

SUPPLEMENT

QUALITY ASSURANCE PLAN FOR THE HISTORIC PRESERVATION ASPECTS OF THE KAHO'OLAW UNEXPLODED ORDNANCE CLEARANCE CONTRACT CONTRACT NO. N62742-95-D-1369

July 1998
Code 233TD

1. INTRODUCTION

A. This plan is intended for use as a supplement to the Quality Assurance (QA) Plan for the Non-UXO aspects of the Kaho'olawe Unexploded Ordnance Clearance Project, Contract No. N62742-95-D-1369, Pacific Division Naval Facilities Engineering Command, July 1997 (Project QA Plan). The Project QA Plan was developed under the guidance of ROICC MIDPAC Standard Operating Procedure (SOP) Number 46-2, dated 12 September 1994 and NAVFAC MO-327 Change 94-01, Facility Support Quality Management Manual, dated 1 July 1994.

B. The premise of Government QA, responsibilities and authority of the evaluator, and general QA procedures are in accordance with the Project QA Plan, sections I through IV.

C. The purposes of this supplement are as follows:

1. Identify the definable features of historic preservation services in the context of the Contract.
2. Specify scope of work and performance evaluation standards that are in accordance with the Project QA Plan (III.J) and the Contract RFP.
3. Identify methods and levels of surveillance to be used for the various definable features of work.
4. Describe methods of evaluation, worksheets, logs, reports; and the award fee evaluation/rating procedures.
5. Develop a preliminary weekly inspection/surveillance schedule and discuss how potential scheduling problems will be resolved.

2. Definable Features and Scope of Work

Definable features of historic preservation services are based on the planning and fieldwork tasks listed in the Contract RFP, Section C, Description/Specs/Work Statement, Parts 1.2.3, 5, 6.6, and 12.0. Other specific tasks and submittals are listed in Section J of the Contract RFP. For purposes of efficient QA planning, certain specific tasks are combined to form identifiable features of work. The Surveillance Plan (Appendix A) is based directly on the Scope/Statement of Work outline presented below. This outline was developed using the Contract Regulatory Framework (Site Protection Agreement), the Statement of Work, and performance elements listed in the Project QA Plan (III.J.1-11). Nine work activities and the scope of the activities as defined in the Contract are identified below.

1. Site survey
 - a. Historic property survey shall be conducted to identify previously recorded and newly identified historic properties potentially affected by project activities (C.5.3.1; C.5.5.1)
 - b. Sufficient information shall be obtained to make informed determinations of potential effect (C.5.5.1)
 - c. Sufficient information shall be obtained to make informed decisions for historic property protection and treatment (C.5.5.1)
 - d. The KIRC shall be consulted in order to identify Traditional Cultural Properties (C.5.5.1)
 - e. Survey shall be conducted to reasonably find all historic properties visible on the surface (C.5.5.1.1)
 - f. Survey shall be conducted to assess the potential for subsurface deposits (C.5.5.1.1)
 - g. Historic properties shall be marked for subsequent re-identification (C.5.5.1.1)
 - h. Location data to be collected by a land surveyor in accordance with C.12.0 (C.5.5.1.1)
 - i. Recording of survey results shall include a description and assessment of existing conditions and significance evaluations based on National Register criteria for evaluation (C.5.5.1.1)
 - j. The Contractor shall provide all personnel, equipment, materials and facilities to accomplish the work (C.5.3.1)
2. Determination of Effect, Mitigation Planning and Decision Making
 - a. The Contractor shall determine the effect each project activity may have on specific historic properties by applying 36CFR Part 800.9 (C.5.5.2)
 - b. Effect determination shall include consultation and coordination with UXO, construction and/or support activity personnel (C.5.5.2)
 - c. The KIRC shall be consulted in determining potential effects to Traditional Cultural Properties (C.5.5.2)
 - d. Documentation shall provide sufficient information to explain how the findings were reached (C.5.5.2); develop recommendations for avoidance or mitigation of potential adverse effect (C.5.5.2.1)
 - e. Recommendations for mitigation, with documentation, shall be presented to the Navy and the KIRC for review and concurrence prior to implementation (C.5.5.2.1)
 - f. The Contractor shall provide all personnel, equipment, materials and facilities to accomplish the work (C.5.3.1)
 - g. All historic property decision making shall be conducted by supervisory or higher level HP personnel (C.5.3.2)
3. Monitoring
 - a. The purpose of monitoring is to avoid or mitigation adverse effects to surface and subsurface historic properties during project activities (C.5.5.3)
 - b. Monitoring of activities involving surface sites shall include instructions to workers for historic property avoidance and precautionary behavior (C.5.5.3.1)
 - c. Monitoring of activities involving surface sites shall include on-site monitoring of project activities by a qualified archaeologist (C.5.5.3.1; C.5.1.3.4.13, 14)
 - d. Monitoring of ground disturbing activities shall include identification, recording, analysis and evaluation of archaeological resources as well as non-cultural, recent historic and modern deposits (C.5.5.3.2)
 - e. Data collected during subsurface monitoring shall be sufficient to characterize the nature of all major deposits and strata, regardless of cultural content, and to discuss their known extent through vertical and horizontal space (C.5.5.3.2)
 - f. The Contractor shall provide all personnel, equipment, materials and facilities to satisfactorily accomplish the work (C.5.3.1)
 - g. Tasks involving data recording shall be conducted under the direct supervision of a supervisory archaeologist (C.5.3.2)

