DB Contractor's Quality Management Plan

Alternative Delivery Division

Texas Department of Transportation

Rev. 01
Released: 11/20/2024

DB Contractor's Quality Management Plan

This is a self-directed overview of Design-Build contracting based on Version 6.0 of the Programmatic Documents.

The object shown below on a slide provides reference to the Section of the Programmatic Documents.

Sample
Contract Reference: DBA GC, Section XXX

DB Contractor's Quality Management Plan

Training Goals:

1. Review the quality management requirements on design-build projects before and after Final Award
2. Present the components of a design-build project's QMP.
3. Understand the DB Contractor's role in preparing and TxDOT's role in reviewing and approving a QMP.

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1 Quality Management Plan (QMP) Prior to Final Award

Technical Proposal (TP) includes

Project Management

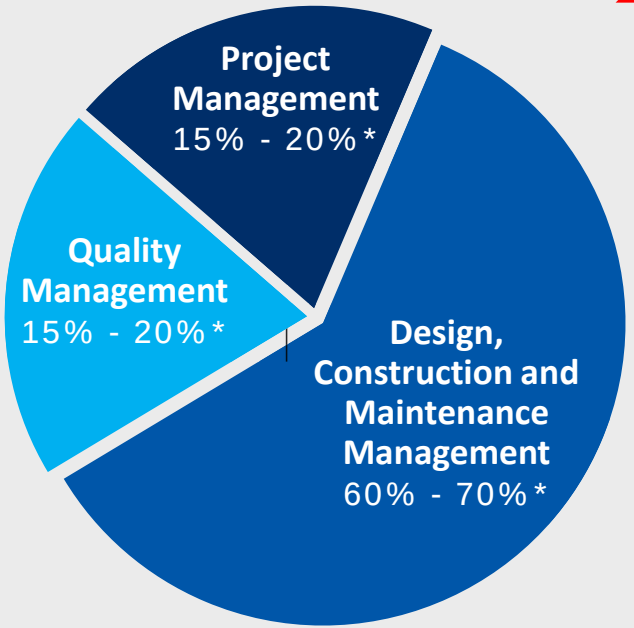
DB Contractor submits Project Management Value-Added Responses (VARs).

Quality Management

DB Contractor submits Quality Management Value-Added Responses (VARs).

Design, Construction & Maintenance Management

Technical approach to engineering, construction methods, and Schedule



- Quality Management VARs submitted in the Technical Proposal are incorporated into the QMP.
- TxDOT evaluates the VARs based on the extent to which the VARs provide benefits or value to TxDOT and/or results in improvements in implementation for the Project.

(*) Technical Scores Maximum Qualitative Rating

Evaluation of Technical Proposals

Contract Reference: ITP, Sec. 5.4

Quality Management

- The Technical Proposal Evaluation Subcommittee (TPES) will assign a single adjectival (qualitative) rating for the Quality Management VARs.
- VARs are rated based on the added benefits or value to TxDOT and/or results in improvements in implementation over and above the minimum contract requirements.

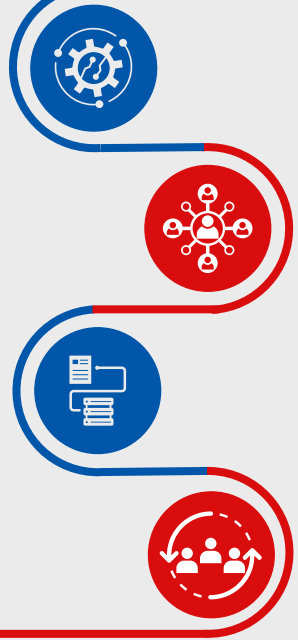
ADJECTIVAL RATING	DESCRIPTION	
	Project Management / Quality Management	**Design, Construction and Maintenance Plan (DCM Plan)**
Excellent	The Project Management/Quality Management VARs provide superior benefits and value and/or result in outstanding improvements in implementation or level of overall quality of the Project. There are no questions, concerns or weaknesses.	The DCM Plan greatly exceeds the requirements of the evaluation subfactor and provides superior benefits and value, and/or results in outstanding improvements in implementation, maintenance and level of overall quality of the Project. There are no questions, concerns or weaknesses.
Very Good	The Project Management/Quality Management VARs provide significant benefits and value and/or result in meaningful improvements in implementation or level of overall quality of the Project. Questions, concerns or weaknesses are very minor.	The DCM Plan exceeds the requirements of the evaluation subfactor and provides significant benefits and value, and/or results in meaningful improvements in implementation, maintenance and level of overall quality for the Project. Questions, concerns or weaknesses are very minor.
Good	The Project Management/Quality Management VARs provide added benefits and value and/or result in improvements in implementation or level of overall quality of the Project. Questions, concerns or weaknesses are minor.	The DCM Plan exceeds the requirements of the evaluation subfactor and provides added benefits and value, and/or results in improvements in implementation, maintenance and level of overall quality for the Project. Questions, concerns or weaknesses are minor.
Meets Minimum	There are no Project Management/Quality Management VARs that provide added benefits and value or result in improvement in the	The DCM Plan is responsive and meets the minimum requirements of the evaluation subfactor. There are no unique or innovative

Contract Reference:
ITP, Sec. 5.12.4

Initial Quality Management Plan (QMP)

The primary purpose of the initial QMP is to facilitate TxDOT's approval of the QMP submitted after Final Award.

Within 45 days after project Conditional Award, the successful Proposer submits an initial QMP for TxDOT review.



DB Contractor addresses comments on the initial QMP prior to submitting the QMP after Final Award.

TxDOT may provide comments on the initial QMP within 21 days of receiving the plans, or an alternate timeframe as agreed to by the Parties.

Prior to Final Award, TxDOT reviews the initial QMP to understand the successful Proposer's overall approach and organization to manage the project's quality.

Contract Reference:
ITP, Exhibit B, Sec. 4.2

Initial Quality Management Plan (QMP)

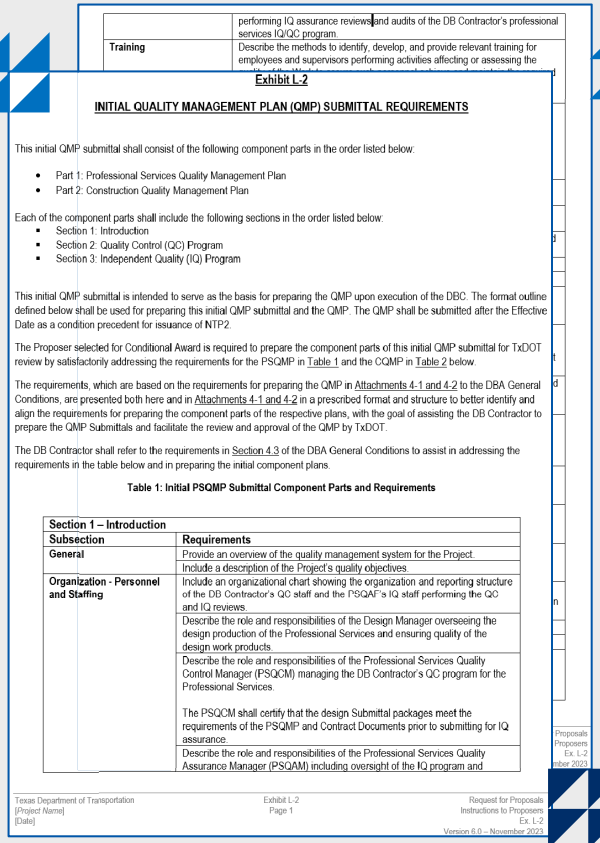
DB Contractor's approach to Project's Quality Management

- May include VARs describing in detail services, performance or other commitments exceeding QMP project requirements.
- VARs should be concrete, measurable and enforceable **proposal commitments** that provide added benefit and value to TxDOT and the public, or improvement in implementation of the Project, such as:
  - Developing, implementing, and maintaining QA/QC over the term of the contract.
  - Establishing a common quality management system for document control, process auditing, and corrective and preventive action.
  - Implementing quality processes and procedures for professional services and construction.
  - Bringing best practices, lessons-learned and/or unique quality management solutions for/from similar projects.

★ *Contract Reference: ITP, Exhibit L-2*

Initial Quality Management Plan (QMP)

- The initial QMP submittal is intended to serve as the basis for preparing, and accelerate approval of, the QMP upon execution of the DB Contract.
- The format outline in ITP, Exhibit L-2 is used for preparing the initial QMP submittal.



	performing IQ assurance reviews and audits of the DB Contractor's professional services IQ/QC program.
Training	Describe the methods to identify, develop, and provide relevant training for employees and supervisors performing activities affecting or assessing the

Exhibit L-2

INITIAL QUALITY MANAGEMENT PLAN (QMP) SUBMITTAL REQUIREMENTS

This initial QMP submittal shall consist of the following component parts in the order listed below:

- Part 1: Professional Services Quality Management Plan
- Part 2: Construction Quality Management Plan

Each of the component parts shall include the following sections in the order listed below:

- Section 1: Introduction
- Section 2: Quality Control (QC) Program
- Section 3: Independent Quality (IQ) Program

This initial QMP submittal is intended to serve as the basis for preparing the QMP upon execution of the DBC. The format outline defined below shall be used for preparing this initial QMP submittal and the QMP. The QMP shall be submitted after the Effective Date as a condition precedent for issuance of NTP2.

The Proposer selected for Conditional Award is required to prepare the component parts of this initial QMP submittal for TxDOT review by satisfactorily addressing the requirements for the PSQMP in Table 1 and the CQMP in Table 2 below.

