3 Phases of Control
Comprehensive Quality Plan
& Manual Sample

Selected pages (not a complete plan or manual)

Sample includes:

✓ Project Quality Plan Pages
✓ Quality Manual Pages
✓ Submittal Forms Examples
✓ Additional QA/QC Forms Examples

Contact:
First Time Quality
410-451-8006

www.firsttimequalityplans.com
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# Project-Specific Quality Plan

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Three phases of control and a task completion inspection will be performed for each defined feature of work.

The controls and the forms that will be used to record control activities are included on table L-1.

Table L-1

<table>
<thead>
<tr>
<th>Control</th>
<th>Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1: Preparatory Phase</td>
<td>Preparatory Phase Checklist</td>
</tr>
<tr>
<td>Phase 2: Initial Phase</td>
<td>Initial Phase Checklist</td>
</tr>
<tr>
<td>Phase 3: Follow-up Phase</td>
<td>Contractor Quality Control Report</td>
</tr>
<tr>
<td>Defineable Feature Completion Inspection</td>
<td>Defineable Feature Inspection Form</td>
</tr>
</tbody>
</table>

Three Phases of Control and FOW Completion Inspection forms exhibits are included as an exhibit in this subsection.

PHASE 1: PREPARATORY PHASE

Phase 1 is the Preparatory Phase that plans quality for an upcoming task. It includes a requirements review, site inspection, and a preparatory meeting. Records of the preparatory phase of control are recorded on the Preparatory Phase Checklist included as exhibits in this subsection.

Procedures that will be used on this project to conduct the Phase I preparatory phase of control are as follows.

PREPARATORY TASK QUALITY CONTROL PLANNING

In preparation for the start of an upcoming task, the Superintendent reviews an integrated and coordinated set of documents that collectively define quality requirements for the task including:

- Objectives and acceptance criteria of the task
- Quality standards that apply to the task
- Work instructions, process steps, and product installation instructions that apply to the task
- Shop drawings
- Submittals
- Tools and equipment necessary to perform the work
- License, certification, or other qualification requirements of personnel assigned to work
- Required records of the process and resulting product
- The subcontractor contracted to perform the work, if applicable
• Customer contract requirements
• Required quality inspections and tests
• Method for clearly marking nonconformances to prevent inadvertent use
• Location of quality system records and documents
• Personnel training

**PREPARATORY SITE INSPECTION**

The Superintendent also performs a quality inspection of the work area and:

• Assesses completion of required prior work
• Verifies field measurements
• Assures availability and receiving quality inspection status of required materials
• Identifies any nonconformances to the requirements for the task to begin
• Identifies potential problems

**TASK PREPARATORY QUALITY PLANNING MEETINGS**

Prior to the start of a task, the Superintendent conducts a meeting with key company, subcontractor personnel responsible for carrying out, supervising, or inspecting the work, and interested customer representatives.

During the meeting, the Superintendent communicates the task quality requirements and reinforces heightened awareness for critical requirements. Topics for a task quality plan meeting include:

• Conflicts that need resolution
• Required quality documents and a verification of availability to personnel carrying out, supervising, or inspecting the task
• Record keeping requirements and the availability of necessary forms
• Review methods and sequences of installation
• Special details and conditions
• Standards of workmanship
• Heightened awareness of critical quality requirements
• Quality risks
• Tasks quality inspection form

**PHASE 2: INITIAL PHASE**

Phase 2 is the Initial Phase occurs when crews are ready to start work to ensure work begins only when it does not adversely impact quality results. Inspections are performed before work starts and after work starts.

Records of the initial phase inspection is maintained using the Initial Phase Checklist form appearing as an exhibit in this subsection.

Procedures that will be used on this project to conduct the Phase 2 initial phase of control are as follows.

**JOB-READY INSPECTION BEFORE WORK BEGINS**

For each task, the Superintendent or a qualified inspector performs job-ready quality inspections to ensure that work activities begin only when they should begin. Job-ready quality inspections verify that conditions conform to the project quality requirements.

**INITIAL WORK INSPECTION**
O. TRAINING PROCEDURES AND TRAINING LOG

[CompanyName] will conduct project-specific training to assure all company and supplier personnel have the knowledge necessary to carry out their quality responsibilities.

A project training plan matrix identifies quality system training topics and categories of personnel that will be trained. The Project Quality Training Plan exhibit is included in this subsection.

Training assessments will be conducted during the preparatory planning for each definable feature of work task, and findings will be recorded on the Training Plan and Log form.

Customer training related to operations and maintenance will be provided as the project nears its end. Specific customer training topics will be assessed at coordination meetings during the project. A record of planned customer training activities will be included on the Training Plan and Log form.

After a training activity is completed, a record of both the training activity and the training participants will be maintained on a Training Plan and Log form. A Training Plan and Log form is included as an exhibit in this subsection.

PROJECT QUALITY TRAINING

The QC Manager ensures that all employees receive training relevant to their quality responsibilities.

The QC Manager ensures that all subcontractors and suppliers receive training on relevant elements of the [CompanyName] Quality System, Project Quality Assurance/Quality Control Plan, and quality standards.

The Quality Manager identifies the training needs of all personnel performing activities that affect quality. Training topics may include:

- The [CompanyName] Quality System
- The [CompanyName] Quality Policy
- Operating policies identified in the Quality Manual
- Quality standards cited in the Quality Manual, or project documents, or records
- Relevant quality standard operating procedures

Additional detail on [CompanyName] policies and procedures regarding training appear in Quality Manual sections 2.8 Project Quality Training Plan, 2.3.3 Personnel Qualifications, 6.2 Qualification of Outside Organizations and Company Departments, and 7.3 Preparatory Project Quality Assurance/Quality Control Plan.
# [Company Name] Training Plan

<table>
<thead>
<tr>
<th>Project ID</th>
<th>Project Name</th>
<th>Preparer</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ProjectNumber]</td>
<td>[ProjectName]</td>
<td>[QCMangerName]</td>
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<table>
<thead>
<tr>
<th>Training Title/ID</th>
<th>Training Description</th>
<th>When Required (date, milestone or event)</th>
<th>Planned Participants (Job Position/Organization)</th>
<th>Notes</th>
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### [CompanyName]
#### Training Log

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<td>[ProjectName]</td>
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</table>

<table>
<thead>
<tr>
<th>Training Title/ID</th>
<th>Training Date</th>
<th>Participant Name</th>
<th>Participant Signature</th>
<th>Trainer Signature Of Completion</th>
<th>Notes</th>
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[CompanyName]

Quality Manual

Operating Policies of the [CompanyName] Quality System

Effective Date: [Date]

<table>
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<tr>
<th>Version</th>
<th>Version notes</th>
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<tbody>
<tr>
<td>[Date]</td>
<td>Initial issue</td>
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Approval Signature: ______________________________________________________

President

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3. CONTRACT SPECIFICATIONS

DEFINE CUSTOMER QUALITY EXPECTATIONS

3.1. OVERVIEW

Fulfilling customer contract expectations is a primary objective of the [CompanyName] Quality System. To ensure that customer expectations will be fulfilled, [CompanyName] clearly defines the requirements for each contract before it is approved.

The Project Manager ensures that the information in customer contracts clearly defines customer expectations and that the necessary details are provided to set requirements for construction.

3.2. CONTRACT TECHNICAL SPECIFICATIONS

The Project Manager obtains contract technical specifications from the customer.

For each specific contract, The President identifies supplemental technical specifications on the Project Quality Assurance/Quality Control Plan when they are not otherwise specified by the contract or the approved drawings. Superintendents have jobsite access to contract technical specifications for the construction activities they supervise.

All [CompanyName] activities comply with the contract technical specifications.

3.3. CONTRACT DRAWINGS

The Project Manager obtains customer supplied drawings that have been approved by local government regulators. Superintendents have jobsite access to approved architectural drawings for the construction they supervise.

All [CompanyName] activities comply with the drawing details and specifications cited in the drawings.

3.3.1. AS-BUILT RED-LINE DRAWINGS

As the project progresses, the Superintendent will mark the original design drawings to indicate as-built conditions including changes to specified materials, dimensions, locations, or other features.

3.4. CONTRACT SUBMITTALS

The QC Manager prepares submittals that provide additional details of how [CompanyName] plans to carry out quality-related aspects of the customer contract, contract technical specifications, and contract drawings and reporting of quality records to the customer.

The QC Manager lists, schedules, and approves all quality-related submittals that are required by the project including submittals prepared by subcontractors and suppliers. The QC Manager must review all submittals for compliance with the requirements of the [CompanyName] Quality System. The QC Manager must sign approval of each contract submittal.

