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**Source Inspection Quality Management Plan**  
**Sample City Main Street Bridge Replacement**

**Project No.: 123456**

**Caltrans EA: 07-XXXXX4**

**DRAFT FINAL**

**Prepared for:**

**Caltrans Materials Engineering and Testing Services (METS)**  
**Attention: Caltrans Oversight Structural Materials Representative**

**October 18, 2012**  
**Revision 0**

**Prepared by:**

**Sample City Materials and Testing Division (SC-MTD)**

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*Note:* This Sample SIQMP contains no appendices. An actual SIQMP will contain appendices that have important required items such as sample forms, certifications for personnel and laboratories, or will contain added commentary on source inspection practices by the implementing agency.

This SIQMP is one example of source inspection practices and is not intended to direct local agencies with regard to how they approach source inspection.

## Overview

This document is a sample Source Inspection Quality Management Plan (SIQMP) that was created to assist local implementing agencies with the development of a project specific SIQMP. Source Inspection relates to all materials manufactured or fabricated away from the jobsite that will be incorporated into the final work. The SIQMP outline found on the Agency Resources page of the Caltrans Materials Engineering and Testing Services website (<http://www.dot.ca.gov/hq/esc/Translab/OSM/agencyresources.htm>) provides an outline that implementing agencies can use to describe their QA source inspection and material acceptance activities. This Sample City SIQMP brings relevant information together from many Caltrans references for the convenience of the implementing agency and follows the SIQMP outline.

Where reference throughout this document is made to appendices, those are placeholders only as no sample appendices are included, e.g., no example personnel certifications or cooperative agreements. A final SIQMP for use on a project will be required to have the necessary supporting documents and/or appendices.

# 1 Project General Description

Table 1 presents the project general description.

**Table 1: Project General Description.**

<b>Project Description</b>	Route 1 Main Street Bridge Replacement
<b>Implementing Agency Name</b>	City of Sample
<b>Implementing Agency Project Manager (PM)</b>	John F Kennedy
<b>Implementing Agency Project Number</b>	123456
<b>Caltrans Project Number</b>	X7-XXXXXX4
<b>Project Route</b>	Route 1

## 1.1 Project Planned Dates

Table 2 presents project planned dates.

**Table 2: Project Planned Dates.**

<b>Project Award Date</b>	10/10/2011
<b>Project Advertised Date</b>	5/10/2011
<b>Project Notice to Proceed</b>	11/10/2011
<b>Project Completion Date</b>	11/10 /2013

## 1.2 Project Specifications Edition

Table 3 presents the edition of project Standard Specifications and Plans.

**Table 3: Project Specifications Edition**

<b>Caltrans Standard Specifications</b>	May 2006 with Amendments Dated 08-05-11
<b>Caltrans Standard Plans</b>	2006 and Revisions

## 1.3 Federal Funding Status

Table 4 presents project federal funding status.

**Table 4: Project Federal Funding Status.**

<b>Federal Funding (Buy America Requirements)</b>	Federally Aided Project - Buy America requirements will be enforced.
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## 1.4 Project Documents

Table 5 lists the project documents.

**Table 5: List of Project Documents Provided**

<b>Copy of Cooperative Agreement</b>	See Appendix A
<b>Project Bid Items List</b>	See Appendix B

## 1.5 Scope of Work

Table 6 presents project scope of work.

**Table 6: Project Scope of Work.**

<b>Number and Type of Structures</b>	Bridge replacement of one bridge with precast concrete I-girders and founded on steel pipe piles (Class N) and concrete piles, and construct 2100 LF of Soundwall of varying height along the Southbound Route 1 freeway.
<b>Engineer’s Estimate</b>	\$23,345,678.00
<b>Project Limits</b>	From 3 miles north on Route 1 and Sample River Overcrossing to 3 miles south of Route 1 and Main Street Undercrossing in Example County within Sample City.

**1.5.1 Description of Bridge Work**

The bridge work is on the Sample City Main Street Bridge (Bridge # 12-2456) and consists, in general, of:

1. Removing the existing Sample City Main Street Bridge. This includes removal of the cast in place bridge pier walls, retaining walls, curtain walls, type 2 barrier railing, miscellaneous metal cable restrainers, rock slope protection, bike path railing and bike path concrete.
2. Constructing a new Sample City Main Street Bridge. This work includes constructing abutments built on steel pipe piles as well as concrete piles, and building the bridge deck on precast prestressed concrete girders and PTFE Spherical Bearings. Bridge Construction also includes new concrete barrier rail, constructing diaphragm stiffeners, constructing masonry block soundwalls, constructing concrete barrier rail, and installing “Decorativelight” brand poles (Sole source for this project).

**Description of Existing Structure:** A three-span reinforced concrete box girder and cast-in-place prestressed concrete box girder bridge on 6 column reinforced concrete bents and open end seated abutments, all supported on driven reinforced concrete and precast prestressed concrete piles.

**Description of the Soundwall Work:** The Soundwall work consists, in general, of constructing CIDH piling and a reinforced concrete pile cap and wall to support masonry block Soundwall.

**1.6 Project Phasing**

It is anticipated that this project would be completed in 4 phases. The phases and estimated timelines are as follows:

1. A temporary traffic and pedestrian detour to guide traffic along frontage roads to the South Sample City River Crossing Bridge near Z Street (1 week).
2. Partial bridge removal including pier walls, retaining walls and curtain walls (5 weeks).
3. Constructing new abutments built on steel pipe piles, installing PTFE Spherical Bearings, and precast I-girders (8 months).
4. Constructing masonry block, soundwalls, concrete barrier rail, and light pole installation (5 months).

**1.7 Additional Project Information**

Table 7 presents additional project information.



**Table 7: Additional Project Information.**

<b>Name and Address of Construction Management Firm</b>	SEPMIN and Associates, Inc. 123 East Main St., Sample City, CA 90000
<b>Name and Address of Verification Firm for Construction</b>	Sample City / SEPMIN and Associates, Inc. 123 East Main St., Sample City, CA 90000
<b>Name and Address of Verification Lab for QA Source Inspection</b>	Sampletest Lab Company 11112 Central Main St., Sample City, CA 90000
<b>Name and Address of Verification Firm for Source Inspection</b>	Sample City Materials and Testing division 12121 H Street, Sample City, CA 90000
<b>Name and Address of Contractor</b>	John Schmidt Construction Inc. 1234 West Main St., Sample City, CA 90000

## 2 Material Management

In accordance with FHWA Title 23 requirements, the Prime Contractor will perform Quality Control (QC) as outlined in the project specifications and Sample City will implement a Quality Assurance (QA) acceptance program consisting of verification activities that are independent of the Prime Contractor. Sample City Materials and Testing Division (SC-MTD) has created a comprehensive material priority list that is based upon the consequence of failure of materials. This priority list helps project Structural Materials Representatives (SMRs) to determine the level of source inspection required. The priority list is described under section 2.2.1 of this document.

