



ISO 9001: 2008 Construction Quality Management System

Sample - Selected pages (not a complete plan)

Part 1: Project-Specific Quality Plan

Part 2: Company Quality Manual

Part 3: Submittal Forms

Part 4: Standard Operating Procedures

Contact:

First Time Quality

410-451-8006

PROJECT QUALITY CONTROL PLAN

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C. CONTRACT REVIEW AND SUBMITTALS

(Ref. ISO10005 Quality Plan Requirement 5.3)

The contract for this project, [ProjectName] - [ProjectNumber], has been reviewed, approved, and signed by the President, Project Manager, and the Quality Manager.

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.

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.

SUBMITTALS

Lists of documents and records that will be submitted to the customer appear on the Submittal Schedule and Log form. The Submittal Schedule and Log Form exhibit is included in this subsection.

SUBMITTAL SCHEDULE AND LOG

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

SUBMITTAL REVIEW AND APPROVAL

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

SUBMISSION TO CUSTOMER

See Submittal Forms exhibits in this subsection for all the forms that will be used to submit submittals on this project.

CUSTOMER APPROVED SUBMITTALS

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.

Additional detail on [CompanyName] policies and procedures for managing submittals appear in Quality Manual section 3 Contract Specifications.

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

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[illegible]

D. DESIGN CONTROL

(Ref. ISO10005 Quality Plan Requirement 5.4)

Design controls are in place to assure the quality of designs for this project. A design plan is used to document the design control process. The Design Plan is included as an exhibit in this subsection.

The first control point will be of the review of design inputs. The Design Manager will assure that all necessary information is available to perform the required design work. The Design Manager will also assure that expectations for design outputs are well defined.

Intermediate reviews will be carried out as indicated on the design control plan. The last review is the design output review.

A record of all reviews will be recorded on the Design Review form. A Design Review form exhibit is included in this subsection.

The President has appointed [DesignManagerName] as the Design Manager. [DesignManagerName] will control the design process with specific quality responsibilities, duties, and the authority to carry them out. A record of the Design Manager's appointment appears in this plan as an exhibit in subsection B Quality Management Organization, Responsibilities, and Authority.

DESIGN PLAN

The Design Manager prepares a project-specific plan that includes:

- A listing of key project personnel, specific design responsibilities, and authority
- Appointment and the qualification of key design personnel to perform assigned design responsibilities.
- Who will verify and approve the design input specifications before design work begins
- A listing of company and customer stakeholders, reviews they will participate in, and how their input will be used to amended design requirements. The project organization chart Includes interfaces between various groups and personnel for producing and reviewing the design.
- Design output specifications, including required drawings, and engineering calculations
- Identification of who will perform design output verification activities and the criteria they will use.
- The sequence of design work Tasks and schedule

The Design Manager reviews the design process project plan with the customer and other interested parties. The customer approves the plan after any discrepancies are resolved and the plan is agreed upon. Design work may begin only after the customer approves the plan.

DESIGN REVIEWS

DESIGN INPUT REQUIREMENTS REVIEW

The Design Manager ensures that the information in design inputs clearly defines customer expectations and that the necessary details are provided to set requirements for design.

The Design Manager obtains design specifications from the customer and conducts a customer design input review to ensure that:

- Customer design input requirements and specifications are complete
- Design process review milestones are specified when necessary
- Customer design output requirements and specifications are complete for review milestones as well as the completed design
- Customer design requirements and specifications are compatible with the relevant regulations, [CompanyName] quality standards, and Quality System requirements
- [CompanyName] has the capability to deliver the completed design in the time allotted

The Design Manager identifies supplemental design specifications that supplement customer specifications when they are needed to ensure a quality design.

Before design work begins, the Design Manager makes sure that all design requirements are clearly understood, all discrepancies are resolved, and all requirements are agreed upon. Once these requirements are met, the Design Manager approves the design input.

The Design Manager ensures that design input documents are verified by qualified personnel. The person responsible must verify:

- Design input specification are approved by a customer authority
- Design input specifications are complete
- Design input 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

DESIGN PROGRESS REVIEWS

The Design Manager holds review meetings with interested parties at key design milestones. The Design Manager identifies the key design milestones, the design output required for the review, and a list of reviewers.

