

Southern Company Operations

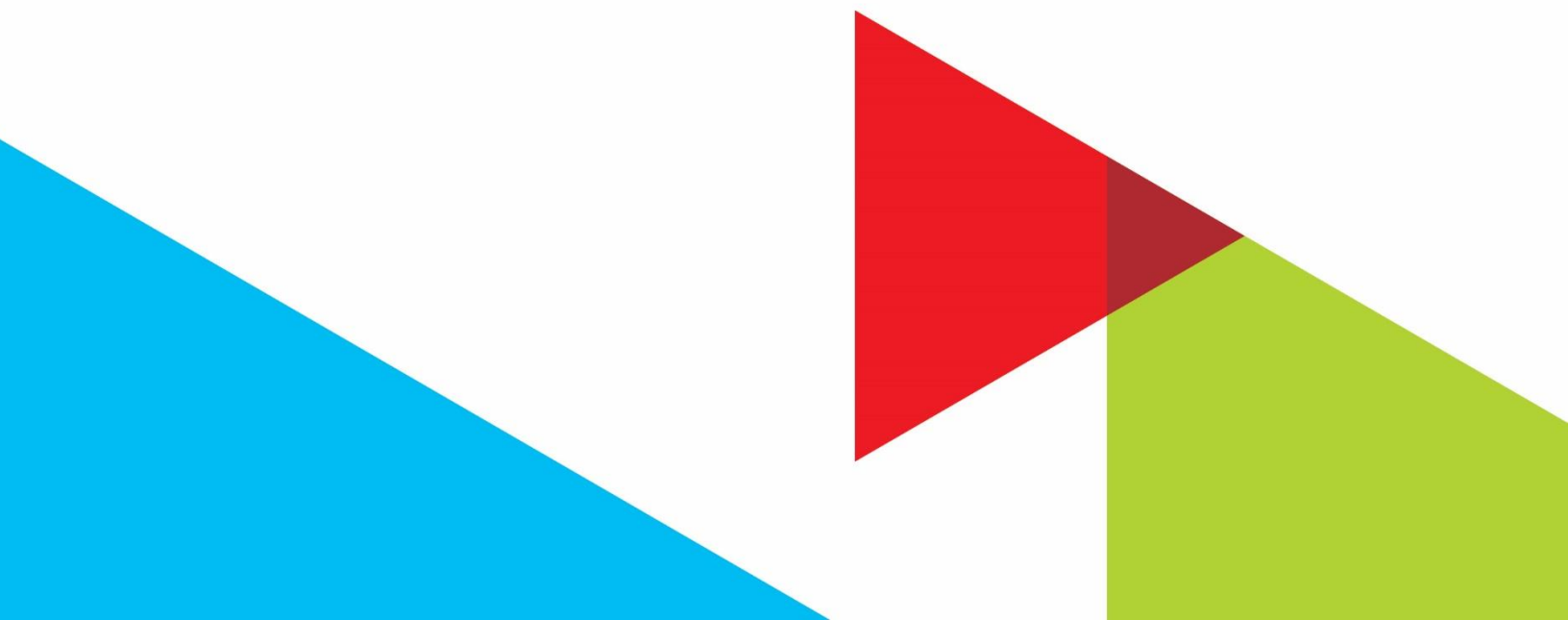
Technical and Project Solutions

Guideline

CO-03.2A

Creating a Quality Document Submittal Plan

Current Revision	Approved by
08/08/2019	Ted Petras – Construction Quality- supervisor
Contact: Ted Petras	





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1.0 PURPOSE AND SCOPE

1.1 Purpose

This guideline outlines the process to create, accept, maintain, and monitor a contractor-generated Quality Document Submittal Plan (QDSP). A contractor QDSP is a communication document that is agreed upon between the Technical and Project Solutions (T&PS) project team and the contractor about the and covers the contractor's critical-to-quality documents, quality document submittal requirements, submittal status, and electronic document storage locations.