The requirements, which are based on the requirements for preparing the QMP in Attachments 4-1 and 4-2 to the DBA General Conditions, are presented both here and in Attachments 4-1 and 4-2 in a prescribed format and structure to better identify and align the requirements for preparing the component parts of the respective plans, with the goal of assisting the DB Contractor to prepare the QMP Submittals and facilitate the review and approval of the QMP by TxDOT.

The DB Contractor shall refer to the requirements in Section 4.3 of the DBA General Conditions to assist in addressing the requirements in the table below and in preparing the initial component plans.

Table 1: Initial PSQMP Submittal Component Parts and Requirements

Section 1 – Introduction	
Subsection	**Requirements**
General	Provide an overview of the quality management system for the Project.
	Include a description of the Project's quality objectives.
Organization - Personnel and Staffing	Include an organizational chart showing the organization and reporting structure of the DB Contractor's QC staff and the PSQAF's IQ staff performing the QC and IQ reviews.
	Describe the role and responsibilities of the Design Manager overseeing the design production of the Professional Services and ensuring quality of the design work products.
	Describe the role and responsibilities of the Professional Services Quality Control Manager (PSQCM) managing the DB Contractor's QC program for the Professional Services. The PSQCM shall certify that the design Submittal packages meet the requirements of the PSQMP and Contract Documents prior to submitting for IQ assurance.
	Describe the role and responsibilities of the Professional Services Quality Assurance Manager (PSQAM) including oversight of the IQ program and

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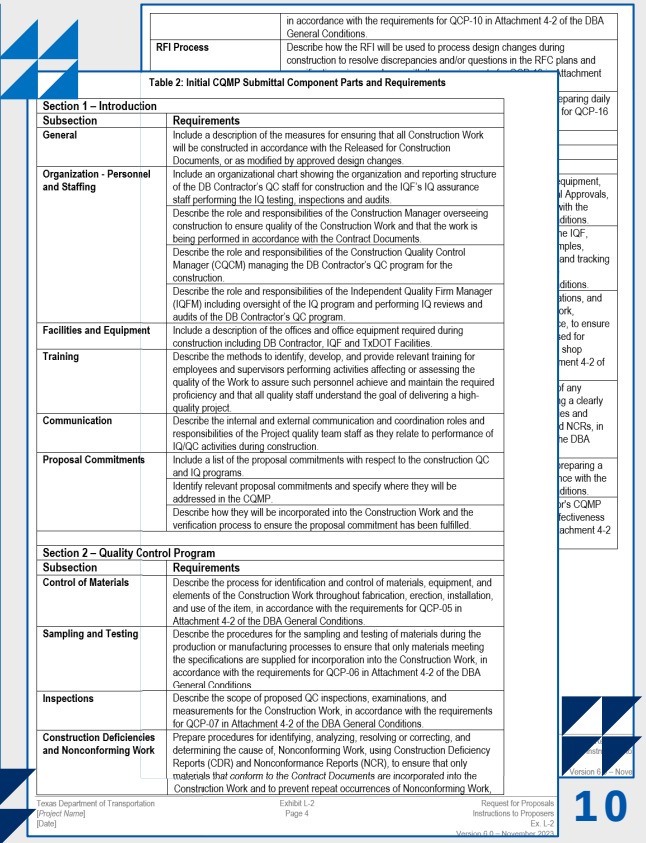

	in accordance with the requirements for QCP-10 in Attachment 4-2 of the DBA General Conditions.
RFI Process	Describe how the RFI will be used to process design changes during construction to resolve discrepancies and/or questions in the RFC plans and

Table 2: Initial CQMP Submittal Component Parts and Requirements

Section 1 – Introduction	
Subsection	**Requirements**
General	Include a description of the measures for ensuring that all Construction Work will be constructed in accordance with the Released for Construction Documents, or as modified by approved design changes.
Organization - Personnel and Staffing	Include an organizational chart showing the organization and reporting structure of the DB Contractor's QC staff for construction and the IQF's IQ assurance staff performing the IQ testing, inspections and audits.
	Describe the role and responsibilities of the Construction Manager overseeing construction to ensure quality of the Construction Work and that the work is being performed in accordance with the Contract Documents.
	Describe the role and responsibilities of the Construction Quality Control Manager (CQCM) managing the DB Contractor's QC program for the construction.
	Describe the role and responsibilities of the Independent Quality Firm Manager (IQFM) including oversight of the IQ program and performing IQ reviews and audits of the DB Contractor's QC program.
Facilities and Equipment	Include a description of the offices and office equipment required during construction including DB Contractor, IQF and TxDOT Facilities.
Training	Describe the methods to identify, develop, and provide relevant training for employees and supervisors performing activities affecting or assessing the quality of the Work to assure such personnel achieve and maintain the required proficiency and that all quality staff understand the goal of delivering a high-quality project.
Communication	Describe the internal and external communication and coordination roles and responsibilities of the Project quality team staff as they relate to performance of IQ/QC activities during construction.
Proposal Commitments	Include a list of the proposal commitments with respect to the construction QC and IQ programs.
	Identify relevant proposal commitments and specify where they will be addressed in the CQMP.
	Describe how they will be incorporated into the Construction Work and the verification process to ensure the proposal commitment has been fulfilled.
Section 2 – Quality Control Program	
Subsection	**Requirements**
Control of Materials	Describe the process for identification and control of materials, equipment, and elements of the Construction Work throughout fabrication, erection, installation, and use of the item, in accordance with the requirements for QCP-05 in Attachment 4-2 of the DBA General Conditions.
Sampling and Testing	Describe the procedures for the sampling and testing of materials during the production or manufacturing processes to ensure that only materials meeting the specifications are supplied for incorporation into the Construction Work, in accordance with the requirements for QCP-06 in Attachment 4-2 of the DBA General Conditions.
Inspections	Describe the scope of proposed QC inspections, examinations, and measurements for the Construction Work, in accordance with the requirements for QCP-07 in Attachment 4-2 of the DBA General Conditions.
Construction Deficiencies and Nonconforming Work	Prepare procedures for identifying, analyzing, resolving or correcting, and determining the cause of, Nonconforming Work, using Construction Deficiency Reports (CDR) and Nonconformance Reports (NCR), to ensure that only materials that conform to the Contract Documents are incorporated into the Construction Work and to prevent repeat occurrences of Nonconforming Work,

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[Date]

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Ex. L-2
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5 Quality Management Plan (QMP) post Final Award

DB Contractor's Activities after Project Award

Notice to Proceed 1 (NTP1)

- DB Contractor begins project-initiation activities before the commencement of design and construction.
- A Maximum Payment Amount is placed on the initial work until PBS2 is approved by TxDOT and NTP2 is issued.
- Approval of these four items is required before NTP2 is issued:
  - Project Management Plan (PMP)
  - **Quality Management Plan (QMP)**
  - Project Baseline Schedule 2
  - Availability of Core and Field-Office Space

Notice to Proceed 2 (NTP2)

Contract Reference: DBA GC, Sec. 1.2.2 and Sec. 4.3

- Quality Management Plan (QMP) means the document approved by TxDOT describing quality assurance and quality control activities necessary to manage the development, design, construction, operation and maintenance of the Project and Work.
- The QMP consists of the Professional Services Quality Management Plan (PSQMP) and the Construction Quality Management Plan (CQMP).

Definition of the Quality Management Plan

- The PSQMP and CQMP are coordinated with one another to achieve:
  - Common Quality Management System (QMS) requirements.
  - Opportunities for improvement, can be addressed with a single approach.
- In the event of a conflict between the QMP and the DB QAP, the DB QAP in effect on the Effective Date will control.

Quality Management System (QMS)

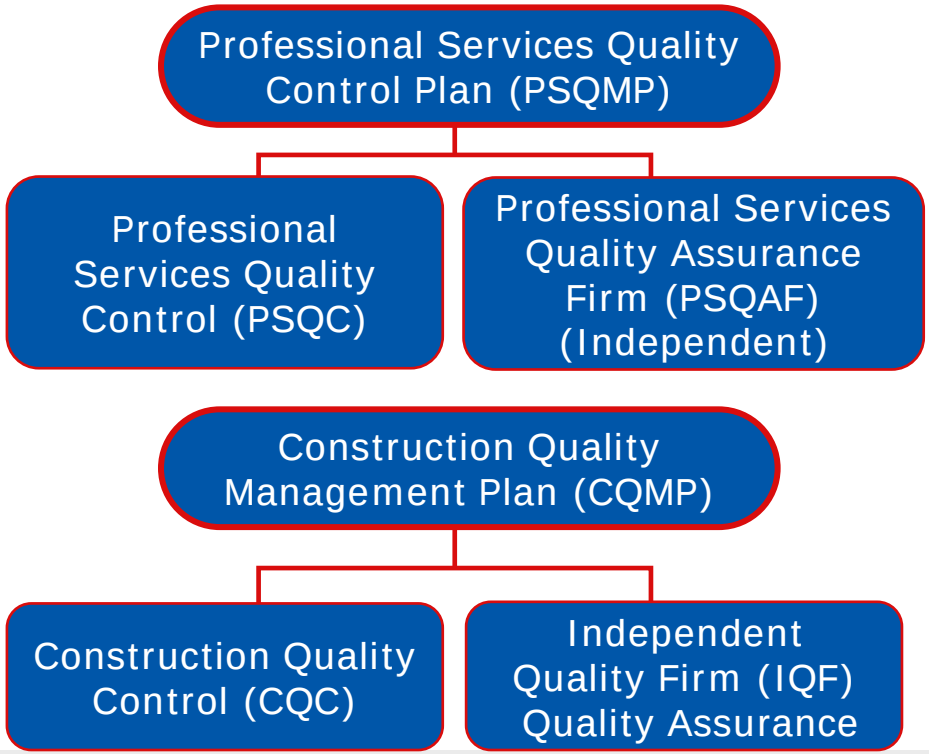
QMS processes are incorporated into the Quality Management Plans (PSQMP and CQMP)

