1.0 **Policy**

The SFPUC Infrastructure Construction projects may require the services of an independent third party to observe and confirm the quality of Contract supplied materials and equipment at the Vendor's fabrication facility.

This CM Procedure applies to all personnel working on the SFPUC Infrastructure projects during construction to the extent that their work is affected by these SFPUC Infrastructure CM Procedures and does not conflict with specific San Francisco Public Utilities Commission (SFPUC) policies or the Contract under which the Work is executed.

2.0 **Description**

This procedure defines the requirements, roles and responsibilities for the Supplier Quality Surveillance (SQS) and the surveillance process implementation.

2.1 **SQS Overview**

SQS is a component of Quality Management which is performed at the supplier manufacture or fabrication facility.

2.1.1 SQS activities are performed for both the (a) City furnished materials and equipment, and (b) Contractor provided materials and equipment.

2.2 **Quality Control Activities**

The SQS Plan activities are NOT a substitute for Quality Control Plan activities performed by SFPUC Suppliers or Contractors at the Vendor's fabrication facility, and no liability is incurred for SQS activities.
3.0 Definitions

3.1 Equipment List

The Equipment List is a table of major mechanical and electrical equipment required by a Construction Contract and City furnished equipment. An Equipment List is prepared with the draft SQS Plan for review and approval. Typical information can include the following:

- Equipment Identification with Tag Number if available;
- Item Description;
- Reference Drawing;
- Specification Reference;
- Provider (Contractor or City);
- Comments (including additional item description information);
- Recommendation for SQS Plan (indicates if part of SQS).

Refer to Attachment 032-1 for draft Equipment List sample.

3.2 Factory Acceptance Tests

Factory Acceptance Tests are verifications that specific equipment and their components conform to the performance criteria specified in the Contract Documents.

3.2.1 Factory Acceptance Tests occur before the materials or equipment are delivered to the construction site.

3.2.2 SFPUC Infrastructure personnel have the primary responsibility to witness and document the Factory Acceptance Tests.

3.2.3 The CMB Manager may authorize Independent Third Party Participation /Witness of Factory Acceptance Tests.

3.3 Quality Assurance (QA)

Quality Assurance is the element of Quality Management that requires development and implementation of a system of processes and procedures that will enable the SFPUC Infrastructure Team to provide confidence that the products and work meet the quality requirements of the Contract Documents. Quality Assurance surveillance is conducted to verify conformance to specific contract or procedural requirements.

3.4 Quality Control (QC)

Quality Control is the element of Quality Management that requires development and implementation of a system of processes and procedures that will enable the Contractor (or Vendor) to verify that the work as constructed complies with the requirements of the Contract Documents.

3.4.1 Quality Control emphasizes testing as one of the available tools to uncover defects or non-compliance of products to specifications which are made part of the Contract or Purchase Order.
3.4.2 Prior to equipment fabrication, the Contractor or City PO Vendor (Supplier) submits a Quality Control Plan that describes the system for controlling the quality of the parts and materials for SFPUC approval.

3.5 **Supplier Quality**
Supplier Quality is the element of Quality Management that requires development and implementation of a system of processes and procedures that will enable the Supplier to provide confidence that the products and work meet the quality requirements of the Contract Documents.

3.6 **SQS Reports**
SQS Reports are prepared by the SQS Surveillance personnel based on their surveillance of equipment fabrication and/or assembly at the Vendor's fabrication facility and then sent to the SQS Coordinator for review and distribution; refer to Attachment 032-5.

3.7 **Supplier Quality Surveillance (SQS)**
SQS is the Progressive Quality system observation at Sources of Manufacture for materials and equipment, specific to the users applied standards, specifications and good “Quality Practice” prior to Vendor shipment, site arrival, user inspection and purchaser Final Acceptance.

3.8 **SQS Non-Compliance Report**
An SQS Non-Compliance Report is prepared by SQS Surveillance personnel for observed quality deficiencies or non-conformance to specification requirements, refer to Attachment 032-6.

3.8.1 After notification and review of SQS Non-Compliance, the RE prepares and issues a SFPUC Non-Compliance Report to the Contractor in compliance with the Contract Documents.