### 2.1 Roles and Responsibilities

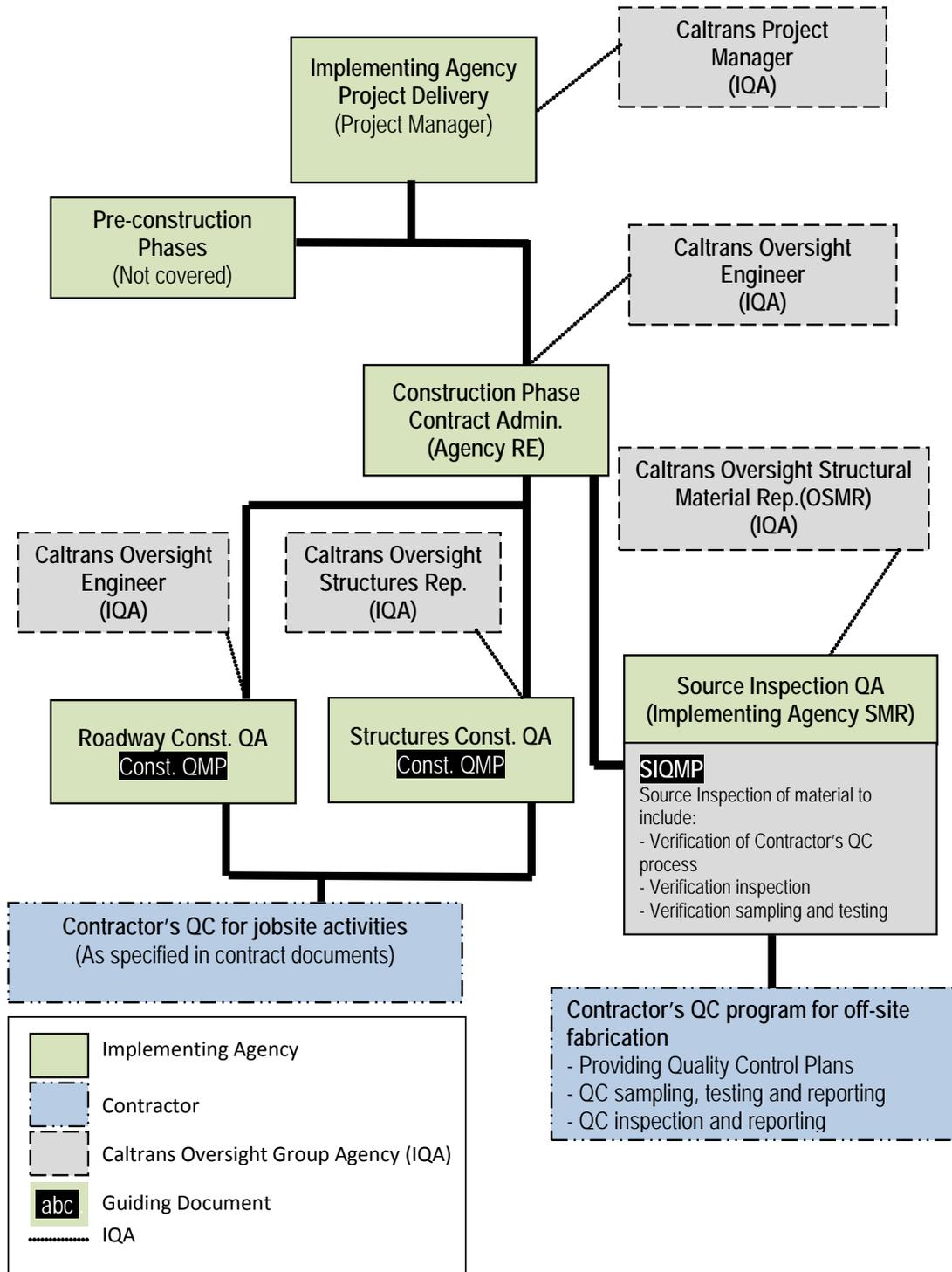
A project organizational chart specific to the construction phase quality management responsibilities for Source Inspection is provided in Figure 1.

#### 2.1.1 Agency Roles and Responsibilities

To supplement Figure 1, Table 8 below presents a List of Sample City Project Personnel and Qualifications.

**Table 8: List of Project Personnel and Qualifications**

Title	Name	Qualification	Company	Phone	Email
<b>Resident Engineer (RE)</b>	Grover Cleveland	Professional Engineer (PE) Civil California	Sample City / SEPMIN and Associates, Inc.	(123) 456-7890	<a href="mailto:G.Cleveland@mail.com">G.Cleveland@mail.com</a>
<b>Structure Representative (SR)</b>	George Washington	PE Civil CA	Sample City	(111) 222- 3333	<a href="mailto:G.washington@mail.com">G.washington@mail.com</a>
<b>Structural Materials Representative (SMR)</b>	Abraham Lincoln	PE Civil CA	Sample City	(333) 111-2222	<a href="mailto:A.lincoln@mail.com">A.lincoln@mail.com</a>
<b>Concrete QA Inspector</b>	John Adams	PCI Level II	Sample City	(111) 222-4444	<a href="mailto:J.adams@mail.com">J.adams@mail.com</a>
<b>Steel QC Inspector</b>	Tom Jefferson	CWI	Sample City	(222) 444-5555	<a href="mailto:T.jefferson@mail.com">T.jefferson@mail.com</a>
<b>NDT QC Inspectors</b>	James Polk	ASNT NDT Level II UT	Sample City	(444) 555-8888	<a href="mailto:J.polk@mail.com">J.polk@mail.com</a>
<b>Coating Inspector</b>	James Madison	NACE Level II	Sample City	(777)- 444-2233	<a href="mailto:J.madison@mail.com">J.madison@mail.com</a>



**Figure 1:** Construction Phase Quality Management Responsibilities for Source Inspection.

**2.1.2 Contractor Information**

Table 9 summarizes minimum Quality Control qualifications for Contractor personnel as required by the project Special Provisions:

**Table 9: Minimum Qualification for Contractor’s QC Personnel**

<b>Quality Control Manager (QCM) – Precast</b>	Experienced in Quality Control and Concrete
<b>Quality Control Manager (QCM) – Steel</b>	AWS CWI or PE Civil CA
<b>Concrete QC Inspector</b>	PCI Level II or PE Civil CA
<b>Steel QC Inspector</b>	AWS CWI
<b>NDT QC Inspectors</b>	ASNT TC-1A Level II
<b>Coating QC Inspectors</b>	NACE Level II

**2.2 Verification Source Inspection and Documentation**

**2.2.1 Procedure to Identify Materials for Source Inspection**

Sample City will follow a similar system to the Caltrans procedure for identifying items that will require Source Inspection. Sample City has generated a “Materials Priority list” as described previously in Section 2. Each material bid item has been categorized in table 10 and is supplemented by section 2.2.4.1 which details the frequency of verification inspection for source inspected items.