1.2 Scope

This guideline applies to all contractors and personnel assigned to T&PS projects that have the requirement listed in their contract documents to develop and maintain a QDSP.

A contractor QDSP is independent of the contractor's document control program, which is part of the contractor's submitted site-specific quality program.

2.0 DEFINITIONS

Quality Document Submittal Plan (QDSP):

The QDSP is a plan that documents the submittal requirements of the contractor's critical-to-quality documentation. The QDSP is intended to facilitate communication and understanding of expectations between the contractor and T&PS. The plan lists quality documentation by descriptive title, submittal timing and frequency of each document, how it is to be submitted, and storage location within the Project Information Management System (PIMS). The plan also documents where T&PS Quality or their Construction Quality Assurance (CQA) Firm will store documents after a quality assurance review (if applicable).

3.0 REFERENCES

[CO-03.02B – T&PS Quality Document Submittal Plan Template](#)

4.0 RESPONSIBILITIES

4.1 T&PS Contractor

The T&PS Contractor is responsible for:

- Submitting their QDSP in PIMS using the Construction Miscellaneous Correspondence (CMC) form, a minimum of 14 days prior to start of work, for T&PS review and acceptance.
- Updating the living document portions of their contractor-generated QDSP as outlined in this guideline.
- Ensuring the QDSP revision history is properly documented on the QDSP by using the CMC number from PIMS as the revision number.



4.2 T&PS Personnel

T&PS personnel are responsible for:

- Reviewing and accepting a contractor-generated QDSP in PIMS using the Construction Miscellaneous Correspondence (CMC) form.
- Designating specific documents listed in the QDSP that must be reviewed by T&PS and stored in the T&PS PIMS Quality folder, and adding hyperlinks to them.
- Monitoring a contractor's submittal activity as outlined in the accepted QDSP and this guideline.
 - Construction Quality regional leads will perform oversight of the QDSP process.
 - When there is an on-site T&PS Construction Quality representative, Construction Quality will be responsible for obtaining the necessary acceptance of the contractor QDSP. T&PS Construction personnel will facilitate this responsibility when there is not an on-site T&PS Construction Quality representative.

4.3 CQA Firm (If applicable)

The Construction Quality Assurance (CQA) Firm is working on behalf of T&PS. The CQA Firm is responsible for the following as outlined in their Scope of Work:

- Reviewing and accepting a contractor-generated QDSP in PIMS using the CMC form.
- Designating specific documents listed in the QDSP that must be reviewed by the CQA Firm and stored in the CQA Firm's designated PIMS Partner Center folders, and adding hyperlinks to them.
- Monitoring the contractor's submittal activity as outlined in the accepted QDSP and this guideline, throughout construction activity.

5.0 GUIDELINE

The contractor will use the T&PS QDSP template to create their QDSP.

A link to the QDSP Template is in 3.0, References and is included in the contractor's contract document package.

The steps below are a guide to create, accept, and maintain a contractor-generated QDSP.

5.1 T&PS QDSP Template Description

5.1.1 T&PS QDSP Template

The T&PS QDSP Template includes a portion to be completed by the contractor and a portion to be completed by T&PS Quality personnel or CQA Firm.

The T&PS QDSP Template includes two sections:

- Contractor Submittal Section. (Contractor to complete)



- QA Review Section. (T&PS to complete)

5.1.1.1 Contractor Submittal Section

The Contractor Submittal section is completed by the contractor. It is designated by green heading cells. This section includes the following columns:

- Submittal Description
- Submittal Frequency
- Timing of Submittal
- Submittal Type
- In-Process Storage Location
- Hyperlink of Folder Storage Location
- Document Submittal Dates.

The columns under the Document Submittal Dates are considered the *Living Document Portion* of the QDSP. The Document Submittal Dates columns designate start and stop dates of ongoing submittals, and also are used as a log for one-time submittals.

5.1.1.2 QA Review Section

The QA Review section is completed by T&PS or a CQA firm. It is designated by light blue heading cells. This section includes the following columns:

- Responsible Party for Acceptance
- Location of Accepted Documents with Created Hyperlink.