3.8.2 The Project Engineer is responsible to issue SFPUC Non-Compliance Reports for City Furnished Materials and Equipment to the Vendor in compliance with the Contract Documents.

3.9 **Supplier Quality Surveillance (SQS) Plan**
The SQS Plan is a description of specification requirements that will be surveilled, and Vendor documentation that will be reviewed, at the Supplier/Vendor or Sub-Vendor fabrication facility. A sample SQS Plan is provided on Attachment 032–2.

4.0 **Responsibilities**

4.1 **Contractor**
The Construction Contractor is responsible for executing the Work to meet all of the requirements of the Contract. The Construction Contractor is
responsible for Quality Control and Material Testing (as required by the Contract), and for providing verification that the products and services meet these requirements.

4.2 **CMB Manager**
The CMB Manager manages the Construction and Closeout Phases of all SFPUC Infrastructure Projects. The CMB Manager may authorize an independent third party surveillance of Contractor provided materials and equipment.

The CMB Manager is responsible for approving the SQS Plan for City furnished and Contractor provided items prepared by the SQS Manager or the PM/PE.

4.3 **Resident Engineer (RE)**
The RE manages the Construction Contract; verifies that the construction work is completed in conformance to the Contract Documents; and determines when contractual action is required related to a quality issue. The RE is responsible for providing Vendor information necessary to plan and execute SQS activities and for following up with the Contractor to address any reported quality non-conformances or deficiencies resulting from SQS activities.

The RE coordinates directly with the SQS Manager and/or SQS Surveillance personnel for Contractor furnished quality or production schedule issues at the Vendor’s fabrication facility.

4.5 **Project Engineer (PE)**
The Project Engineer oversees the development of the technical specifications and the quality requirements specified therein. The PE is also responsible for defining the quality requirements for vendors providing City furnished materials and equipment, the storage requirements, and the requirements for acceptance and verification by the Contractor.

4.5.1 The PE serves as the primary point of contact with the Engineer(s) of Record for the project for all Vendor quality issues.

4.5.2 The PE is responsible for conducting and/or arranging for Factory Acceptance Test(s) witness and documentation performed by the SFPUC Infrastructure CM Team.

4.6 **Project Manager (PM)**
The PM works with the PE to review and provide input to the draft Equipment List and draft SQS Plan. The PM is also responsible for providing all Vendor information, from the PE, to the SQS Coordinator for City furnished materials and equipment upon award of a Purchase Order.
4.7 **Program Quality Manager (PQM)**

For major capital improvement programs, the individual functioning in the role of the Program Quality Manager develops the requirements, business processes, procedures and training for quality assurance applications during construction. In the absence of the PQM the PCM will take over this role.

4.7.1 The PQM monitors and audits compliance by the CM Teams with quality assurance procedures and requirements and consistent enforcement of the Contract terms related to quality.

4.7.2 The PQM assists the SQS Coordinator with monitoring the construction contract Notice to Proceed dates and obtaining from the RE Vendor information for SQS items.

4.7.3 The PQM assist with follow-up and resolution of SQS Non-Conformances and deficiencies reported by SQS Surveillance personnel.

4.8 **Construction Manager (CM)**

The CM directs the CM team members, including managing the REs and implementation resources.

4.9 **Supplier Quality Surveillance (SQS) Coordinator**

The SQS Coordinator is responsible for the SQS coordination efforts throughout multiple projects or multiple fabrication sites within a project and include:

- Interfaces with PM and PE for SQS Plan comments and notifies SQS Manager of any issues needed for resolution;
- Coordinates and manages any Sub-Consultant firms providing direct SQS support services;
- Notifies designated SFPUC RE of SQS Pre-Surveillance Meeting;
- Assigns SQS Surveillance personnel for all initial, interim and final surveillance;
- Distributes SQS Reports and Non-Compliance to SFPUC Project Engineer, PM, CM and PQM.
- Is responsible for preparing the draft Equipment List and SQS Plan.

Maintains the SQS files for their assigned project purchase orders until completion of the assignment for turnover to the SFPUC.

