

Title: Appendix F SPK Quality Management Process, Product Development, Technical Review, and Quality Control Certification Forms

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## Appendix F

# SPK Quality Management Process, Product Development, Technical Review, and Quality Control Certification Forms

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APPROVED BY:

DATE: \_\_\_\_\_

MARK C. CHARLTON

Deputy District Engineer

Programs and Project Management Division

Changes to this document require the concurrence of the District Staff Chiefs and approval by the DD PMPD, and shall only be made following the procedures described herein.



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**-- STANDARD --**  
**(Plans and Specifications Development by In-House Resources)**

US Army Corps of Engineers  
Sacramento District  
DISTRICT ENGINEER'S QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

The District has completed the plans and specifications for [***Project Name***], [***installation and / or location***]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

GENERAL FINDINGS and RECOMMENDATION

Compliance with clearly established policy, principles and procedures, utilizing clearly justified and valid assumptions, has been verified. This includes assumptions; methods, procedures and materials used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and the reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. All appropriate ITR and Biddability, Constructibility, Operability and Environmental (BCOE) review comments have been incorporated into this project. Accordingly, the undersigned recommends certification of the quality control process for this project.

---

[***Printed Name of Functional Element Chief***]  
Chief, [***Responsible Functional Element***]

---

Date

QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project may proceed to the [***next phase of project development or implementation***].

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[***Printed Name of District Commander***]  
COL, EN  
Commanding

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Date

**-- STANDARD --**  
**(Plans and Specifications Development by In-House Resources)**

US Army Corps of Engineers  
Sacramento District  
QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

The District has completed the [Product Developed] for [***Project Name***], [***installation and location***]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

GENERAL FINDINGS

Compliance with clearly established policy, principles and procedures, utilizing clearly justified and valid assumptions, has been verified. This includes assumptions; methods, procedures and materials used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and the reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. All appropriate ITR and Biddability, Constructibility, Operability and Environmental (BCOE) review comments have been incorporated into this project.

QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project is recommended to proceed to the [***next phase of project development or implementation***].

---

[ <b><i>Printed Name of ITRT Leader</i></b> ]	Date
ITRT Leader	

---

[ <b><i>Printed Name of Project Manager</i></b> ]	Date
Project Manager	

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[ <b><i>Printed Name of Section Chief</i></b> ]	Date
Chief, [ <b><i>Primary Project Development Section</i></b> ]	

---

[ <b><i>Printed Name of Branch Chief</i></b> ]	Date
Chief, [ <b><i>Primary Project Development Branch</i></b> ]	

**-- STANDARD --**  
***(Plans and Specifications Development by In-House Resources)***

**B/C/O/E CERTIFICATION**

Project Title:

Specification Number:

Project Location/Installation:

I certify that all appropriate Biddability, Constructibility, Operability, and Environmental comments received [in DrChecks] and reviewed by this office by \_\_\_\_\_ have been incorporated into the bid package. Feedback has been provided to reviewers for all comments.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Drew A. Perry  
Chief, Construction Quality Assurance  
Construction-Operations Division

I certify that all appropriate Biddability, Constructibility, Operability, and Environmental comments received [in DrChecks] and reviewed by this office by \_\_\_\_\_ have been incorporated into the bid package. Feedback has been provided to reviewers for all comments.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael D. Mahoney, P.E.  
Chief, Construction-Operations Division

This certificate expires after 180 days from date of issue.

**-- STANDARD --**  
**(Plans and Specifications Developed by A-E Firm)**

US Army Corps of Engineers  
Sacramento District  
DISTRICT ENGINEER'S QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

[*Name of design firm*] has completed the plans and specifications for [*Project Name*], [*installation and / or location*]. Notice is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

GENERAL FINDINGS and RECOMMENDATION

Compliance with clearly established policy, principles and procedures, utilizing clearly justified and valid assumptions, has been verified. This includes assumptions; methods, procedures and materials used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and the reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. The design was accomplished by [*name of design firm*] and the independent technical review was accomplished by [*name of review firm*]. Their quality control certification is attached. The District has completed a Quality Assurance review and the subject project is in compliance with the contract requirements, appropriate technical criteria, and customer requirements. All appropriate ITR and Biddability, Constructibility, Operability and Environmental (BCOE) review comments have been incorporated into this project. Accordingly, the undersigned recommends certification of the quality control process for this project.

---

[*Printed Name of Functional Element Chief*]                      Date  
Chief, [*Responsible Functional Element*]

QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project may proceed to the [*next phase of project development or implementation*].

