ISNetworld/ISO 9001:2015 QMS Submittal Package

Selected pages (not the complete document)

Sample includes:

- ✓ Project Quality Plan Pages
- ✓ Quality Manual Pages
- ✓ Standard Operating Procedures Pages
- ✓ Quality System Forms Examples
- ✓ QMS Category RAV Answers Example

100% Compliance Guarantee

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Compliant with 16 Program Sections

Program	Region	Status
QMS Competence, Awareness and Communication	Global	RAVS Verified
QMS Context of the Organization	Global	RAVS Verified
QMS Control of Non-Conforming Outputs	Global	RAVS Verified
QMS Design and Development	Global	RAVS Verified
QMS Improvement	Global	RAVS Verified
QMS Internal Audit	Global	RAVS Verified
QMS Leadership and Commitment	Global	RAVS Verified
QMS Management Review	Global	RAVS Verified
QMS Monitor and Measurement	Global	RAVS Verified
QMS Planning	Global	RAVS Verified
QMS Policy and Objectives	Global	RAVS Verified
QMS Processes	Global	RAVS Verified
QMS Product and Service Requirements	Global	RAVS Verified
QMS Quality Policy	Global	RAVS Verified
QMS Resources (External and Internal)	Global	RAVS Verified
QMS Roles and Responsibilities	Global	RAVS Verified

[CompanyName][CompanySuffix]

Quality Management System

[ProjectName]
[ProjectNumber]

Version	Version notes
[Date]	Initial issue

Approval Signature and Date: _____ _____

Vice President/ Date

PROJECT QUALITY CONTROL PLAN

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F. Contract Review and Submittals

(Ref. ISO10005 Quality Plan Requirement 5.11.2)

The contract for this project, [ProjectName] - [ProjectNumber], has been reviewed, approved, and signed by the Vice 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 Vice 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 Vice 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 Vice 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 Corporate Quality Manual section 4 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

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

[CompanyName][CompanySuffix]
Project Submittal Form

Submittal ID#	Project ID	Project Name	Date
	[ProjectNumber]	[ProjectName]	

To:	From: [CompanyName] 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: [CompanyName] Name: Title: Signature / Date:	Submittal Approved by [CompanyName] 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:	

[CompanyName][CompanySuffix]
Project Submittals Schedule and Log

Contract ID	Contract Name	Preparer	Date	Notes
[ProjectNumber]	[ProjectName]	[ProjectManagerName]		

Contract Section Activity ID	Technical Specification Reference / Version Date	Type/Description of Submittal	Version /Date	Required Submittal Date	Date Submitted to Customer	Required Customer Approval Date	Customer Approval Date

I. SUBCONTRACTOR AND SUPPLIER PURCHASING

(Ref. ISO10005 Quality Plan Requirement 5.8.1, 5.8.2, 5.8.3, 5.12)

Outside organizations will be used to provide products, materials and/or services. Key outside organizations that will be used on this project are listed on the Source of Supply form. A Source of Supply form exhibit is included in this subsection.

The qualifications of listed suppliers have been verified.

QUALIFICATION OF SUBCONTRACTORS AND SUPPLIERS

The Quality Manager qualifies outside organization and company work department capabilities to ensure that they are capable of completely carrying out their assigned quality responsibilities before approving and signing the contract, purchase order, or work order.

Subcontractors and suppliers must meet all Quality System requirements by either 1) working under the [CompanyName] Quality System or 2) operating their own quality program if it meets [CompanyName] Quality System requirements.

The Quality Manager defines quality-related credentials for each project work task that affects quality including required:

- Organization and personnel licenses
- Personnel training
- Organization and personnel certifications
- Organization and personnel experience
- Senior person designated as Quality Manager
- Knowledge of Company quality standards
- Demonstrated capability to complete work to Company quality standards
- Demonstrated skills, knowledge, and experience
- Effective self-inspection process
- Access to codes, standards and product instructions
- Equipment availability
- Production capacity
- Demonstrated results

For critical components, the Quality Manager determines if a source quality inspection is necessary to validate supplier quality and delivery capabilities.