4.10 **SQS Surveillance Inspector**

SQS Manager and SQS Surveillance Inspector conduct periodic observation and inspection of the designated City furnished and Contractor furnished equipment and material at the source of fabrication and assembly other than the construction site.
4.10.1 SQS Surveillance Inspector shall:

- Review SFPUC approved Project SQS Plan and develop surveillance plans for each item and Vendor.
- Arrange for the Pre-Surveillance Meeting with Vendor and notify the SQS Coordinator.
- Conduct Pre-Surveillance Meeting with each Vendor and/or Contractor to review quality requirements andVendor QC plans, and fabrication schedules.
- Conduct an independent third party quality surveillance and fabrication progress status for each item pursuant to the SQS Plan approved by the SFPUC.
- Witness equipment performance Factory Acceptance Tests, if requested.
- Prepare and submit SQS Surveillance Reports including SQS Non-Compliance Reports to SQS Coordinator.
- Notify SQS Coordinator of critical issues or additional follow-up QA activities required.

4.11 Vendor

The Vendor (aka: Supplier) provides the contract materials and equipment to the Contractor to complete the Work.

4.11.1 The Vendor and Sub-Vendor (if needed) provide the following materials and equipment information through the RE (for Contractor furnished) or PE (for City furnished) to the SQS Coordinator for each SQS item:

- Factory Name, Location, Contact Representative Name and Telephone Number;
- Purchase Order (without contract price), specifications and Quality Control requirements;
- Scope of Supply;
- Material or Equipment Data Sheets (for each item identified by Tag Number);
- Inspection and Test Plans;
- Factory Acceptance Test Procedure;
- Vendor Fabrication Schedules;
- Same information as above required for Sub-Vendors of major components.
4.11.2 The Project Engineer is the Vendor contact for City Furnished Materials and Equipment until acceptance by the RE at the Construction site.

5.0 Implementation

5.1 SQS Plan Development and Approval

5.1.1 Project Manager provides 95% Construction drawings and specifications, and final drawings and specifications for City furnished equipment to SQS Coordinator. (Project Manager is also responsible for providing any bid addenda to the SQS Coordinator that changes drawings or specifications.)

5.1.2 SQS Manager submits Draft Equipment List to PM and PE for review.

5.1.3 PM and PE review draft Equipment List and PM forwards comments to SQS Coordinator.

5.1.4 SQS Manager discusses any differences with PM for decision.

5.1.5 SQS Manager updates Draft Equipment List and drafts SQS Plan.

5.1.6 SQS Coordinator submits documents to CMB Manager for approval.

5.1.7 CMB Manager obtains input from PM and PE, approves SQS Plan and returns to the SQS Coordinator.

5.1.8 SQS Manager updates SQS Plan as needed and SQS Coordinator sends final version to the PM and CMB Manager.

5.2 Pre-SQS Plan Implementation

5.2.1 SFPUC issues Purchase Order /Construction Contract NTP.

5.2.2 RE provides the Vendor Information to the SQS Coordinator from the Contractor, refer to Attachment 032-4.

5.2.3 Project Manager provides the City awarded Purchase Order and Vendor information for City furnished equipment to the SQS Coordinator.

5.2.4 SQS Coordinator develops Task Assignments for surveillance activities and assigns the SQS Surveillance Inspector for all initial, interim and final surveillance activities.

5.3 SQS Plan Implementation

5.3.1 The designated SQS Surveillance Inspector arranges for the Pre-Surveillance Meeting with each Vendor and/or Contractor, notifies the SQS Coordinator. The SQS Coordinator notifies the designated RE and PE for their optional attendance.
5.3.2 The SQS Surveillance Inspector conduct the Pre-Surveillance Meeting to review quality requirements, Vendor QC Plans and fabrication schedules.

5.3.3 SQS Surveillance Inspector perform surveillance activities at Vendor’s fabrication facility.

5.4 **SQS Reporting**

5.4.1 The SQS Surveillance Inspector submits SQS Reports to the SQS Coordinator; refer to Attachment 032-5.

5.4.2 The SQS Reports include discussion of activities observed, fabrication progress, deficiencies observed and any Non-Compliance Reports deemed necessary by the SQS Surveillance personnel.