---

[*Printed Name of District Commander*]                      Date  
COL, EN  
Commanding

**-- STANDARD --**  
**(Plans and Specifications Developed by A-E Firm)**

US Army Corps of Engineers  
Sacramento District  
QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

[*Name of design firm*] has completed the plans and specifications for [*Project Name*], [*installation and location*]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

GENERAL FINDINGS

Compliance with clearly established policy, principles and procedures, utilizing clearly justified and valid assumptions, has been verified. This includes assumptions; methods, procedures and materials used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and the reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. The design was accomplished by [*name of design firm*] and the independent technical review was accomplished by [*name of review firm*]. Their quality control certification is attached. The District has completed a Quality Assurance review and the subject project is in compliance with the contract requirements, appropriate technical criteria and customer requirements. All appropriate ITR and Biddability, Constructibility, Operability and Environmental (BCOE) review comments have been incorporated into this project.

QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project is recommended to proceed to the [*next phase of project development or implementation*].

<hr/> <b>[Printed Name of ITRT Leader]</b> ITRT Leader	Date	<hr/> <b>[Printed Name of Section Chief]</b> Chief, [ <i>Primary Project Development Section</i> ]	Date
<hr/> <b>[Printed Name of Project Manager]</b> Project Manager	Date	<hr/> <b>[Printed Name of Branch Chief]</b> Chief, [ <i>Primary Project Development Branch</i> ]	Date

**-- STANDARD --**  
**(Plans and Specifications Developed by A-E Firm)**

**B/C/O/E CERTIFICATION**

Project Title:

Specification Number:

Project Location/Installation:

I certify that all appropriate Biddability, Constructibility, Operability, and Environmental comments received [in DrChecks] and reviewed by this office by \_\_\_\_\_ have been incorporated into the bid package. Feedback has been provided to reviewers for all comments.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Drew A. Perry  
Chief, Construction Quality Assurance  
Construction-Operations Division

I certify that all appropriate Biddability, Constructibility, Operability, and Environmental comments received [in DrChecks] and reviewed by this office by \_\_\_\_\_ have been incorporated into the bid package. Feedback has been provided to reviewers for all comments.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael D. Mahoney, P.E.  
Chief, Construction-Operations Division

This certificate expires after 180 days from date of issue.

**-- STANDARD --**  
**(Plans and Specifications Developed by A-E Firm)**

US Army Corps of Engineers  
Sacramento District  
**CONTRACTOR STATEMENT OF QUALITY CONTROL**

COMPLETION OF QUALITY CONTROL ACTIVITIES

[*Name of design firm*] has completed the plans and specifications for [*Project Name*], [*installation and / or location*]. Notice is hereby given that all quality control activities, appropriate to the level of risk and complexity inherent in the project associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, have been completed. Compliance with established policy, principles and procedures, utilizing justified and valid assumptions, was verified. This included review of assumptions; methods, procedures, and material used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. Documentation of the quality control process is enclosed. Accordingly, the undersigned recommends certification of the quality control process for this project.

---

[*Printed Name of ITRT Leader*]

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Date

ITRT Leader

[*Name of Firm*]

CERTIFICATION OF QUALITY CONTROL

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been addressed. The project documents meet the Corps' established contractual quality standards and the level of quality defined in our approved Quality Control Plan for the project, and are suitable to forward to the Corps for Quality Assurance overview and Quality Control Certification/Acceptance.

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[*Printed Name of Principal with A-E Firm*]

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Date

[*Position in A-E Firm*]

[*Name of A-E Firm*]

**-- STANDARD --**  
**(Stand-Alone Documents Developed by In-House Resources)**

US Army Corps of Engineers  
Sacramento District  
DISTRICT ENGINEER'S QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

The District has completed [*state type of study or document*] for [*Project Name*], [*installation and / or location*]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

GENERAL FINDINGS and RECOMMENDATION

Compliance with clearly established policy principles and procedures, utilizing clearly justified and valid assumptions, has been verified. This includes assumptions; methods, procedures and materials used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and the reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. All appropriate ITR comments have been incorporated into this project. Accordingly, the undersigned recommends certification of the quality control process for this project.

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<i>[Printed Name of Functional Element Chief]</i> Chief, [ <i>Responsible Functional Element</i> ]	Date
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QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project may proceed to the [*next phase of project development or implementation*].

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<i>[Printed Name of District Commander]</i> COL, EN Commanding	Date
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**-- STANDARD --**  
**(Stand-Alone Documents Developed by In-House Resources)**

US Army Corps of Engineers  
Sacramento District  
QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

The District has completed [*state type of study or document*] for [*Project Name*], [*installation and / or location*]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

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QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project is recommended to proceed to the [*next phase of project development or implementation*].