When the qualification assessment identifies minor nonconformances to the subcontract requirements, the Quality Manager may approve a provisional subcontract. The provisional subcontract supplements the subcontract with requirements for actions that address correction of the nonconformances. All nonconformances must be corrected before work in the affected area begins.

PURCHASE ORDER APPROVAL

The Project Manager ensures that contracts and purchase orders are issued only to qualified outside organizations. The Project Manager must review, approve, and sign each purchase order.

The outside organization must agree to the purchase order terms and specifications, and then sign the contract or purchase order.

QUALIFICATION OF TESTING LABORATORIES

Independent laboratories performing tests or quality inspections have additional requirements for certification by a nationally recognized testing accreditation organization as appropriate for the scope of the inspection or test:

- NRTL: A nationally recognized testing laboratory according to 29 CFR 1910.7.
- NVLAP: A testing agency accredited according to NIST's National Voluntary Laboratory Accreditation Program.
- The American Association of State Highway and Transportation Officials (AASHTO)
- International Accreditation Services, Inc. (IAS)
- U. S. Army Corps of Engineers Materials Testing Center (MTC)
- American Association for Laboratory Accreditation (A2LA) program

Additional detail on [CompanyName] policies and procedures for the selection and qualification appear in Corporate Quality Manual section 7.2Qualification of Outside Organizations and Company Departments and 7.7Project Purchase Order Approvals.

[CompanyName][CompanySuffix] Project Subcontractor and Supplier List				
Project ID	**Project Name**			**Preparer/ Date**
[ProjectNumber]	[ProjectName]			

Work Tasks	Subcontractor and Supplier Name	Description of Services	Quality Control Method (Not Applicable/ Subcontractor and Supplier QC/ [CompanyName] QC)	Remarks

K. PRODUCT IDENTIFICATION AND TRACEABILITY

(Ref. ISO10005 Quality Plan Requirement 5.14)

Product and materials are controlled to assure the use of only correct and acceptable items. Controls include identification of the inspection status. Materials that require lot control traceability and the method of traceability are listed on the Controlled Materials form included as an exhibit in this subsection.

IDENTIFICATION OF LOT CONTROLLED MATERIALS

The Quality Manager determines types of project materials that require quality control.

For each type of quality-controlled material, the Quality Manager determines lot control traceability requirements, if any, and specifies the means of lot identification. Identification methods may include physical labels, tags, markings and/or attached certification documents.

When lot-controlled materials are received, the Superintendent verifies that materials have the specified lot identifications.

The Superintendent maintains lot identification at all production phases from receipt, through production, installation, or assembly, to final completion. Acceptable methods for preserving lot identification include physically preserving observable lot identifications, recording the lot identification on a work task quality inspection form or other work record, or collecting the physical lot identifier as a record along with supplemented with location.

If lot-controlled materials are without lot identification, the Superintendent deems the materials as nonconforming and segregates them and/or clearly marks them to prevent inadvertent use. The Superintendent treats the material according to the company policy for nonconformances. Only the Quality Manager can re-identify or re-certify the materials.

Additional detail on [CompanyName] policies and procedures for the Product identification and traceability appear in Corporate Quality Manual sections 5.5 Controlled Use of Materials, 7.5.4 Controlled Use of Materials, 8.2.1Material Inspections and Tests, and 9.2.1Marking of Nonconformances and Observations.

