

NTTA Projects	Original Issue Date: 09/09/2008	QM-12
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Title: Control of QMS Documentation		

1.0 PURPOSE:

The purpose of this document is to define the procedure by which QMS documentation (inclusive of external documents) is controlled including: review and update, approval, identification of changes and revision status, version control, legibility, distribution, and control of obsolete documents. All documents within the Project Delivery QMS including the Quality Manual, Procedures, Manuals, Forms, and QMS referenced documents shall be controlled according to this procedure herein.

2.0 RESPONSIBILITIES:

- 2.1 Project Delivery (PD) Quality Manager – The PD Quality Manager shall be responsible for identifying the structure necessary to control QMS documents, and shall ensure that all QMS documents are controlled in accordance with this procedure. The PD Quality Manger shall be responsible for reviewing and approving the classification of major or minor revision to QMS documents, thus establishing the training requirements in accordance with QM-05. The PD Quality Manager shall also be responsible to approve all QMS documents prior to release.
 - 2.2 Project Delivery Contracts Manager – The PD Contracts Manager (or designee) shall be responsible for reviewing and approving all new revisions and proposed changes to QMS documents prior to release.
 - 2.3 PD Document Control Staff – The PD Document Control staff shall be responsible to provide editable latest versions of QMS documents including QMS procedure template to Originator/Process Owners for revision/original release. The PD Document Control personnel staff also be responsible to ensure appropriate approval signatures have been obtained for new or proposed revision of QMS documents in accordance with *DM-01 Management of Controlled Documentation* procedure prior to release. The PD Document Control staff shall be responsible to publish/release proposed new or revised QMS documents and to maintain QMS document library in accordance with *DM-01 Management of Controlled Documentation* procedure and *QM-05 QMS Training* procedure.
 - 2.4 PD Process Owners – PD Process Owners (PD functional managers) shall be responsible for ensuring all QMS Document including procedures, forms and attachments are controlled, generated, and approved within their area of responsibility in accordance with DM-01.
 - 2.5 NTTA Manual Content Owners - The Manual content owners shall be responsible to ensure that all NTTA Manuals are controlled in accordance with the requirements documented in this procedure. The Manual content owners shall also be responsible to approve new or revised manuals as well as obtaining additional approval as appropriate prior to release.
 - 2.6 NTTA Functional Managers – NTTA Functional Managers shall be responsible to approve new or revised QMS procedures, attachments, forms, and NTTA Manuals within their area of responsibility.
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2.7 Director of Project Delivery (DPD) – The DPD shall be responsible to approve new or revised QMS procedures, forms, attachments and manuals prior to release.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Project Delivery QMS Documents, inclusive of the Quality Manual, procedures, forms, manuals, and NTTA Standards, Special Specifications, Special Provision and General Notes – Front End Document. Except where specifically noted, QMS documentation shall be electronic media and any printed QMS documentation shall be assumed as uncontrolled. All users of the QMS shall access documentation via the electronic repository. This procedure does not apply to NTTA policies, which are governed by the Authority.

4.0 REFERENCES:

- [DM-01](#) Management of Controlled Documentation procedure
- [QM-05](#) QMS Training procedure
- [FD-03](#) NTTA Special Specification, Special Provision and General Note Management procedure
- [FD-04](#) NTTA Standard Management procedure

5.0 DEFINITIONS & ACRONYMS

6.0 PROCEDURES:

6.1 QMS Identification – Project Delivery QMS documentation shall consist of:

- 6.1.1 Quality Manual including QMS Procedures, Forms, Attachments, and NTTA Manuals
- 6.1.2 NTTA Special Specifications, Special Provisions and General Notes - Front End Documents are Controlled via FD-03 and DM-01.
- 6.1.3 NTTA Standards are controlled via FD-04 and DM-01.
- 6.1.4 External Referenced Documents

6.2 All QMS documentation shall be managed and controlled within a documentation repository. All QMS documentation shall exist in electronic media, and released as .pdf or other protected format. All QMS documentation shall be released and controlled as electronic media unless specifically identified as a hard copy document. All hard copy QMS documentation shall be controlled via master distribution list.

6.3 Review and Approval - QMS documentation shall be reviewed for accuracy and adequacy and approved by the following functions:

- 6.3.1 Quality Manual – shall be reviewed and approved by the PD Quality Manger and the Project Delivery Contracts Manager and the Director of Project Delivery.

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- 6.3.2 QMS Procedures Forms and Attachments – shall be reviewed and approved by the process owner, the PD Quality Manager, the Project Delivery Contracts Manager, associated NTTA Functional Manager and the Director of Project Delivery.
- 6.3.3 NTTA Manuals – shall be approved by the content owner, the PD Quality Manager, the Project Delivery Contracts Manager, the associated NTTA Functional Manager and the Director of Project Delivery.
- 6.4 Continuing Review and Re-Approval - QMS documentation shall be reviewed and for continuing suitability and adequacy and re-approved every 3 years, if not revised for business need within that time frame. Review and re-approval shall be accomplished by the same functions as the original review and approval.
- 6.5 Releasing new QMS documents
 - 6.5.1 When the need arises to release new QMS documents, the process or content owner shall write the new document utilizing the appropriate Project Delivery template (QM-12-F2 for procedures).
 - 6.5.2 The process or content owner shall then complete the Document Release Notice form QM-12-F1.
 - 6.5.3 The process or content owner shall then submit the new QMS document and the completed Document Release Notice form to PD Document Control.
 - 6.5.4 The PD Document Control staff shall publish the new QMS document within the electronic repository in accordance with DM-01.
- 6.6 Revision to existing QMS documents
 - 6.6.1 When the process/content owner has a need to revise a QMS document, he or she shall request a copy of the current version source document from PD Document Control.
 - 6.6.2 PD Document Control shall provide the latest editable source document to the process/content owner, and indicate that the current version is out for revision.
 - 6.6.3 The process/content owner shall make appropriate changes to the source document, making sure to identify each change within revision history. The process/content owner shall then complete the Document Release Notice form, QM-12-F1, and return the revised document to PD Document Control.
 - 6.6.4 PD Document Control shall publish the revised document within the electronic repository and move the previous revision to archives in accordance with DM-01.

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6.7 As QMS documentation is electronic, current versions shall be made available to all users through electronic repository. Only current versions of documents shall be valid and accessible to users through the electronic repository. Obsolete or superseded versions of QMS documents shall be maintained in electronic archive files with access restricted to PD Quality Management and PD Document Control.

6.7.1 If particular projects or corridors require the use of previous versions of QMS documents, approval shall be documented via *QM-06, Deviations*, and then shall be controlled via electronic secure access to approved, otherwise superseded documents.

6.8 Referenced external documents (such as TxDOT, FHWA, etc.) within the QMS shall be controlled via access through the web to the actual source files which are maintained and controlled by the document owners. In instances where website access to external documents is not available, then PD Document Control shall be responsible to obtain and maintain current revisions of external documents within the QMS document repository, and to move superseded or obsolete external documents to archives when new revisions are received and posted.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- [QM-12-F1](#) Document Release Notice
- [QM-12-F2](#) QMS Procedure Template

10.0 FLOWCHART:

N/A

11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Micki Ellis	09/09/2008		Original Issue
1	Troy Federspiel	04/28/2011	10295	Removed "Guiding Principal", updated the Purpose, Scope / Applicability sections. Updated Section 2.0 Responsibilities. Deleted the Asst. Exec Director, Deputy Program Managers, Project Delivery IT Liaison. Added NTTA Functional Managers. Clarifications added to Section 6.0. Changed PMO to PD.