4. Data Recovery

- a. The purpose of data recovery is to mitigate adverse effects to significant surface and subsurface historic properties during project activities (C.5.5.4)
- b. Data recovery actions shall occur only after recommendations and supporting documentation are presented to the Navy and the KIRC for review and concurrence (C.5.5.2.1)
- c. Data recovery actions are to include field recording, surface collection and excavation (C.5.5.4)
- d. Field recording as data recovery consists of descriptions, mapping and photography at a more intensive level than recording undertaken during survey (C.5.5.4.a)
- * e. Surface collection as data recovery to include systematic recovery of surface materials with appropriate field recording (C.5.5.4.b)
- f. Excavation as data recovery of subsurface resources to include recovery and analysis of archaeological and environmental materials (C.5.5.4.c)
- g. Data collected during excavation shall be sufficient to characterize the nature of all major deposits and strata, regardless of cultural content, and to discuss their known extent through vertical and horizontal space (C.5.5.4.c)
- h. The Contractor shall provide all personnel, equipment, materials, and facilities to satisfactorily accomplish the historic preservation work (C.5.3.1)
- i. Tasks involving data recording shall be conducted by HP personnel under the direct supervision of a supervisory archaeologist (C.5.3.2)

5. UXO Detonations

- a. Field work tasks shall be conducted to preclude or minimize adverse effects to historic properties from planned explosive events (C.5.5.5)
- b. Special protection tasks may include the construction, transportation, placement and subsequent removal of protective works (C.5.5.5)
- c. Special protection tasks include the recording of historic preservation data before, during and after detonations (C.5.5.5)
- d. Special protection tasks may include site restoration (C.5.5.5)
- e. The Contractor shall evaluate and document the effect or absence of effect on each historic property potentially affected by the explosive event; evaluations shall be based on the ACHP criteria of effect (C.5.5.5.1)
- f. Documentation shall be sufficient to support the evaluation results (C.5.5.1)
- g. The Contractor shall provide all personnel, materials, equipment and facilities to satisfactorily accomplish the work (C.5.3.1)

6. Treatment of Human Remains

- * a. In the event of inadvertent discovery of human remains or associated objects, the Contractor shall stop work in the immediate area, protect the discovery from imminent harm and immediately notify the Contracting Officer or designated representative (C.5.5.6)
- b. Persons trained in the field identification of human remains shall confirm the discovery (C.5.5.6)
- c. The Contractor shall have at least one historic preservation field staff person trained in identification of human remains on island at all time during field work to respond to any inadvertent discovery of possible human remains (C.5.5.6.1)
- d. Work in the area of the discovery shall be suspended until the Contractor receives written notification to proceed from the Contracting Officer or designated representative (C.5.5.6)
- e. Treatment of known or confirmed human remains will be determined by the Navy and the KIRC on a case-by-case basis, and may require the Contractor to perform site stabilization, data collection or data recovery (C.5.5.6)
- f. The Contractor shall provide all personnel, materials, equipment and facilities to satisfactorily accomplish the work (C.5.3.1)

7. Treatment and Curation of Materials
 - a. The Contractor shall ensure that all archaeological materials collected except human remains and associated objects shall, at a minimum, be cleaned, sorted, identified, catalogued and prepared for long-term storage (C.5.6.2)
 - b. Treatment of materials shall be conducted under the supervision of a qualified professional Laboratory Director (C.5.6.2)
 - c. All records and recovered materials shall be retained and curated in accordance with 36CFR Part 79.9 (C.5.6.3)
 - d. The Contractor shall temporarily retain custody of all records and materials until otherwise directed by the Contracting Officer or designated representative (C.5.6.3)
 - e. The Contractor shall assist the Navy in its effort to work with the KIRC to develop a curation facility on Kaho'olawe (C.5.6.3)
 - f. The Contractor shall provide all personnel, materials, equipment, and facilities to satisfactorily accomplish the treatment and curation of archaeological materials (C.5.3.1)
8. Database
 - a. Contractor shall document all historic property data recorded in the field, all historic preservation recommendations, records of decision, and historic property protection results (C.5.6.4)
 - b. KIGIS will be used to manage all graphical and non-graphical data associated with the project (C.6.6.1)
 - c. The Contractor shall survey the location of any planimetric features, fence lines, other significant features not shown on existing maps and historic properties found during the project (C.12.2)
 - d. Boundary and location survey of historic properties shall be performed utilizing GPS to the maximum extent possible (C.12.2)
9. Reports
 - a. Monthly progress reports on the historic preservation work shall be submitted (C.5.6.1)
 - b. Quarterly progress reports on the historic preservation work shall be submitted (C.5.6.1)
 - c. Annual progress reports on the historic preservation work shall be submitted (C.5.6.1)
 - d. A final Task Order Report shall be prepared for each Task Order in accordance with the Secretary of the Interior's Standards and Guidelines for Archaeological Documentation (C.5.6.5)
 - e. Task Order reports shall include description of site protection procedures used, results of protection efforts, information obtained on the historic properties, location data, significance evaluations, and recommendations for long-term management (C.5.6.5)
 - f. A Close Out Report containing a complete summary of all HP tasks performed, results of task, and recommendations for long-term management, shall be completed (C.5.6.6)
 - g. Progress Reports to contain all information listed in Section JC.6 iii-22 of the Contract

3. METHODS AND LEVELS OF SURVEILLANCE

A. Surveillance methods are selected for the various activities based on their frequency, location, relative importance, and in consideration of the Contractor's QC program. QA is designed so as not to duplicate Contractor QC, but to evaluate the QC program and the overall work program. Relevant factors considered for the work features are as follows:

1. Site survey: Ongoing activity (daily) performed on the range prior to UXO clearance; will generally co-occur in two or more locations. Survey will be conducted within Grid Map Units (GMUs), however, site recording will occur in units defined by historic property boundaries. Survey requires collection and recording of specific site description data.
Contractor QC (CQC) will involve random sampling (MIL STD 1916) of GMUs and area assessment records.