[CompanyName][CompanySuffix]
Controlled Materials Form

Contract ID	Contract Name	Preparer	Date	
[ProjectNumber]	[ProjectName]			

Contract Section/ Activity ID	Material	Intended Use (if description is necessary)	Lot Traceability Requirements	Method for identification of Approved Inspection Status

[CompanyName][Suffix]
Material Inspection and Receiving Report

Contract ID	Contract Name	Purchase Order No.	Supplier	Bill of Lading No.	Date
[ProjectNumber]	[ProjectName]				

Item No.	Stock/Part No.	Description	Quantity Received	Condition	Marking	Accept	Conditional Use	Reject
						☐	☐	☐
						☐	☐	☐
						☐	☐	☐
						☐	☐	☐
						☐	☐	☐
						☐	☐	☐

Receiving Quality Control

ACCEPTANCE

Listed items have been accepted by me or under my supervision

☐Conform to contract specifications EXCEPT as noted herein or on supporting documents.
☐Received in apparent good condition EXCEPT as noted

Signature of authorized person and date: _____

EXCEPTIONS:

[CompanyName][CompanySuffix]

Corporate Quality Manual

Operating Policies of the [CompanyName][CompanySuffix] Quality System

Approval Signature and Date: _____ _____

Vice President/ Date

CORPORATE QUALITY MANUAL

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CROSS REFERENCES

The [CompanyName] Quality System complies with ANSI/ISO/ASQ Q9001-2015: Quality management systems – Requirements

ISO 9001:2015	[CompanyName] Corporate Quality Manual Section
4 Context of the organization	
4.1 Understanding the organization and its context	2 Quality System Management and Responsibilities
4.2 Understanding the needs and expectations of interested parties	4 Contract Specifications 4.4 Needs and expectations of interested parties
4.3 Determining the scope of the quality management system	1 [CompanyName] Quality Management System 1.1 Scope
4.4 Quality management system and its processes	1 [CompanyName] Quality Management System 13.2 Quality System Documents
5 Leadership	
5.1 Leadership and commitment	2.3.1 Vice President: Quality Duties, Responsibilities, and Authority 2.2 [CompanyName] Quality Policy
5.2 Policy	2.2 [CompanyName] Quality Policy
5.3 Organizational roles, responsibilities and authorities	2.3 Quality Duties, Responsibilities, and Authority
6 Planning	
6.1 Actions to address risks and opportunities	3 Project Quality Assurance/Quality Control Plan 3.2 Project Quality Risk Assessment 4 Contract Specifications 4.4 Needs and expectations of interested parties 4.5 Contract Risk Assessment
6.2 Quality objectives and planning to achieve them	2 Quality System Management and Responsibilities 2.2 [CompanyName] Quality Policy 2.4 Quality System Performance Measures 2.5 Customer Satisfaction Performance Measures 12 Quality System Audits
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7 Support	
7.1 Resources	3 Project Quality Assurance/Quality Control Plan 3.9.1 [CompanyName] Body of Knowledge 3.9.2 Quality Training 7.2 Qualification of Outside Organizations and Company Departments 8 Process Controls 11 Preventive Actions 12 Quality System Audits
7.1.6 Organizational knowledge	3.9.1 [CompanyName] Body of Knowledge
7.2 Competence	3.4.3 Personnel Qualifications
7.3 Awareness	1.2 [CompanyName] Quality Policy 2.3.1 Vice President: Quality Duties, Responsibilities, and Authority 2.3.2 Quality Manager: Quality Duties, Responsibilities, and Authority
7.4 Communication	3.8 Project Quality Communications Plan 3.9 Project Quality Training Plan 4.6 Contract Submittals
7.5 Documented information	13 Record and Document Controls
8 Operation	
8.1 Operational planning and control	4 Contract Specifications