5.5 **Factory Acceptance Tests**

Factory Acceptance Tests are in-factory testing that verify specific equipment components conformance to the required performance specified by the Contract Documents before the equipment is delivered to the construction site.

5.5.1 Factory Acceptance Tests are witnessed and documented by an SQS Surveillance Report by the Project Engineer or designee.

5.5.2 The CMB Manager can authorize the SQS Surveillance Inspector to participate in Factory Acceptance Tests.

5.6 **SQS Plan Close-out**

The SQS Coordinator transmits the SQS files to the RE at the completion of the project assignment.

6.0 **Other Procedural Requirements**

6.1 **SQS Plan**

Develop Supplier Quality Surveillance (SQS) Plan (for each project).

6.2 **SQS Vendor Shop Schedule**

Incorporate SQS Vendor Shop Schedule into CM Schedule.

6.3 **Transfer of Responsibility**

Transfer City Furnished Materials and Equipment responsibilities from Project Engineer to RE at Work Site.

6.4 **SQS Exceptions**

PE shall notify and provide documentation to RE any SQS item exception allowed at the Vendor Shop which was deferred to the Field.
7.0 References

7.1 Technical Specifications
Section 01 60 00 Product Requirements
Section 01 64 00 Owner-Furnished Products

7.2 CM Procedures
No. 015 City Furnished Materials and Equipment
No. 028 Construction Quality Management

7.3 Others
SFPUC Infrastructure Construction Management Plan

8.0 Attachments
032 - 1 Draft Equipment List – Sample
032 - 2 Supplier Quality Surveillance (SQS) Plan – Sample
032 - 3 Pre-Surveillance Meeting Report – Sample Form
032 - 4 Contractor Provided Vendor Information- AWWA C504 Butterfly Valves
032 - 5 SQS Report – Sample Format
032 - 6 SQS Non-Conformance Report
032 - 7 Revision Control Log
### SUNF PUMP

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- **Vendor:** TBD
- **Inspected By:** <print name and signature>
- **Date:** 6/19
- **Inspection Report No.:** 69-030
- **Inspection Status:** TBD
- **QA REQUIREMENTS**
  - 2.01A. Check seal
  - 2.01A. Check seal

SFPUC Infrastructure CM Procedure No. 032, Revision 0, Page 11 of 18
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Supplier Quality Surveillance

PRE-SURVEILLANCE MEETING REPORT

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A Pre-Surveillance <Meeting> <Teleconference> was held on __________. The meeting location was __________, and was conducted to review and establish the surveillance requirements for this order.

Those attending the <meeting> <teleconference> were:

The vendor was advised that surveillance efforts on the behalf of __________ would be the responsibility of __________. The vendor was further advised to notify __________ five (5) days prior to the start of work to be monitored.

All items requiring action as a result of this meeting are marked with a double asterisk (***) and are summarized at the end of this report.

The following is a summary of the meeting, which highlights specific subjects and activities.

I. STATUS OF ORDER
A. Weld or Other Procedures:

B. Other Vendor Data Required:
Pre-Surveillance Meeting Report
Vendor:
Report No.
Page No.

C. Fabrication/Shipmen Schedule:

Fabrication is scheduled to begin ________________, and shipment is scheduled for ________________

Based on schedule, SSO Surveillance personnel are planned for:

II. PURCHASE ORDER AND SPECIFICATION REQUIREMENTS
A. This equipment is to be fabricated, tested, and observed in strict accordance with the following:

III. VENDOR'S EXCEPTIONS

IV. MONITORING ACTIVITIES

Surveillance activities will consist of , but not necessarily limited to the following:

V. ACTION: As a result of the meeting, the following Action Items are required:

Vendor’s Action:
Item #

SFPUC RE Action:
Item #

SSO Surveillance Personnel Action:
Item #

VI. REMARKS: (Shop tour, observation of vendor capabilities, any additional information that will complement the meeting proceedings.)