2. Determine Effect, Mitigation Planning: Ongoing activity (daily) performed by HP Manager (at Maui Technical Office). Follows site survey; generates data for site files, GMU folders and Review Board decisions.

CQC to review range activities, verify GMU folders, verify Review Board decisions.

3. Monitoring: Ongoing activity (daily) with considerable variation expected in level of effort and location. Potential for co-occurrence in several locations with several work activities, including GMU land surveying, UXO clearance, and construction. Activity requires Review Board concurrence and requires data recording.

CQC to consist of daily audits; no specific inspection/surveillance schedule of field activities; MIL STD 1916 may be used.

4. Data Recovery: Expected to occur during course of monitoring and prior to planned detonations, at construction sites or on range. Various types of paperwork will be generated in the field during activity. Review Board concurrence required prior to conducting work.

CQC to consist of surveillance audits; may follow MIL STD 1916

5. UXO Detonations: Ongoing activity (not daily). Level of effort required by HP staff will vary with location, nature of ordnance, nature of cultural resources. HP procedures expected to be combination of monitoring, survey, and data recovery activities.

CQC will review protective works field operations and post-detonation assessment.

6. Treatment of Human Remains: Expected to be infrequent activity, occur at various locations under wide range of conditions. Records, consultation required during activity.

CQC consists of conducting surveillance of each occurrence.

7. Treatment of Materials, Curation: Occasional activity, follows data recovery. Several types of paperwork generated in laboratory setting.

CQC consists of conducting surveillance.

8. Database: Ongoing (daily) processing of data from activities 1 through 7. Requires integration with DM staff.

CQC to be conducted by DB functional QC personnel; HPQC to be conducted of records prior to data input.

9. Reports: Monthly, Quarterly, Annual Progress Reports, Daily QC Reports, Task Order Reports, IP Addendums.

CQC to include inspection of every report by appropriate individuals

B. Surveillance will include watching actual tasks being performed by various HP teams and individuals in the field, laboratory, or office. Inspections will include checking areas after tasks have been completed, and checking field records, files and electronic data. In addition, complaints received from KIRC on-island representatives, other Government representatives, or Subcontractor representatives will be followed up with an inspection, validated, and reported. Procedures for documenting surveillance, inspections, and complaints are discussed below.

C. The anticipated methods and levels to be used for each work feature are as follows:

1. Site Survey:

- a. Two or more surveillance visits (c. half day) per week to a site survey crew while in action. Location of visit based on selection from possible choices, taking into account the location of work area, performance history of crew, projected number of historic properties in area, and condition/sensitivity of known sites. Contractor will not be notified of these visits.
- b. Schedule one to two days per week for inspections of GMUs after site survey and HP QC is completed. Sample grid using one quadrant (50 by 50 meter block), location determined by factors such as potential problems noted during record reviews, frequency of historic properties in area, and condition/sensitivity of known sites.
- c. Inspections will attempt to cover a minimum of 30% of GMUs during initial phase of TO 007; with adjustment of percentage depending on findings of inspections and density of historic properties within work area. Inspection to occur prior to initiation of UXO activities.

2. Mitigation Planning:

- a. Schedule maximum of two days per week for inspection of site files and grid folders that have HP recommendations completed or Review Board actions pending.
- b. Location of inspection will depend on nature and accessibility of Contractor's grid folder and site file system. Paper files will be inspected at MTO, electronic files inspected from remote location if accessible.
- c. Review 100% of site evaluation summaries, and 75% of site description field forms during initial phase of TO 0007; subsequent adjustments in percentage will depend on findings.
- d. Conduct incidental observations of HP staff in action during mitigation planning record inspection.

3. Monitoring:

- a. Schedule one surveillance visit per week to a monitor or monitoring team in action. Coordinate scheduling with site survey surveillance visit.
- b. Monitoring location visited to be selected using factors such as expectations of potential impacts, known sites in area, and work area conditions. Contractor will normally not be notified.

4. Data Recovery:

- a. Schedule minimum of one site visit for each data recovery activity while work in progress. Contractor notification may be required in cases where inspection of specific excavations is needed.
- b. Review field recording procedures during on-site field checks.

5. UXO Detonations:

- a. Conduct pre and post-detonation inspections of minimum of 50% of BIPs that have HP concerns, per Work Area. Contractor notification will not be given in most cases.
- b. 100% review of records (findings, impact assessment and recommended mitigation measures).

6. Treatment of Human Remains:

- a. Conduct on-site inspection of each occurrence, prior to initiation of Contractor's data collection. Scheduling coordination with Contractor will be necessary in most cases.
- b. Provide technical direction and clarification, as needed, on a case by case basis (per Contract).
- c. Follow-up review of treatment actions (on-site and record review) for each occurrence.

7. Treatment of Materials, Curation:

- a. Schedule one visit per week to on-island temporary curation facility while materials are being processed and/or prepared for storage.
- b. If lab work is being conducted in Kahului, schedule minimum of one visit per week to operations. Contractor notification is not necessary unless the laboratory is operating on part time schedule.

8. Database:

- a. Schedule one visit per week to data processing center for review of electronic database operations and entered data.
- b. For data that originated on paper, check a 20% systematic sample of data entries (every fifth entry) against original records.

9. Reports:

- a. Schedule one day per month for review of monthly progress reports;
- b. Schedule two days per quarter for review of quarterly progress report.
- c. Schedule two days for review of each Task Order report, timing to vary.