QMS processes are used to manage:

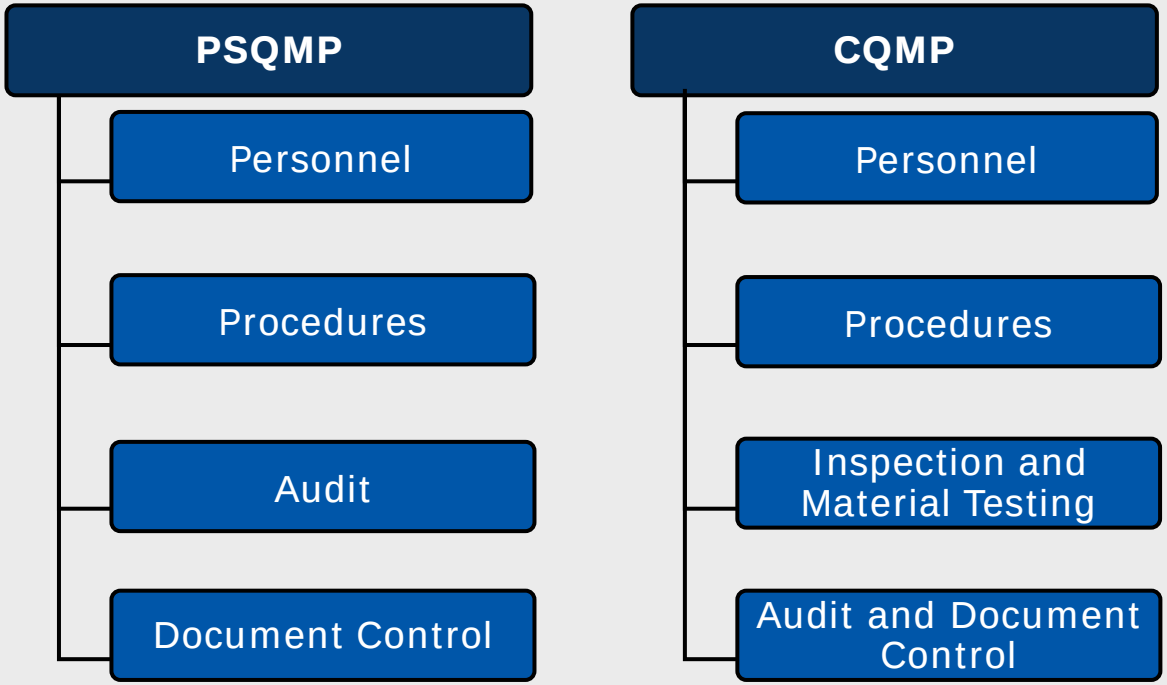
Contract Reference: DBA GC, Attachments 4-1 and 4-2

QMP Organizational Components

- Design and Construction Quality Control are performed by the DB Contractor and managed by the PSQCM and CQCM.
- The PSQCM and CQCM are part of the DB Contractor's team.
- Independent Design QA is performed by a Professional Services Quality Assurance Firm (PSQAF).
- Construction QA is performed by an Independent Quality Firm (IQF).
- The PSQAF and IQF have dual reporting responsibilities to DB Contractor and TxDOT.



Overview of the QMP Sub-Components



TxDOT should review the PSQMP and CQMP thoroughly and comment. Both parties will work to this baseline and look for improvements.

Contract Reference:
DBA GC, Sec. 4.3

Requirements of the Quality Management Plan

1. DB Contractor undertakes all aspects of quality assurance and quality control for the Project and Work in accordance with the approved QMP and Good Industry Practice.

2. **The QMP must comply with ISO 9001:2015** and the requirements of the version of the QAP for DB Projects in effect on the DBA Date.

3. The QMP is consistent with and expands upon the quality approaches and commitments submitted by the DB Contractor prior to the DBA Date.

4. The QMP describes the authority and responsibility for the administration of the QMP and describes how all the design and construction quality management and operational requirements of the QMP will be met.

Contract Reference:
DBA GC, Sec. 4.3

Requirements of the Quality Management Plan

5 The QMP contains detailed quality-management and operational procedures for the DB Contractor's QC, PSQAF, and IQF activities.

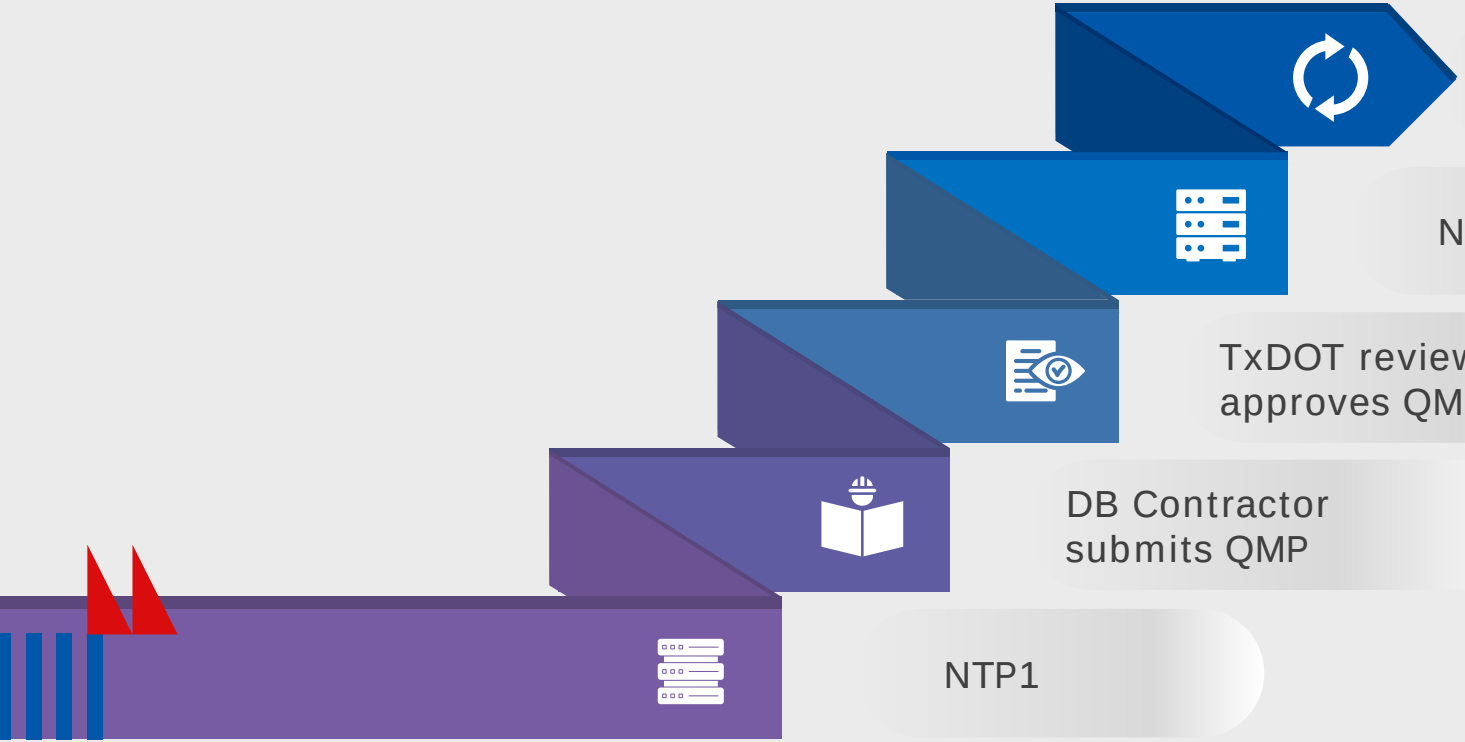
6 The QMP is revised within 14 days of TxDOT or DB Contractor detection of a substantial or systemic problem related to the Work, or as directed by TxDOT.

7 The QMP quality processes incorporate planned and systematic verifications and audits undertaken by the PSQAF and IQF for design and construction, respectively.

8 The QMP is conformed and updated annually, as needed.

Review and Approval of the QMP

Contract Reference:
DBA GC, Sec. 8.1.



Contract Reference: DBA GC, 8.1.1.4, 8.1.1.5, and Attachments 4-1 and 4-2

PSQMP and CQMP Approval

PSQMP

- TxDOT approval of the PSQMP is a condition of the commencement of the Design Work and issuance of NTP 2.
- DB Contractor must meet the requirements of the General Conditions, Attachment 4-1.
- Attachment 4-1 contains requirements for Quality Control (QC) by DB Contractor and Independent Quality (IQ) assurance activities by the PSQAF.

CQMP

- TxDOT approval of the CQMP is a condition of the commencement of the Construction Work and issuance of NTP 2.
- DB Contractor must meet the requirements of the General Conditions, Attachment 4-2.
- Attachment 4-2 contains requirements for Quality Control (QC) by DB Contractor and Independent Quality (IQ) assurance activities by the IQF.

