

1 Non-Conformance

1.1 Background

Quality Management Services (QMS) has implemented this procedure to standardize the process of recognizing and reporting Non-Conformance issues during design and construction. The use of the Non-Conformance form (QMS110) will also serve to notify QMS of significant recurring problems. The Department can use this form to track and recognize trends and take corrective action to prevent similar problems from happening to other projects.

Instructions have been placed on the reverse side of QMS110 for recipients unfamiliar with the form, to understand and respond correctly, to expedite the processing and corrective action approval. The initiator is responsible for including as many specific details of the Non-Conformance, so those not familiar with the project will be able to ascertain the problem and act accordingly.

NOTE: The intent of this procedure is to standardize and improve our project delivery system. This method of reporting Non-Conformance is not intended for use as a punitive measure, and in most cases, problems should be resolved directly between the involved organizations. For the Project Manager's procedure for dealing with Consultant deficiencies, see the Consultant & Contractor Performance Review Manual.

1.2 Initiation

All Capital Program Management (CPM) units involved in the project delivery process shall use Form QMS110. QMS110 can be initiated by any person within CPM, when a problem has been identified that is not immediately resolved. The initiator of QMS110 must submit it through their immediate supervisor to the Configuration Management Section (Bureau of Value Management), with copies to the Manager, Bureau of Value Management, and the appropriate Program Manager.

The area of Non-Conformance can be errors or omissions, delays which affect the project schedule or the originator's ability to meet project deadlines, late submissions, cost overruns, unauthorized changes to projects, schedules, plans, etc., or non-compliance with established policies, procedures, specifications or Project Specific Quality Assurance Plans. In general, any problem related to the project delivery system or a specific project's quality, schedule, or budget can be reported in this manner.

Note: It is not the intent of QMS110 to be used to resolve administrative or disciplinary problems. These matters are covered, and governed by the Department's Policies and Procedures.

1.3 Processing

Configuration Management (Bureau of Value Management) will review the QMS110 submission and contact the appropriate CPM Unit Manager, Program Manager, Resident Engineer, Consultant, or Contractor "Principal of the Firm" whose organization has been identified as committing an act of Non-Conformance. QMS will make certain that the responsible management takes whatever action is appropriate to correct the Non-Conformance. In all cases, the information on the QMS110 submission will be entered into a database and tracked. If warranted, the Non-Conformance will be responded to with a Corrective Action Request (QMS111). The initiator and supervisor of a Non-Conformance submission will be notified by QMS of the action taken.

If there is a significant Non-Conformance occurring during design, QMS will notify the Project Manager, and if a significant Non-Conformance occurs during construction, QMS will notify both the Resident Engineer and the Project Manager.

All questions or comments regarding the use of this procedure can be directed to the Project Engineer, Consultant Contractor Evaluations Unit, (609) 530-2743.

2 Quality Issue

2.1 Consultant Instructions

2.1.1 Background

Quality Management Services (QMS) has implemented this procedure to standardize the process of recognizing and reporting of a Quality Issue during design and construction. Use of the Quality Issue form (QMS110) will also serve to notify QMS of significant recurring problems. The Department can track and recognize trends and take corrective action to prevent similar problems from happening on other projects.

Instructions have been placed on the reverse side of QMS110 for recipients unfamiliar with the form, to understand and respond correctly, to expedite the processing and corrective action approval. The initiator is responsible for including as many specific details of the Quality Issue, so those not familiar with the project will be able to ascertain the problem and act accordingly.

NOTE: The intent of this procedure is to standardize and improve our project delivery system. This method of reporting a Quality Issue is not intended for use as a punitive measure, and in most cases, a Quality Issue should be resolved directly between the involved organizations.

2.1.2 Initiation

All Consultants and Sub-Consultants involved in the project delivery process shall use QMS110 to report Quality Issues. QMS110 can be initiated by any person working for the Consultant or Sub-Consultant's firm when a problem has been identified that is not immediately resolved. The initiator of a QMS110 form must submit it through the Consultant's or Sub-Consultant's "Principal of the Firm" directly to Configuration Management (Bureau of Value Management) with a copy sent to the Program Manager and the Manager, Bureau of Value Management.

The area of Quality Issue can be errors or omissions, late submissions, cost overruns, unauthorized changes to projects, schedules, plans, etc., or non-compliance with established policies, procedures, specifications or Project Specific Quality Assurance Plans. In general, any problem related to the project delivery system or a specific project's quality, schedule, or budget can be reported in this manner.

Note: QMS110 is not intended to replace existing policies and procedures that govern methods of communication. The intent of QMS110 is to supplement existing reporting procedures when the quality issue has not been resolved or is very general in nature.