See Figure A for a partial image of the T&PS QDSP Template.

Figure A

Project ID/Project Name:		Contractor:		Work Description:		Quality Document Submittal Plan						
Contractor / QC Submittal						QA Review						
Submittal Description	Submittal Frequency	Timing of Submittal	Submittal Type	In-process Storage Location	Folder Location			Document Submittal Date			QA Responsibility	Folder Location
					One Time Submittal	On-Going Submittal	Final Submittal Date	Submittal Date	Submittal Start Date	Submittal End Date	Submittal Date	Submittal Date
General												
Nonconformance Report (NCR)	As Needed	Within 2 days of nonconforming event	NCR									
QA Manual - Site Specific	One time - Update as required	Within 30 days of Contract Award	CNC	Partner								
Calibration Certifications	Updated throughout project	As certs expire or arrive onsite	CNC	Partner								
Calibration Log	Updated throughout project	As certs expire or arrive onsite	CNC	Partner								
Inspection and Test Plans	One time - Update as required	14 days prior to performing work	CNC	Partner								
Contractor QC Manager Resumes / Certifications	Updated throughout project	14 days prior to performing work	CNC	Partner								
Contractor Quality Surveillance Plan	Updated throughout project	Open to status update meetings or minimum 2 per month	CNC	Partner								
Third Party Test Agency Resumes / Certifications	One time - Update as required	14 days prior to performing work	CNC	Partner								
Quality Verification Reports	As required in ITP	Within 3 days of reporting event	Partner	Partner								
Contractor Requests for Clarification	As Needed	Throughout project	RFI	RFI								
Tenonome Calibration	Per Year	14 days prior to installation	CNC	Partner								
Dial Reports	Daily	As required in contract special conditions - No later than Tuesday 3:30pm on following week	CNC	Partner								
Weekly Reports	Weekly	As required in contract special conditions - No later than Tuesday 3:30pm on following week	CNC	Partner								
Monthly Reports	Monthly	As required in contract special conditions - 5th of each month	CNC	Partner								
Annual Reports	Annually	As required in contract - By January 31st of Each Year	CNC	Partner								
Final Certification Report	One time	Within 30 days of completion of construction activities	CNC	Partner								
Survey												
Survey Cert	One time - Update as required	14 days before surveying begins	CNC	Partner								
Survey Instrument Calibration	Updated throughout project	As certs expire or arrive onsite	CNC	Partner								
Record drawing of benchmarks and control points	One time - Update as required	14 days before surveying begins	CNC	Partner								
Initial record survey prior to beginning earthmoving	One time - Update as required	14 days before surveying begins	CNC	Partner								
Intermediate record survey drawings	One time - Update as required	As points as practicable - Prior to install of subsequent bases	CNC	Partner								
Survey Control Network	One time - Update as required	14 days prior to use	CNC	Partner								



5.2 Creating a Contractor QDSP using the T&PS QDSP Template

5.2.1 Complete QDSP Header

The contractor will complete the header information section of the T&PS QDSP Template with their specific project-related information.

This information includes the following:

- Project ID / Project Name
- Contractor Name
- Work Description

5.2.2 Determine Documents to be Submitted

The contractor will review their scope of work, the project specifications, and the code requirements, to determine the quality documentation required for the project. Contractors will use the referenced QDSP Template, pre-populated with quality documents listed under Submittal Description, as a guide to facilitate the creation of their QDSP by adding or deleting the listed submittal descriptions to fit the required quality documents for their scope of work. (See highlighted column in Figure B)