Quality Management Organization

(CQCM) Construction Quality Control Manager

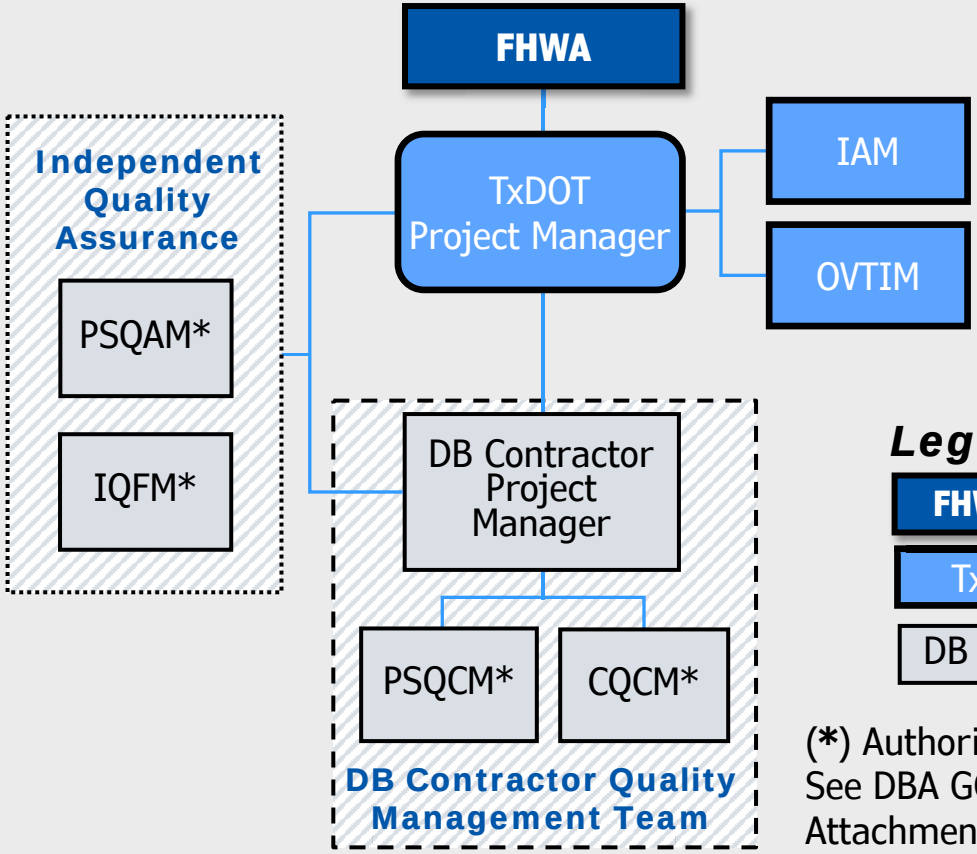
(IAM) Independent Assurance Manager

(IQFM) Independent Quality Firm Manager

(OVTIM) Owner Verification Testing & Inspection Manager

(PSQAM) Professional Services Quality Assurance Manager

(PSQCM) Professional Services Quality Control Manager



(*) Authority to stop Work. See DBA GC Item 4, Attachments 4-1 and 4-2.

Quality Management - Roles and Responsibilities

FHWA Authorized Rep: Responsible for federal oversight of the Project.

TxDOT PM: Responsible for TxDOT's oversight which includes but is not limited to reviewing and submitting quarterly reports to FHWA and ensuring that the project meets state and federal regulations.

IA Manager: Responsible for maintaining documentation of all individuals qualified to perform acceptance testing; also has the authority to stop Work.

OVTM: Responsible for verifying that the project is delivered in compliance with contract documents.

DB Contractor PM: Responsible for overall design, construction, maintenance, contract administration, safety, and environmental compliance for the project.

Quality Management - Roles and Responsibilities

PSQAM: Responsible for management and quality functions for professional services; also has the authority to stop Work.

IQFM: Responsible for management and quality-assurance functions for the Construction Work; also has the authority to stop Work.

PSQCM: Responsible for the implementation and management of the methods and procedures contained in the approved PSQMP.

CQCM: Responsible for the implementation and management of the methods and procedures contained in the approved CQMP.

DB Contractor Quality Responsibilities by Project Phase

Implementation:

Design

- Professional Services Quality Management Plan
- Preliminary & Final Design Submittals
- Design Quality Control
- Design Quality Assurance
- Certification of Compliance
- Release for Construction Plans

Build

- Construction Quality Management Plan
- Construction Quality Control
- Construction Quality Assurance
- Project Closeout
- Document Management

Operate & Maintain

- Maintenance Management Plan
- Maintenance Schedule
- Routine Maintenance
- Renewal Work
- Audit & Inspections
- Non-Compliance Reporting
- Maintenance Management System

Contract Reference: DBA GC, Sec. 4.3

DB Contractor's Quality Management Responsibilities

What is DB Contractor's role?

- Project design and construction quality.
- Quality Control and Quality Assurance of Design Work and Construction Work, Material, and other related activities.

DB Contractor's role is critical to successful quality management by:

- influencing the quality of design and construction.
- ensuring the acceptability of each and every work product.
- certifying that **all** Work meets the requirements.
- identifying quality trends, and process improvements.

TxDOT's Quality Management Responsibilities

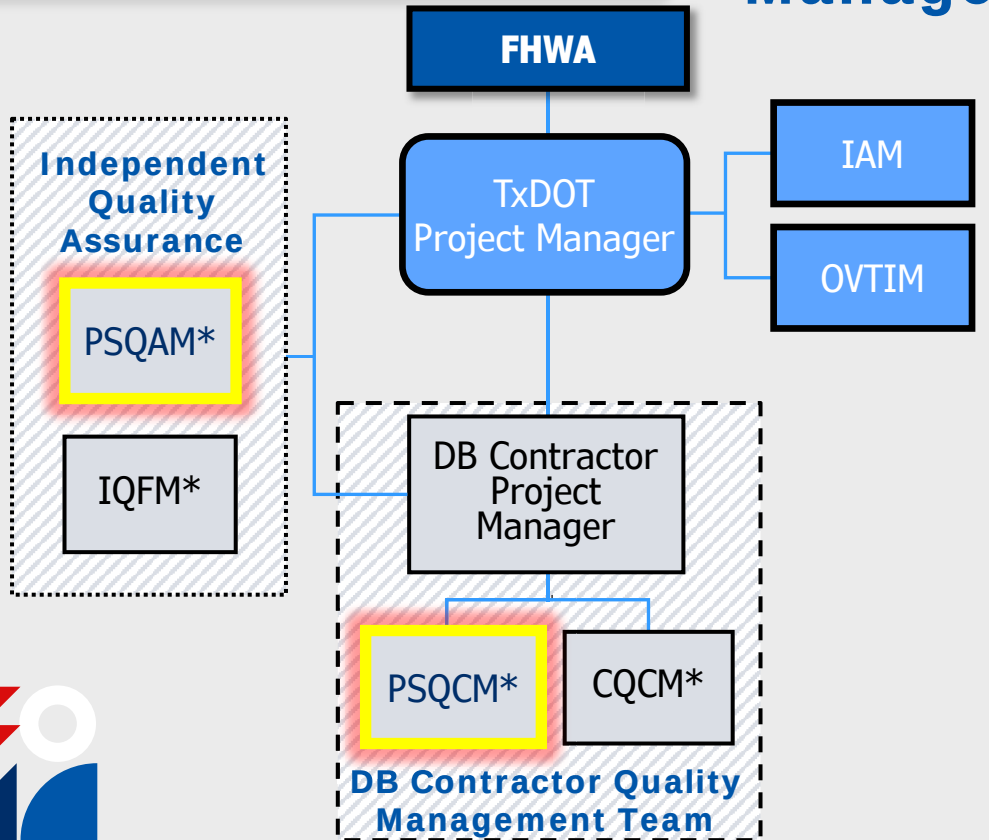
What is TxDOT Role?

- TxDOT is responsible for **Project Acceptance**. This is accomplished through activities such as:
  - Monitoring and oversight.
  - Sampling, validation, and verification.
- TxDOT monitors and audits DB Contractor's quality processes to verify compliance.
- TxDOT, using validated DB Contractor data, issues a certification of Final Acceptance.
- TxDOT monitors the project for maintenance and warranty issues, as applicable.

6 Professional Services Quality Management Plan (PSQMP)

★ *Contract Reference: DB GC, Item 4, Attachments 4-1*

Professional Services Quality Management Organization



- The PS Quality Control Manager (PSQCM) and PS Quality Assurance Manager (PSQAM) use the QMS to implement **reviews and audits** of:
  - Quality Control
  - Quality Assurance
  - Completeness
  - Consistency
  - Compliance with QMP
- PSQCM and PSQAM certify Design Packages and other submittals.