- “Priority 1” materials are items with significant safety concern or high maintenance cost associated with a failure; these items normally have a QA inspector at the facility throughout the fabrication time period and a “tag” issued at completion along with a final inspection report. When multi-shift operations occur, either a single inspector will cover both shifts by splitting the shift, or multiple inspectors are assigned to ensure adequate quality assurance checks. Such inspection is considered “extensive” but inspectors are performing quality assurance checks only and are not required to be at the shop continuously. Priority 1 items are broken into Priority 1a, 1b, and 1c in section 2.2.4.1 where the source inspection process is more fully described.
- “Priority 2” materials are items with moderate safety concern or moderate maintenance cost. Normally part time QA inspection (Spot checks of in-process work at a single or multiple times during the fabrication time period) is conducted. A tag is normally issued at completion of work along with a final inspection report.
- “Priority 3” materials are items with low safety concern or low maintenance cost and normally require only field inspection and a Certificate of Compliance. Periodic spot checks may be made at the discretion of the SMR.

In addition to the material priority list, the following additional criteria is used to determine the frequency and extent of Source Inspection by the SMR:

- Past performance of the fabricator (confidence in the QC process).
- Special circumstances, e.g., (emergency or change order work) may require additional tracking/inspection.
- Past issues with the product performance.

- Unique or unusual characteristics or expectations.
- Warranties: Items with a warranty will normally not require source inspection.

### 2.2.2 Authorized Materials and Audited Facilities List

For some materials, the project Special Provisions will require that the Contractor use Authorized Materials that are prequalified by Caltrans. The Sample City SMR may randomly sample materials that are provided on the project, including materials that are from Authorized Suppliers. In such cases, samples will be tested at the Sample City (or consultant lab hired by Sample City) accredited lab. Sample City is aware that the list of prequalified materials is accessible at the following link:

- [http://www.dot.ca.gov/hq/esc/approved\\_products\\_list/](http://www.dot.ca.gov/hq/esc/approved_products_list/)

Where the Special Provisions require Caltrans audited facilities to be used, Sample City will require the Contractor to use such facilities for any materials provided on the project. In addition to the use of Caltrans audited facilities when required, Sample City has implemented a special procedure for any facilities that will be producing Priority 1 items. Once identified on a SC-3101 as a fabricator, the Sample City SMR will make a pre-fabrication visit to Priority 1 fabricators to conduct a pre-job audit. For Priority 2 items, the SMR may make a pre-fabrication visit. Sample City is aware that the list of audited facilities can be found at the following Caltrans link:

- [http://www.dot.ca.gov/hq/esc/Translab/OSM/smdocuments/Internet\\_auditlisting.pdf](http://www.dot.ca.gov/hq/esc/Translab/OSM/smdocuments/Internet_auditlisting.pdf)

For proprietary lighting, see Section 2.2.5 of this document.

### 2.2.3 List of Materials in the State Highway System Right-Of-Way (ROW)

A complete list of materials that are within the Caltrans ROW along with the estimated quantities and location of inspection performed are provided in Table 10.

### 2.2.4 Table of Items to be Source Inspected

Frequency of source inspection is dependent upon the Priority of each item. Table 10 indicates the Priority of each item listed. Table 10 is supplemented by section 2.2.4.1 which further describes the frequency of inspection:

#### 2.2.4.1 Frequency of Source Inspection

This section further defines the inspection frequency for priority 1, 2, and 3 items.

- Priority 1: “Priority 1” materials are items with significant safety concern or high maintenance cost associated with a failure. Sample City intends to send an audit team to conduct a facility assessment for each item identified as Priority 1 in Table 10 prior to the start of work. Some exceptions may be made to this if a facility is not performing a significant portion of the work. The primary purpose of this assessment is to discuss the source inspection process including the need for the fabricator to notify

Sample City in advance of the start of work, to discuss any required pre-meetings, to discuss the QC versus QA processes to be followed, and to identify any specific concerns of Sample City or the fabricator related to the product they will be supplying.

Priority 1a: Extensive QA Source Inspection

Priority 1a items on this project that have fabrication processes that are deemed as a high priority to see on an ongoing basis are the Class N Steel Pipe Piles, Truss Sign Structures and associated steel components, Precast/Prestressed Piles, and Precast/Prestressed Girders. For these items, a Sample City QA Inspector will be assigned to the fabrication facility on a full time basis to provide extensive QA coverage. While not required to be present during all shifts, in general where multi-shift operations occur, either a single inspector will cover both shifts by splitting the shift, or multiple inspectors are assigned to ensure adequate quality assurance checks. Such inspection is considered “extensive QA” but inspectors are performing quality assurance checks only and are not required to be at the shop continuously. In addition, Sample City considers field welding of the Class N piles and structural steel to require extensive inspection and are a specialty item. For this reason, Sample City’s Materials Department will perform field inspection on the Class N pile field welding operations.

Priority 1b: Priority 1 Items Requiring Source Inspection at Important Points Only

Priority 1b items that require inspection only during important points in the fabrication are: PTFE Spherical Bearings, Structural Steel Anchorages, and Light Poles. For PTFE Spherical Bearings, Sample City will send the SMR to select and witness the proof testing of the Bearings once complete. The SMR may choose to send an inspector during fabrication and/or painting of PTFE Bearings if not supplied by a company that is familiar with Caltrans Specifications or if other concerns arise. A final inspection and release of the product after all work and testing is complete will be performed at the source. For Structural Steel Anchorages, Sample City will select QA test samples for testing at the Sample City lab, return when such samples have passed, and “tag” the material to either the next process or jobsite. For Light Poles, Sample City will at a minimum send an inspector for QA final inspection of the product and review of QC records at the source with the exception of the Specialty Lighting identified in Table 10 and described in the footnotes of Table 10.

Priority 1c: Priority 1 Items that are Sampled at the Source

Priority 1c items on this project that require QA source sampling but not inspection on an extensive basis are High Strength fasteners and Couplers. Sample City will send a QA inspector to the facility to sample each lot of high strength fasteners in accordance with the following table:

Bolt Sampling Table.