Figure B

Quality Document Submittal Plan									
Contractor / QC Submittal					Document Submittal Date			QA Review	
Submittal Description	Submittal Frequency	Timing of Submittal	Submittal Type	In-process Storage Location	Folder Location			QA Responsibility	Folder Location
					One Time Submittal	On-Going Submittal	Final Issued Date		
					• Provide hyperlink to folder in FIMS Partner Center • Folders shall only contain items identified per the folder naming convention • Consult T&PS Construction Quality for file naming requirements • File paths are limited to 400 characters			• Provide hyperlink to folder in FIMS for Final file location • Folders shall only contain items identified per the folder naming convention • Consult T&PS Construction Quality for file naming requirements • File paths are limited to 400 characters	
General									
Nonconformance Report (NCR)	As Needed	Within 7 days of nonconforming event	MC	MCB					
J&H Manual - Site Specific	One time - Update as required	Within 5 Days of Contract Award	CNC	Partner					
Calibration Certification	Updated throughout project	As contractors arrive onsite	CNC	Partner					
Calibration Log	Updated throughout project	As contractors arrive onsite	Partner	Partner					
Inspection and Test Plans	One time - Update as required	30 days prior to performing work	CNC	Partner					
ConsensusDOCS Manager Resume / Certifications	One time - Update as required	14 days prior to performing work	CNC	Partner					
Contractor Quality Surveillance Plan	Updated throughout project	Prior to start-up/updates meetings or minimum 2 per month	Partner	Partner					
Third Party Test Agency Services / Certifications	One time - Update as required	14 days prior to performing work	CNC	Partner					
Quality Verification Reports	As outlined in ITP	Within 7 days of reporting event	Partner	Partner					
Condition Report for Calibration	As needed	Throughout project	PE	PE					
Insensometer Calibration	Per Year	30 days prior to installation	CNC	Partner					
Daily Reports	Daily	As required in contract special conditions - No later than As required in contract special conditions - 9:30am the	CNC	Partner					
Weekly Reports	Weekly	As required in contract special conditions - No later than Tuesday 3:30am on following week	CNC	Partner					
Monthly Reports	Monthly	As required in contract special conditions - 5th of each	CNC	Partner					
Annual Reports	Annually	As required in contract - 30 January 3rd of each year	CNC	Partner					
Final Certification Report	One Time	Within 75 days of completion of construction activities	CNC	Partner					

5.2.3 Enter the Submittal Frequency and Timing for each Quality Document

Each quality document listed requires entries in the Submittal Frequency and the Submittal Timing columns. The contractor should refer to their contract package, project specification(s), and the T&PS Contractor Quality Requirement document to aid in completing.

Note: This is not the frequency for performing the activity but is the frequency for submitting the documentation.



5.2.4 Determine Submittal Type

The contractor will refer to their contract documents and the pre-populated suggestions in the T&PS QDSP template to determine the appropriate transmittal method for each quality document listed in their QDSP. If the transmittal method is not listed in the contract documents, or if there are questions concerning the submittal type, contact T&PS personnel for clarification. The accepted method will be entered under the Submittal Type column of their QDSP.

5.2.5 Determine In-process Storage Location within PIMS

All documents listed as *CMC* or *Partner* in the Submittal Type column require a unique folder to be created in the contractor's designated Partner Center folder, and the word *Partner* to be entered in the In-process Storage Location column. Submittal Types such as RFI and NCR will automatically be stored in their corresponding PIMS form logs and do not require unique folders in the Partner Center.

Each contractor is required to organize a folder structure within their PIMS designated Partner Center to store the quality documents listed in their QDSP. Each folder name must be reflective of its contents, and no other types of submittals may be uploaded to that folder.

File names must include the following:

- Occurrence Date - in numerical format (YYYYMMDD to represent the occurrence date, or last day of occurrence if a series of information is submitted)
- Name - Brief submittal description
 - Be concise. File paths in PIMS cannot exceed 400 characters.
- Location - (if the project has dedicated names of areas where construction activity is occurring)

The naming convention of files is as follows:

occurrence date.name.location

Here is an example of the naming convention for a concrete pour card submittal:

2018.06.26.ConcretePourCard.CTMB Building Pad

Each quality document must have a hyperlink to its In-Process Storage Location and be included in the contractor's QDSP. After PIMS access has been granted to the contractor, T&PS Quality personnel or Construction personnel will support the contractor in creating hyperlinks.