2.1.3 Processing

Configuration Management (Bureau of Value Management) will review the QMS110 and contact the appropriate CPM Unit Supervisor, Program Manager, or Consultant "Principal of the Firm" whose organization is responsible for resolving the issue. QMS will ensure that the appropriate management takes whatever action is necessary to address the Quality Issue. In all cases, the Quality Issue information submitted to QMS will be entered into our database and tracked. If warranted, the Quality Issue will be responded to with a Corrective Action Request form (QMS111). The "Principal of the Firm" and initiator of a Quality Issue submission will be notified by QMS of the action taken.

If a significant Quality Issue is reported during design, QMS will copy the Project Manager, and if a significant Quality Issue is found during construction, QMS will copy both the Resident Engineer and the Project Manager.

All questions or comments regarding the use of this process can be directed to the Project Engineer, Consultant Contractor Evaluations Unit of QMS, (609) 530-2743.

2.2 Contractor/Supplier Instructions

2.2.1 Background

See Section 2.1.1

1.2.2.2 Initiation

All Contractors, Sub-Contractors, and Suppliers involved in the project delivery process shall use QMS110. The Bureau of Construction Services, Division of Procurement will distribute the QMS110 form with the Award Package. QMS110 can be initiated by any person working for the Contractor's, Sub-Contractor's or Supplier's firm when a problem has been identified that is not immediately resolved. The initiator of a QMS110 must submit it through the Contractor's, Sub-Contractor's or Supplier's "Principal of the Firm" directly to Configuration Management (Bureau of Value Management) with a copy sent to the Program Manager and the Manager, Bureau of Value Management.

The area of Quality Issue can be errors or omissions, late submissions, cost overruns, unauthorized changes to projects, schedules, plans, etc., or non-compliance with established policies, procedures, specifications or Project Specific Quality Assurance Plans. In general, any problem related to the project delivery system or a specific project's quality, schedule, or budget can be reported in this manner.

Note: QMS110 is not intended to replace policies and procedures that govern methods of communication under existing contracts and any related partnering agreements. The intent of QMS110 is to supplement existing reporting procedures when the Quality Issue has not been resolved or is very general in nature.

2.2.3 Processing

Configuration Management (Bureau of Value Management) will review the QMS110 and contact the appropriate CPM Unit Supervisor, Program Manager, or Contractor's, Sub-Contractor's, and Supplier's "Principal of the Firm" whose organization is responsible for resolving the issue. QMS will ensure that the appropriate management takes whatever action is necessary to address the Quality Issue. In all cases, the Quality Issue information submitted to QMS will be entered into our database and tracked. If warranted, the Quality Issue will be responded to with a Corrective Action Request (QMS111). The "Principal of the Firm" and initiator of a Quality Issue submission will be notified by QMS of the action taken.

If a significant Quality Issue is reported during design, QMS will copy the Project Manager, and if a significant Quality Issue is found during construction, QMS will copy both the Resident Engineer and the Project Manager.

All questions or comments regarding the use of this process can be directed to the Project Engineer, Consultant Contractor Evaluations Unit of QMS, (609) 530-2743.

3 Corrective Action Request

3.1 Background

Quality Management Services (QMS) has implemented this procedure to standardize the process of recognizing and resolving problems throughout the design and construction process. The Corrective Action Request form (QMS111) will be used by the Division of Quality Management Services as needed to address reports of Non-Conformance or Quality Issue that have been generated by in-house staff or various outside organizations involved in the project delivery process.

Instructions have been placed on the reverse side of QMS111 for recipients unfamiliar with the form, to understand and respond correctly, to expedite the processing and corrective action approval. The respondent to QMS111 is responsible for including as many specific details of the Corrective Action Plan, so those not familiar with the project will be able to understand the Corrective Action Plan and act accordingly.

3.2 Initiation

QMS will review, file, and monitor submissions by various organizations of Non-Conformance or Quality Issue (QMS110). A QMS111 will be issued to an organization when a substantial problem or trend is noticed that adversely affects project quality. The QMS111 will identify needed improvements to processes, procedures, policies, or conformance to its Quality Assurance Plan.

The QMS111 will be sent to a specific responsible person, who has the authority to make the required process changes. A detailed problem statement will be outlined with a response due date. Dependent upon the nature of the correction required, the recipient of the QMS111 may be able to make quick, immediate changes to his or her policies, procedures, etc., or may have to develop a task force or work with the QMS, Quality Improvements Unit, to develop solutions as they relate to overall Departmental standards, processes and procedures.

Note: At no time should the Corrective Action Request process hold up the project, if it is at a critical point. In many cases, the purpose of Corrective Action will be to provide benefits to future projects.

