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| Title: Visual Quality Control of Nonconforming Elements | | |

1.0 PURPOSE:

The purpose of this document is to define the procedure for control of elements not conforming to Visual Quality requirements as identified in the plans or specifications for NTTA construction projects.

2.0 RESPONSIBILITIES:

- 2.1 Nonconforming Report (NCR) Originator** – Individual who becomes aware of a nonconforming visual quality condition and shall bring it to the attention of the Visual Quality Manager/Inspector and Construction Manager (CM) or Project Delivery Resident Engineer (PDRE) to create a Visual Quality Nonconformance Report (NCR).
- 2.2 Visual Quality Manager/Inspector** – shall be responsible for:
 - Review of identified nonconforming Visual Quality conditions to determine if an NCR should be created.
 - Create NCR when required.
 - Approve/Reject all Visual Quality NCR in accordance with **Table 1 Visual Quality NCR Approval**
 - Forward to the CM or PDRE when the Visual Quality NCR has a resolution of “Repair”, “Rework” or “Accept-As-Is”.
 - Recommend if payment to the Contractor should be withheld until issues are resolved.
 - Forward Final Approval of Visual Quality NCR resolution to Construction Manager (CM) or Project Delivery Resident Engineer (PDRE) for implementation.
 - Verify the Contractor has completed the approved resolution action required by the Visual Quality NCR.
- 2.3 Contractor** – shall be responsible for:
 - Investigating all Visual Quality NCR sent to them and the proposed resolution for each element(s)
 - Preparing a timely comprehensive solution that seeks the best solution for all parties involved including the minimization of any potential time impacts to the completion of the project.
 - Proposed planned completion date for solution.
 - Notify Visual Quality Manager/ Inspector and CM or PDRE when proposed solution has been implemented and assist in the verification of the action taken.
- 2.4 Construction Manager (CM) or Project Delivery Resident Engineer (PDRE)** – shall be responsible for:
 - Forwarding Visual Quality NCR to the Contractor to obtain proposed solution.
 - Review and provide recommendation for approval or rejection of contractor’s proposed solution in accordance with **Table 1 Visual Quality NCR Approval**
 - Forward final approval of Visual Quality NCR resolution to the Contractor for implementation.
- 2.5 NTTA Design Guidelines Manager** – shall be responsible for:
 - Owner review and monitoring of each Visual Quality NCR

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- Reviewing the proposed resolution and provides comments if anything needs changed to obtain approval by NTTA.
- Has authority to withhold payment to the Contractor until issues are resolved.
- If the proposed resolution involves “Accept-As-Is” or any proposed resolution is in any way less than full compliance with the current plans and specs, the NTTA Design Guidelines Manager shall consult with the Director of Project Delivery (DPD) or the Assistant Executive Director of Infrastructure (AEDI) before accepting on behalf of the NTTA.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to Visual Quality generated nonconformance on all NTTA corridors and projects.

4.0 REFERENCES:

- VQ-01 Precast Manufacturing Plant Visual Quality Inspection Report
- VQ-02 Construction Site Visual Quality Inspection Report

5.0 DEFINITIONS & ACRONYMS:

- **Nonconformance** - is defined as the failure to meet plans and/or specifications upon the completion of a measurable element of construction (i.e. individual pre-cast units, individual concrete placements, etc.).
 - Subsequent work that builds upon an identified nonconforming element shall not proceed until approval of a proposed solution.

6.0 PROCEDURES:

- 6.1 The Originator should fully describe and locate the Visual Quality nonconforming condition citing failed requirements of plans or specs. Next, the information regarding element(s) not meeting plans or specs shall be given to the Visual Quality Manager/Inspector and Construction Manager (CM) or Project Delivery Resident Engineer (PDRE) to determine if a Visual Quality NCR is valid.
- 6.2 Final determination for Visual Quality nonconformance issuance shall be reviewed by the Visual Quality Manager/Inspector or NTTA Design Guidelines Manager prior to issuance to Contractor. A separate Visual Quality NCR should be created for each element.
- 6.3 The Visual Quality NCR shall be sent to the Contractor by the Visual Quality Manager/Inspector or PDRE.
- 6.4 The Contractor shall be responsible to:
 - Ensure that each item(s) is meeting plans or specs, and controls established to prevent the installation of nonconforming item(s).