Lot Size*	Total Sample Size per Lot	
	Source From: a) New Foreign and Domestic manufacturers, and b) Established foreign and domestic manufacturers with previous rejections.	Source From: Established foreign and domestic manufacturers with past satisfactory quality.
	No. of Samples Required per Lot	No. of Samples Required per Lot
2 to 15	3	1
16 to 25	4	1



<b>16 to 50</b>	5	1
<b>51 to 90</b>	7	3
<b>91 to 150</b>	8	3
<b>151 to 280</b>	9	3
<b>280 to 3,200</b>	12	5
<b>3,201 to 10,000</b>	12	7
<b>10,001 to 35,000</b>	16	7
<b>35,001 to 150,000</b>	16	8
<b>150,001 to 500,000</b>	16	10
<b>500,001 +</b>	20	12

- Lot size shall be defined as the total number of fasteners from one production or assembly lot or shipment which is available for sampling and inspection at a particular time.
- One sample is defined as one of each of the fastener components (i.e. bolt, nut, washer, DTI, cap screw, etc.) that make up a fastener assembly

Couplers: For couplers that are assembled in a shop, the QA inspector will witness the coupling and verify that QA and QC samples are sent to the respective labs. For couplers assembled in the field, no source inspection will be required as the field inspection staff will be responsible for QA and QC sampling and testing.

- Priority 2: “Priority 2” materials are items with moderate safety concern or moderate maintenance cost. Normally part time QA inspection (Spot checks of in-process work at a single or multiple times during the fabrication time period) is conducted at the discretion of the SMR. A tag is issued at completion of work along with a final inspection report.
- Priority 3: “Priority 3” materials are items with low safety concern or low maintenance cost and normally require only field inspection and a Certificate of Compliance. Periodic source inspection may be made at the discretion of the SMR.

**Table 10: Items to be used in the Caltrans Right-Of-Way**

Bid #	Bid Item	Quantity	Material	Inspection Location	Priority
52	Cap Inlet	LS	All Components	Field/COC	3
53	Irrigation System	LS	All Components	Field/COC	3
54	8" Welded Steel Pipe Conduit	1,200 LF	All Components	Field/COC	3
55	Aggregate Base*	20,400 CY	All Components	Field/COC	3
56	Class 3 Aggregate Base*	16,400 CY	All Components	Field/COC	3
57	Lean Concrete Base Rapid Setting	1,260 CY	All Components	Field/COC	3
58	Concrete Pavement (Rapid Strength Concrete)	15,400 CY	All Components	Field/COC	3
59	16" CIDH Piling (Concrete)	7,725 LF	Couplers	Source/Field	1c
			Other Components	Field/COC	3
60	PTFE Spherical Bearing	24 EA	PTFE Bearing Components	Source	1b
			Painting of Bearings	Source	1b
61	Structural Concrete Bridge	10,125 CY	Concrete*	Field/COC	3*
			Steel reinforcement**	Field**	3**
			Couplers	Source/Field	1c
			Other Components	Field/COC	3
62	Structural Concrete, Soundwall	2,780 CY	Concrete	Field/COC	3
			Steel reinforcement**	Field**	3**
			Couplers	Source/Field	1c
			Other Components	Field/COC	3
63	Structural Concrete, Approach Slab	988 CY	Epoxy Coated Reinforcement	Source	2
			Concrete	Field/COC	3
			Other Components	Field/COC	3
64	Minor Concrete (Minor Structures)	190 CY	All Components	Field/COC	3
65	Minor Concrete (Pipe Encasement)	42 CY	All Components	Field/COC	3
66	Precast I-Girders	24 EA	Concrete*	Source/COC	3*
			Steel Strand System	Source	2
			Steel reinforcement**	Field**	3**
67	Drill and Bond Dowel	720 LF	All Components	Field/COC	3
69	Soundwall (Masonry Block)	26,400 SQFT	Masonry Block – High Strength	Source	2
			Other Components	Field/COC	3
70	Joint Seal (MR 1")	288 LF	Sealant	Source	2
			Other Components	Field/COC	3
71	Steel Pipe Piles – Class N	1,120 LF	All Components	Source	1a

72	Bar Reinforcing Steel (Bridge)	3,159,500 LB	All Components**	Field	3**
73	Bar Reinforcing Steel (Soundwall)	316,970 LB	All Components**	Field	3**
74	Misc. Bridge Metal	42,700 LB	Brackets for monitoring system	Field/COC	3
			Anchorage System (Source Fabricated Components)	Source	1c
			High Strength Fastener	Source	1c
			Other misc bridge metal Fabrication - Welding	Source	2
			Other Fabrication - Painting	Source	2
			Other Fabrication – Galvanizing	Source	2
75	Furnish Sign Structure (Truss)	36,850 LB	Truss Fabrication	Source	1a
			Anchorage System (Source Fabricated Components)	Source	1c
			High Strength Fasteners	Source	1c
			Galvanizing	Source	2
			Field Splice/Bolts	Field/COC	3
			Other Components	Field/COC	3
76	Furnish Formed Panel Sign (Overhead)	350 SQFT	Panel	Source	2
			Other Components	Field/COC	3
77	Furnish Single Sheet Aluminum Sign (0.08” Unframed)	370 SQFT	All Components	Field/COC	3
78	Furnish Single Sheet Aluminum Sign (0.08” Framed)	330 SQFT	All Components	Field/COC	3
79	“Welcome to Sample City” Illuminated Sign	1EA	Sign	Field/COC	3
			Lighting***	Field/COC	3***
80	Precast Prestressed Concrete Piles	6,812 LF	All Components	Source	1a
81	Precast Drainage Inlets	4 EA	All Components	Field/COC	3
82	18” Reinforced Concrete Pipe	500 LF	All Components	Field/COC	3
83	72” Reinforced Concrete Pipe	372 LF	All Components	Source	2
84	Miscellaneous Iron and Steel	19,544 LB	Source Fabrication	Source	2
			Anchorage Assembly	Source	2
			Other Components	Field/COC	3

Bid #	Bid Item	Quantity	Material	Responsible Branch	Priority
85	Transition Railing (Type WB)	1 EA	All Components	Field/COC	3
86	MBGR Connection to Bridge Railing	4 EA	All Components	Field/COC	3
87	Decorative Steel Fence	110 LF	All Components	Field/COC	3
88	Concrete Barrier (Type 60W)	520 LF	All Components	Field/COC	3
89	Concrete Barrier (Type 60R)	2,930 LF	All Components	Field/COC	3
90	Concrete Barrier (Type 736M)	420 LF	All Components	Field/COC	3
91	Concrete Barrier (Type 736V)	380 LF	All Components	Field/COC	3
92	4" Thermoplastic Traffic Stripe	32,600 LF	Paint	CHEM/LAB	3
			Other Components	Field/COC	3
93	8" Thermoplastic Traffic Stripe	3,780 LF	Paint	CHEM/LAB	3
			Other Components	Field/COC	3
94	Thermoplastic Pavement Marking	6,510 SQFT	Adhesive	CHEM/LAB	3
			Other Components	Field/COC	3
95	4" Thermoplastic Traffic Stripe (Broken)	25,600 LF	Paint	CHEM/LAB	3
			Other Components	Field/COC	3
96	Pavement Marker (Non-Reflective)	6,090 EA	Adhesive	CHEM/LAB	3
			Other Components	Field/COC	3
97	Pavement Marker (Retro-reflective)	3,110 EA	Adhesive	CHEM/LAB	3
			Other Components	Field/COC	3
98	Maintaining Existing Traffic Management System	LS	Electrical Components***	Field/COC	3***
			Other Components	Field/COC	3
99	Lighting (Temporary)	LS	Electrical Components***	Field/COC	3***
			Other Components	Field/COC	3
100	Modify Communication System	LS	Electrical Components***	Field/COC	3***
			Other Components	Field/COC	3
101	Modify Lighting and Sign Illumination	LS	Electrical Components***	Field/COC	3***
			Poles	Source	1b
			Anchor Rods	Source	1b
			Field Connection/Bolts (HS)	Source	1c
			Other Components	Field/COC	3
102	Custom Decorative Lighting	LS	Electrical Components***	Field/COC	3***
			Decorative Poles****	WARRANTY****	WARRANTY