4. EVALUATION AND REVIEW

A. All site visits during work in progress, post-work field inspections, and records/data inspections will be documented with project-specific evaluation records, worksheets and logs. The completed records will be maintained in electronic files and loose-leaf binders and will be included in the surveillance folder as specified in the Project QA Plan (III. B.9).

1. Work in progress evaluations

- a. Each definable work feature that will be checked by surveillance visits during work in progress will have an evaluation record for documenting date, location, specific tasks observed, and evaluation rating. Acceptable performance standards for worker and management levels are listed in the Surveillance Plan (Appendix A).
- b. Ratings recorded on the surveillance records will be satisfactory (SAT) or unsatisfactory (UNSAT), based on the acceptable performance standard. The worksheets contain space for notes regarding all unsatisfactory ratings and other information (Appendix A).
- c. All unsatisfactory ratings will be reported in writing, following procedures outlined in the Project QA Plan (III.H). An HP QA Report (described below) will be completed and submitted to the appropriate Government NTR or COTR for transmittal to the Contracting Officer and appropriate Contractor's representative. In addition, a 'construction Contract Non-Compliance Notice (NAVFAC 4330/36) will be completed and routed to the appropriate parties.
- d. Corrections or rework reported by the Contractor in response to the QA Report will be verified during the next scheduled surveillance

visit. Exceptions may occur which require immediate or next-day follow-up inspection.

- e. Minor deficiencies will be verbally reported to the Contractor's HPQC Manager (HPQCM), who will be provided a specified period of time to correct the deficiency before it is reported in writing.

2. Post work site inspections

- a. Planned sampling inspections will be documented and tracked using a GMU Inspection Log (Appendix B-1).
- b. Inspection findings that conflict with the Contractor's assessment or survey findings will be reported in writing, using procedures outlined in the Project QA Plan (III.H). An HP QA Report will be completed and submitted to the appropriate Government NTR or COTR for transmittal to the Contracting Officer and appropriate Contractor's representative. If the nonconformance is determined to be significant, a Non-Compliance Notice will be completed and routed to appropriate parties.
- c. Corrections or rework reported by the Contractor in response to the QA Report will be verified in the field during the next scheduled QA inspection. Exceptions may occur which require immediate corrective action and a follow-up inspection.
- d. If QA inspection reveals that the HP survey was incomplete or erroneous within the sample quadrant, mitigation planning record inspection and GMU folder review will not be conducted until the entire GMU is reassessed by HP staff and follow-up documentation is completed.

3. Record inspections and data verification

- a. An inspection log will be maintained to record the dates, locations and number of records examined during each inspection (Appendix B-2).
- b. Errors, omissions or other noted problems will be listed on the record review worksheet (Attachment 4). One or more worksheets will be completed per inspection session, and will be used to prepare a formal QA report and request for corrective action, as indicated in the Project QA Plan (III.H), and described above for items 1.d and 2.b.
- c. Items reported as revised by the Contractor in response to the QA Report will be verified during the next scheduled inspection.

B. Progress and Task Order Report reviews will follow standard PACDIV document review format. A memorandum will be written listing all requests for corrections, additions, or revisions. The memorandum will be forwarded to the project COTR for transmittal to the Contracting Officer and appropriate Contractor's representative.

C. HP Quality Assurance (QA) Reports will be prepared and routed as specified in the Project QA Plan and as noted above. The QA report contains information specified in the Project QA Plan and additional information specific to HP activities (Appendix B-4).

1. The HP QA Reports are intended to be returned to the Government with a written response from the Contractor. For time critical actions, a due date will be posted on line 3 of the Report.

2. Reporting frequency shall follow the guidelines listed in Attachment IV of the Project QA Plan.

3. If the Contractor disputes the findings of a QA surveillance or inspection, the matter will be referred to the COTR or Contracting Officer (Project QA Plan III.H.7).

D. A monthly summary report of QA activities will be prepared and submitted to the appropriate NTR for transmittal to the COTR. The Contracting Officer or COTR (Project QA Plan III.K) will determine the format of the report.

E. Award Fee Evaluation and Documentation will be completed according to the Contract Award Fee Plan (RFP JC.8). Award Fee Documents designed specifically for Contract N62742-95-D-1369 will be completed and submitted to the Fee Determination Official (FDO) semi-annually or annually, as requested by the FDO. Evaluation Criteria are listed in the Contract RFP (JC.8-1. and -2.).

1. Information recorded on evaluation worksheets will be used to calculate and justify the recommended award fee level for the various criteria. Additional notes relevant to the award fee criteria will be recorded as appropriate in monthly QA summary reports.

F. As a member of the Government Review Board, the HP QA evaluator is responsible for reviewing and approving the HP area assessment findings and recommended mitigation actions for every GMU. This activity is integral to mitigation planning record inspection, and will be conducted during the time scheduled for such.

1. Government review of proposed HP activities will be documented for each GMU on a Record of Decision (ROD) prior to the initiation of UXO activities or construction within the GMU.

2. Government Review Board members may elect to approve, conditionally approve, or disapprove the assessment findings, evaluations, and mitigation recommendations for each GMU.

a. If approval of recommended HP actions for a GMU is conditional, the Review Board member will attach stipulations/amendments to the Record of Decision. The Contractor is responsible for documenting successful completion of amended HP recommendations.

b. If QA review of the GMU folder reveals omissions or incorrect data that could potentially effect the site evaluation and recommended mitigation actions, the Record of Decision will not be signed. A QA report with requested corrective actions will be prepared and forwarded to the appropriate NTR for transmittal to the Contractor. Review Board consideration of the subject GMU will be delayed until the errors or omissions are corrected, documented, and verified.

c. If QA review reveals minor omissions or nonconformities that do not effect the findings or recommended actions, the Review Board members may approve the recommendations. In these cases, approval of mitigation recommendations does NOT constitute tacit QA approval of all records in the GMU folder or in relevant site files. A QA report with requested corrective actions will be prepared and forwarded to the Contractor, following procedures described above for record inspection and data verification (Item 4.A.3).

