# DOCUMENT CONTROL PROCEDURE

1. **PURPOSE**
   1. This document defines the process for the creation, verification, control, issue and amendment of all correspondence, documentation and drawings in support of ‘Contractor’ Constructions Quality Management System and Document Control process and in support of clarity of communications.
   2. Multiple projects will be the focus and challenge of this QMP.
2. **SCOPE**
   1. The scope of this document control process encompasses all documentation utilized by ‘Contractor’ Construction personnel including:
   * Drawings initiated and residing in the Document Control system.
   * Documents from an external origin such as customer (Owner or Owner’s Representative) drawings, specifications, and requirement documents to be electronically filed or scanned and filed to by the Project Manager.
   * Customer, consultant, subcontractor, and supplier correspondence.
   * ‘Contractor’ Construction initiated correspondence.
   * This procedure works in parallel with, but is different than the Record Control Procedure, to be described elsewhere.
3. **DEFINITION**
   1. **Document Control:** Control of documentation required by ‘Contractor’ Construction to define the controls needed to approve, review, update, identify revisions, document status, provide access to and distribution of these documents.
   2. **Changed Condition**: Changes to contractual items that affect project scope, schedule or budget.
   3. **Document Control versus Record Control:** For clarity regarding control of Documents, “Document Control” is correspondence or information transmitted regarding instructions for future action. As such, documents often have revision control so that the latest revision, agreed plan, drawing, spec, or instruction can be successfully implemented. “Record Control” deals with the facts of what has transpired in the past. Records typically do not need revision control as the facts typically do not change.
4. **RESPONSIBLITIES**
   1. **Responsibility**

4.1.1 **This procedure applies to all ‘Contractor’ Construction Project documentation**. Documents may include correspondence with Owner and subcontractors, drawings, requests for information, submittals, meeting minutes, etc.

**Training is an important aspect of Document Control. All organizations working on the Project are responsible for training their personnel on the aspects of Document Control that pertain to their organization.**

4.1.2 **Document Control responsibility:** All project documents will be controlled by the ‘Contractor’ Construction Project Manager for policy decisions. ‘Contractor’ Constructions project managers will be responsible to post and distribute documents for day to day activities. Other users at participating organizations (and anyone issuing documents or drawings) will be responsible for their own document control. These positions will share the document control responsibilities at different levels and collectively are tasked with this full Document Control responsibility.

**4.1.3 Document Control Position**

The roles and responsibilities of the Document Control Person (project manager or designee) include the following:

• Ensure all documents (including drawings) received and transmitted are systematically filed and saved digitally;

4.1.4 Not used.

4.1.5 Not used.

4.1.6 **Project and ‘Contractor’ Construction Quality Management Documents:**  Quality Manual, Quality Management Procedures, Work Methods, will be saved, distributed via email, paper copy or by a pdf copy, and controlled by the Quality Manager, Project manager, or document control manager.

4.1.7 **Changes to Document Control:** If revisions to these rules are needed, this document control procedure will be updated to reflect any document control changes as authorized by the Project Manager.

* 1. **Signature and approval authority**

While the ‘Contractor’ Construction Project Manager is responsible for approval of all contracts, policies and procedures, other team members such as the estimator or senior management may approve certain kinds of quality management documentation or correspondence. See below. Every project is different and the table should be updated for every project, as well as every construction company that uses it.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Signatory  Authority  Matrix | Contract document | Non-contractual letter | Quality Plan | Quality Management Procedure | Work Method | Design Chg Notice | RFI |
| Construction Manager | X | X | X | X | X | X |  |
| Project Manager | X | X | X | X | X | X | X |
| Quality Manager | x | X | X | X | X | x | X |
| Estimator | x | X |  |  |  |  | X |
| Superintendent |  | ? | ? | ? | X | ? | X |

Contracts and documents that require signature shall be written, printed, signed, and scanned.

**Sub-consultant, sub-contractor communication with Owner:**

Sub-consultants and/or sub-contractors, shall only communicate to the Owner in writing via the ‘Contractor’ Construction Project Manager unless previously approved. Informal verbal communications at meetings is acceptable.

**Drawing approval** is left to the professionals in charge of those disciplines and a procedure for drawing approval is to be part of their quality manual.

1. **PROCEDURE** 
   1. **Correspondence and Drawing Control**

Electronic documents filed by the Project Manager are deemed to be the current document. Documents that have been previously printed need to be checked against the electronic version in order to confirm that it is the most up-to-date version.

Drawings are saved as “in-progress” can only be used by project personnel for a purpose consistent with the issue/revision status noted on the drawing. Other revs will be issued for quote, information, etc… Documents with rev # “Rev A, B, C etc” indicates preliminary, not for construction. Rev 0, 1, 2, AND stamped by a P. Eng. indicates “Issued for construction (IFC)”.