			Other components****	WARRANTY****	WARRANTY
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*Table 10 Notes:*

\*For Priority 1 and Priority 2 precast bid items with concrete, supplementary cementitious material and aggregates will be sampled and tested by the Sample City Material Testing Division prior to the start of work by those facilities. Field concrete operations including any sampling will be handled in accordance with the field Quality Management Plan and are not covered by this SIQMP.

\*\*Sample City will make one trip to the Steel reinforcement Supplier(s) to verify the QC process used. This single visit may serve as the QA check for all the steel reinforcement on the project from a given facility at the discretion of the SMR.

\*\*\*All electrical components for this job are State Furnished. As such, Sample City will perform a final visual inspection when they arrive and file any associated paperwork/COC's but will not source inspect electrical components. Should a special order item be needed, Sample City will consult the SIQMP outline addendum maintained by the Caltrans Electrical Department and source inspect/test the items as appropriate.

\*\*\*\* The Decorative Poles will be a sole source material to ensure that they match the other lighting within Downtown Sample City. These items are under warranty and will be maintained by Sample City as stipulated in the cooperative agreement. As a result, these light poles will not be fabricated at a Caltrans Audited Facility. In addition, due to the warranty, Sample City does not intend to perform any source inspection of these items. Section 2.2.5 contains additional information on this lighting system.

**2.2.5 Special Materials – Proprietary Systems**

Proprietary “Decorativelight” brand lighting has been sole sourced to match other Sample City lighting near the project location. This lighting is allowed per Contract Special Provisions:

- Decorativelight- Custom decorative lights [www.decorativelight.com](http://www.decorativelight.com)

These lights will be maintained by Sample City as a condition of the Cooperative Agreement.

**2.2.6 Project Materials Distinction**

Table 11 shows Items that are partially out of Caltrans Right-of-Way.

For consistency, Sample City intends to apply the same Priority system and inspection process to all materials for this project, whether in Caltrans ROW or not.

**Table 11: Items that are partially out of Caltrans Right-of-Way**

<b>Bid #</b>	<b>Bid Item</b>	<b>Material</b>
53	Irrigation System	All Components
69	Soundwall (Masonry Block)	Masonry Block – High Strength
		Other Components
73	Bar Reinforcing Steel (Soundwall)	All Components
84	Miscellaneous Iron and Steel	Source Fabrication
		Anchorage (Source)
		Other Components
92	4” Thermoplastic Traffic Stripe	Paint
		Other Components
93	8” Thermoplastic Traffic Stripe	Paint
		Other Components
94	Thermoplastic Pavement Marking	Adhesive
		Other Components
95	4” Thermoplastic Traffic Stripe (Broken)	Paint
		Other Components
96	Pavement Marker (Non-Reflective)	Adhesive
		Other Components
97	Pavement Marker (Retro-reflective)	Adhesive
		Other Components
101	Modify Lighting and Sign Illumination	Electrical Components
		Poles
		Anchor Rods
		Field Connection/Bolts
		Other Components
102	Decorative Light Poles*	All Components*

\* These light poles are a specialized product with a warranty as indicated in section 2.2.5, and as such, they will be maintained by Sample City inside and outside of the Caltrans ROW and will not be subject to audit or source inspection.

### 2.2.7 Project Materials Management

Sample City will utilize the same nomenclature as Caltrans for material management with slight exception as noted here; The RE will ensure that the Contractor will submit the SC-3101, "Notice of Materials to be Used" form for all the materials to be incorporated in the project. This form lists vendors and fabricators providing materials for the project. Upon receipt of each SC-3101 form, the SMR will determine, based on Sample City's Prioritization procedure described in Section 2.2.1 of this document, whether the material listed requires inspection at: 1) the source by Sample City's Materials Division or 2) field by Construction.

1. **Source Inspection:** If material listed on the SC-3101 form requires Source Inspection, the SMR or responsible Sample City Material Division will send a Sample City Form-608 "Notice of Materials to be Furnished" to the vendor or fabricator, Prime Contractor and Resident Engineer. This document informs all parties that Sample City will perform inspection and release of material prior to being sent to the jobsite. A "Sample City Form-38", Inspection Request Form, is included with the Sample City Form 608 sent to the vendor or fabricator. The vendor or fabricator then faxes the "Sample City Form-38" back to the Sample City Materials Division to request an inspection date.

When materials are issued a "Sample City Form-608", the Sample City Materials Division will dispatch inspectors to carry out inspection activities as outlined in this SIQMP.

2. **Field Inspection:** If the material listed on the SC-3101 form does not require Source Inspection, (Priority 3) the inspection is assigned to the Resident Engineer at the job site through the use of Sample City Form-28, "Notice of Materials to be inspected." The Prime Contractor and vendors are also sent a copy of the "Sample City Form-28" in order to inform them that Source Inspection is not required prior to shipment to the jobsite.

### 2.2.8 Documentation

Sample City Inspectors will document the daily QA Inspection activity for the project. Sample QA inspection forms are included in the Appendix E.

- Material Management
- Inspection Request
- Material Release
- Source Inspection Reports
- Non Conformance reports
- Review Forms