G. The HP QA evaluator will forward GMU folders with natural resources concerns to Natural Resources staff (Code 232) for review and approval prior to signing the Record of Decision. NR staff review of the GM folder will follow the same procedure noted above for the HP reviewer.

1. GMU folders identified as having natural resources concerns are those for which mitigation measures have been recommended. Examples might include, but are not limited to, endangered plant or animal species, unique natural habitat areas, protected natural habitats (wetlands), or severely eroded areas.

H. A daily QA record will be completed summarizing activities and issues for the day.

5. PRELIMINARY SCHEDULE

A. Weekly QA schedules will be completed upon receipt of revised Contractor's work schedules, beginning with Task Order 0007.

B. A preliminary weekly schedule (below) provides a general idea of how QA time will be allocated for ongoing and frequently occurring HP activities. QA of activities such as treatment of human skeletal remains and UXO detonations cannot be scheduled until the specific discoveries occur.

1. Inspection frequencies and duration of activity surveillance will depend upon the frequency of Contractor activities that require correction, and the severity of the nonconforming actions. The need for Government QA will also vary according to the level of experience and attentiveness of various team members. Surveillance may therefore fluctuate as HP personnel are rotated or replaced by the Subcontractor, regardless of how much Contract time has elapsed. Certain activities, such as data verification and record inspections, will require high confidence level sampling for the duration of the Contract.

C. Schedule conflicts may occur as unforeseen discoveries, meetings, unplanned inspections and other events arise.

1. In cases of schedule conflicts, priority will be given to mitigation planning record review and data verification.

2. When conflicts arise between scheduling surveillance visits and GMU inspections, priority will be given to inspection of GMU sample quadrants. This will ensure that site survey CQC is functioning.

3. If fieldwork involving data recovery or human skeletal remains is occurring, surveillance visits to these sites will have priority over regularly scheduled surveillance visits during work in progress.

4. QA priorities may shift, depending upon the effectiveness of the CQC program and the frequency or severity of corrective action requests for the various HP activities.

Preliminary Weekly Schedule for QA of HP Activities

Contract No. N62742-95-1369

Time	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
0700	QC Meeting at MTO ↓	Records Inspection, Mitigation Planning	GMU inspections, after area assessment	GMU inspections, after area assessment	Record, Data Inspection, at MTO or remotely	
0800	↓					
0900	On-site Surveillance Visit –Survey/ Assess. Team ↓					
1000				On-Site Data Recovery Surveillance Visit ↓		
1100	↓					
1200	On-site Surveillance Visit - Monitoring ↓					
1300				Curation/ Lab Facility Inspection ↓		
1400	↓	↓	↓	↓	↓	
1500	Review HPQC Report; QA Notes, Report(s)	Review HPQC Report; QA Notes, Report(s)	Review HPQC Report, QA Notes, Report(s)	Review HPQC Report; QA Notes, Report(s)	Review HPQC Report; QA Notes, Report(s)	
1600						
1700						
1800						

APPENDIX A

CONTRACT NO. N62742-95-D-1369

**HISTORIC PRESERVATION QA
SURVEILLANCE PLAN AND RECORDS**

HP Surveillance Plan
Contract N62742-95-1369

1. Site Survey/Area Assessment

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
1.a. C.5.5.1	Survey to be conducted to identify previously and newly identified sites that will be potentially affected by project activities	100% site survey coverage of all Work Areas must be completed prior to initiation of project activities
1.b. C.5.5.1	Sufficient information shall be obtained to make informed determinations of potential effect	100% of identified features must have descriptive data collected and assessment completed (HPF-1, HPF-2)
1.c. C.5.5.1, SOP A11-a, A11-b	Acquire sufficient information about historic properties to make decisions for site protection and treatment	100% of critical data fields completed on HPF-1 for each identified feature
1.d. C.5.5.1, SOP A11-a	Consult with the KIRC to identify TCPs	TCP treatment to be included in pre-investigation for 100% of all Work Areas. TCP presence/absence verification documented for 100% of Work Areas
1.e. C.5.5.1.1	Survey conducted to reasonably find all Historic Properties visible on surface	100% identification rate expected
1.f. C.5.5.1.1, SOP A11-b	Survey shall assess potential for subsurface deposits at all identified historic properties	100% assessment rate for identified sites, 80% accuracy expected in predicting subsurface deposits
1.g. C.5.5.1.1, SOP A11-b	All identified historic properties marked for subsequent re-identification	100% of identified sites should be marked
1.h. C.5.5.1.1, C.12.0, SOP A11-b	Locations of historic properties to be recorded by land surveyor; accuracy of survey points in accordance with C.12.0	Full coordination between HP team and Land Surveyor at 100% of identified historic properties (survey QA to determine acceptance rate for surveyor point accuracy)
1.i. C.5.5.1.1, SOP A11-b	Recording of survey results shall include a descriptions and assessment of existing conditions and significance evaluations based on NR criteria	Information to be completed for 100% of all identified historic properties
1.j. C.5.5.1.1, SOP A11-b	Documentation to include updated or new site descriptions	100% of identified features must have descriptive documentation (Form HPF-1)
1.k. C.5.3.1	Contractor shall provide personnel, equipment, materials and facilities to accomplish the work	90% conformance rate expected after CQC completed