	3 Project Quality Assurance/Quality Control Plan 8.5 Process Control Standards 9.2 Required Work Task Quality Inspections and Tests
8.2 Requirements for products and services	2.2 [CompanyName] Quality Policy 4 Contract Specifications 6 Project-Specific Quality Standards 3.8 Project Quality Communications Plan
8.3 Design and development of products and services	5 Design Review and Control 5.5.1 Design Risk Analysis
8.4 Control of externally provided processes, products and services	3.10 Project Subcontractor And Suppliers 7 Project Purchasing 7.2 Qualification of Outside Organizations and Company Departments 7.3 Quality Responsibilities of Key Subcontractor And Supplier Personnel 7.6 Purchase Order Requirements 7.7 Project Purchase Order Approvals
8.5 Production and service provision	4 Contract Specifications 4.8 Contract Warranty 3 Project Quality Assurance/Quality Control Plan 8 Process Controls
8.6 Release of products and services	9.2 Required Work Task Quality Inspections and Tests 9.7 Work Task Completion Inspections 9.8 Commissioning Functional Acceptance Tests 9.15 Project Completion and Closeout Inspection
8.7 Control of nonconforming outputs	10.2 Nonconformances 10.2.1 Marking of Nonconformances and Observations 10.2.2 Control the Continuation of Work 10.2.4 Correction of Nonconformances
9 Performance evaluation	
9.1 Monitoring, measurement, analysis and evaluation	2.4 Quality System Performance Measures 2.5 Customer Satisfaction Performance Measures 9.14 Inspection and Test Records 12 Quality System Audits
9.2 Internal Audit	12 Quality System Audits
9.3 Management review	2.3.1 Vice President: Quality Duties, Responsibilities, and Authority 12.3 Company-wide Quality System Audit
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10.2 Nonconformity and corrective action	10.2 Nonconformances 10.3 Corrective Actions
10.3 Continual improvement	11 Preventive Actions 2.3.2 Quality Manager: Quality Duties, Responsibilities, and Authority

2. QUALITY SYSTEM MANAGEMENT AND RESPONSIBILITIES

SYSTEM OF PERSONAL QUALITY ACCOUNTABILITY

2.1. OVERVIEW

Responsibilities for quality are specified not only for compliance with policies and procedures but also so that decisions are based on principles that ensure quality.

Documented responsibilities ensure that expected behaviors are communicated throughout the company rather than left to discretionary interpretation.

2.2. [COMPANYNAME] QUALITY POLICY

Quality is everyone's responsibility. The Vice President holds everyone in the organization personally accountable for adhering to the [CompanyName] Quality System policies and procedures.

The [CompanyName] Quality Policy describes the [CompanyName] commitment to quality and reinforces compliance with the Quality System.

The Vice President communicates the Quality Policy message throughout the company so that all employees understand their respective quality responsibilities.

The Vice President reviews the [CompanyName] Quality Policy with all employees at least annually.

The Vice President ensures that a copy of the [CompanyName] Quality Policy is distributed to all employees and is posted in all offices.

2.3. QUALITY DUTIES, RESPONSIBILITIES, AND AUTHORITY

2.3.1. VICE PRESIDENT: QUALITY DUTIES, RESPONSIBILITIES, AND AUTHORITY

While everyone is responsible for quality, the Vice President is the one person in the company ultimately responsible for quality. Regardless of other duties, quality responsibilities of the Vice President include:

- Identify external and internal issues relevant to the purpose and strategic direction of the quality management system.
- Ensuring that each employee understands his or her quality responsibilities as well as [CompanyName] quality policies
- Establishing company quality policies and objectives
- Conducting management reviews of the [CompanyName] Quality System to meet its intended objectives
- Ensuring the availability of necessary resources and information for effective operation of the Quality System
- Demonstrating commitment to the [CompanyName] Quality System and its integrity
- Ensuring achievement of [CompanyName] quality objectives
- Continuously improving the Quality System
- Fully support the Quality Manager in the execution of assigned quality responsibilities

2.3.2. Quality Manager: Quality Duties, Responsibilities, and Authority

The Quality Manager is responsible for ensuring the overall effectiveness of the Quality System for a specific project. Regardless of other duties, the Quality Manager is responsible for:

- Planning project quality controls required by the [CompanyName] quality systems and contract requirements
- Fully implementing all provisions of the [CompanyName] Quality System and related documents on the project.
- Manage the operation of the [CompanyName] Quality System on the project.
- Implement and manage all phases of quality control
- Communicating project-specific quality requirements to all affected departments, subcontractors and suppliers, and customers
- Ensuring that the Quality System is established and implemented by persons doing work that impacts quality
- Monitoring progress of activities
- Identify quality problems
- Ensuring that the Quality System is maintained
- Acting as the project quality liaison with parties outside the company on matters relating to quality
- Performing periodic quality system reviews and audits
- Reporting to senior management on performance of the Quality System, including needed improvements
- Review and approval of all project Quality System records
- Review and approval of project quality-related contract submittals
- Managing all project inspection and quality control activities
- Controlling corrective actions
- Verify implementation of corrective actions and preventive actions
- Resolving quality nonconformances

The Quality Manager has the authority to:

- Stop work when continuing work may adversely affect quality or cover up a defect
- Prevent the use of equipment or materials that may adversely affect quality or cover up a defect
- To direct the removal and replacement of any non-conforming work, equipment, or material by [CompanyName], any subcontractor, or any supplier.
- Suspend work and/or supply of materials by any staff member, subcontractor personnel, or supplier as deemed necessary to assure quality results.

Alternate Quality Managers acting in the role of the project Quality Manager has the same quality duties, responsibilities and authority as the project Quality Manager.

2.3.3. Project Manager: Quality Duties, Responsibilities, and Authority

The Project Manager is the one person responsible for management of a specific project. Regardless of other duties, the Project Manager is responsible for:

- Demonstrating commitment to the [CompanyName] Quality System and its integrity
- Ensuring achievement of project quality objectives
- Providing adequate resources for effective operation of the Quality System on the project
- Ensuring that each design employee understands his or her quality responsibilities as well as [CompanyName] quality policies
- Ensuring that each project employee understands his or her quality responsibilities as well as [CompanyName] quality policies

- Conducting management reviews of the [CompanyName] Quality System
- Ensuring the availability of necessary resources and information for effective operation of the [CompanyName] Quality System

The Project Manager has authority to:

- Stop work when continuing work adversely affects quality or covers up a defect
- Prevent the use of equipment or materials that would adversely affect quality or cover up a defect
- Suspend work and/or supply of materials by any staff member, subcontractor personnel, or supplier as deemed necessary to assure quality results.

2.3.4. Superintendent: Quality Duties, Responsibilities, and Authority

A Superintendent verifies that work performed by subcontractors and suppliers and [CompanyName] work crews conforms to [CompanyName] quality standards. The Vice President appoints one or more Superintendents for each project.

A Superintendent has specific responsibilities for:

- Ensuring that work meets government regulatory and code requirements, customer requirements, contract requirements, contract technical specifications, contract drawings, approved contract submittals, and company quality standards and specifications
- Ensuring that subcontractors and suppliers begin work in accordance with [CompanyName] start-work policies
- Ensuring that subcontractors and suppliers receive a notice to work only when conditions will not adversely affect quality results
- Conducting quality inspections, tests, and recording findings
- Accurately assessing subcontractor quality and on-time performance
- Ensuring that quality standards are achieved before approving subcontractor or work crew completion of work

The Superintendent has the authority to:

- Stop work when continuing work may adversely affect quality or cover up a defect
- Prevent the use of equipment or materials that may adversely affect quality
- Direct the removal or replacement of any non-conforming work, equipment, or material
- Suspend work and/or supply of materials as deemed necessary to assure quality results

Alternate Superintendent has the same quality duties, responsibilities and authority as the Superintendent. Multiple Superintendents may be assigned to the project.

2.3.5. All Employees: Quality Duties, Responsibilities, and Authority

All employees have quality responsibilities that include:

- Conformance to project quality requirements
- Compliance with the project quality plan
- Meeting or exceeding all applicable regulations, codes, industry standards, and manufacturer specifications as well as meeting or exceeding our customers' contract and individual requirements.
- Fully implementing and complying with all provisions of the [CompanyName] Corporate Quality Manual.

