

## Section 3.3

### CONTRACTOR'S QUALITY CONTROL PLAN

#### 3.3.1 Purpose

This section describes the review and approval process of the **Contractor's Quality Control Plan (QCP)** when required per **Contract Documents**. This section also describes the process of suspending Contractor's work due to inadequate Quality Control (QC) Operations.

#### 3.3.2 Authority

Sections [20.23\(3\)\(a\)](#) and [334.048\(3\)](#), Florida Statutes (F.S.)

#### 3.3.3 Reference

[Federal-Aid Policy Guide, 23 CFR 637](#)

[Standard Specifications for Road and Bridge Construction](#)

[Materials Manual](#)

#### 3.3.4 General

In compliance with **FHWA 23 CFR 637**, the Department chose to implement the "Contractor option". This option requires the Contractor to be responsible for QC on Department projects. **Specifications Section 105** details the requirements of a **Contractor's QCP**.

#### 3.3.5 Contractor's QCP Review and Approval

The Contractor will submit the **Contractor's QCP**, in accordance with **Specifications Section 105**, to the Project Administrator (PA) for approval, seven (7) calendar days prior to beginning work on QC Program applicable material. The submittal is accomplished by providing the laboratories, technicians, production facilities, and concrete mix designs in the Department's Materials Acceptance and Certification (MAC) system. MAC provides some feedback on the proposed data acceptability at the time of submittal.

## (A) Resident Level Responsibilities

The PA shall review the **Contractor's QCP** to ensure it is correct and complete using the checklist provided as a guide in [Attachment 3.3-1, Quality Control Plan Review Checklist](#). All QC Program materials on the contract must be included in the **Contractor's QCP** prior to material being produced for the contract. Each QC Program material must have at least one production facility listed as the source of the material. Each production facility must have a **Producer QCP** in acceptable status prior to material being produced for the contract. MAC will update the information with any status change to a technician, laboratory, production facility, or concrete mix design.

The following information on the MAC template must be reviewed by the PA to determine acceptability:

1. Laboratories – MAC provides a general laboratory status, but does not indicate if a laboratory is qualified in the specific test method(s) for the material. For example, if a laboratory is listed as an Earthwork Laboratory, the PA will review the test methods assigned on the laboratory profile to ensure the appropriate test methods for Soils/Earthwork Testing, such as FM 1-T180, are included.
2. Bridge related supervisory personnel – The QC Manager must provide backup documentation by attaching the qualification information to the template and the PA must review to ensure the proposed personnel meet requirements of **Specifications Section 105-8.7**.
3. Grouting Technicians and Post Tensioning Technicians – The PA must confirm the technician holds a current certification. Construction Training Qualification Program (CTQP) database information may not be up to date, so the PA will confirm with the technician.
4. Commercial Inspection – The PA must indicate in MAC if there will be commercial inspection on items on the contract that do not typically require commercial inspection and/or if there are steel and miscellaneous metal items on the contract that will not be commercially inspected. The PA must ensure that the Contractor attaches the fabrication schedule for items commercially inspected 30 days before fabrication has begun per **Specifications Section 105-1.2.3**.
5. Structural Concrete Mix Designs – The PA must review the specific entries to ensure the project specific requirements, including Special Provisions, Technical Special Provisions, or plan notes are met.

The PA will ensure the QC Manager has included information on all QC Program materials in the contract, review any status indicators with the QC Manager, and determine if any status indicators will be a cause for concern at the time the phase of work will begin. If the status indicators can be resolved before the work begins, the PA shall accept that portion or portions of the **Contractor's QCP** in MAC.

The Department will accept or reject the proposed **Contractor's QCP** within ten (10) calendar days of submittal. No phase of work covered under the QC Program, as specified in **Specifications Section 105**, can begin until the PA has accepted the **Contractor's QCP** in MAC for that phase of work. If a portion of the **Contractor's QCP** is in compliance, the Contractor may begin work for that phase, but not for phases that are non-compliant.