VII. CLOSING STATEMENT: (SSO Surveillance Personnel’s next intended visit/actions)

Surveillance Personnel’s Name

Attachments: SQS Checklist YES NO
Product: AWWA C504 Butterfly Valves

Size: 42"


Type: Contractor-Furnished

R58P, M54P, M55P, T57P, K54P;
Steel Body HP250/125# Drill Butterfly Valve with Auma EMO
Open/Close SA10.1-26B/GS315/GZ30-32 Floor Stand

T54M:
Steel Body HP250/125# Drill Butterfly Valve with Auma EMO
Open/Close SA10.1-26B/GS315/GZ30-32

P59R:
Steel Body HP250/125# Drill Butterfly Valve with Auma EMO
Open/Close SA10.1-26B/GS315/GZ30-32 Valve Control Panel

PO Info: See Attached

Manufacturer: Henry Pratt Company
Southwest Valve & Equipment, LLC
401 Highland Avenue
Aurora, IL 60506

Vendor: Groeniger & Company
27750 Industrial Blvd.
Hayward, CA 94544

Contact: Brent Fosdick
Groeniger & Company
(510) 786-3333

Schedule: Released for Fabrication Complete Delivery 07-15-17
### Supplier Quality Surveillance

**SURVEILLANCE REPORT**

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### INSPECTION SUMMARY:

### ISSUES:

### FABRICATION PROGRESS STATUS:

Next Scheduled Surveillance:

### ATTACHMENTS

- **SQS CHECKLIST**: YES _____  NO _____
- **NONCONFORMANCE NOTICES**: YES _____  NO _____
- **OTHER (List)**
## SUPPLIER QUALITY SURVEILLANCE

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<td>PO control No.</td>
<td></td>
</tr>
<tr>
<td>PO item No(s):</td>
<td></td>
</tr>
<tr>
<td>Supplier:</td>
<td></td>
</tr>
<tr>
<td>Supplier location (city/state):</td>
<td></td>
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</tbody>
</table>

### Supplier Quality Information

<table>
<thead>
<tr>
<th>Equipment/material description:</th>
<th>Quantity:</th>
<th>Tag No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shop order No.:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description of nonconformance:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NCR issued by:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date of issue:</td>
<td></td>
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</tbody>
</table>

### Category

<table>
<thead>
<tr>
<th>Category of NCR (check one only):</th>
<th>(A) Procedural</th>
<th>(B) Quantity</th>
<th>(C) NDIE</th>
<th>(D) Testing</th>
</tr>
</thead>
<tbody>
<tr>
<td>(E) Welding</td>
<td>(F) Workmanship</td>
<td>(G) Notification</td>
<td>(H) Documentation</td>
<td></td>
</tr>
<tr>
<td>(I) Material</td>
<td>(J) Dimensional</td>
<td>(K) Packaging (including marking/tagging)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(L) Specification/data sheet</td>
<td></td>
<td>(M) Design</td>
<td>(N) Other</td>
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</table>

### Root Cause

<table>
<thead>
<tr>
<th>Root cause (check as applicable):</th>
<th>(A) Supplier system failure</th>
<th>(B) Supplier QC failure</th>
<th>(C) Design deficiency</th>
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</thead>
<tbody>
<tr>
<td>(D) Ambiguous requirement</td>
<td>(E) Project</td>
<td>(F) Other</td>
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</table>

### Recommended Disposition

Authorized Disposition:

Disposition Authorized by:

SQS Surveiller:

<table>
<thead>
<tr>
<th>RE:</th>
<th>Date:</th>
<th>Project Engineer:</th>
<th>Date:</th>
<th>POAM:</th>
<th>Date:</th>
<th>Other:</th>
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</thead>
</table>

### Description of corrective action taken:

Description of corrective action taken to prevent recurrence:

Verified by: Date Verified:

Remarks:

### Supplier Quality Report Information

<p>| Copy Issued to Supplier | |
|-------------------------||
| Date:                   | |
| Referenced Inspection report No.: | |
| Status:                 | Open | CLOSED |
| Form: PWI SQ Rev 0 March 2006 (Filename) | |</p>
<table>
<thead>
<tr>
<th>Revision No.</th>
<th>Revision Date</th>
<th>What changed?</th>
</tr>
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<tbody>
<tr>
<td>Rev 0</td>
<td>11/14/16</td>
<td>Signed</td>
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