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- Ensure if nonconforming item(s) is identified after its use has begun, the remaining nonconforming item(s) shall be separated, and controls established to prevent further use until resolution.
- Identify all areas where nonconforming material may have been used and evaluate for resolution.
- Realize any further use of nonconforming material(s) or nonconforming item(s) of work are done at the Contractor's risk of nonpayment for work performed until resolution.
- Prepare a response to Visual Quality NCR within 5 business days including the proposed solution completion date.

6.5 The Contractor may request an extension through the Visual Quality Manager/Inspector or NTTA Design Guideline Manager if a proposed solution to the Visual Quality NCR cannot be prepared within 5 business days.

- The Visual Quality Manager/Inspector or NTTA Design Guideline Manager has the authority to grant time extensions for the Contractor to prepare a complete response.
- The NTTA Design Guidelines Manager has the authority to withhold all payment for items in dispute while awaiting a Contractor's NCR response.
- The NTTA Design Guidelines Manager has the authority to request suspension of any related work items deemed in their opinion that are not easily reversible if the Contractor is unreasonably delaying a proposed solution to a Visual Quality NCR just to complete other work.

6.6 The Contractor has the following four possible Response Types:

- **Remove & Replace** – The Contractor at their expense agrees to remove all items not meeting plans or specs and replace with items that are fully compliant with plans or specs. This choice is approved by the Visual Quality Manager/Inspector.
- **Rework** – The Contractor's proposed solution brings the items into full compliance with the plans or specs. This choice is approved by the Visual Quality Manager/Inspector and NTTA Design Guidelines Manager.
- **Repair** – The Contractor's proposed solution meets the required functional use but does not meet the plans or specs. The Contractor's proposed rework solution requires recommendation by the Visual Quality Manager/Inspector to the NTTA Design Guidelines Manager.
- **Accept As Is** – The Contractor's proposed solution is to not perform additional work and request a waiver from meeting plans or specs. The NTTA Design Guidelines Manager and PD Construction Manager may consult with the DPD and/or with the AEDI before accepting on behalf of the NTTA.

Table I Visual Quality NCR Approval

| Resolution | VQ Manager / Inspector | Construction Manager or Project Delivery Resident Engineer | NTTA Design Guidelines Manager |
|--------------------------------------|------------------------|--|--------------------------------|
| Accept-As-Is | Approve or Reject | Recommendation Approve or Reject | Approve or Reject |
| Repair | Approve or Reject | Recommendation Approve or Reject | Approve or Reject |
| Rework | Approve or Reject | Recommendation Approve or Reject | Approve or Reject |
| Replace | Approve | N/A | Approve or Reject |
| Response Time (Business days) | 2 | 2 | 5 |

