

# DISTRICT 2 CONSTRUCTION QC/QA PLAN

EFFECTIVE DATE: APRIL 17, 1998  
Revised as of 12/21/10

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## SECTION 1 - INTRODUCTION

This document, the District Two **C**onstruction **P**roject **Q**uality **A**ssessment (**CPQA**) Process, which will be referred to herein as the CPQA Process, establishes the minimum quality assessment responsibilities for District Two construction personnel as directly related to the management of construction projects. The CPQA Process contains a procedure for monitoring how well these responsibilities are being performed and for documenting non-compliance and outstanding areas related to performance. The CPQA Process establishes minimum QA responsibilities for Florida Department of Transportation (FDOT) personnel working in District 2 in construction management. The CPQA Process contains two distinct functions. The first function will establish the minimum requirements of construction management for all the residencies in District 2 and will be determined by Process Reviews done at the District Level. The second function will provide project specific Project Quality Reviews (PQR).

The purpose for the first part of this CPQA Process is to ensure that the District's construction staff has superior performance with regard to performing Construction Engineering, Inspection and Management (CEI&M) duties. To accomplish this goal, the District CPQA Process aids construction personnel in verifying the contractor is complying with the contract specifications and the project plans. This is referred to as Quality Control (QC). The District CPQA Process requires Construction managers to verify inspectors, as well as staff directly responsible for administrative tasks, are performing their verification duties properly. This is referred to as Quality Assessment (QA). QA reviews are to focus on improving CEI&M processes being used.

The District level will perform Process Reviews of the CEI&M processes. These Reviews will look at various categories as determined by the District Construction Engineer as he deems necessary.

The items that are to be reviewed will be established within the District and distributed to all Resident Engineers for their use. Where possible, these will be the Guidelists as published by the State Construction Office and listed on their website. But the District may also add or delete from these Guidelists as necessary and publish their own Guidelists. During the review by the District office, they will place emphasis on reviewing those items that may need significant improvement or for those, which if not carried out successfully by the Contractor or by the CEI staff, will result in severe compromise of project quality.

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The purpose of the second part of this CPQA process will require the District office to perform Project Quality Reviews (PQR) on specific projects. These PQRs will be performed by the District Construction Quality Assessment Engineer (DCQAE) and/or his staff. Tab 3 contain the guides to be used for the PQRs.

This CPQA Procedure will be maintained by the District Construction Quality Assurance Engineer **and/or his delegate** who will update all procedure related documents. The DCQAE shall prepare a status report on the findings and maintain them in his files for future reference. They will also be given to the District Construction Engineer once every year summarizing the categories that are found to be in non-compliance numerous times throughout the year.

## SECTION 2 - DEFINITIONS

**ASSESSMENT CATEGORY** - One of the major categories of construction work within the overall project such as roadway base construction, drainage construction or signal installation.

**ASSESSMENT LOG** - An active checklist to be used during the PQR in Part 2 of this CPQA Process to record the status of the level of QA found by the team. It is composed of questions from the guides found under Tab 3. An assessment log shall become part of the project specific Quality Assessment records kept in the DCQAE office and ultimately filed in an archival file.

**COMPLIANCE** - A satisfactory performance of a critical requirement as determined through the quality assessment review process.

**DEFICIENCY** - In Part 2 of this CPQA Process, it is a negative finding that indicates non-satisfactory performance and will require a response.

**DISTRICT LEVEL** - The staff assigned to the district construction office which includes the District Construction Engineer (DCE), DCQAE or delegates. This may include other offices which perform independent quality assessments (i.e. Materials Office, acceptance/maintaining agencies, etc.).

**GUIDES** - A passive checklist to be used by the DCQAE doing the project specific QARs. These are found under Tab 3 of the CPQA Process.

**NEGATIVE FINDING** – In Part 2 of this CPQA Process, it is a finding that indicates non-

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satisfactory performance in relation to Department criteria.

**OPPORTUNITY FOR IMPROVEMENT**- A non-satisfactory performance as determined through the quality assessment review process in part 1 of the CPQA plan.

**QUALITY ASSESSMENT (QA)** - The process or methodology Resident and District Levels use to monitor and ensure that CEI&M activities are in compliance with predetermined standards.

**QUALITY CONTROL (QC)** - Project level activities performed daily by project level staff in monitoring established departmental requirements to assure compliance with contract documents and Department procedures/standards. The inspection and acceptance of the contractor's work is QC.