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[*Printed Name of ITRT Leader*]  
ITRT Leader

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Date

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[*Printed Name of Project Manager*]  
Project Manager

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Date

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[*Printed Name of Section Chief*]  
Chief, [*Primary Project Development Team*]

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Date

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[*Printed Name of Branch Chief*]  
Chief, [*Primary Project Development Branch*]

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Date

**-- STANDARD --**  
**(Stand-Alone Documents Developed by In-House Resources)**

US Army Corps of Engineers  
Sacramento District  
CERTIFICATION OF LEGAL REVIEW

The [*cite type of reports*] report for [*indicate name of study/project*], including all associated documents required by the National Environmental Policy Act, has been fully reviewed by the Office of Counsel, Sacramento District and is approved as legally sufficient.

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Carl E. Korman  
District Counsel

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Date

**-- STANDARD --**  
**(Stand-Alone Documents Developed by A-E or Service Firm)**

US Army Corps of Engineers  
Sacramento District  
DISTRICT ENGINEER'S QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

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[ <i>Printed Name of Functional Element Chief</i> ] Chief, [ <i>Responsible Functional Element</i> ]	Date
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QUALITY CONTROL CERTIFICATION

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been resolved. The project may proceed to the [*next phase of project development or implementation*].

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[ <i>Printed Name of District Commander</i> ] COL, EN Commanding	Date
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**-- STANDARD --**  
**(Stand-Alone Documents Developed by A-E or Service Firm)**

US Army Corps of Engineers  
Sacramento District  
QUALITY CONTROL CERTIFICATION

COMPLETION OF QUALITY CONTROL ACTIVITIES

[*Name of firm*] has completed the [*state type of study or document*] for [*Project Name*], [*installation and / or location*]. Certification is hereby given that all quality control activities associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, appropriate to the level of risk and complexity inherent in the project have been completed. Documentation of the quality control process is contained in the project file.

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QUALITY CONTROL CERTIFICATION

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[ <i>Printed Name of ITRT Leader</i> ] ITRT Leader Chief, [Planning, Engineering] Division	Date	[ <i>Printed Name of Section Chief</i> ] Chief, [ <i>Primary Project Development Section</i> ]	Date
[ <i>Printed Name of Project Manager</i> ] Project Manager	Date	[ <i>Printed Name of Branch Chief</i> ] Chief, [ <i>Primary Project Development Branch</i> ]	Date

**-- STANDARD --**  
**(Stand-Alone Documents Developed by A-E or Service Firm)**

US Army Corps of Engineers  
Sacramento District  
CERTIFICATION OF LEGAL REVIEW

The [*cite type of report*] report for [*indicate name of study/project*], including all associated documents required by the National Environmental Policy Act, has been fully reviewed by the Office of Counsel, Sacramento District and is approved as legally sufficient.

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Carl E. Korman  
District Counsel

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Date

**-- STANDARD --**  
**(Stand-Alone Documents Developed by A-E or Service Firm)**

US Army Corps of Engineers  
Sacramento District  
**CONTRACTOR STATEMENT OF QUALITY CONTROL**

COMPLETION OF QUALITY CONTROL ACTIVITIES

[*Name of firm*] has completed the [*state type of study or document*] for [*Project Name*], [*installation and / or location*]. Notice is hereby given that all quality control activities, appropriate to the level of risk and complexity inherent in the project associated with Project Development and Independent Technical Review (ITR), as defined in the Quality Control Plan, have been completed. Compliance with established policy principles and procedures, utilizing justified and valid assumptions, was verified. This included review of assumptions; methods, procedures, and material used in analyses; alternatives evaluated; the appropriateness of data used and level of data obtained; and reasonableness of the results, including whether the project meets the customer's needs consistent with law and existing Corps policy. Documentation of the quality control process is enclosed. Accordingly, the undersigned recommends certification of the quality control process for this project.

---

[*Printed Name of ITRT Leader*]

Date

ITRT Leader

[*Name of Firm*]

CERTIFICATION OF QUALITY CONTROL

As noted above, all requirements have been met and any issues and concerns associated with the development and independent technical review of the project have been addressed. The project documents meet the Corps' established contractual quality standards and the level of quality defined in our approved Quality Control Plan for the project, and are suitable to forward to the Corps for Quality Assurance overview and Quality Control Certification/Acceptance.

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[*Printed Name of Principal with A-E Firm*]

[*Position in A-E Firm*]

[*Name of A-E Firm*]