All employees have the authority to:

- Stop work when continuing work may adversely affect quality or cover up a defect
- Prevent the use of equipment or materials that may adversely affect quality

2.4. Quality System Performance Measures

Company-wide quality performance measures evaluate the effectiveness of the Quality System. The following indicators are the primary measures of quality performance:

- Number of customer correction items identified at the project closeout quality inspection
- Customer satisfaction feedback

At least annually, Vice President(s) evaluate [CompanyName] quality performance and set improvement goals.

2.5. Customer Satisfaction Performance Measures

[CompanyName] obtains feedback after project completion on whether customer quality expectations are being met, and to what extent. The Vice President analyzes customer satisfaction data to determine opportunities for improvement and address any items of customer dissatisfaction.

2.6. Exceptions

Exceptions to the [CompanyName] Quality System and customer contract requirements are tightly controlled:

- Exceptions to compliance to contract specifications are approved only by the customer and the Quality Manager.
- Exceptions to the [CompanyName] Quality System not specified by contract requirements are approved only by Vice President or the Quality Manager.

Exceptions are recorded in memoranda, change orders (Section 4.6.6 Change Order), or otherwise clearly documented.

[CompanyName]

Quality System
Standard Operating Procedures

Quality Management System Forms

- Project License and Qualifications
- Project Organization Chart
- Quality Manager Appointment Letter
- Project Manager Appointment Letter
- Superintendent Appointment Letter
- Design Manager Appointment Letter
- Qualified QC Inspector List
- Project Personnel Qualification Form
- Construction Personnel Certifications and Licenses
- Quality Controlled Work Task List
- Quality Inspection and Test Plan
- Project Quality Communications Plan
- Subcontractor and Supplier Quality Communications Plan
- Point of Contact List
- Project Quality Training Plan
- Training Plan
- Training Log
- Project Quality Records Plan
- Project Submittals Schedule and Log
- Change Order Form
- Project Submittal Form
- Project Design Review Plan
- Design Review Meeting Participant Form
- Design Review Form
- Project Regulatory Building Codes
- Controlled Materials Form
- Metals Material Receiving Inspection Report
- Material Inspection and Receiving Report
- Test Equipment Calibration Plan and Log
- Laboratory Qualification Form
- Subcontractor and Supplier Qualification Form
- Subcontractor and Supplier Certifications and Licenses
- Project Subcontractor and Supplier List
- Subcontractor and Supplier Quality Control Policy Requirements
- Project Startup and Quality Control Coordination Meeting
- Project Startup Meeting Form
- Work Task Quality Assurance/Quality Control Plan for Work Task Requirements Review
- USACE Preparatory Phase Checklist
- Work Task Quality Control Planning Meeting Form
- USACE Contractor Quality Control Report
- Daily Quality Control Report
- Monthly Quality Control Report
- Inspection and Test Report
- USACE Initial Phase Checklist
- Work Task Inspection Form
- Punch List
- Project Completion Inspection Form
- Nonconformance Report
- Nonconformance Report Control Log
- Corrective Action Report
- Training Record
- Project Quality System Audit Form
- Jobsite Quality Review Planning and Log Sheet
- Quality System Audit Form
- System Document Control Form
- Project Records Control Form

STANDARD OPERATING PROCEDURES

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QUALITY SYSTEM SOP 7.2 QUALIFICATION OF OUTSIDE ORGANIZATIONS AND COMPANY DEPARTMENTS	
Version	Approved by:
	Quality Manager

Purpose:

To assess and record the qualification of subcontractors and suppliers, and company departments to meet the quality requirements of the company and/or project and to keep a record of their licenses and certifications

Scope:

All projects

Definitions:

None:

Responsible Person(s):

Project Manager has overall responsibility

Quality Manager

References:

Quality Manual Section 7.2 Qualification of Outside Organizations and Company Departments

Quality Manual Section 13.4.2 Project Records Control

Procedure:

1. Use the Subcontractor and Supplier Qualification Form and Project Subcontractor and Supplier List Form contained in this procedure unless the customer contract or Project Quality Assurance/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. The Responsible Person identifies subcontractor and suppliers that require qualification as required by the Quality Manual.
3. Records the subcontractor's or supplier's company name on a Subcontractor and Supplier Qualification Form.
4. When no qualifications are required "none required" is entered and then this procedure is regarded as complete.
5. The Responsible Person assesses the subcontractor or supplier and records the qualifications on the Subcontractor and Supplier Qualification Form.
6. When all qualification requirements are met, the Project Manager signs the form.
7. When the subcontractor qualification assessment identifies minor nonconformances to the subcontract requirements, the Project Manager may approve a provisional subcontract. The provisional subcontract lists requirements for actions that address correction of the nonconformances. All nonconformances must be corrected and verification recorded on the form before the company can commence work affected by the provisional requirements.
8. The Responsible Person lists critical materials required by specific work task and suppliers qualified to provide the materials on the Project Subcontractor and Supplier List form.

9. The Responsible Person stores the completed form in the field office as required by Quality Manual Section 13.4.2 Project Records Control

[CompanyName]
Laboratory Qualification Form

Company Name:	Scope of Work (specification sections):

Project ID	Project Name	Approval	Approved By
[ProjectNumber]	[ProjectName]	☐ Yes ☐ Conditional ☐ No	

Review Topics

Project-Related Job Credentials

Licenses required:	License and expiration dates:
Certification required: ☐ NRTL: A nationally recognized testing laboratory according to 29 CFR 1910.7. ☐ NVLAP: A testing agency accredited according to NIST's National Voluntary Laboratory Accreditation Program. ☐ The American Association of State Highway and Transportation Officials (AASHTO) ☐ International Accreditation Service, Inc. (IAS) ☐ U. S. Army Corps of Engineers Materials Testing Center (MTC) ☐ American Association for Laboratory Accreditation (A2LA) program	Certifications and expiration dates:
Training required:	Training completed and expiration date:
Type and length of experience required:	Certifications and expiration dates:
Personnel license, certification, and training required:	List each person's credentials on the Subcontractor and Supplier Certifications and Licenses form.

Qualifications

☐ Senior person designated as Quality Manager ☐ Demonstrated skills and knowledge ☐ Demonstrated experience	☐ Production capacity ☐ Staffing availability

QUALIFICATION NOTES:

Provisional Approval: Action plan for improvement

Follow-up results and date

[CompanyName]
Subcontractor and Supplier Qualification Form

Company Name:	Scope of Work (specification sections):

Project ID	Project Name	Approval	Approved By
[ProjectNumber]	[ProjectName]	☐Yes ☐Conditional ☐No	

Subcontractor and Supplier Quality System:	Subcontractor and Supplier site quality inspection
☐Works under [CompanyName] Quality System ☐Approved to Work under subcontractor's quality system	☐Site quality inspection required before approval ☐Site quality inspection of product/material required before delivery

Review Topics

Project-Related Job Credentials

Licenses required:	License and expiration dates:
Certification required:	Certifications and expiration dates:
Training required:	Training completed and expiration date:
Type and length of experience required	Certifications and expiration dates:
Personnel license, certification, and training required:	List each person's credentials on the Subcontractor and Supplier Certifications and Licenses form.

Qualifications

☐Senior person designated as Quality Manager	☐Demonstrated results
☐Knowledge of Company quality standards	☐Effective self-inspection process
☐Demonstrated capability to complete work to Company quality standards	☐Access to codes, standards and product instructions
☐Demonstrated skills and knowledge	☐Equipment availability
☐Demonstrated experience	☐Production capacity
	☐Staffing availability

QUALIFICATION NOTES:

Provisional Approval: Action plan for improvement

Follow-up results and date

QUALITY SYSTEM SOP 10.2.3.1 RECORDING OF NONCONFORMANCES	
Version	Approved by:
	Quality Manager

Purpose:

To clearly document a nonconformance found by test or work task completion quality inspection, monitor the disposition status, and to record its disposition.