MANAGEMENT LEVEL

Item No.	Major Contract Requirement	Performance Standard
1.l. C.1.3.4.13, 14, 18; SOP A26-c.1	Ensure compliance with professional standards and qualifications, ensure compliance with health and safety standards	QC reports completed according to schedule; delivery rate and timing at least 95% of expected
1.m. SOP A26-c.1	Conducts sampling inspections to ensure performance in accordance with SOP A11-b (applies to field activities and HPF-01 forms)	Sampling strategy adequate to identify rates of non-compliant work per activity (5% accepted error margin) of actual; 100% of reported non-compliance is reported and follow-up is documented on schedule
1.n. SOP A26-c.1	Conducts surveillance to verify use of approved current SOP (A11-a and A11-b)	Surveillance adequate to maintain minimum of 90% conformance rate with operational steps not listed above as 100% compliance required.

Contract No. N62742-95-D-1369

HP Surveillance Record

1. Site Survey

[illegible]

QA by _____

HP Surveillance Plan

Contract N62742-95-D-1369

2. Decision Making, Mitigation Planning

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
2.a. C.5.5.2, C.5.5.5; SOP A11-f	Determine project activity effects on historic properties; apply 36CFR800.9	Effect determination required for 100% of identified historic properties
2.b. C.5.5.2, SOP A11-f	Consultation and coordination with UXO, construction and/or support activity personnel during decision making and while formulating recommendations	Conformance expected for at least 95% of GMUs with historic properties requiring protective measures
2.c. C.5.5.2, SOP A11-f	Consult with the KIRC in determining potential effects to TCPs	To occur for 100% of identified TCPs
2.d. C.5.5.2., C.5.5.2.1, SOP A11-f	Documentation to provide sufficient information to explain how findings were reached; develop and document recommendations to avoid or mitigation potential effects; complete HPF-02 and HPF-03	To be completed for 100% of identified historic properties (HPF-02) and GMUs (HPF-03)
2.e. C.5.5.2.1, SOP A11-f	Present recommendations and supporting documentation to the Government and the KIRC for review and concurrence prior to implementation	Review Board procedures to be completed for 100% of identified historic properties and 100% of GMUs prior to initiation of project activities
2.f. C.5.3.1	Provide all personnel, equipment, materials, and facilities to accomplish the work as specified in SOP	90% conformance rate expected after CQC
2.g. C.5.3.2	All historic property decision making shall be conducted by supervisory or higher level HP personnel	100% conformance rate expected

MANAGEMENT LEVEL

Item No.	Major Contract Requirement	Performance Standard
2.h. SOP A26-c.5	Surveillance to ensure that HP determinations and recommendations completed in accordance with SOP A11-f, and that recommendations are appropriate	QC surveillance reports for activity completed according to schedule; at least 90% delivery rate
2.i. SOP A26-c.5	Verify that GMU folders are complete and were checked by HPM	Acceptable rate of complete GMU folders after QC is 97% (for critical information such as HPF-02, HPF-03)
2.j. SOP A26-c.5	Verify HPM consultation with Review Board, track Review Board Record, concurrence prior to activity initiation	Acceptable level of conformance after QC is 95% for HPM actions, 100% for completion of review process prior to work initiation
2.k. SOP A26-c.5	Monitor range activities to verify that active work in GMUs has undergone Review Board concurrence and HP measures are in place	Review Board approved HP measures to be in place for 100% of GMUs with recommended HP actions
2.l. SOP A26-c.5	Follow-up surveillance conducted to verify that non-conformances have been corrected and that correction is effective	Corrective action for mitigation planning expected to be completed for 100% of all non-conformances
2.m JC.8 - 1	Proactive management, ensuring compliance with site protection procedures, accurate and complete reporting of quality management, efficient use of resources	QA review to follow performance levels as described in JC8 - 3.1, 3.2, 3.3

HP Surveillance Record

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QA by _____

HP Surveillance Plan

Contract N62742-95-D-1369

3. Monitoring

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
3.a. C.5.5.3, SOP A11-c	Purpose of monitoring is to avoid or mitigate adverse effects to surface and subsurface historic properties during project activities	Monitors expected to take proactive measures to prevent damage to sites during 100% of monitoring activities.
3.b. C.5.5.3.1, SOP A11-c	Monitoring of activities involving surface sites shall include instructions to workers for historic property avoidance and precautionary behavior	Pre-activity brief by monitor expected at least 90% of the time
3.c. C.5.5.3.1, SOP A11-c	Monitoring of activities involving surface sites shall include on-site monitoring of project activities by qualified archaeologist (supervisory or higher level)	Monitor expected to be on-site for 100% of all activities where and when monitoring was recommended and stipulated by Review Board
3.d. C.5.5.3.2, SOP A11-c	Monitoring of ground-disturbing activities shall include identification, recording analysis and evaluation of archaeological resource as well as non-cultural, recent historic and modern deposits	Depositional information to be recorded and documented on HPF-12 for 100% of all occurrences; stratigraphy records to be completed when appropriate
3.e. C.5.5.3.2, SOP A11-c	Data collected during subsurface monitoring shall be sufficient to characterize the nature of all major deposits and strata, regardless of cultural content, and to discuss their known extent through vertical and horizontal space	Stratigraphy records to be completed for 100% of subsurface monitoring when identifiable layers and deposits are found in subsurface soil cuts
3.f. C.5.3.1	Contractor shall provide personnel, equipment, materials, facilities to satisfactorily accomplish the work	90% conformance expected after CQC
3.g. C.5.3.2	Tasks involving data recording shall be conducted under the direct supervision of a supervisory archaeologist	90% conformance expected after CQC