Two design reviews are required: one is an input design review and the other is the final design review. The Design Manager identifies other design reviews necessary to ensure a quality result. Design reviews may be specified at the completion of design work tasks, site assessments, preliminary engineering,

[CompanyName] Project Design Process Plan Form			
Version September 28, 2011			
Project ID	Project Name	Preparer	Date
[ProjectNumber]	[ProjectName]		
Qualification and appointments			
Design Manager	Name:		
Designer(s)	Name / Scope of Work:		
Design input verifier	Name:		
Design output verifier	Name:		
Design Reviews			
Review milestone/ description:	Required output for review: (including required drawings, and engineering calculations)	Review acceptance criteria	Review participants
Pre-design review:			
Intermediate review:			
Final design review:			
Design Process Plan and Schedule			
Task	Output	Scheduled date/milestone	

P. CONTROL OF QUALITY RECORDS AND DOCUMENTS

(Ref. ISO10005 Quality Plan Requirement 5.16)

On this project, [CompanyName] will keep specific documents and records of quality activities that occur throughout the duration of the project.

Project quality records will be stored in the project field office. As a backup, copies of records will be held offsite. The exact location will be determined at quality coordination meeting.

The [CompanyName] Quality Manual referenced in this quality plan is included as an appendix to this plan.

A Record of current version of project documents is listed on the Document Control Form included as an exhibit in this subsection. When new version approved, the Quality Manager updates the Project Document Control form.

A Record of records is listed on the Project Records Control Form included as an exhibit in this subsection.

DOCUMENT CONTROLS

The Director of Quality controls documents related to the [CompanyName] Quality System including:

- Quality System Manual
- Quality System Procedures
- Project Management Procedures (including interface and coordination with customers and regulatory agencies with jurisdiction over jobsites)
- Government regulations
- Industry standards
- Procurement specifications

The Director of Quality ensures that records of the distribution of Quality System documents are kept. When new versions are distributed, obsolete versions are destroyed or controlled to prevent inadvertent use.

The Project Manager controls documents related to specific customer contracts including:

- Customer contracts
- Contract technical specifications
- Contract drawings
- Shop drawing submittals and approvals
- Product data submittals and approvals
- Allowances and unit price submittals and approvals
- Requests for information and customer responses
- Subcontracts
- Inspection and test plans

PROJECT QUALITY RECORD PLAN

The Quality Manager identifies the quality records that will be maintained during the planning and execution of the project. Considerations include:

- Contract requirements for maintaining records
- The size of the project
- Types of activities
- The complexity of processes and their interactions
- The competence of personnel
- The duration of the project
- The need to demonstrate completion of work
- The need to demonstrate due diligence for quality system related activities
- Balancing the cost and benefits of maintaining the record

DOCUMENT CONTROL PROCEDURE

Procedure:

1. The Responsible Person reviews and approves all controlled documents prior to release and is responsible for future control of the document. The Responsible Person records the title of the document, approval date, name, job position, and the method of document control: either 'hard copy' or 'computer file'. A record is maintained on the Project Document Control Form contained in this procedure.
2. When controlled documents are revised, the Responsible Person records the title of the document, the version, and date. Each subsequent document version cancels the previous versions of the document. The status of any controlled document can be verified by the Responsible Person.
3. The Responsible Person ensures that current issues of all documents are readily available at locations where activities essential to the effective functioning of the quality system are performed.
4. For distribution of controlled documents stored on computer media:
 - The Responsible Person designates one or more directory folders where all files in the folder are designated as either approved documents, current versions or controlled documents. Access to change or delete the files is restricted to the Responsible Person by password.
 - The Responsible Person removes obsolete versions of controlled documents from the directory folder.
5. Computerized records of controlled documents are backed up daily. Retrieval of backups can recover all controlled documents in effect as of any selected day.
6. Controlled documents stored on computer media are marked "Uncontrolled Copy When Printed" as the Responsible Person deems practical.
7. For the distribution of hard copies of controlled documents:
 - Only the Quality Manager is authorized to copy controlled documents.
 - When the Quality Manager distributes copies of controlled documents, the following record is made of the document: the version date, to which person it was distributed, and the document's location.
8. Uncontrolled copies are marked "Uncontrolled Copy"
9. When a controlled document is superseded:
 - The first page of superseded documents is destroyed or marked "VOID". The superseded document is removed from areas where quality inspection, test, or work is in progress.
 - The superseded document is replaced with a currently approved version of the document
10. Quality documents are stored in their original condition, in a suitable environment to prevent damage, deterioration and loss. Quality Records are readily retrievable for review upon request. Access to Quality system documents is not limited but is subject to normal building security.