**2.2.8.1 Included are the Following Sample Forms:**

- i.** Note, the following forms required of the SIQMP are discussed above in 2.2.8, and are included in the appendix section. Several forms are repeated in more than one category below as they pertain to multiple functions. Forms required for inspections are:
  - Source Inspection/Material Verification
    - Sample City Form-29 Report of Inspection of Material (Sample City Orange Tag)
    - Sample City Form-6011 Component Material Inspection Report (Sample City Green Tag)
    - Sample City Form-6012 Stock Material Verification
    - Sample City Form-6014 Report of Verification of Material (Sample City Blue Tag)
    - Sample City Form-6034 Source Inspections Report
    - Sample City Form-6042 Paint Inspection Report
  - Sampling of Materials for Testing
    - Sample City Form-0101 Sample Identification Card
  - Precast Reports
    - Sample City Form-6033 Precast Concrete Inspection Form
    - Sample City Form - Review of Precast Concrete Quality Control Plan
  - Welding Reports
    - Sample City Form-23 Review of Contractor’s Welding Quality Control Plan
    - Sample City Form-6031 Welding Inspection Reports
    - Sample City Form-6032 Welding Witness Report
  - Painting Reports
    - Sample City Form-22 Review of Paint Quality Work Plan
    - Sample City Form-6042 Paint Inspection Report
  - Non-Destructive Testing Reports
    - Sample City Form-6027 Ultrasonic Testing (NDT)
    - Sample City Form-6028 Magnetic Particle Testing (NDT)
  - Issue/Non-Conformance and Non-Conformance Resolution Reports
    - Sample City Form-15 Non Conformance Report
    - Sample City Form-16 Non Conformance Resolution
  - Other
    - SC-3101 Notice of Materials to be Used
    - Sample City Form-28 Notice of Materials to be Inspected
    - Sample City Form-608 Notice of Materials to be Furnished
    - Sample City Form-38 Inspection Request Form

- ii.** Note: Compliance certification forms and/or material verification forms required of the SIQMP are included in the appendix.
- Sample City Form-29 Report of Inspection of Material (Sample City Orange Tag)
  - Sample City Form-6011 Component Material Inspection Report (Sample City Green Tag)
  - Sample City Form-6013 Material Suitability Report (Accompanies a Sample City Blue Tag and Sample City Form 6014)
  - Sample City Form-6014 Report of Verification of Material (Sample City Blue Tag)

#### **2.2.8.2 Review and Distribution of the QA Inspection Reports**

Upon completion of each report, the inspector will send the inspection report(s) to a Reviewer. The Reviewer will transmit the reviewed inspection reports to the Sample City RE/SR. These reports will be filed and available to the Caltrans OSMR upon request or during an audit.

#### **2.2.8.3 Material Acceptance**

Materials Acceptance depends upon “materials releases” from the point of source inspection, obtaining proper certifications from the Contractor and performing a field inspection for items to be inspected in the field, and following this Source Inspection Quality Management Plan.

The following generally describes the material release process for items that are source inspected: If the material conforms to the Project Specifications and is intended to be shipped to the jobsite, the QA Inspector will release the material with a “Sample City Orange Tag” and will issue a “Sample City Form-29” Report of Inspection of Materials. If the material has been inspected at one fabricator and is intended to go to another fabricator for further fabrication, the QA Inspector will release the material with a “Sample City Green Tag” and will issue a Sample City Form-6011 Component Material Inspection Report Form. If the material complies with other documents such as an RFI, Sample City memorandum, or other forms of communications, and the Sample City SMR and Sample City RE agree that the material is fit for purpose, then the QA Inspector will release the material with a “Sample City Blue Tag” and will issue a Sample City Form-6014 “Report of Verification of Material Form”. See Section 2.5.2.4.1 of this document for details about Sample City Blue Tag. Sample City will obtain concurrence from the Oversight RE for such changes as required per the responsibilities outlined in the cooperative agreement.

For items that are to be field inspected, the RE will obtain a Certificate of Compliance from the Contractor and have a field inspection conducted by a field Engineer or Inspector from Sample City.

At project closeout, Sample City’s Resident Engineer will be responsible for performing final materials acceptance and certify that the approved Quality Management Program (QMP) procedures were followed during the life of the project with a final acceptance letter provided to Sample City.

**2.2.8.4 Inspection Report Filing**

All Sample City Materials Division Inspection Report Forms and documents will be distributed to the Sample City RE/SR. The reports will be available to the OSMR at any time. Storage of these hard copy reports will be kept at the Sample City Material Division at the following address:

Sample City Materials Division  
 1 Main Street,  
 Sample City, CA 90000  
 Phone: (111) 111-1111  
 FAX (222) 222-2222

**2.3 Verification Lab Testing and Documentation**

**2.3.1 Qualification of the Verification Testing Laboratory**

Steel Testing will be performed by Sampletest, Inc. This laboratory is accredited by the American Association for Laboratory Accreditation (A2LA) for rubber products testing, steel/iron testing, fastener testing, prestressing steel strand, hardness, spliced reinforcing steel, epoxy coating, wire mesh, metallography, carbon steel chain, wire rope, and dimensional testing.

Additional tests that are required by the project specifications, such as concrete material testing will be performed by one of the three AASHTO Accreditation Program (AAP) certified laboratories that are on contract: SuperSamplelab, Inc., Concrete Lab Associates, or Concrete Testing Company.

**2.3.2 List of Verification Tests and Frequencies**

Table 12 presents a list of Source Inspection materials verification testing and frequencies that will be implemented in this project, where applicable.

**Table 10: List of Source Inspection Material Verification Tests and Frequencies**

Bid #	Bid Item	Material	Amount/Samples of material to be tested	Tests performed
60	PTFE Bearing	PTFE Spherical Bearing	Lot of bearings and number of samples defined in the special provisions	ASTM D4014, ASTM D4894 , ASTM D4895, ASTM A709, ASTM A240,Type 304, A1011GR.36, AWS D1.6 ,AWS D1.1
61	Structural Concrete Bridge	Concrete	Review of QC test data only	ASTM C 150, ASTM C 494, ASTM C 260, ASTM C 618
		Steel reinforcement	1 sample from rebar supplier at start of production	ASTM A706,ASTM A615

		Elastomeric Bearing	One per lot or batch (whichever is greater)	ASTM D4014, CT 663
		Steel reinforcement Welding	Min 25% of production lot	AWS D1.4
<b>Bid #</b>	<b>Bid Item</b>	<b>Material</b>	<b>Amount/Samples of material to be tested</b>	<b>Tests performed</b>
63	Structural Concrete, Approach Slab	Epoxy Coating	1 QA sample selected from each epoxy coater as a check sample	ASTM A775, ASTM A884, ASTM A934
66	Precast Concrete Girders	Strand	1 QA sample per 2 strand packs	ASTM A421, ASTM A916, ASTM A722
		Steel reinforcement	1 sample from rebar supplier at start of production	ASTM A706, ASTM A615
		Concrete	Per table 10 footnote, 1 sample for aggregate and SCM	ASTM C 150, ASTM C 494, ASTM C 260, ASTM C 618
69	Soundwall (Masonry Block)	Masonry Block High Strength	1 per 10,000 blocks	UBC 2404, ASTM C140
71	Steel Pipe Piles Class N	Welding	Per AWS D1.1 and Project Specials – 25% QA UT	Priority 1a item. Frequency of inspection will be per 2.2.4.1 and will include UT testing and visual per special provisions.