MANAGEMENT LEVEL

Item No.	Major Contract Requirement	Performance Standard
3.h. SOP A26-c.2	Conducts surveillance to ensure that HP monitors are present in GMUs that have stipulations for monitoring as mitigation measure	HP monitors expected to be present at 100% of GMUs where monitoring stipulated by Review Board
3.i. SOP A26-c.2	Conducts surveillance to ensure that approved and current SOP (A11-c) is in use and signed by operators	All operators (100%) should be on signature list of SOP, surveillance adequate to maintain 90% conformance rate with operational steps other than that listed above.
3.j. SOP A26-c.2	Conducts surveillance to verify use of proper PPE, equipment, personnel	Results of surveillance reported as specified, adequate to maintain 90% conformance rate

HP Surveillance Record

[illegible]

QA by _____

HP Surveillance Plan
Contract N62742-95-D-1369

4. Data Recovery

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
4.a. C.5.5.4	The purpose of data recovery is to mitigate adverse effects to surface and subsurface sites during project activities.	100% conformance expected for data recovery actions
4.b. C.5.5.2.1	Data recovery actions to occur only after recommendations and supporting documentation presented to the Navy and KIRC for review and concurrence	No data recovery to occur without proper review and concurrence
4.c. C.5.5.4	Data recovery actions to include field recording, surface collection, excavation	All data recovery activities (100%) expected to be one of three types of activities, as stated
4.d. C.5.5.4.a	Field recording as data recovery to include descriptions, mapping, photography, at more intensive level than undertaken during site survey	When field recording is recommended and approved as mitigation measure, 100% conformance expected; mitigation plan should be followed in all cases
4.e. C.5.5.4.b SOP A11-d.1	Surface collection as data recovery to include systematic recovery of surface materials with appropriate field recording as specified in scope of work for subject historic property	When surface collection is recommended and approved as mitigation measure, 100% conformance expected, mitigation plan should be followed in all cases
4.f. C.5.5.4.c SOP A11-d.1	Excavation of subsurface resources to include recovery and analysis of archaeological and environmental materials	When excavation recommended and approved as mitigation measure, 100% conformance expected
4.g. C.5.5.4.c SOP A11-d.1	Data collected during mitigation excavation shall be sufficient to characterize and discuss all major deposits, regardless of cultural context	All excavation activities shall include full documentation of deposits, and complete reporting of documentation with discussion
4.h. C.5.3.1	Contractor to provide all personnel, equipment, materials, facilities to satisfactorily accomplish the work	90% conformance rate expected after CQC
4.i. C.5.3.1	Tasks involving data recording shall be conducted by HP personnel under the direct supervision of a supervisory archaeologist	90% conformance rate expected after CQC

MANAGEMENT LEVEL

Item No.	Major Contract Requirement	Performance Standard
4.j. C.5.5.2.1 SOP A26-c.3	Surveillance to verify that data recovery actions follow approved recommendations, and appropriate background is provided for justification	Surveillance to confirm 100% conformance of data recovery actions with approved recommendations
4.k. SOP A26-c.3	Surveillance to verify that data recovery actions follow approved current SOP A11-C, and all operators have signed SOP	90% conformance expected after CQC
4.l. SOP A26-c.3	Surveillance to verify compliance with: safety standards, use of appropriate forms' personnel qualification and certification requirements	90% conformance rate expected after CQC

4. Data Recovery

QA by _____

HP Surveillance Plan
Contract N62742-95-D-1369

5. UXO Detonations

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
5.a. C.5.5.5	Field work tasks shall be conducted to preclude of minimize adverse effect to historic properties from planned explosive events	Consideration of site protection to be conducted for 100% of all planned detonations
5.b. C.5.5.5	Special protection tasks may include the construction, transportation, placement and subsequent removal of protective works	All protective works activities to be in accordance with Review Board approved mitigation plan
5.c. C.5.5.5	Special protection tasks include the recording of historic preservation data before, during and after detonations	Conformance with mitigation plan expected for 100% of all protective works activities
5.d. C.5.5.5	Special protection tasks may include site restoration	Conformance with mitigation/restoration plan expected for 100% of all restoration activities
5.e. C.5.5.5	Contractor shall evaluate and document the effect or absence of effect on each historic property potentially affected by explosive events; evaluations to be based on ACHP criteria of effect	Assessment and follow-up documentation expected for 100% of all sites within blast/impact zone of planned explosions
5.f. C.5.5.1	Documentation shall be sufficient to support the evaluation results	Documentation expected for 100% of all planned detonations with associated HP concerns
5.g. C.5.3.1	The Contractor shall provide all personnel, materials, equipment and facilities to satisfactorily accomplish the work	90% conformance rate expected after CQC

MANAGEMENT LEVEL

5.h. SOP A26-c.2 SOP A26-c.3	Surveillance to verify that HP activities associated with planned detonations are in conformance with HP monitoring and data recovery SOPs, as applied to specific tasks of protective works activities	90% conformance expected after CQC, for SOP steps not listed above for 100% conformance expected
5.i. SOP A 26-c.2	Surveillance to verify that HP monitors are present in all cases of planned detonation where monitoring was stipulated by Review Board	100% conformance expected after CQC
5.j JC.8 – 1.1	Effective management of UXO operations, use of creativity to achieve innovative and/or cost effective solutions to protective works problems	QA assessment follows performance levels found in JC 8-3.1