## SECTION 3 - PROCEDURE

### PART 1 OF CPQA Process

#### I DISTRICT LEVEL

The District Level will be responsible for both functions of the CPQA Process. The DCE and/or the DCQAE are responsible for all QA activities at the District Level.

The District Level Process Review will also consist of a review of project personnel in a Residency to verify they are uniformly administering the whole contract according to the specifications and the project plans. The District will use the list of items per category established by the District Office.

### PART 2 OF CPQA Process

This part of the District CPQA Process will account for two types of Project PQRs. One type of PQR will be Administrative. The second type will be Specification related.

District Project Quality Assessment - The DCQAE or his delegate will conduct PQRs as noted below:

1. Frequency of Reviews
  - a. The DCQAE or his delegate will conduct up to **ten (10)** PQRs every year.

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Additional mini-PQRs may be required on specific categories and can be done at any time on any given project.

- b. Projects to receive a PQR will be determined during the fourth quarter of the previous year by the DCQAE or his delegate and the DCE.
- c. The Resident Engineer or the DCE may select additional projects during the year, if needed.
- d. Projects shall be considered for a PQR considering the following factors:
  - (1) Project or item cost
  - (2) Project duration
  - (3) Complexity of scope
  - (4) MOT phasing
  - (5) Impact to the public and/or environment
  - (6) Staff availability and experience
  - (7) Past deficiencies of quality

## 2. Method of Documentation

a. The DCQAE shall develop monitoring logs for the various areas of review as follows:

- (1) Sublet Requests/Rental Agreements
- (2) Preconstruction Conference
- (3) Contract Schedule
- (4) **(Deleted) Included in number 8 below**
- (5) Environmental
- (6) Maintenance of Traffic
- (7) Dispute Review Boards
- (8) **(Deleted) Final Estimates**
- (9) Contractor's Past Performance Report
- (10) Excavation and Embankment
- (11) Base

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- (12) Traffic Control Aids
  - (13) Asphaltic Concrete Pavement
  - (14) Concrete Pavement
  - (15) Drainage
  - (16) General Concrete 346 Spec
  - (17) Structure Foundations – Pilings/Drilled Shafts
  - (18) MSE walls
  - (19) Supplemental Agreements and Unilateral Payments
  - (20) Contingency Supplemental Agreements and Work Orders/~~Field Supplemental Agreements~~
  - (21) Claims
  - (22) CCEI Management
  - (23) **(Deleted)** Compliance - EEO
  - (24) Contractor Quality Control
  - (25) ADA
- b. The DCQAE or his delegate may use additional personnel from the District Office to do the PQR if deemed necessary.
  - c. The DCQAE or his delegate shall provide the team members with the required assessment logs.
  - d. The DCQAE or his delegate may also perform PQR's on District Office functions as requested by the DCE.
3. Method of Addressing Findings

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- a. The PQR team will record negative findings on the assessment logs provided by the DCQAE.
- b. The DCQAE or his delegate will compile all negative findings and outstanding items and shall brief the Resident Engineer/SPE or their delegate on the findings at the completion of the PQR.
- c. The DCQAE or his delegate will send an email to the Resident Engineer (and SPE on CCEI projects) identifying the NEGATIVE FINDINGS and DEFICIENCIES that were found during the PQR along with a set of PQR monitoring logs typed out showing the Negative Findings. A DEFICIENCY shall be a FINDING that requires a response from the Resident Engineer (SPE on CCEI projects) indicating how the DEFICIENCY will be corrected. Some DEFICIENCIES may require a follow-up visit by the DCQAE and his team to verify compliance or do a more in-depth review. This will be spelled out in the memo.
- d. The DCQAE or his delegate will file all PQR results and ensure the results are placed into the archives.
- e. If subsequent PQR's produce similar findings, the DCQAE or his delegate shall notify the DCE of the recurring problem and make recommendations for corrective action.
- f. Any conflicts between the team and the Resident Engineer in the interpretation of the assessment logs will be referred to the DCE for resolution.

This QC/QA Process has been completed by Donald E. Rauch, P.E., District 2 Construction Quality Assurance Engineer. All questions pertaining to anything in this Procedure may be directed to Mr. Rauch at (904) 360-5675. Or you can write to him at the following address:

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