Bid #	Bid Item	Material	Amount/Samples of material to be tested	Tests performed
74	Structural Steel	High Strength Fasteners, Anchorage	See Table in 2.2.4.1 for bolt sampling frequency	ASTM A325, ANSI/ASME B1.2, ASTM A370, ASTM B499, ASTM E8, ASTM E10, ASTM E18, ASTM F606, ASTM F1554/A307, ASTM A751
		Welding	QA to perform random checks of field welding operations	Appropriate NDT verification UT, VT, MT AWS D1.5per project specials.
		Galvanizing	No QA source samples for Galvanizing	Verify QC records for ASTM A123
75	Furnish Sign Structure (Truss)	Anchorage	Sampling per section 2.2.4.1	ASTM F1554/A307, ASTM A370, ASTM F606, ASTM A751
		Welding	See 2.2.4.1 and table 10	Appropriate NDT verification UT, VT, MT per project specials.
		Galvanizing	No QA source samples for Galvanizing	ASTM A123
76	Furnish Formed Panel Sign	Sign Panel	Priority 2 item. Inspection per 2.2.4.1. No physical samples except verification of QC records.	ASTM B209, 5052-H32, ASTM B449, ASTM D4956

<b>Bid #</b>	<b>Bid Item</b>	<b>Material</b>	<b>Amount/Samples of material to be tested</b>	<b>Tests performed</b>
80	Precast Piles	Strand	1 QA sample per 2 strand packs	ASTM A421, ASTM A916 , ASTM A722
		Steel reinforcement	1 sample from rebar supplier at start of production	ASTM A706,ASTM A615
		Concrete	Per table 10 footnote, 1 sample for aggregate and SCM	ASTM C 150, ASTM C 494, ASTM C 260, ASTM C 618
84	Miscellaneous Iron and Steel	Anchorage	Sampling per section 2.2.4.1	ASTM F1554/A307, ASTM A370, ASTM F606, ASTM A751
		Source Welding	Priority 2 item. Inspection per 2.2.4.1	Appropriate NDT verification UT, VT, MT per Project Special.
		Galvanizing	No QA source samples for Galvanizing	ASTM A123
101	Modify Lighting and Sign Illumination	Poles	Priority 2b item. Inspection per 2.2.4.1	Appropriate NDT verification UT, VT, MT per Project Special.
		Anchorage	Sampling per section 2.2.4.1	ASTM F1554/A307, ASTM A370, ASTM F606, ASTM A751
		Galvanizing	No QA source samples for Galvanizing	ASTM A123

### **2.3.3 Verification Material Filing System**

The verification material filing system follow the procedures described in Sections 2.2.8.2 and 2.2.8.4 of this document.

### **2.3.4 Example Forms for Sampling and Testing**

A Sample Identification Form (Sample City Form-0101 Form) is used for samples collected at the source. Test reports are developed for all samples sent for testing at the testing labs. A tracking number is assigned and a receiving date is recorded when the samples arrive at the testing lab. The format for the tracking number is SM 00-0XXX. This is broken down as: Structural Materials, the last two digits of the year, and the number of the sample. Testing results are E-mailed or faxed to the name listed on the Sample City Form-0101 for the material.

### **2.3.5 Verification/QC Testing Laboratory Conflict of Interests**

Sample City’s verification and testing facilities are independent testing laboratories that are owned and operated by Sample City which only performs verification testing.

## **2.4 Contractor Quality Control Plans**

The Sample City Materials Division will receive and review Quality Control Plans as required by the specifications. Plans are required for the following bid items:

#### *Welding Quality Control Plans:*

- Bid Item 60, PTFE Spherical Bearings
- Bid Item 71, Steel Pipe Piles (Class N)\*
- Bid Item 74, Miscellaneous Bridge Metal

#### *Precast Quality Control Plan (PCQCP):*

- Bid Item 66, Precast I Girders
- Bid Item 80, Precast Piles

#### *Paint Quality Work Plan (PQWP):*

- Bid Item 60, PTFE Spherical Bearings

#### *Sign Quality Control Plan:*

- Bid Item 76, Formed Sign Panel

\* Requires QC personnel performing UT to have passed the Caltrans Transportation Laboratories written and practical examinations for UT. Sample City will verify that QC personnel are meeting this requirement.

### **2.4.1 Review of QC Plans**

After receiving each QC Plan from the Contractor, Sample City’s RE transmits the QC plan to Sample City’s Materials Division for review. Sample City’s Materials Division has ten days to review each package, and three days for each subsequent addendum. Upon completion of the review, Sample City’s Materials Division provides the RE with its recommendations. Finally, the RE’s office will write a letter to the Contractor based on the Sample City Materials Division’s recommendations.

For bid items specified under the “Welding Quality Control” subsection of the specifications, it is required that a Welding Quality Control Plan (WQCP) be submitted to the Sample City Materials Division prior to commencing any welding. The WQCP serves as the Guiding document for the QA and QC inspectors at the fabrication facilities with regard to which welding procedures, electrodes, and welders are approved for use.

A Precast Quality Control Plan (PCQCP) is a required document for bid items specified under “Precast Quality Control” of the specifications. These plans must be submitted and approved by Sample City’s Materials Division prior to commencing any precasting

Paint Quality Work plans will be required as noted under section 4.1 and will serve as the guiding document for painting operations. These plans must be submitted and approved by Sample City’s Materials Division prior to commencing any painting.

Sign Quality Control plans are required for laminated and/or formed sign panels. These quality plans will be reviewed to ensure that the fabricator has a method of inspecting signs for compliance with the specifications.

#### **2.4.2 Pre-Operation Meetings**

Prior to submitting a Quality Control Plan (WQCP, PCQCP, or PQWP), a meeting between the Structural Materials Representative, Resident Engineer, the Contractor's QCM, and a representative from each entity performing welding and inspection operations for this project, will be held to discuss the requirements. At the option of the RE, the meeting may be held by teleconference, in person, or by video conference.

The SMR will prepare a meeting handout and lead the meeting.

The following is a summary of topics that are generally included in the agenda for discussion:

- Review Bid Items and the scope of work
- Discuss inspection coordination and schedule
- Define roles and responsibilities
- Review contract requirements related to the welding, pre-casting, or painting work
- Requirements for the WQCP, PCQCP, or PQWP
- Reports and Release Documents
- Final comments and concerns

The SMR will file the minutes per Section 2.2.8.4 of this document and distribute it to the parties that attended the meeting. A copy will be available to the OSMR upon request or audit.