[CompanyName] extends compliance to contract specifications to all customer approved submittals. All [CompanyName] activities comply with customer approved submittals.
3.4.1. CONTRACT SUBMITTAL SCHEDULE

The Project Manager identifies submittals that apply to a specific contract and when they should be submitted, including:

- Contract requirement reference (if applicable)
- Submittal type: Shop drawing, product data, quality inspection and test plan, request for information, or allowances and unit prices
- Description
- Due date for submission to customer by [CompanyName]
- Due date for approval by the customer. Due dates may be a number of days after a project plan milestone.
- Approval date

3.4.2. SHOP DRAWING SUBMITTALS

The Project Manager or Purchasing and Estimating Manager prepare shop drawing submittals that supplement contract drawings. Shop drawings are required when additional details are necessary for fabrication or installation. The following information is included, as applicable:

- Dimensions established by field measurement
- Relationships to adjoining construction
- Identification of products and materials
- Fabrication and installation drawings
- Diagrams showing locations of field-installations
- Shop fabricated manufacturing instructions
- Templates and patterns
- Design calculations
- Compliance with specified standards
- Seal and signature of professional engineer if required
- Additional requirements as specified in the contract, contract technical requirements, or contract drawings.

[CompanyName] extends contract specifications to include customer approved shop drawings.

3.4.3. PRODUCT DATA SUBMITTALS

The Project Manager prepares product data submittals that consist of the manufacturer’s product information. The information included in this submittal is:

- Manufacturer, trade name, model or type number
- Description
- Intended use
- Size and physical characteristics including drawings when applicable
- Finish and color characteristics
- Product manufacturer’s installation instructions, when applicable
- Additional requirements as specified in the contract, contract technical requirements, or contract drawings.

3.4.4. ALLOWANCES AND UNIT PRICES SUBMITTALS

When customer contracts specify allowances and unit prices that the customer will select after the contract is awarded, the Project Manager prepares an allowance and unit price submittal for customer approval.
When a customer selects or approves an allowances and unit prices, the customer indicates the allowance and unit price selection on the signed submission return.

[CompanyName] extends compliance to contract specifications to customer approved allowances and unit prices.

3.4.5. REQUEST FOR INFORMATION (RFI) SUBMITTALS
The Project Manager submits a request for additional information to the customer when errors are found or when required information is not contained in the contract, contract technical specifications, or contract drawings.

Should any number of contract technical specifications or contract drawings result in conflicting requirements, the QC Manager submits a request for information to the customer to select the standard that applies.

[CompanyName] extends compliance to contract specifications to customer requests for information.

3.4.6. CHANGE ORDER SUBMITTALS
Contract requirements or contract technical specifications may require a change after the contract is awarded. The Project Manager submits the change order to the customer for approval, including any contract price adjustments.

When a customer approves a change order, the customer signs the submission return.

[CompanyName] extends contract specifications to include customer approved change orders.

3.4.7. MOCK-UP SUBMITTALS
The Superintendent prepares mock-up submittals as required by contract. Additionally, the QC Manager specifies mock-up requirements when they are necessary to ensure customer expectations are clearly identified.

The QC Manager ensures that each mock-up demonstrates specific elements of form and/or function, and that they are specified in the submittal documents.

[CompanyName] extends contract specifications to include customer approved mock-up submittals.

3.5. CUSTOMER SUBMITTAL APPROVAL
The Project Manager obtains the signature of an authorized customer representative on the submittal form.

[CompanyName] extends compliance to contract specifications to customer approved submittals.

Work in the affected area of a pending submittal requirement does not start until the customer approves the submittal.

3.6. CONTRACT WARRANTY
The Project Manager ensures that customer contracts clearly specify warranty coverage including:

- Scope
- Starting date
- Duration
The Project Manager ensures that customer contracts also clearly specify owner responsibility for:

- Restrictions of use
- Maintenance requirements
- Exclusions for customer supplied materials or equipment
- Timely notification of problems

3.7. CONTRACT REVIEW AND APPROVAL

The President conducts customer contract reviews to ensure that:

- Customer requirements and specifications are complete
- Customer requirements and specifications are compatible with the relevant regulations, [CompanyName] quality standards, and Quality System requirements
- [CompanyName] has the capability to deliver the completed project in the time allotted

Before construction begins, the President makes sure that all contract requirements are clearly understood, all discrepancies are resolved, and all requirements are agreed upon. Once these requirements are met, the President signs the contract.
List of Included Forms

Standard Forms:

- Point Of Contact List
- Project Organization Chart
- Project Quality Communications Plan
- Quality Manager Appointment Letter
- Project Manager Appointment Letter
- Superintendent Appointment Letter
- Personnel Certifications and Licenses
- Project Personnel Resumes
- Project Subcontractor and Supplier List
- Training Plan
- Training Log
- Regulatory Codes and Industry Standards
- Project Regulatory Building Codes
- Controlled Materials Form
- Metals Material Receiving Inspection Report
- Material Inspection and Receiving Report
- Inspection and Testing Standards
- Quality Inspection and Test Plan
- Test Equipment Calibration Plan and Log
- Quality Controlled Work Task List
- Daily Production Report
- Work Task Inspection Form
- Nonconformance Report
- Punch List
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- System Document Control Form
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[Company Name]

QA/QC Forms
# Quality System Forms

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# Project Submittal Form

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<th>Project ID</th>
<th>Project Name</th>
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<tbody>
<tr>
<td>[ProjectNumber]</td>
<td>[ProjectName]</td>
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</tbody>
</table>

**To:**

From: Precision Plant Services

**Location:**

**Type of Submittal:**
- [ ] Shop drawing
- [ ] Product data
- [ ] Request for information
- [ ] Completed form or quality record
- [ ] Quality system document
- [ ] Other:

Description of submittal:

**List of attachments:**

**Remarks:**

**Submittal Prepared by:**
Precision Plant Services

**Name:**

**Title:**

Signature / Date:

**Submittal Approved by Precision Plant Services Quality Manager:**

**Name:**

**Title:**

Signature / Date:

**Customer Disposition:**
- [ ] Approved
- [ ] Conditionally approved, resubmission not required (see comments)
- [ ] Disapproved, resubmission required
- [ ] Other:

**Customer Representative:**

**Name:**

**Title:**

Signature / Date:

**Comments:**

---

Questions? Call First Time Quality 410-451-8006
<table>
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<th>Project Name</th>
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<tr>
<td></td>
<td>[ProjectNumber]</td>
<td>[ProjectName]</td>
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</table>

Requestor Name: ________________________
Date: _________________________________
Request Reference Document: _____________

Contract change requested by:
☐ Precision Plant Services
☐ Client
☐ Architect/Engineer
☐ Project Manager
☐ Code Enforcement Official
☐ Other:

Change order description:

Reason(s) for change order:

Supporting documentation provided:

Time Extension Required: ☐ Yes ☐ No
Number of Days*: _____
Reason:

Supporting documentation attached:

Cost Change Required? ☐ Yes ☐ No
Amount* $ ___________
Reason:

Supporting documentation attached:

Customer Approval:

Name/Date ___________________________

Precision Plant Services Approval:

Name/Date ___________________________

Questions? Call First Time Quality 410-451-8006
## [Company Name] Subcontractor and Supplier Qualification Form

<table>
<thead>
<tr>
<th>Project ID</th>
<th>Project Name</th>
<th>Approval</th>
<th>Approved By</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Project Number]</td>
<td>[Project Name]</td>
<td>☐ Yes</td>
<td>☐ No</td>
</tr>
</tbody>
</table>

### Subcontractor and Supplier Quality System:
- ☐ Works under Precision Plant Services Quality System
- ☐ Approved to Work under subcontractor’s quality system

### Subcontractor and Supplier site quality inspection:
- ☐ Site quality inspection required before approval
- ☐ Site quality inspection of product/material required before delivery

### Review Topics
- Project-Related Job Credentials
  - Licenses required:
  - Certification required:
  - Training required:
  - Type and length of experience required:
  - Personnel license, certification, and training required:

### Qualifications
- ☐ Senior person designated as Quality Manager
- ☐ Knowledge of company quality standards
- ☐ Demonstrated capability to complete work to company quality standards
- ☐ Demonstrated skills and knowledge
- ☐ Demonstrated experience

### Qualification Notes:
- ☐ Demonstrated results
- ☐ Effective self-inspection process
- ☐ Access to codes, standards and product instructions
- ☐ Equipment availability
- ☐ Production capacity
- ☐ Staffing availability

### Provisional Approval: Action plan for improvement

### Follow-up results and date

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Questions? Call First Time Quality 410-451-8006
For More Information:

Visit our Online Store at:

www.firsttimequalityplans.com

or

Contact: First Time Quality

410-451-8006

edc@firsttimequality.com