11. Quality documents are stored for a period of seven years to demonstrate conformance to specified requirements and the effective operation of the quality system. No quality system document is destroyed without written approval of the Quality Manager.

PROJECT DOCUMENT AND RECORD CONTROL PROCEDURE

Procedure:

- Project records completed by the person responsible for completing them, quality records are collected and filed. Any qualified person in the location identified on section 5.6 of the Project Quality Control Plan may file the records.
- Quality Records are stored in their original condition, in a suitable environment to prevent damage, deterioration, and loss. Quality Records are readily retrievable for review upon request. Access to Quality Records is not limited but is subject to normal building security.
- Quality Records are stored for a period of seven years to demonstrate conformance to specified requirements and the effective operation of the quality system. No quality record is destroyed without written approval of the Quality Manager.
- Quality records are kept primarily as hard copy. When quality records are kept on a computer storage device, ability to enter information is password controlled and the computerized records are backed up on a regular basis.

Additional detail on [CompanyName] policies and procedures that apply to document and record controls appear in Quality Manual sections 12.3 Document Controls 12.4 Record Controls.

QUALITY MANUAL

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CROSS REFERENCES

The [CompanyName] Quality System complies with ANSI/ISO/ASQ Q9001-2008: Quality management systems - Requirements

ISO 9001:2008 Requirement	[CompanyName] Quality Manual Section
4 Quality management system	
4.1 General requirements	Key Elements of the Quality System
4.2 Documentation requirements	12 Record and Document Controls
5 Management responsibility	
5.1 Management commitment	[CompanyName] Quality Policy 1.3 Quality Duties, Responsibilities, and Authority 11.3 Company-wide Quality System Audit
5.2 Customer focus	[CompanyName] Quality Policy
5.3 Quality policy	[CompanyName] Quality Policy
5.4 Planning	1.4 Quality System Performance Measures 11 Quality System Audits
5.5 Responsibility, authority and communication	1.3 Quality Duties, Responsibilities, and Authority 2.3.2 Appointment of Key Project Personnel
5.6 Management review	11 Quality System Audits
6 Resource management	
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6.2 Human resources	2.8 Project Quality Training Plan
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7.2 Customer-related processes	3 Contract Specifications 5 Project-Specific Quality Standards 2.7 Project Quality Communications Plan
7.3 Design and development	4 Design Control
7.4 Purchasing	6 Project Purchasing
7.5 Production and service provision	5 Project-Specific Quality Standards 7 Process Controls
7.6 Control of monitoring and measuring equipment	5.7 Measuring Device Control and Calibration

8 Measurement, analysis and improvement	
8.1 General	8 Inspections and Tests 10 Preventive Actions
8.2 Monitoring and measurement	1.4 Quality System Performance Measures 8.12 Inspection and Test Records 11 Quality System Audits
8.3 Control of nonconforming product	9 Nonconformances and Corrective Actions
8.4 Analysis of data	10 Preventive Actions 11 Quality System Audits
8.5 Improvement	10 Preventive Actions

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7. PROCESS CONTROLS

HOW WORK IS CARRIED OUT

7.1. OVERVIEW

The Construction process plan defines how project work is to be done and approved for the overall project. The Construction process plan is communicated to all key personnel, subcontractors and suppliers in a startup meeting. As the project proceeds, Task plans provide additional details of how each individual Task is carried out. Task planning meetings are used to communicate expectations of the Task plan to key personnel responsible for carrying out the Task.

7.2. PROJECT STARTUP AND QUALITY CONTROL COORDINATION MEETING

Prior to the commencement of work, the Project Manager holds a meeting to discuss and coordinate how project work will be performed and controlled. Key personnel from [CompanyName], subcontractors, and suppliers meet to review expectations for project quality results as well as quality assurance and quality control policies and procedures including:

- Key requirements of the project
- The Project Quality Control Plan
- Required quality inspections and tests
- The project submittal schedule
- Quality policies and heightened awareness of critical quality requirements
- Project organization chart and job responsibilities
- Methods of communication and contact information
- Location of project documents and records