##### **2.4.2.1 Shop drawings, CCOs, and RFIs**

For items in which shop drawings are required, the Sample City RE will review and accept the shop drawings. A copy of the accepted shop drawings will be provided to the Sample City Materials Division personnel prior to the start of fabrication. At a minimum, the accepted shop drawings are required prior to fabrication for the following items:

- Bid Item 60 - PTFE Spherical Bearings
- Bid Item 66 - Concrete I Girders

- Bid Item 71- Steel Pipe Piling
- Bid Item 74 - Misc. Bridge Metal
- Bid Item 75 - Furnish Sign Structure
- Bid Item 80 - Pre-Cast Concrete Piles
- Bid Item 101 - Modify Lighting and Sign Illumination

## 2.5 Issue Resolution

Issues that arise during the QA inspection will be handled at the lowest possible level and elevated according to the organizational chart and timelines found in the Project Cooperative Agreement. Formal documentation for issue resolution including Requests for Information (RFIs) and Non-Conformance Reports (NCRs) will be handled through the following procedures:

### 2.5.1 CCOs, RFIs, and NCRs

RFIs are formal requests for additional information or clarification regarding the design and construction of the project which may be initiated by anyone associated with the project. An RFI is not a request to change the design; it is only to clarify features or the intentions for the existing design. A response to an RFI that changes the design may require the issuance of a Contract Change Order (CCO). The SMR must be made aware of these items in order to properly manage the Materials related items on the project. The SMR is also responsible for distributing such information to QA (Sample City) source inspectors.

The SMR needs to be informed of the approved CCO, RFI, or other revisions to the project plans and specifications that may affect Source Inspection Procedures. As such, for Materials related CCO's, RFI's, and changes to the plans or specifications, the SMR will be copied on correspondence and in attendance at meetings related to materials. The SMR will be copied on any materials related items at the same time or prior to issuance to the Contractor.

Nonconforming conditions identified on material, equipment, or product of in-process or completed work will be tracked on a Non-Conformance Report. The tracking of NCRs will ensure that nonconforming conditions are resolved and will prevent the incorporation of non-conforming items into the completed project. This control provides for the identification, documentation, segregation (when practical), evaluation, and disposition of the condition, notification to those concerned and who is accountable for each.

### 2.5.2 Instances Requiring NCRs Materials:

#### 2.5.2.1 NCR on Product

Verification Inspectors will write an NCR on the product under the following circumstances:

- A QA inspector identifies materials that do not meet contract requirements, and the Contractor's quality control (QC) personnel have already accepted the material.
- A QA Inspector will write an NCR for the material if the contractor cannot correct the deficiency within a work shift.
  - Note: QA Inspector will typically not write an NCR on a material that will be corrected within a work shift and the non-conformance is not repeated.

- QA Inspection reveals obvious attempts to hide processes or products that do not meet the contract requirements.
- Contractor ships material without a Field/COC release tag.

QA Inspectors will typically not write an NCR on Material under the following circumstances:

- Material that has not been inspected and accepted by the contractor's QC personnel.
- Material that can be repaired or fixed within a work shift of when the deficiency is discovered (an NCR may be required on the QC, see procedures outline above).
- Material that has been identified by QC that does not meet the contract requirements and can be repaired during production. (This conversation and action will be noted in the inspection report by the Verification inspector).
- Rejectable discontinuities found through nondestructive testing by QA Inspector in areas not tested by QC and repairs are commenced promptly (this conversation and action should be noted in the inspection report by the Verification Inspector).

#### **2.5.2.2 NCR on QC Personnel/Process**

Verification Inspectors will write an NCR on the Quality Control Personnel under the following circumstances:

- A QA Inspector identifies material that does not meet contract requirements, and the contractor's quality control (QC) personnel have already accepted the material.
- The third occurrence of the same deficiency regardless of the contractor's ability to correct the problem within a work shift (repeated from above).
  - Note that an NCR is not required on the first or second occurrences of a deficiency if QC personnel acknowledge the problem and ensure it is corrected within a work shift.
- Any non-conforming item that is a repeat of a previous item that resulted in an NCR.
- Any action taken by QC that is not in conformance with the contract requirements or any attempts to hide nonconforming items.

#### **2.5.2.3 NCR Procedure Details**

QA Inspectors will ensure the following procedures are met when dealing with NCRs:

- The inspector locates a problem or deficiency and informs QC and/or a responsible representative from the contractor of the issue. QA Inspectors are not authorized to stop work. QA Inspectors will identify the Contractor's areas of non-conformance; however, NCRs will not be provided to the contractor or quality control personnel by the QA inspector.
- The inspector contacts his Lead Inspector to discuss the issue:
  - Lead Inspector agrees that an NCR is required.
  - Lead Inspector informs the SMR of the NCR who will notify the Implementing Agency RE.
  - The SMR will forward the NCR to the RE

#### 2.5.2.4 NCR Resolutions

Once non-conformances are identified and reported, the disposition and corrective action to bring the condition back into conformance will be evaluated by the Sample City RE. Potential resolutions to non-conformances include:

- Rework to meet the originally specified requirements
- Repair to achieve fitness for use
- Accept the conditions as is (require a CCO)
- Reject the condition by removing it and replacing it with material meeting the specified requirements
- Fit for purpose evaluation; blue-tag as described in 2.5.4.1 below.

An inspector or SMR will complete a Sample City Form-16 when the issue is resolved based on the list above.

##### 2.5.2.4.1 Fit-For-Purpose Evaluation (Blue Tag Release Procedure)

The alternative fit-for-purpose evaluation and blue tag release process will allow the QA Inspectors to release the material when the Sample City RE determines that the material is suitable for its intended purpose on the project but does not meet all of the contract requirements. The fit-for-purpose may be initiated by NCR, RFI, submittals, shop drawings, Contractor requests, observations, meetings, or other forms of revisions.

For fit-for-purpose releases, the Sample City RE will provide written notification to the SMR. The SMR will then notify the QA Inspector. In such cases, the QA Inspector will release the material with a blue tag and will issue a "Sample City Form-6014" Report of Verification of Material form. The Sample City Form 6014 will contain the SMR's written recommendation as a supporting document.

#### 2.5.3 Procedures for Handling Disagreements

Every effort will be made to resolve disputes between Owner's and Contractor's inspection staff at the lowest level, and will be elevated according to the organization chart and timelines found in the project charter established during the initial partnering meeting.

### 3 Reporting Verification Inspection Status to Implementing Agency, Sample City

#### 3.1 Monthly Summary Report

On the first day of each month Sample City's SMR will prepare a summary report that describes the Materials Source Inspection activities performed for the prior period. At minimum, the following topics will be discussed in the report:

- A Statement verifying continued compliance with the SIQMP signed by the Sample City RE.
- A response to any Caltrans audit findings
- A summary of the verification source inspection work completed over the reporting period and summary of work anticipated in the next period.
- A summary of NCR's issued and the status of those outstanding
- A summary of any changes to the plans or specifications.

The report will be reviewed and verified by the Sample City RE before distribution to the Caltrans Oversight SMR.

Sample City understands that individual inspection reports are not required to be submitted with the monthly summary report. Sample City will file the inspection and other reports per Section 2.2.8.4 of this document and will make them available for audits.

### **3.2 Final Acceptance Letter**

Upon completion of all work, the Sample City RE will provide the Caltrans Oversight RE and oversight SMR with a stamped letter stating that these approved SIQMP procedures were followed during the life of the project.