HP Surveillance Plan

Contract N62742-95-D-1369

6. Treatment of Human Remains

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
6.a. C.5.5.6 SOP A11-e	In the event of inadvertent discovery of human remains or associated objects, the Contractor shall stop work in the immediate area, protect the discovery from imminent harm and immediately notify the Contracting Office or designated representative	All three actions (stop work, protect remains, contact Navy) must occur for 100% of all discoveries, and must occur prior to any other activities involving the discovery
6.b. C.5.5.6	Personnel trained in the field identification of human remains shall confirm the discovery	For finds that are not obviously human, properly trained person shall make decision for 100% of all occurrences, and resolve disputes over where remains are human
6.c. C.5.5.6.1	Contractor shall have at least one HP staff person on island at all times during field work to respond to any inadvertent discovery of possible human remains	90% conformance rate expected
6.d. C.5.5.6 SOP A11-e	Work in area of discovery shall be suspended until the Contractor receives written notification to proceed from the Contracting Officer or designated representative	Conformance expected for 100% of all occurrences
6.e. C.5.5.6 SOP A11-e	Treatment of confirmed human remains to be determined by Navy and KIRC on case-by-case basis, and may require the Contractor to perform site stabilization, data collection or data recovery	Conformance with instructions expected for 100% of all occurrences; no actions to be taken by Contractor without instructions from Navy
6.f. C.5.3.1	Contractor shall provide all personnel, equipment, and facilities to satisfactorily accomplish the treatment and curation of archaeological materials	90% conformance expected after CQC

MANAGEMENT LEVEL

Item No.	Major Contract Requirement	Performance Standard
6.g. C.1.3.4.13,14 SOP A26-c.4	Surveillance to verify that HP staff follows SOP A11-e, and that participating staff are qualified per Contract	100% conformance expected for all discoveries of human remains
6.h. SOP A26-c.4	Inspection of records to ensure that all information was properly collected, as instructed, and that no unauthorized fieldwork was conducted	100% conformance expected for all discoveries of human remains

HP Surveillance Record – 6. Treatment of Human Remains

Date	Location	Item	SAT	UNSAT	Comments

QA by _____

Contract N62742-95-D-1369

WORKER LEVEL

MANAGEMENT LEVEL

HP Surveillance Record – 7. Treatment and Curation of Materials

QA by

Contract N62742-95-D-1369

WORKER LEVEL

MANAGEMENT LEVEL

HP Surveillance Record – 8. Database

(Use Records Inspection Log and Worksheet for Record Checks)

QA by

HP Surveillance Plan

Contract N62742-95-D-1369

9. Reports

WORKER LEVEL

Item No.	Major Contract Requirement	Performance Standard
9.a. C.5.6.1 JC.6 iv - 2	Monthly progress reports on the historic preservation work shall be submitted	100% conformance expected, scheduling expected to be on time 90% of occurrences, 7 calendar days after end of reporting period
9.b. C.5.6.1 JC.6 iv - 2	Quarterly progress reports on the historic preservation work shall be submitted	100% conformance with on time submittal at least 75% of time, 7 calendar days after end of report period
9.c. C.5.6.1 JC.6 iv - 2	Annual progress reports on the historic preservation work shall be submitted	100% conformance expected; all annual report submittals expected to be on schedule, 7 calendar days after end of report period
9.d. C.5.6.5 JC.6 iv - 2	A final Task Order Report shall be prepared for each task order in accordance with Secretary of Interior's Standards and Guidelines for Archaeological Documentation	100% conformance expected; submittal expected to be on time, 21 calendar days after end of Task Order work
9.e. C.5.6.6. JC.6 iv - 3	A Close Out Report containing a complete summary of all HP tasks performed, results of tasks, and recommendations for long-term management, shall be completed	Conformance expected, on schedule, 30 calendar days after end of work
9.f. JC.6 iii-22	All reports shall contain specific information listed in JC.6 iii-22: description of progress made, results obtained related to previously identified problems, changes in organization, methods, technical problems, schedule status, plans, descriptive data in appendices	All required elements expected to be included in Progress Reports, 100% conformance expected after CQC

MANAGEMENT LEVEL

9.g. JC.8-1.1	Effective management of resources to ensure timely and accurate reporting of activities, optimal compliance with HP standards and RFW	CQC review expected for all submittals, within designated timeframe
9.h. SOP A26-c.7	Technical and editorial reviews of reports to be conducted in accordance with accepted guidelines (SOP A26-c.7), by individuals with relevant expertise, and by HPQCM	HPQCM verifies completion of review (signs Document Comment and Resolution Form) for all report submittals

Deliverable/report reviews will be conducted by Government QA and reported on case by case basis.
Written comments will be submitted to Contracting Officer for transmittal to appropriate Contractor's representative.
Format for comments to follow outline determined by Contracting Officer.

APPENDIX B

CONTRACT NO. N62742-95-D-1369

**HISTORIC PRESERVATION QA PLAN
RECORDS AND WORKSHEETS**

Contract No. N62742-95-D-1369

QA by:

[illegible]

Notes:

HP QA EVALUATION

RECORDS INSPECTION LOG
Contract No. N62742-95-D-1369

through

QA by_

[illegible]

NOTES:

RECORDS REVIEW
EVALUATION WORKSHEET
Contract No. N62742-95-D-1369

1. Form/File Title _____ Date _____ Evaluator _____
Page/Section/Paragraph/Entry _____ Format: ☐ paper ☐ electronic

Comment: _____

2. Form/File Title _____ Date _____ Author _____ Format: ☐ paper ☐ electronic
Page/Section/Paragraph/Entry _____

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3. Form/File Title _____ Date _____ Author _____ Format: ☐ paper ☐ electronic
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Comment: _____