The Project Manager shall take the following actions:

**5.1.1 ‘Contractor’ Construction Correspondence – outgoing**

1. Formal correspondence (electronic letters) **to or with Owner (or Subs or Suppliers or Consultants)** shall be formally issued, shall be titled to describe the major aspects of the item in question for future search-ability reasons, **and shall follow the Owner’s Rep drawing number system.**
2. Any ‘Contractor’ Construction employee or manager is authorized to draft letters to the Owner, but all letters shall be reviewed by the Project Manager.
3. For letters to sub-contractors or sub-consultants or others, the review process still applies, but letter signature authority can be expanded to include Project Superintendent, (and others as identified by the Project Manager).
4. Following signature, the signatory shall scan the document to a PDF file format and shall email the scanned letter with the identically named email providing cc to ‘Contractor’ Construction or project recipients including the Project Manager and Project Superintendent.

**5.1.2 ‘Contractor’ Construction Correspondence - Incoming**

1. **Owner letters** – The Owner is encouraged to send electronic letters with cover by email with attached documents in PDF format. At the very least, the Owner is requested to send correspondence letters in a consistent manner from consistent personnel. Single point of contact is recommended (from ‘Contractor’ Construction and Owner) by role.
2. **‘Contractor’ Construction action to external letters received:** Email cover page (or Submittal cover page) and attached electronic letter is received, reviewed by the Project Manager, filed on the Project Manager’s email with Title search as main guide to future document searches. Note that when a document is not properly titled by the sender, Outlook provides the ability to rename a file so that an email may be properly titled.
3. **CC to Project personnel:** The recipient should cc a document to project personnel including sub-consultants or sub-contractors. Do so if it was not done in the original email.

**5.1.3 Change Identification including Drawings and Specifications from Owner - Incoming:**

1. Drawings and specifications from Owner shall be filed and saved electronically by the Project Manager. If paper copies are received it shall be scanned and saved.
2. Project and Contract documents which identify scope, schedule, and price are filed and saved by the Project Manager.
3. New or revised contract drawings, specifications, or requirements from Owner shall be made available to recipients (‘Contractor’ Construction personnel, Consultants and Sub-contractors) per Document Control.
4. Upon new information from the Owner, the recipient checks the received drawings and/or specifications and/or requirements from Owner against the Owner’s Transmittal for accuracy.
5. Determine if any drawings and/or specifications from Owner are revised from the contract set of drawings and specifications.
6. If changes have been made, a review of the changes made by the Owner shall be immediately organized and ‘Contractor’ Construction personnel shall be tasked with identifying changes that could cause a change to price, scope, or schedule.
7. It is not uncommon for Owner’s Rep’s to allow a short amount of time with which to respond to correspondence that involves changes. So make note of any time constraints for response. In any event, changes should receive immediate contractor attention so as not to lose sight of the change and potentially change to scope which could make for change to schedule and costs that need to be addressed.
8. A Master Index of drawings and specifications may provide assistance in tracking drawing and specification status, and the most recent rev # and date shall be indicated on the Master Index.

**5.1.4 Drawings and Documents Outgoing**

1. **Drawings to be filed and saved by the Project Manager:** ‘Contractor’ Construction has directed all consultants and ‘Contractor’ Construction personnel to file new or updated drawings, documents and specifications using the Project Managers individual filing system.
2. **Drawing numbers** are to follow the project drawing numbering guideline.
3. **Drawing issuance policy (Drawing Control):**

**Overall drawing list:** (create and keep up to date)

**Distribution:** Distribute new drawings issued, set up distribution lists.

**Up-to-date drawings – Office & Site paper copies**

**Site:**  1 set 24 x 36 – As-built (red-line) set

2 set 24 x 36 – General use

**Office:** 1 set 24 x 36 – General use

**Superceded Drawings** – ‘Contractor’ Construction will keep one paper copy with all revisions.

**[Note that for contracts that are not Design-Build, but are Design–Bid-Build – drawing numbering is not the responsibility of the contractor.]**

**Control of Drawing Numbers issued (Design-Build):**

Drawing numbers are assigned or monitored through the ‘Contractor’ Construction designated person – position is Project Manager.

Ensure new drawings are numbered at creation.

Ensure revisions are up to date.

The **“Drawing List”** is an important document tracking all drawing status and is saved by the Project Manager under Project schedule, Drawings, Drawing List. The Drawing List must be kept up to date and must match exactly with drawing numbers and drawing versions or revision numbers that are contained in “submittals”.

* 1. **Document Change Requests**

Changes to a document may be requested if a document is found to be inadequate or deficient. Change requests to quality documents must be submitted to the Project Manager or Quality Manager. This can be done by using a RFI (request for information)

**End of Document**