### **(B) District Level Responsibilities**

The District Materials and Research Office (DMRO) concrete personnel will review the concrete mix designs submitted in the structural concrete portion of the **Contractor's QCP** to ensure the concrete mix designs meet the contract requirements. The DMRO will make appropriate recommendations to the PA in MAC within the 10 calendar days after the data is input into MAC by the Contractor for original submittals.

### **3.3.6 Contractor's QCP Updates**

The **Contractor's QCP** often needs revising due to changes in personnel, design mixes, or production facilities. The Contractor will submit the proper information required to fulfill the changes/modifications of the **Contractor's QCP** updates and additional information through MAC at least five (5) working days prior to the implementation of any changes per **Specifications Section 105-5.1**.

### **(A) Resident Office Responsibilities**

Changes to the prior approved **Contractor's QCP** are accepted and approved by the PA in MAC. The Department will accept or reject the proposed QC Plan addendum within seven (7) calendar days after submittal.

### **(B) District Level Responsibilities**

The DMRO concrete personnel will also review the concrete mix designs submitted for structural concrete as an addendum to the **Contractor's QCP** and make appropriate recommendations in MAC to the PA within 7 calendar days of submittal by the Contractor.

### **3.3.7 Producer QC Stamp**

### **(A) Resident Office Responsibilities**

When QC Program materials are delivered to the project site, project personnel shall inspect the products for Specification compliance, including the product's QC stamp. Unstamped products must be rejected. Stamped products should be inspected to

ensure that they are being produced by the production facility that is listed on the **Contractor QCP**. The State Materials Office publishes photos for each production facility QC stamp as a resource for the project personnel to confirm the QC stamp. This information can be found at:

<http://www.fdot.gov/materials/quality/programs/qualitycontrol/plantstamps/index.shtm>

### 3.3.8 Resolution Test Fee Schedule

#### (A) Resident Office Responsibility

The PA shall furnish the Contractor with a fee schedule that will be used to establish a credit on the monthly estimate in the event that resolution tests performed by a Department compare favorably with the Verification Technician (VT) test results. The PA can obtain the fee schedule from the State Materials Office (SMO) website at:

<http://www.fdot.gov/materials/navigation/documents.shtm>

#### (B) State Materials Office Level Responsibilities

The Director, Office of Materials shall publish a fee schedule that will be used to establish a credit on the monthly estimate for resolution tests performed by a Department's laboratory that compare, in accordance with the **Specifications**, with the Department's Verification test results. Such fee schedule shall be published annually, at the beginning of the fiscal year, for contracts let that fiscal year.

### 3.3.9 Suspension of Work due to Inadequate QC Operations

The following conditions may result in the suspension of the QC operations, in part or all-inclusive:

1. Failure to comply with the requirements of **Specifications Section 105**, such as failure to timely supply information.
2. Repeated failure of materials to meet specification requirements.
3. Failure to take immediate corrective action relative to deficiencies in the performance of the QC program.
4. Notification from the State Materials and/or District Materials and Research Office in accordance with **Materials Manual Section 5.6**, such as certifying materials that are not produced under an approved Quality Control Program for use on Department projects.

## (A) Resident Level Responsibilities

The RE or designee shall notify the Contractor, within two (2) working days of finding a condition or conditions warranting the suspension of work due to non-conformance of the QC Operations. Notification of such disapproval shall clearly state area(s) of concern and non-compliance with the **Specifications** and requirements of the **Contract**. Any verbal warning to the Contractor that all or part of the QC Operations is in non-conformance will be documented by the PA in the Daily Work Report and shown on the monthly **Contractor's Past Performance Rating**.

The PA shall issue a **Deficiency Warning Letter (DWL)** if the Contractor does not correct the finding(s) after receiving a verbal warning. The PA shall issue a **DWL** to notify the Contractor of shortcomings/non-compliances with QC Operations. Prior to issuing a **DWL**, the PA will discuss the performance concerns with the RE. A single **DWL** can be used to address concerns in more than one performance category.