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- 6.7 The Contractor's proposed solution will be reviewed to determine if it will correct the item(s) not meeting NTTA plans or specifications.
 - 6.8 The NTTA Design Guidelines Manager shall resolve any conflicting comments (if any) and prepare a response back to the Contractor, either rejecting the contractor's proposed solution, or forwarding a recommendation for approval to the Visual Quality Manager/Inspector.
 - 6.9 The Visual Quality Manager /Inspector shall review the recommended proposed solution and either reject it or approve it. The NTTA Design Guidelines Manager has the option to forward the recommendation to the NTTA Manager of Construction, the DPD and/or the AEDI before giving NTTA approval.
 - 6.10 Once the Contractor's proposed solution is accepted by the NTTA, or their delegated authority, the Contractor shall be notified by the Visual Quality Manager/Inspector.
 - 6.11 The Contractor shall begin the proposed solution as quickly as possible and notify the Visual Quality Manager /Inspector when it starts, the progress of the work, and when it is estimated to be complete.
 - 6.12 Contractor notifies the Visual Quality Manager/Inspector that the agreed upon work effort in the NCR is complete and ready for inspection.
 - 6.13 The Visual Quality Manager/Inspector performs inspection that the NCR work has been completed and it meets the current plans and specs.
 - 6.14 The Visual Quality Manager/Inspector creates NCR Inspection Report with all attachments and includes a recommendation for acceptance or rejection by NTTA.
 - 6.15 The Inspection Report is made a part of the Visual Quality NCR record by the Visual Quality Manager/Inspector with a recommendation of NTTA acceptance or NTTA rejection.
 - 6.16 After completion of the proposed solution, it will be evaluated by the NTTA Design Guidelines Manager and will be handled according to the following scenarios:
 - If the proposed solution was not correctly completed by the Contractor according to the NCR Inspection Report, and did not resolve the issue, the Contractor will be prompted by the Visual Quality Manager/Inspector or NTTA Design Guidelines Manager to propose a fix for the failed proposed solution. The process starts again and repeats until the issue is resolved.
 - If the proposed solution was correctly completed by the Contractor, but did not resolve the issue, the Contractor will be prompted by the Visual Quality Manager/Inspector to propose a fix for the failed proposed solution. The process starts again and repeats until the issue is resolved.
 - If the proposed solution resolved the issue, the Visual Quality Manager/Inspector will notify the Contractor.
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- 6.17 In the event the Contractor does not complete the Visual Quality NCR in a timely manner, the Visual Quality Manager/Inspector shall notify the NTTA Design Guidelines Manager who may escalate the NCR to the NTTA Manager of Construction for assistance in resolving the issue. The NTTA Manager of Construction attempts to resolve the NCR issue and if unsuccessful, then the NTTA Design Guidelines Manager or NTTA Manager of Construction sends NCR for further escalation to the DPD and/or AEDI for assistance in resolving the issue.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

N/A

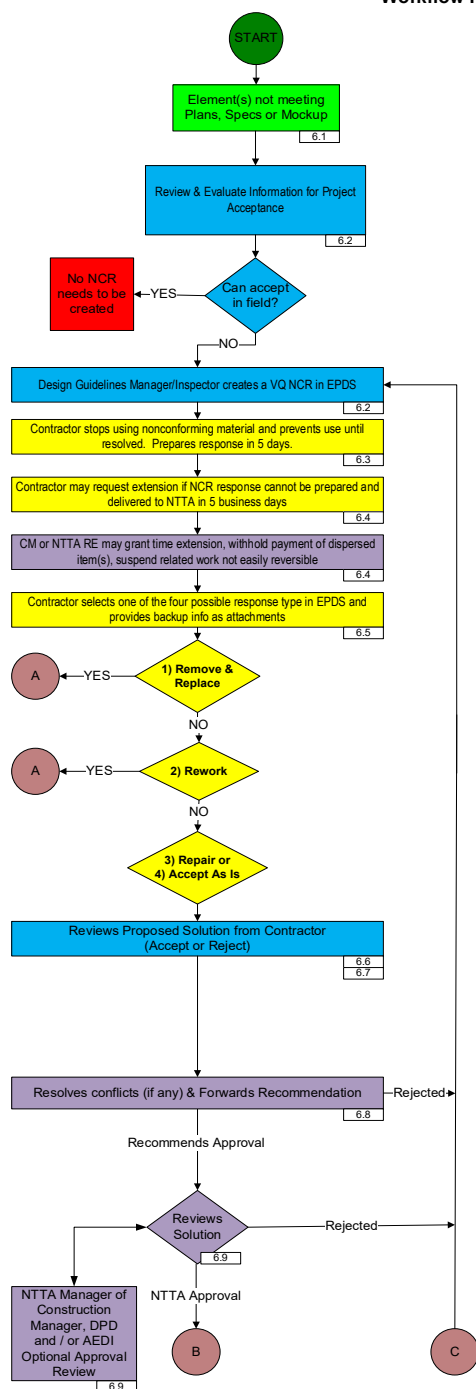
9.0 COMPONENT DOCUMENTS:

N/A

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10.0 FLOWCHART:

Visual Quality Non-Conformance Workflow Process



NCR Originator:

- Fully describes and locates nonconforming condition with references to failed requirements of plans and specs
- If Originator is not the Visual Quality Manager/Inspector then information is sent to them to evaluate if a VQ NCR is warranted

Visual Quality Manager/Inspector:

- Evaluates NCR information for NCR issuance
- If element(s) can be accepted, then a VQ NCR is not created
- If element(s) cannot be accepted, then a VQ NCR is created by the Visual Quality Manager/Inspector

Contractor:

- Ensures all item(s) not meeting plans or specs are identified, separated or isolated to prevent the use or installation of the nonconforming item(s) immediately upon receiving NCR
- Prepares response to NCR within 5 business days and includes proposed solution completion date
- May request time extension to prepare response

NTTA Design Guidelines Manager:

- Has authority to grant reasonable time extension
- Has authority to withhold payment for items in dispute
- Has authority to request suspension of related work not easily reversible

Contractor:

- Selects one of these 4 response:
 - **Remove and Replace**
Contractor at their expense removes all nonconforming item(s) and replaces with item(s) fully compliant
 - **Rework**
Contractor's proposed solution brings item(s) into full compliance
 - **Repair**
Contractor's proposed solution meets required functional use, but can not be made to or doesn't meet plans or specs
 - **Accept As Is**
Contractor's proposed solution is to not do any additional work to the item(s) and request a waiver from NTTA

Visual Quality Manager/Inspector:

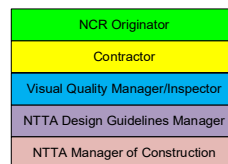
- Reviews proposed solution from contractor
- Evaluates if it will correct item(s) not meeting plans and specs
- Determines if Assistance is needed for review
- Consults with NTTA Design Guidelines Manager

NTTA Design Guidelines Manager:

- Resolves conflicting comments (if any) and prepares recommendation
- Recommended for Approval goes to NTTA Manager of Construction
- Recommended for Rejection is return to the Contractor for revision

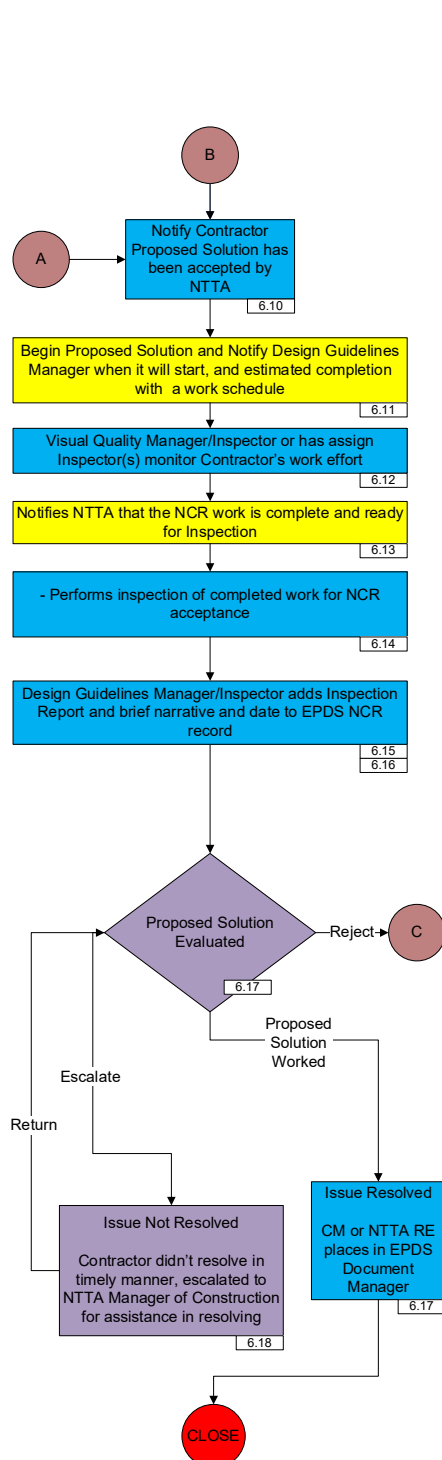
NTTA Design Guidelines Manager:

- Reviews proposed solution
- May ask NTTA Manager of Construction, Director of Project Delivery or Assistant Executive Director of Infrastructure for assistance if needed
- Rejects or Approves proposed solution



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Visual Quality Non-Conformance Workflow Process



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| NCR Originator |
| Contractor |
| Visual Quality Manager/Inspector |
| NTTA Design Guidelines Manager |
| NTTA Manager of Construction |

Visual Quality Manager/Inspector:

Notifies Contractor proposed solution has been accepted by NTTA

Contractor:

- Upon notification of NTTA accepting proposed solution prepares to carry out the agreed solution in the field and submit any necessary details or shop drawings (if appropriate to the solution agreed upon)
- Provides schedule or incorporates into the current Project Schedule

Visual Quality Manager/Inspector:

- Performs work inspection or has assign Inspector(s) perform inspection of Contractor's work effort

Contractor:

- Notifies NTTA NCR work is complete and ready for inspection

Visual Quality Manager/Inspector:

- Performs inspection of completed work for NCR acceptance based on work scope in agreed NCR resolution

Visual Quality Manager/Inspector:

- Does field inspection, reviews issue, provides recommendation to Accept or to Reject solution by NTTA

Visual Quality Manager/Inspector:

- Inputs VQ Inspection Report in NCR record
- Adds brief narrative and completion date to NCR record

NTTA Design Guidelines Manager:

- Evaluates Proposed solution against Inspection report
- NCR fits into one of these three scenarios:
 - 1) Contractor work did not follow proposed solution according to Inspection Report and did not resolve issue. Contractor asked to propose a solution. Process starts again and repeats until the NCR issue is resolved.
 - 2) Contractor followed proposed solution according to Inspection Report, but it did not resolve the issue. The proposed solution didn't work. Contractor asked to propose a solution. Process starts again and repeats until the NCR issue is resolved.
 - 3) Contractor resolved the issue according to the Inspection Report. All parties agree, document all work and inspections, make all payments due as terms of the solution and close the NCR.
- Escalates to NTTA Manager of Construction if Contractor doesn't complete NCR work in a timely manner and becomes non responsive

NTTA Design Guidelines Manager:

- Attempts to resolve NCR if Contractor hasn't finished work or is non responsive
- May escalate to Director of Project Delivery (DPD) or Assistant Executive Director for Infrastructure (AEDI) if further escalation is needed

NTTA Design Guidelines Manager:

- Issue is resolved, All parties agree, and NCR is closed

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11.0 REVISION HISTORY:

| Revision | Revised by: | Release Date | DRN | Reason for Revision |
|----------|-----------------|--------------|--------------|--|
| 0 | Troy Federspiel | 04/28/2011 | 10308 | Original Issue – This was originally part of QM-09 Control of Nonconforming Product-Construction |
| 1 | Bryan Dennis | 10/11/2011 | 10363 | Update position/department title and Definitions & Acronyms |
| 2 | Tony Lucido | 07/10/2025 | 11129 | Update Procedures, Responsibilities, Definitions & Acronyms and, Flowchart |