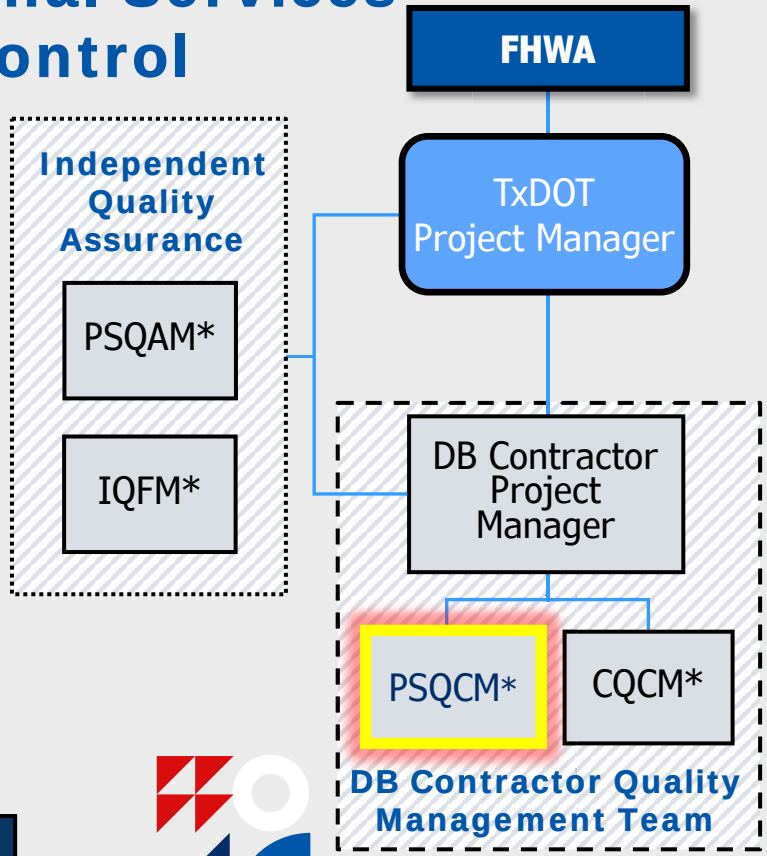
★ *Contract Reference: DBA GC, Item 4, Attachment 4-1, Tables 1 and 2, QCP-10*

Professional Services Quality Control

PSQCM Role and Responsibilities

- Management of the implementation of the PSQMP quality program.
- Ensures that the methods and procedures contained in the approved PSQMP are implemented and followed in the performance of the Work.
- Certifies that:
  - The design Submittal packages meet the QC requirements of the PSQMP.
  - Design Changes during Construction has been checked in accordance with the Contract Documents and the PSQMP.

Must be independent of the production Work



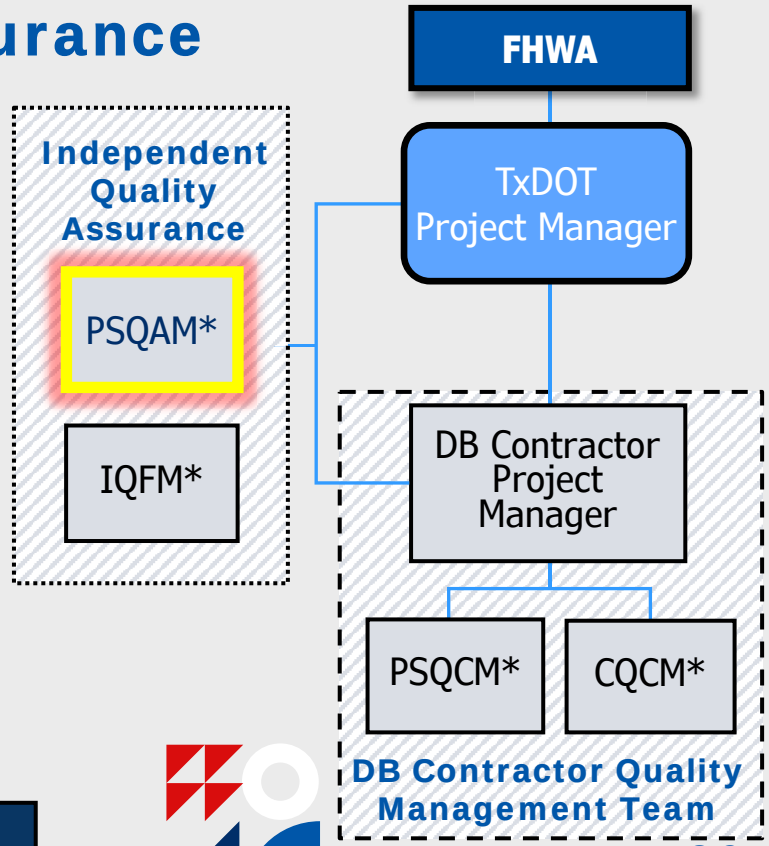
Contract Reference: DBA GC, Item 4 Attachment 4-1, Table 1

Professional Services Independent Quality Assurance

PSQAM Role and Responsibilities

- Management of the Professional Services Quality Assurance Program.
- Performs independent quality assurance reviews of DB Contractor's Professional Services work products.
- Audits of the DB Contractor's PSQMP and professional services IQ/QC program.
- Certifies that
  - DB Contractor's submittal complies with the PSQMP.
  - Submittal has been certified by the PSQCM.
  - All responses to all comments have been addressed and incorporated into the Submittal.

Reports jointly to DB Contractor Management Team and TxDOT



Contract Reference: DBA GC, Item 4, Attachment 4-1, Table 2, QCP-05, QCP-06 and QCP-07

PSQMP Certifications

PSQCM Certification

- Certifies that QC of submittals is performed in accordance with the PSQMP.
- PSQCM provides PSQAF and TxDOT with QC documentation.

PSQAM Certification

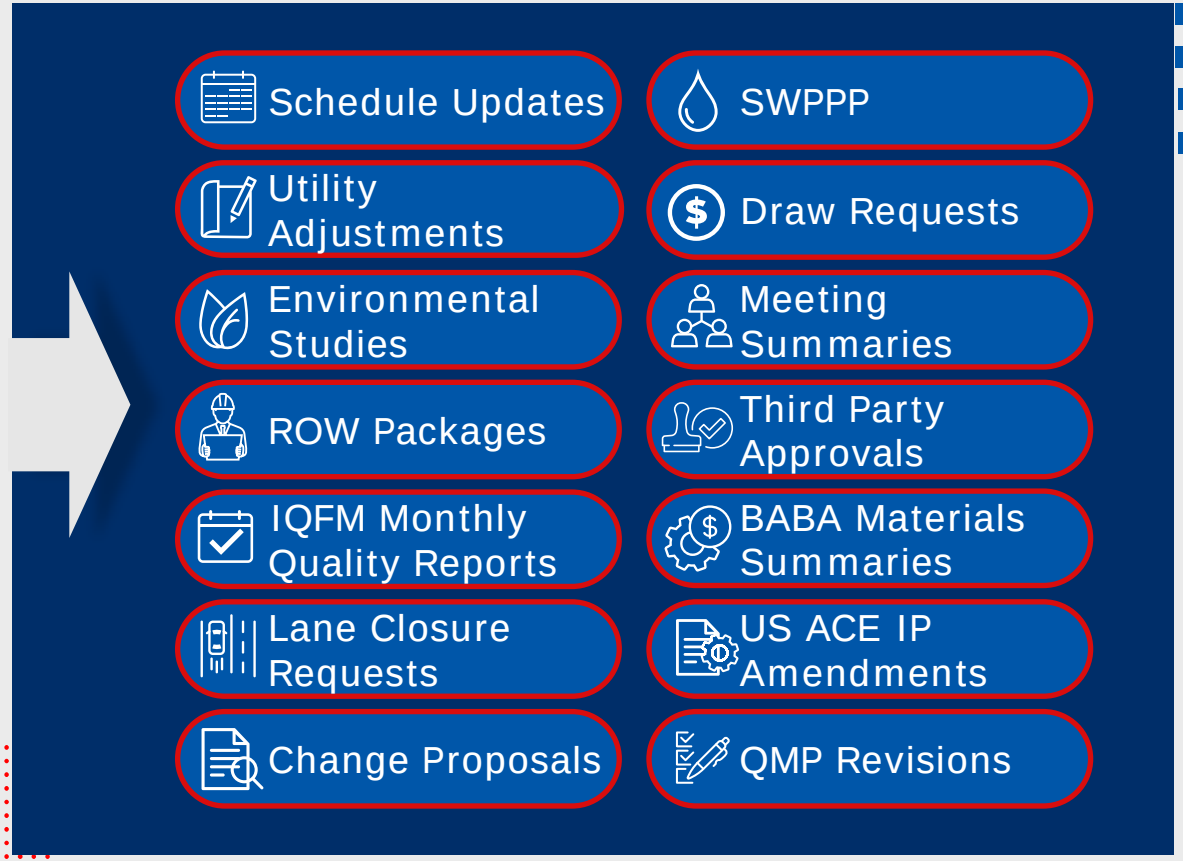
- Certification of compliance for Final and RFC submittals.
- Ensures Final and RFC design package has been checked in accordance with the PSQMP and all Final Design Submittal review comments have been addressed.

Design Manager Certification

- Certification of compliance that the Final and RFC submittal packages meet all applicable requirements of the Contract Documents, and all approvals have been obtained.

Professional Services Quality Management of other Submittals

- In addition to design packages, there are other Professional Services submittals with differing:
  - Levels of DB Contractor QC/QA reviews and certifications.
  - Levels and timing of TxDOT review.
- A full list of submittals, corresponding certifications, and review times is provided in the QMP.



Professional Services Quality Management of Submittals

Quality of Professional Services Submittals is Assured by:

- DB Contractor's QMP.
- Robust QMS.
- Effective coordination between the PSQMP and CQMP.
- QC by independent QC reviewers.
- Interdisciplinary-design reviews.
- Constructability Reviews by the DB Contractor's team.
- Certification by the PSQCM.
- Construction plans signed by a Texas PE.
- QA by the IQF.
- Certifications by the PSQAM and Design Manager.
- TxDOT review/comments
- TxDOT-process audits.

TxDOT's Review Role of Submittals

- Check for compliance with DBA.
- Comments do not reflect TxDOT personal preferences.

- Does not direct solutions.
- Does not shift risk to TxDOT.
- Compliance Review.
- Not a QC or QA review.