However, blatant violations or non-compliances may result in a **Deficiency Letter (DL)** being issued by the RE without a warning. Suspension of work due to QC Operations could result in issuance of a **DL** by the RE if the Contractor neglects to correct the QC Operations or continues to perform without sufficient QC Operations or Specifications. Refer to **CPAM Section 13.1, Contractor's Past Performance Rating** for processing **DWL** and **DL**.

In the event the work is suspended due to inadequate QC Operations, such suspension must clearly state area(s) of concern and non-compliance with the **Specifications** and requirements of the **Contract Documents**. A sample letter for suspension of work for failure to provide adequate QC Operations is provided in the [Attachment 3.3-2, Suspension of Work Due to Inadequate Quality Control Operations](#).

### 3.3.10 Attachments

[Attachment 3.3-1](#) ..... Quality Control Plan Review Checklist

[Attachment 3.3-2](#) .... Suspension of Work Due to Inadequate Quality Control Operations

## Attachment 3.3-1 Quality Control Plan Review Checklist

QCP Item	Y	N	N/A
<b>105-5.2 Personnel Qualifications</b>			
Ensure all qualified personnel are listed with their corresponding level of qualification and Technician Identification Number (TIN). The PA will review with the QC Manager any qualifications designated as anything other than qualified.			
<b>Bridge Personnel</b>			
The PA will confirm the bridge personnel qualifications, if applicable.			
Post Tensioning Level I			
Post Tensioning Level II			
Grouting Technician Level I			
Grouting Technician Level II			
Supervisory Personnel (Project Manager, Superintendent, Foreman, Surveyor)			
<b>105-5.3 Production Facilities</b>			
Are the production facilities listed?			
The PA will confirm that production facilities are included for all Quality Control Program materials that will be used on the project.			
The PA will review with the QC Manager production facilities designated as anything other than accepted/approved.			
<b>105-5.3.1 Structural Concrete Mix Designs</b>			
Are the concrete mix designs listed, if applicable?			
The PA will review the District Materials and Research Office (DMRO) Concrete personnel recommendations for use of structural concrete mix material availability. The PA will review the structural concrete mix designs for suitability related to project specific requirements. Do not approve the concrete portion of the Contractor QC Plan until the DMRO concrete personnel complete the review.			
<b>105-5.4 Testing Laboratories</b>			
Are the laboratories listed?			
The laboratory status provided by MAC is not sufficient to determine if the laboratory is approved for the designated material. The PA will review the laboratory test methods to ensure the laboratory is valid for the material designated. The PA will review any concerns with the listed laboratories with the QC Manager.			
<b>105-1.2.3 Notification of Placing Order</b>			
The PA will ensure the Contractor has identified if there will be commercial inspection need on the project.			
The PA will provide additional information about commercial inspection needed for items not normally covered by commercial inspection (per PA's request).			
The PA will indicate if there are other steel and miscellaneous items on the project that will not be commercially inspected.			
The PA will ensure that the Contractor attaches the fabrication schedule 30 days before the fabrication begins.			

## **Attachment 3.3-2 Suspension of Work Due to Inadequate Quality Control**

Date

Contractor Name

Contractor Address  
City, State Zip

**RE: SUSPENSION OF WORK DUE TO INADEQUATE QUALITY CONTROL  
OPERATIONS**

Dear Sir or Madam:

The Department has suspended operations due to Inadequate Quality Control Operations as defined below:

<Provide details - clearly state area(s) of concern and non-compliance with the Specifications and requirements of the Contract Documents>

The Department directs the Contractor to cease the phases of work deemed to be non-compliant. Resumption of such phases of work shall be dependent upon approval of the Engineer.

If you have any questions, please feel free to contact <Name of the Project Administrator> at <telephone number>.

Sincerely,

Resident Engineer

cc: District Materials and Research Engineer