3.3 Response

The recipient's Unit Manager, Program Manager, or "Principal of the Firm" must respond to any Corrective Action Request received. The recipient will be required to describe how the organization has corrected the Non-Conformance or Quality Issue, and provide a plan to ensure that the Non-Conformance or Quality Issue does not occur again. The correction may also require changes to Policies, Procedures, or Specifications.

For complex problems, the recipient may be required to include with his or her response one or all of the following four items:

1. An investigation of how or why the problem occurred.
2. A short-term immediate solution, if required to keep a project on schedule.
3. An interim solution, if required to maintain a program for a longer length of time.
4. A permanent solution, required to maintain a program.

Interim steps may be necessary if it is determined that major changes to Policies, Procedures, Specifications, etc. are required that may take a long time to implement.

NOTE: The intent of this procedure is to standardize and improve our project delivery system. This method of reporting a Quality Issue is not intended for use as a punitive measure, and in most cases, problems should be resolved directly between the involved organizations.

All questions or comments regarding the use of this process can be directed to the Project Engineer, Consultant Contractor Evaluations Unit of QMS, (609) 530-2743.

4 Process Improvement Recommendation

4.1 Background

The Process Improvement Recommendation procedure will allow everyone connected with the Capital Program delivery process, including Consultants, Contractors, and the FHWA, to make suggestions of how we all can improve the Capital Program delivery process. To standardize the method of submitting recommendations for improvement to the Capital Program delivery process, all employees of Capital Program Management (CPM), FHWA, Consultants, and Contractors involved in the Capital Program delivery process shall use the Process Improvement Recommendation form (QMS112).

Note: The intent of the Process Improvement Recommendation procedure is to improve only the processes used to deliver the Capital Program. It is not intended to be used for any other reason. Administrative, personnel, legal, statutory, or other similar processes should not be included on the QMS112 submission.

4.3 Initiation

Any person working for Capital Program Management (CPM), FHWA, Consultants, and Contractors, who are involved in the Capital Program delivery process, can initiate a QMS112 submission. The initiator of a QMS112 must submit it through a CPM Supervisor, FHWA Supervisor, or the Principal of the Consultant or Contractor's firm directly to Configuration Management (Bureau of Value Management) with a copy sent to the Manager, Bureau of Value Management.

The initiator of the QMS112 should give as much detail of the necessary Process Improvement in the three (3) areas provided (Process Affected, Problem Area &

Suggested Improvement) on QMS112. Quality Management Services will utilize the Immediate and Final Action areas. QMS will also make the final determination on whether a Process Improvement is required.

For those unfamiliar with this form please follow the following instructions:

- (1) Provide a Contact Name, Complete Mailing Address and Daytime Telephone Number.
- (2) Place an "X" in the boxes next to the type of process that will be affected. You may check off more than one box. Please add a short descriptive name of the process affected if you check "Other" and explain further in area (3) (Problem Area).
- (3) Identify the problem(s) and area(s) in need of improvement. Be as specific and complete as possible. Discuss the extent and frequency of the problem, the overall effect on the Capital Program and any other information you feel is pertinent. If statistics are available, provide them. It is helpful to provide statistics that support the severity of the problem cited, (e.g. this occurred on approximately 25% of the projects advertised this fiscal year).

Note: Do not discuss the solution in this section. The solution will be ascertained after the submission of QMS112. The implemented solution may be different from the suggested improvement

Note: The typing area will expand to allow for as much detail as needed. If typing on paper, attach additional sheets if needed.

- (4) Provide Suggested Improvements in area (4) (Suggested Improvement). Identify the procedure(s), form(s), process(s), and policy(s) that need to improve. If possible, identify what savings (time, cost, rework, etc.) are expected from the process improvement.

The Quality Improvement Unit will need to contact a Subject Matter Expert (SME) about the QMS112 submission. Please provide a recommendation of which SME(s) to contact about the recommended Process Improvement.

Note: The typing area will expand to allow for as much detail as needed. If typing on paper, attach additional sheets if needed.

Quality Management Services will fill in all other areas of QMS112. Please submit the completed form to the address listed on the form. Forward a copy of the QMS112 to the following address:

Richard Jaffe, Manager
Bureau of Value Management
7th Floor, E&O Building
1035 Parkway Avenue
P.O. Box 600
Trenton, NJ 08625

4.4 Processing

Quality Improvements Unit will review and process all QMS112 forms. The Quality Improvements Unit, if necessary will take additional action as necessary. The action taken may range from a short review process to the formation of larger task forces. Regardless of the action taken, all writers will have formal responses sent to them detailing the result of their recommendation.

If you have any questions at all regarding this process, please contact the Project Engineer, Quality Improvements of QMS at (609) 530-6104.