Scope:

All projects tests and work task completion quality inspections

Definitions:

None:

Responsible Person(s):

Superintendent reports nonconformance on a Nonconformance Report Form

Quality Manager assigns disposition of the nonconformance

Superintendent stores the completed forms

References:

Quality Manual Section 10.2.3.1 Recording of Nonconformances

Quality Manual Section 13.4.2 Project Records Control

Procedure:

1. Use the Nonconformance Report Form and Nonconformance Report Control Log contained in this procedure unless the customer contract or Project Quality Assurance/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. The Responsible Person records nonconformances as required by the Quality Manual on the Nonconformance Report Form and records the nonconformance report on the Nonconformance Report Log.
3. The Responsible Person records disposition of nonconformances as required by the Quality Manual on the Nonconformance Report Form.
4. The Responsible Person records the disposition on the Nonconformance Report Log.
5. When the corrective actions and/or preventive actions have been completed, the Responsible Person records the action on the Nonconformance Report Form, updates the status on the Nonconformance Report Log.
6. The Responsible Person stores the completed form in the field office as required by Quality Manual Section 13.4.2 Project Records Control

[CompanyName]
Nonconformance Report

Nonconformance Report Control ID	Project ID	Project Name
	[ProjectNumber]	[ProjectName]
Preparer Signature/ Submit Date		Quality Manager Signature / Disposition Date
Description of the requirement or specification		
Description of the nonconformance, location, affected area, and marking		
Disposition	☐Replace ☐ Repair ☐ Rework ☐ Use As-is	
	Approval of disposition required by customer representative? Yes ☐ No ☐ Customer approval signature /date: _____	
Corrective Actions	☐Corrective actions completed Name/Date: _____ Customer acceptance of corrective actions required? Yes ☐ No ☐ Name/Date: _____	
Preventive Actions		
	☐Preventive actions completed Name/Date: _____	

[CompanyName]
Nonconformance Report Control Log

Project ID	Project Name	Preparer	Date
[ProjectNumber]	[ProjectName]		

Nonconformance Report ID #	Description of Nonconformance	Report Date	Disposition Decision Date	Corrective Action Completion	
				Initial	Date

ISNetworld Quality Management Categories with Answers and Page Number References

- Competence Awareness and Communication
- Context of the Organization
- Control of Non-Conforming Outputs
- Design and Development
- Improvement
- Internal Audit
- Leadership and Commitment
- Management Review
- Monitor and Measurement
- Planning
- Policy and Objectives
- Processes
- Product and Service Requirements
- Quality Policy
- Resources External and Internal
- Roles and Responsibilities

Program Name: QMS Context of the Organization - Global

Question #	Question	Reference	Contractor Response	Contractor Comments	Page #
1	Does the program address the types of products and/or services covered by the Quality Management System (QMS) and, if applicable, provide justification for any requirement exclusions?	4.3	Yes	Quality Management System 1.1 Scope	Page 85
2	Does the program address monitoring information regarding external issues?	4.1	Yes	2 Quality System Management and Responsibilities 2.4.1 President: Quality Duties, Responsibilities, and Authority 2.5 Quality System Performance Measures 2.6 Client/purchaser Satisfaction Performance Measures	Pages 88, 90, 93
3	Does the program address monitoring information regarding internal issues?	4.1	Yes	2 Quality System Management and Responsibilities 2.4.1 President: Quality Duties, Responsibilities, and Authority 2.5 Quality System Performance Measures 2.6 Client/purchaser Satisfaction Performance Measures	Pages 88, 90, 93
4	Does the program address identifying interested parties relevant to the QMS?	4.2	Yes	4.4 Needs and expectations of interested parties	Page 99
5	Does the program address identifying requirements of interested parties?	4.2	Yes	4 Contract Specifications	Page 99

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