**QUALITY MANAGEMENT SYSTEM (QMS)**

# DOCUMENT CONTROL PROCEDURE

**PREFACE AND INTRODUCTION**

This Document Control Procedure was written originally by Jim Turnham and provided to a Construction Company at the beginning of their $50M project.

For that project, Procore proprietary software was used as a collaboration software program that resides on the cloud and therefore provides very good access to documents from any source – Owner, Contractor, Subcontractor, Designer, etc. As a result, there is only one repository for all correspondence and each individual company needs only have a person trained in Collaboration Software Document Control.

**However, this QMP is presented in this Collaboration Software format so that Document Control (non-proprietary) can be provided described as a procedure.**

**This QMP shows the general elements of a document control system and some internal review will be required from ‘Organization’ personnel.**

Note: It is recommended to write a shorter version for Subcontractor communications.

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 ‘Organization’ 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. [It is noted that multiple projects are not on the radar in this rev A version. Those within ‘Organization’ may wish to review with an eye for multiple projects and any issues that may cause.]
2. **SCOPE**
	1. The scope of this document control process encompasses all documentation utilized by ‘ORGANIZATION’ 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 Collaboration Software.
	* Customer, consultant, subcontractor, and supplier correspondence,
	* ‘ORGANIZATION’ 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 ‘ORGANIZATION’ 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 do not need revision control as the facts do not change.
4. **RESPONSIBLITIES**
	1. **Responsibility**

4.1.1 **This procedure applies to all ‘ORGANIZATION’ Project documentation** (the majority of it which resides on Collaboration Software Document Control system and is to be followed by all ‘ORGANIZATION’ personnel. 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.**

4.1.2 **Document Control responsibility:** All project documents will be controlled by the ‘ORGANIZATION’ Project Manager (or ‘Organization’ Construction Manager) for policy decisions. ‘ORGANIZATION’ Project Administration and/or Project Coordinator (Document Control) 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 include the following:

• Ensure all documents (including drawings) received and transmitted are filed correctly in Collaboration Software;

• Ensure that the Collaboration Software database is kept up to date, correct filing errors made by other project team members;

4.1.4 **Owner use of Collaboration Software document control:** Not applicable.

4.1.5 **Sub-consultant and sub-contractor use of Collaboration Software document control:** (Not addressed in this procedure.)

4.1.6 **Project and ‘ORGANIZATION’ Quality Management Documents:**  Quality Manual, Quality Management Procedures, Work Methods, will be saved, distributed via email or by Collaboration Software notifications tracking??, and controlled by the Project Admin?? or by the Project Coordinator??.

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.

4.1.**8 Document Control** **Assistance:**  has identified assistance that is available regarding use of their system by means of:

* ‘ORGANIZATION’ Collaboration Software Administrator?? will assist with Document Control questions.
	1. **Signature and approval authority**

While the ‘ORGANIZATION’ Project Manager is responsible for approval of all contracts, policies and procedures, other team members such as the ‘ORGANIZATION’ Quality Manager (assisted by the ‘ORGANIZATION’ Document Control) may approve certain kinds of quality management documentation or correspondence. See below. It is noted that every construction company and every project are different. This table should be updated with every project, all of these items are subject to change at the discretion of the company or project.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| SignatoryAuthorityMatrix | Contract document | Non-contractual letter | Quality Manual | 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 Mgr |  | X | X | X | X |  | X |
| Project Coordinator |  | X |  |  | X |  | X |
|  |  |  |  |  |  |  |  |

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

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

Sub-consultants and/or sub-contractors, shall only communicate to the Owner in writing via the ‘ORGANIZATION’ 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 in Collaboration Software 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 filed to Collaboration Software “in-progress” and 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 Coordinator and/or Project Administrator (here-in identified as Document Control) shall take the following actions:

**5.1.1 ‘ORGANIZATION’ Correspondence – outgoing**

**(‘ORGANIZATION’ Subs shall implement applicable aspects of this section – See 5.3)**

1. Formal correspondence (electronic letters) **to or with Owner (or Subs or Suppliers)** 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.**

Letters shall be typed on the “Letter to Owner” (“or Letter to Sub”) Template (Do we have these templates?), and shall be electronically named and filed in accordance with 5.1.1.1. All documents shall have the filename in the footer of the document so that its electronic file location shall be known.

1. Any ‘ORGANIZATION’ employee or manager is authorized to draft letters to the Owner, but all letters shall be reviewed by the Project Manager.
2. 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).
3. 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 ‘ORGANIZATION’ or project recipients including the Project Manager and Project Superintendent and?? **and to the Collaboration Software Email Archive**.
4. **The Collaboration Software Email Archive address is as follows:**

**??. This email address is to be copied for significant project documentation by all project personnel.**

**5.1.2 “Track File” or “Track Folder”?? (Does this tracking capability exist?).** Those that wish to be notified of any revisions will “track” a document within Collaboration Software. One simply puts a check in the box marked “Track File” or “Track Folder”. When-ever changes to a document or folder occur, the system will notify you of the change.

**5.1.3 ‘ORGANIZATION’ 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 ‘ORGANIZATION’ and Owner) by role.
2. **‘ORGANIZATION’ action to external letters received:** