Specialist(s)

\*\*\*\*\*  
**NOTE: Delete this paragraph if there are no requirements for QC Specialist(s). Use the first set of brackets for projects that are using WebCM, use the second set of brackets for projects not using WebCM.**  
 \*\*\*\*\*

Reports are required for each day that work is performed in their area of responsibility. QC Specialist reports shall include the same documentation requirements as the CQC Report for their area of responsibility. QC Specialist reports are to be prepared, signed and dated by the QC Specialists and shall [accompany the submission of] [be attached to] the CQC Report prepared for the same day.

#### ]1.16.4 Testing Plan and Log

As tests are performed, the QC Manager shall record on the "Testing Plan and Log" the date the test was performed and the date the test results were forwarded to the Contracting Officer. Attach a copy of the updated "Testing Plan and Log" to the last daily CQC Report of each month, per the paragraph "INFORMATION FOR THE CONTRACTING OFFICER". A copy of the final "Testing Plan and Log" shall be provided to the OMSI preparer for inclusion into the OMSI documentation.

#### 1.16.5 Rework Items List

\*\*\*\*\*  
**NOTE: Delete the bracketed sentence when WebCM will be used on the project.**  
 \*\*\*\*\*

The QC Manager shall maintain a list of work that does not comply with the Contract, identifying what items need to be reworked, the date the item was originally discovered, the date the item will be corrected by, and the date the item was corrected. There is no requirement to report a rework item that is corrected the same day it is discovered. [Attach a copy of the "Rework Items List" to the last daily CQC Report of each month. ]The Contractor shall be responsible for including those items identified by the Contracting Officer.

#### 1.16.6 As-Built Drawings

The QC Manager is required to ensure the as-built drawings, required by Section 01770N CLOSEOUT PROCEDURES 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 No., Modification No., Request for Information No., etc.). The QC Manager [or QC Specialist assigned to an area of responsibility ]shall initial each revision. Upon completion of work, the QC Manager shall furnish a certificate attesting to the accuracy of the as-built drawings prior to submission to the Contracting Officer.

#### 1.17 NOTIFICATION ON NON-COMPLIANCE

The Contracting Officer will notify the Contractor of any detected non-compliance with the Contract. 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 Contracting Officer 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 for excess costs or damages by the Contractor.

#### [1.18 U. S. GREEN BUILDING COUNCIL LEED CERTIFICATION REQUIREMENTS

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NOTE: For projects to be submitted for LEED certification, include this paragraph. As a minimum, systems to be commissioned for LEED certification include interior and exterior lighting systems, plumbing fixtures and infrastructure, irrigation systems, HVAC systems, temperature and humidity controls, monitoring controls, occupant controls, day lighting systems, alternative energy systems and advanced technologies. Consider modifying the paragraph entitled "QC Specialists Duties and Qualifications" to provide QC Specialist to commission those systems if necessary.  
\*\*\*\*\*

This project requires LEED Certification by the U. S. Green Building Council. The following two items are required as part of the LEED Certification process as specified in Section 01330 SUBMITTAL PROCEDURES.

##### 1.18.1 Commissioning Plan

Provide a copy of a Commissioning Plan, which contains the following components:

- a. A brief overview of the Commissioning Process. Briefly describe the Quality Control and the Operation and Maintenance Support Information (OMSI) Program requirements for the project. Provide copies of specification Sections 01450N and 01782 FACILITY OPERATION AND MAINTENANCE SUPPORT INFORMATION to supplement the description.
- b. Listing of all commissioned systems.

\*\*\*\*\*  
NOTE: The Project Superintendent may not be named as the Commissioning Agent in the following paragraph.  
\*\*\*\*\*

c. Identification of all commissioning participants and responsibilities. Provide a final copy of Sections I through V and Section XIII from the Construction QC Plan. Highlight the [ ] as the designated Commissioning Agent.

d. A description of the management, communication, and reporting of the Commissioning Plan.

e. An outline of the commissioning process scope including:

(1) Submittal review procedures. Provide a copy of Section VI of the QC Plan.

(2) Observation procedures. Provide a copy of Sections IX, X, XII, and XIV of the QC Plan. Highlight the requirements for verification of the correct installation of all systems.

(3) Start-up and Testing procedures. Provide copies of Sections VII & VIII of the QC Plan.

(4) Training activities. Provide a copy of Section XV of the QC Plan.

(5) O&M Documentation. Describe the information to be provided to the client as required by Specification Section 01782 FACILITY OPERATION AND MAINTENANCE SUPPORT INFORMATION.

(6) Warranty period activities.

f. A listing of the written work products.

g. An activity schedule.

h. A description of the rigor and scope of testing: Provide a copy of Section VII of the QC Plan.

#### 1.18.2 Commissioning Agent Certification Letter

Produce a letter signed by the Contractor's Commissioning Agent certifying the Commissioning Plan has been successfully executed and the design intent of the facility has been achieved.

#### ]PART 2 PRODUCTS

Not used.

#### PART 3 EXECUTION

Not used.

-- End of Section --