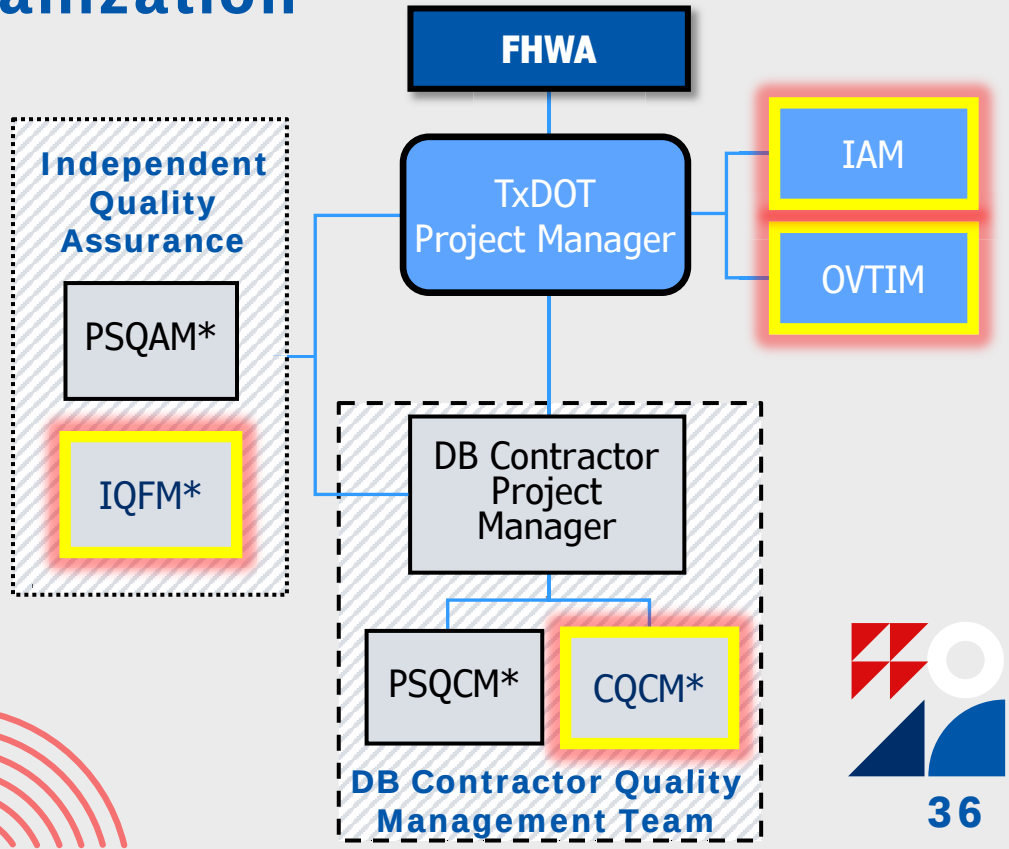
- TxDOT may reject incomplete or inaccurate submittals.

7 Construction Quality Management Plan (CQMP)

Construction Quality Management Organization

★ *Contract Reference: DB GC, Item 4, Attachments 4-2, Table 1*

- The CQCM and IQFM use the QMS to implement inspections, reviews and audits for Quality Control and Quality Assurance, completeness, consistency and compliance with CQMP
- OVTM develops a comprehensive Risk-Based Owner Verification Testing and Inspection Plan (OVTIP).
- OVTM performs Owner Verification sampling, testing, and inspection, and conduct audits to verify the DB Contractor's compliance with the CQMP.
- IAM develops the Independent Assurance Quality Plan (IAQP). IAM evaluates all sampling and testing procedures, personnel, and equipment used as part of an acceptance decision.



Quality Organizational Roles and Responsibilities

FHWA

- Federal Sampling and Testing Requirements
- Federal Oversight & Quarterly Audits
- Approval of TxDOT Quality Assurance Program (QAP)

TxDOT

- Develop Quality Assurance Program (QAP) Requirements
- Owner Verification Testing and Inspection Plan and execution (OVTI)
- Independent Assurance (IA)
- State Oversight & Auditing

DB Contractor

- Quality Management Plan
- Construction Quality Control
  - Processes and testing to assure work is per contract and CQMP
- Construction Quality Assurance
  - IQF Independent testing and monitoring CQMP compliance

U.S. Department of Transportation Federal Highway Administration

Texas Department of Transportation

DB Contractor

Construction Quality Key Components

Quality Control (QC)

- DB Contractor's CQMP defines internal procedures used by contractors, suppliers, and subcontractors.
- Ensures the Work is delivered in accordance with the Contract Documents.
- QC is the foundation responsible for the quality of the work.
- Apply a systematic approach in the administration of the QC plan.
- Ensures that Work meets quality requirements prior to requesting IQF testing and inspection.

Quality Assurance (QA)

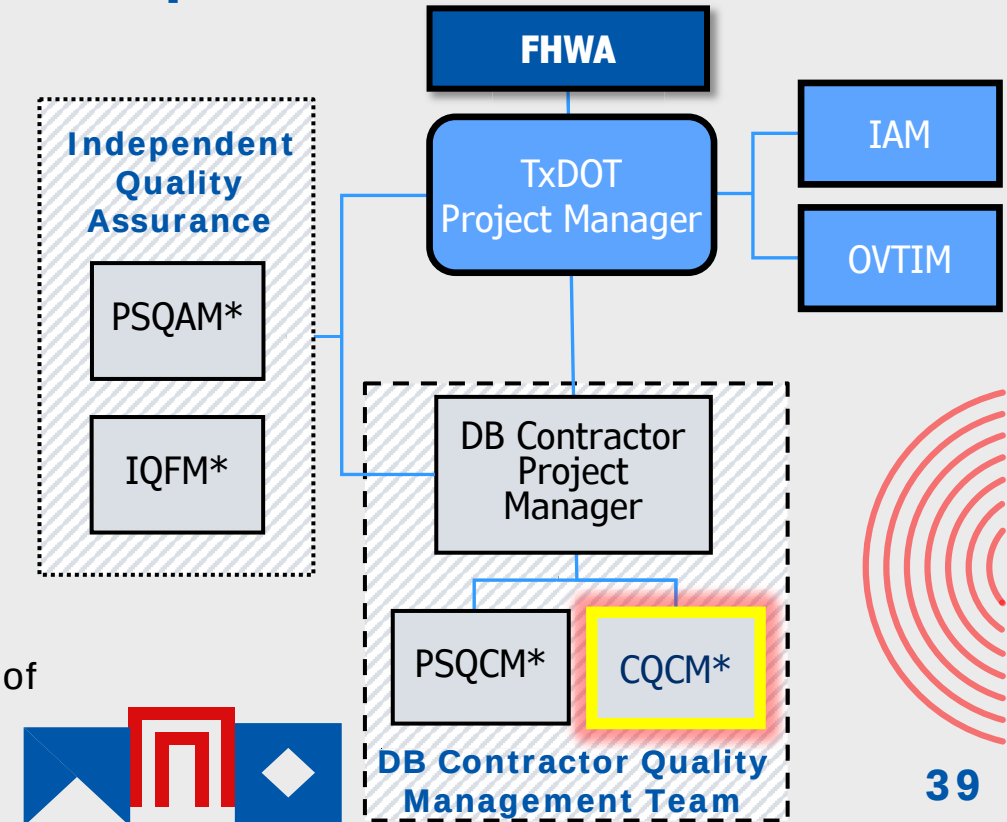
- DB Contractor has the most influence on quality of the design and construction.
- Ensuring the acceptability of each and every work product.
- DB Contractor is in the best position to certify that all Work meets the requirements.
- Monitoring and oversight.
- Maintenance and warranty.

DB Contractor

★ *Contract Reference: DBA GC, Attachment 4-2, Table 1*

Construction Quality Control Manager Role and Responsibilities

- Management of the QC program for the Construction Work.
- Ensure the methods and procedures contained in the approved CQMP are implemented and followed in the performance of the Work.
- Manage the QC inspection and material sampling and testing staff.
- Provide nonconformance reporting including corrective measures and development of preventive action.
- Ensure the receiving, handling, inspection, documentation and storage of materials are compliant with the CQMP.
- Provide quality training.



Construction Quality Responsibilities

DB Contractor

Independent Quality (IQ)

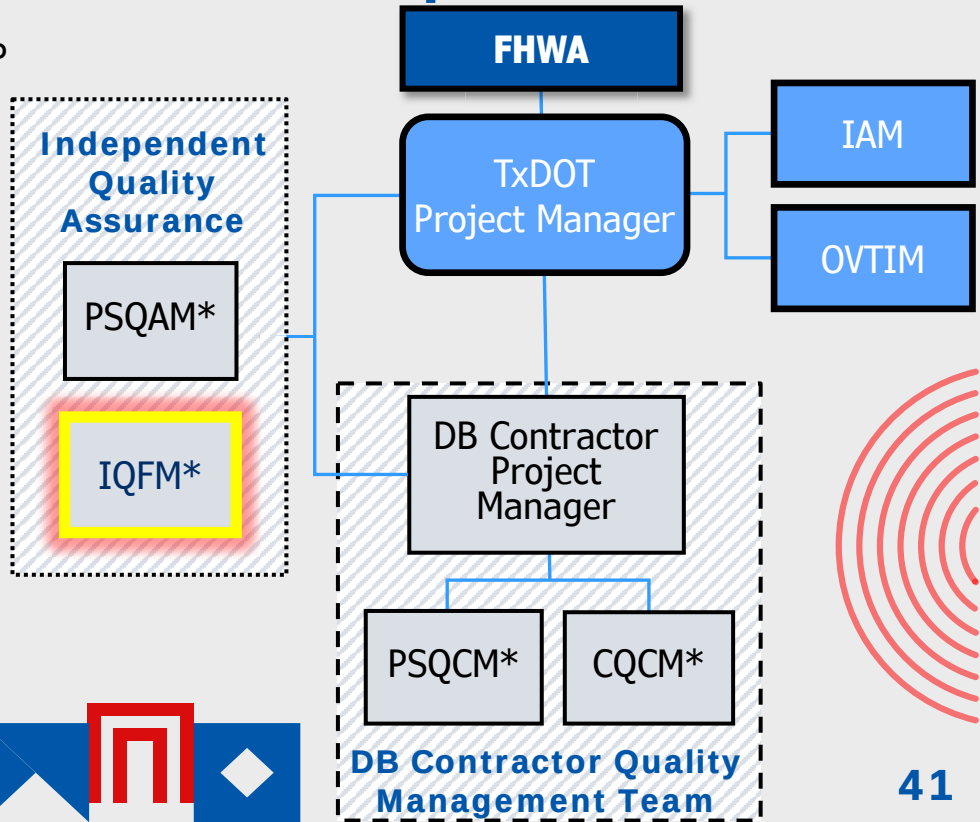
- DB Contractor's inspection and testing performed by an Independent Quality Firm (IQF).
- Follows DB Contractor's CQMP requirements.
- Frequency of sampling and testing per DB-Guide Schedule.
- Results of Inspections and Testing will be used for acceptance.
- Acceptance Program = IQF + OVF results.
- Start-up split-sample testing with OV for alignment.
- The IQFM is assigned "Engineer" in the TxDOT spec book and/or contract.

DB Contractor

★ Contract Reference: DBA GC, Attachment 4-2, Table 1

Independent Quality Firm Manager (IQFM) Role and Responsibilities

- Oversee the implementation of the CQMP by the DB Contractor.
- Manage the Independent Quality Program.
- Manage the IQF inspection and material sampling/testing staff.
- Prepare a monthly report documenting inspections and testing performed and results.
- Perform audits as described in the CQMP.
- Certify that the record drawings accurately depict the work.
- Report jointly to DB Contractor Management Team and TxDOT.



Construction Quality Responsibilities

TxDOT

Owner Verification (OV)

- TxDOT oversight is either self-performed or performed by an Owner Verification Firm (OVF).
- Required by 23 CFR 637 B & TA 6120.3.
- Owner verification testing and inspection.
- Develop OV Testing & Inspection Plan (OVTIP).
- Statistical validation and verification of IQF-testing results.
- Oversight of non-validation investigations.
- Audits to verify DB Contractor's CQMP and OVTIP compliance.
- OVI and OVT Risk Assessment Workshop (in conjunction with TxDOT and FHWA).

Construction Quality Responsibilities

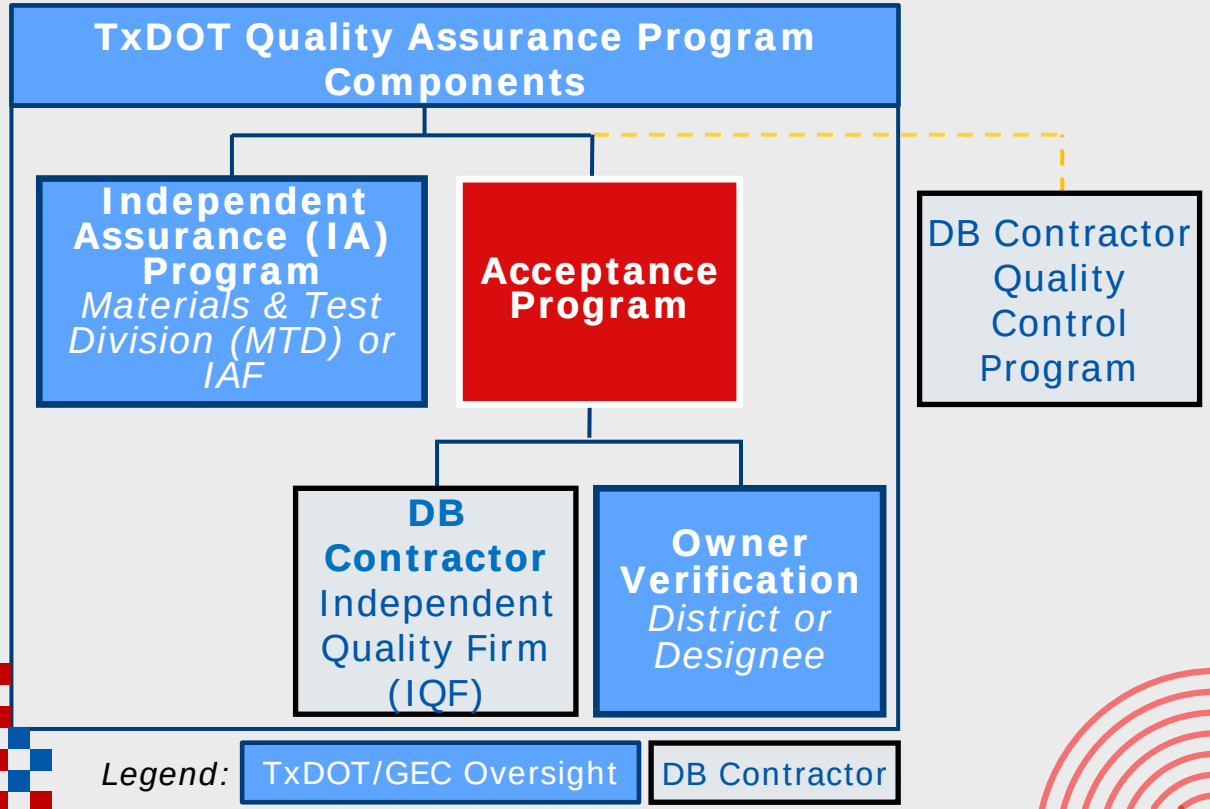
TxDOT

Independent Assurance (IA)

- Evaluate all sampling and testing procedures, personnel, and equipment used as part of an acceptance decision.
- Verify/maintain documentation of qualifications for all individuals and laboratories performing testing for the acceptance decision.
- Develop IA Quality Plan (IAQP).
- Oversight of misconduct accusations and investigations.
- Develop and submit a project-level IA report to CST/M&P.
- CST/M&P will develop and submit to FHWA an annual report of the IA program.

Contract Reference: DBA QAP, Sec. 1.1

TxDOT QAP Components and Relationships



- The CQMP complies with the requirements of the version of the QAP for DB Projects in effect on the Effective Date.
- In the event of a conflict between the CQMP and the QAP for DB Projects, the QAP for DB Projects in effect on the Effective Date will control.

Construction Quality Audits

DB Contractor's Audits

DB Contractor Uses QMS Processes to Audit

- Compliance with CQMP.
- Sample audited/reviewed activities:
  - Construction safety
  - Construction QC
  - Documentation
  - Sampling and testing
  - Inspection reports
  - Nonconformance resolution

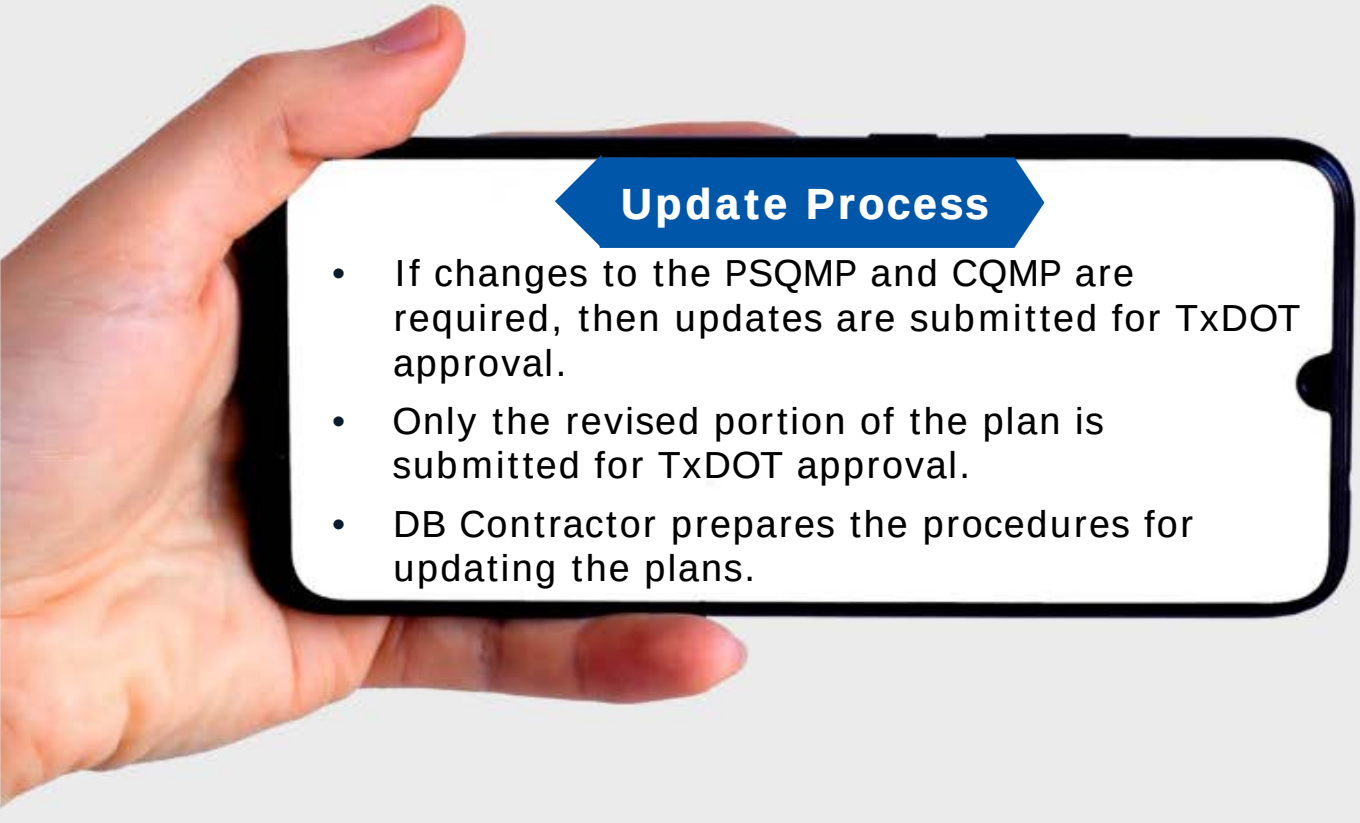
TxDOT Audits

- Compliance with Owner Verification Testing & Inspection Plan (OVTIP)
- Sample audited/reviewed activities:
  - OV sampling/testing procedures
  - OV testing frequency
  - Timeliness of OV activities
  - Sufficiency of non-validation investigations

Quality Management during Construction Phase

Contract Reference: DB GC, Item 4, Attachments 4-1 (PSQMP) and 4-2 (CQMP)

PSQMP and CQMP Updates



Update Process

- If changes to the PSQMP and CQMP are required, then updates are submitted for TxDOT approval.
- Only the revised portion of the plan is submitted for TxDOT approval.
- DB Contractor prepares the procedures for updating the plans.

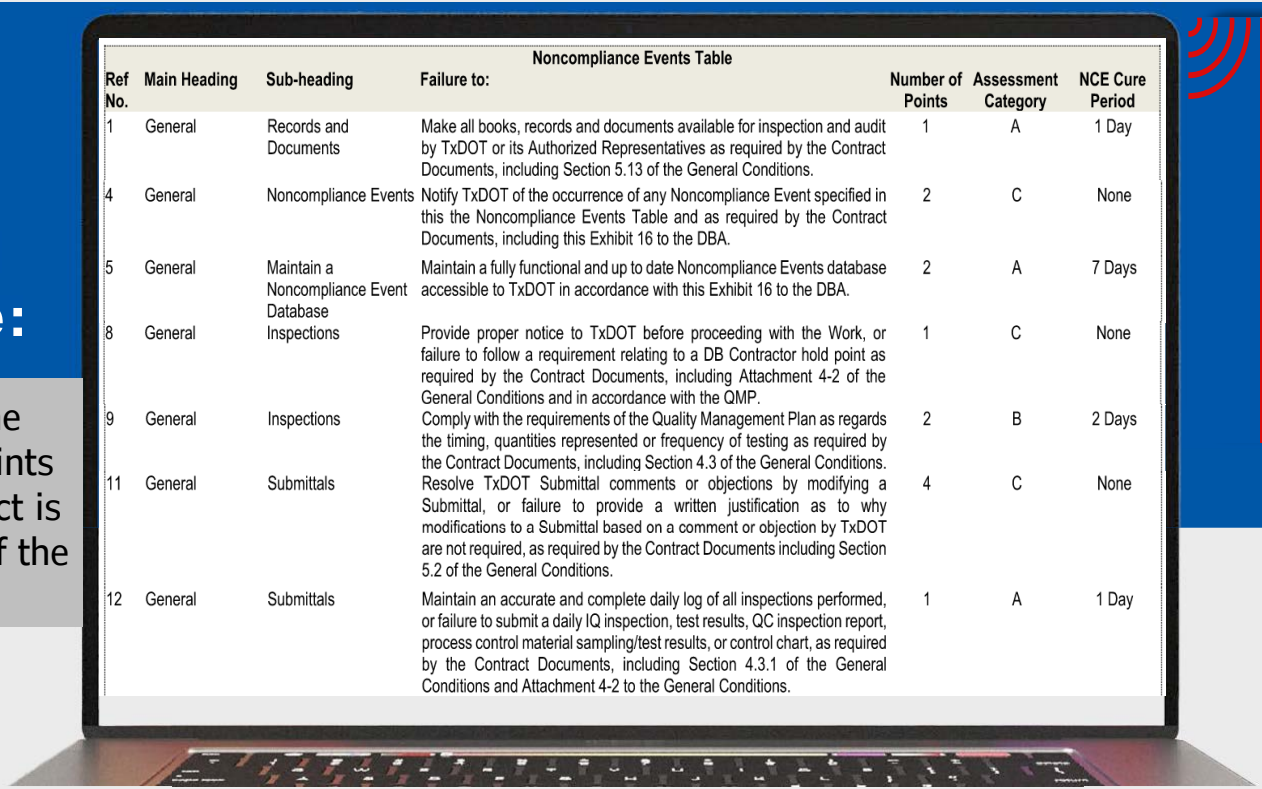
8 Noncompliance with QMP Requirements

Contract Reference: DBA Exhibit 16, Attachment 1

QMP Noncompliance Points

QMP-Related Items From the NCE Table:

Note that use of the Noncompliance Points System on a project is at the discretion of the district.



Noncompliance Events Table

Ref No.	Main Heading	Sub-heading	Failure to:	Number of Points	Assessment Category	NCE Cure Period
1	General	Records and Documents	Make all books, records and documents available for inspection and audit by TxDOT or its Authorized Representatives as required by the Contract Documents, including Section 5.13 of the General Conditions.	1	A	1 Day
4	General	Noncompliance Events	Notify TxDOT of the occurrence of any Noncompliance Event specified in this the Noncompliance Events Table and as required by the Contract Documents, including this Exhibit 16 to the DBA.	2	C	None
5	General	Maintain a Noncompliance Event Database	Maintain a fully functional and up to date Noncompliance Events database accessible to TxDOT in accordance with this Exhibit 16 to the DBA.	2	A	7 Days
8	General	Inspections	Provide proper notice to TxDOT before proceeding with the Work, or failure to follow a requirement relating to a DB Contractor hold point as required by the Contract Documents, including Attachment 4-2 of the General Conditions and in accordance with the QMP.	1	C	None
9	General	Inspections	Comply with the requirements of the Quality Management Plan as regards the timing, quantities represented or frequency of testing as required by the Contract Documents, including Section 4.3 of the General Conditions.	2	B	2 Days
11	General	Submittals	Resolve TxDOT Submittal comments or objections by modifying a Submittal, or failure to provide a written justification as to why modifications to a Submittal based on a comment or objection by TxDOT are not required, as required by the Contract Documents including Section 5.2 of the General Conditions.	4	C	None
12	General	Submittals	Maintain an accurate and complete daily log of all inspections performed, or failure to submit a daily IQ inspection, test results, QC inspection report, process control material sampling/test results, or control chart, as required by the Contract Documents, including Section 4.3.1 of the General Conditions and Attachment 4-2 to the General Conditions.	1	A	1 Day

Refer to the training "Noncompliance Points System" for more information on the NCP system and NCE table.

Contract Reference: DBA Exhibit 16, Sec. 1

General Overview of Noncompliance Points System

DBA

The DBA provides a system that associates Noncompliance Points with predefined Noncompliance Events.

Noncompliance Events

Noncompliance Events Table (Attachment 1 to Exhibit 16 of the DBA):

- It identifies each Noncompliance Event.
- Provides Noncompliance Points for each Noncompliance Event.
- Provides “NCE Cure Period” (if any) available to the DB Contractor for each Noncompliance Event.

Noncompliance Points

Noncompliance Points are assessed for failure to meet contractual obligations relative to the events listed in NCE Event Table.

For more information, please review the *Noncompliance Events with Points* training presentation.

9 Takeaways and Reference Documents

Coordination and communication between DB Contractor and TxDOT is essential for project success.

Takeaways

- It takes a lot of work (and often re-work) to get the PSQMP and CQMP developed.
  - Consider holding meetings shortly after NTP1 to discuss TxDOT expectations and the level of effort required.
- TxDOT has limited reviews and review time of the PSQMP and CQMP.
  - Work with DB Contractor to get things done correctly and quickly.
- Verify the CQMP meets the requirements of the TxDOT DB QAP.
- Coordinate with DB Contractor to make timely PSQMP and CQMP updates.
- Have both parties work to this baseline and look for improvements.

Procurement and Contract Reference Documents

Request for Qualifications (RFQ) & Request for Proposals (RFP)

Includes description of the procurement process, QS content, proposal submittal requirements, evaluation process and criteria, along with Key Personnel identification and qualifications.

Design-Build Agreement (DBA)

Includes DB specific and traditional contract language. Allows flexibility for district specific language.

Design-Build General Conditions (DB GC)

Includes the project-specific terms and conditions for Design–Build contracts

Design-Build Specifications Items 10-28 (DBS)

Includes DB specific and traditional contract language. Allows flexibility for district specific language.

These and other resources can be found at:
https://ftp.txdot.gov/pub/txdot/atd/programmatic-docs/

Questions?

Texas Department of Transportation

Connecting you with Texas.

HELP #EndTheStreakTX

End the streak of daily deaths on Texas roadways.

TxDOT.gov (Keyword: #EndTheStreakTX)

#EndTheStreakTX Toolkit