7.3. PREPARATORY PROJECT QUALITY CONTROL PLANNING

7.3.1. TASK REQUIREMENTS REVIEW

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

7.3.2. 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

7.3.3. 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:

- Task quality requirements as identified in section 7.3.1
- Findings of the Task preparatory quality inspection in section 7.3.2
- 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
- Task quality inspection form

List of Included Forms

Military Forms:

- Preparatory Phase Checklist
- Initial Phase Checklist Form
- Contractor Production Report
- Contractor Quality Control Report
- Testing Plan and Log

Standard Forms:

- Project Organization Chart Form
- Quality Manager Appointment Form
- Project Manager Appointment Form
- Project Superintendent Appointment Form
- Project Design Manager Appointment Form
- Project Personnel Qualification Form
- Personnel Certifications and Licenses Form
- Quality Controlled Task List Form
- Quality Inspection and Test Plan Form
- Project Quality Communications Plan Form
- Point Of Contact List Form
- Project Quality Training Plan Form
- Task Training Plan and Log Form
- Project Quality Records Plan Form
- Project Submittal Form
- Change Order Form
- Project Design Process Plan Form
- Design Review Meeting Participant Form
- Design Review Form
- Project Regulatory Building Codes Form
- Test Equipment Calibration Form
- Lot Controlled Materials Form
- Project Subcontractor or Supplier Qualification Form
- Subcontractor and Supplier Certifications and Licenses Form
- Source of Supply Form
- Preconstruction Meeting Form
- Task Project Quality Control Plan Form
- Task Project Quality Control Planning Meeting Form

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- Daily Quality Control Report Form
- Monthly Quality Control Report Form
- Task Inspection Form
- Project Completion Inspection Form
- Inspection and Test Report Form
- Nonconformance Report Form
- Nonconformance Report Control Log Form
- Training Record Form
- Project Quality System Audit Form
- Quality System Audit Form
- Project Document Control Form

QUALITY SYSTEM SOP	
3.5 CUSTOMER SUBMITTAL APPROVAL	
Version	Approved by:
September 8, 2011	Quality Manager

Purpose:

To provide a consistent method for presenting and recording key submittal information in a cover sheet for each submittal.

Scope:

All projects

Definitions:

None:

Responsible Person(s):

The Project Manager has overall responsibility

The Quality Manager must approve all submittals

References:

Quality Manual Section 3.5 Customer Submittal Approval

Contract Submittals

Quality Manual Section 12.4.2 Project Records Control

Procedure:

1. Use the Contract Submittal Form contained in this procedure unless the customer contract or Project Quality Control Plan specifies the use of a modified or customer supplied form. In that case, the specified form replaces the standard form for that contract.
2. For each project, the Responsible Person completes the Project Submittals Form (contained in this procedure) with information as required by the Quality Manual.
3. The Responsible Person updates the Project Submittal Form as necessary with actual date of submittal and actual date of customer submittal approval date.
4. The Responsible Person stores the completed form in the field project office as required by Quality Manual Section 12.4.2 Project Records Control

<div style="text-align: center;"> [CompanyName] Project Submittal Form <small>Version September 28, 2011</small> </div>			
Submittal ID#	Project ID	Project Name	Date
	[ProjectNumber]	[ProjectName]	
To:		From: [CompanyName] Location:	
Type of Submittal: <input type="checkbox"/> Shop drawing <input type="checkbox"/> Product data <input type="checkbox"/> Request for information <input type="checkbox"/> Completed form or quality record <input type="checkbox"/> Quality system document <input type="checkbox"/> Other:		Description of submittal:	
List of attachments:		Remarks:	
Submittal Prepared by: [CompanyName] Name: Title: Signature / Date:		Submittal Approved by [CompanyName] Quality Manager: Name: Title: Signature / Date:	
Customer Disposition: <input type="checkbox"/> Approved <input type="checkbox"/> Conditionally approved, resubmission not required (see comments) <input type="checkbox"/> Disapproved, resubmission required <input type="checkbox"/> Other:		Customer Representative: Name: Title: Signature / Date:	
Comments:			



For More Information:

Contact: Ed Caldeira

410-451-8006

www.firsttimequality.com

EdC@FirstTimeQuality.com

For More Information, contact: Ed Caldeira • Caldeira Quality, LLC • First Time QualitySM

410-451-8006 • www.firsttimequality.com • EdC@FirstTimeQuality.com