5.2.6 Capturing Document Submittal Date

The three columns under the Document Submittal Date are the *Living Document Portion* of the QDSP. The contractor will capture the submission date for one-time submittal documents under the Submittal Date column. The QDSP is not a log to capture



documents that have multiple submittals, although the two columns labeled Submittal Start Date and Final Submittal Date are for the contractor to capture milestone dates for documents with ongoing submittals.

Refer to section 5.5.1 of this document for details regarding maintaining these columns.

5.2.7 Populating the QA Review Section

There are two columns under the QA Review Section that will be populated by T&PS Quality or Construction personnel, as well as a CQA Firm (if applicable). The T&PS or CQA Firm column designates whom will be performing the QA review. The last column of the T&PS Template is the Hyperlink column, which will contain a hyperlink to any secondary T&PS or CQA Firm file storage locations in PIMS.

These are some examples:

- If T&PS personnel want to store a secondary copy of a quality document listed in the contractor's QDSP in the T&PS PIMS Document Center folders, a hyperlink to the secondary file location will be entered in the Hyperlink column, and *T&PS* will be entered in the column to its left under QA Review.
- If a CQA Firm wants to store a secondary copy of a quality document listed in the contractor's QDSP in the CQA Firm's designated PIMS Partner Center folder, a hyperlink to the secondary file location will be entered in the Hyperlink column, and *CQA Firm* will be entered in the column to its left under QA Review.
- If a populated line item in the contractor's QDSP has cells that are left blank in the QA Review section, then the only storage location of that quality document is in the contractor's designated Partner center folder in PIMS.

5.3 **Submitting a Contractor QDSP for Review and Acceptance**

5.3.1 Submittal Requirements

The contractor shall use the CMC form in PIMS to submit their completed QDSP to T&PS for review a minimum of 14 days prior to start of work.

Requests to deviate from the required submittal timeframe shall be submitted to T&PS for acceptance using the Request for Information (RFI) form in PIMS.

A nonconformance report (NCR) may be initiated if the contractor does not submit their QDSP for acceptance by the required dates.

5.3.2 Review Process

Each contractor's QDSP will be reviewed by T&PS Quality or Construction personnel, as well as a CQA Firm (if applicable), to ensure the following: the appropriate quality documents needed for their project have been listed and adequately categorized, the appropriate submittal timeframe is listed, how each quality document will be submitted is listed, and that the folder structure has been created in the designated Partner Center in PIMS with working hyperlinks.



Any comments made during this review will be communicated to the contractor. The contractor must consider each comment and incorporate the necessary changes into their QDSP.

Discussions will continue between T&PS and the contractor until all comments have been resolved and the QDSP is ready to be submitted for acceptance.

5.3.3 Accepting

After a contractor has made the agreed-on adjustments to their reviewed QDSP, it will be resubmitted to T&PS for final acceptance on the original CMC form in PIMS.

When T&PS, the CQA Firm (if applicable), and the contractor have agreed on the contents of the QDSP, the CMC will be accepted and closed by T&PS Quality.

The contractor will note the acceptance date, the CMC number, and initial acceptance in the revision history table on the QDSP and upload the accepted QDSP to their designated Partner Center folder. See Figure C for an image of the revision history table.

Figure C

Revision History Table		
Date	Revision (CMC Number)	Description of Change
1.1.2019	CMC 1	initial acceptance

5.4 **Storage**













Each accepted QDSP shall be stored in the same location in PIMS for all T&PS projects.

To achieve uniformity, each contractor shall create a folder in their designated Partner Center in PIMS named Quality Documents. Next, the contractor shall create a subfolder within the newly created Quality Documents folder named 00 - QDSP. The QDSP and any revisions to the QDSP must be stored in this subfolder.

This naming convention will aid in organizing the folders created within the Quality Documents folder, and allow the 00 - QDSP folder to remain as the top folder in the list of folders for easy access. See Figure D for an example of this folder structure.



Figure D

- ✓  Name
-  00 - QDSP
-  Calibrations
-  Concrete Documentation
-  CQS Plans
-  HDPE Pipe Documentation
-  ITPs
-  Pressure Testing
-  Resumes
-  Site Specific Quality Plan
-  Survey
-  Welding Documentation

5.5 Maintenance and Revisions

5.5.1 Living Portions of the QDSP

The three columns under the Document Submittal Date are the *Living Document Portions* of the QDSP. The contractor will capture the submission date for one-time submittal documents under the Submittal Date column. The QDSP is not a log to capture documents that have multiple submittals, although the two columns labeled Submittal Start Date and Final Submittal Date are for the contractor to capture milestone dates for documents with on-going submittals.

Note: Submittal logs work in conjunction with the QDSP to capture ongoing submittals that require review. Submittal logs are typically used by CQA Firms for Ash Pond Closure certification projects or by T&PS personnel on items such as Inspection and Test Plans (ITP).

5.5.2 Revisions

A contractor is responsible for maintaining their QDSP. A new revision must be issued when significant changes are warranted.

Significant changes include, but are not limited to:

- Changes to the QDSP header, additions, removals, any changes to the agreed-on list of submittal descriptions from the list on the accepted QDSP, their submittal frequency, submittal timing, or the submittal type.



A contractor must note the revision description in the revision history table and submit the revised QDSP through a CMC.

Revisions will be submitted by CMC for informational purposes only by selecting *Information Only* from the Submittal Reason drop down list.

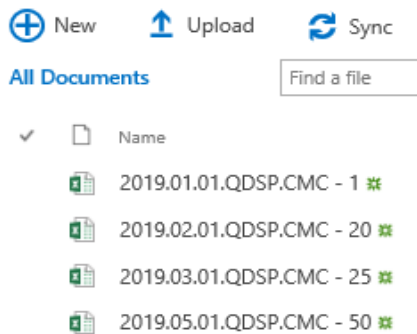
Only the initial QDSP requires acceptance by T&PS through a CMC. If T&PS or the CQA Firm do not agree with the revision made by the contractor, the contractor will update the QDSP until T&PS and the CQA Firm agree with the revision.

After submitting the CMC, the contractor will note the CMC number and the acceptance date on the revision history table, modify the file name to reflect the new revision, and upload the QDSP to their 00 - QDSP folder. See Figure E for an example of a revision history table and Figure F for an example of file naming convention for a QDSP that has gone through revisions.

Figure E

Revision History Table		
Date	Revision (CMC Number)	Description of Change
1.1.2019	CMC 1	initial acceptance
2.1.2019	CMC 20	added ash color data report
3.1.2019	CMC 25	removed soil verification report
5.1.2019	CMC 50	changed frequency of test reports

Figure F



Minor changes that do not need to go through a CMC acceptance process include, but are not limited to:

- Updates to Document Submittal Dates captured in the *Living Document Portion* of the QDSP. (Refer to section 5.4.1)

If it is unclear on what constitutes a significant change, a contractor should contact T&PS Quality personnel for guidance and to determine a path forward.



5.6 Monitoring a Contractor-Generated Quality Document Submittal Plan

Each contractor is responsible for ensuring their QDSP is followed throughout the entirety of the project.

T&PS personnel and a CQA Firm (if applicable) will perform regular monitoring of the accepted QDSP to ensure quality submittals and that their requirements are adhered to.

This monitoring may be in the form of reviews such as an assessment review, surveillance, or an audit.

Deviations to the accepted QDSP may result in a Nonconformance Report (NCR).

6.0 KEY CONTACT

For questions about the content or implementation of a QDSP using this Guideline; contact the T&PS Construction Quality supervisor.

7.0 ATTACHMENTS

T&PS QDSP Template

8.0 GUIDELINE VERSION HISTORY

08/08/2019

Initial Issue

Reviewed by: Wesley Wright

Approved by: Ted Petras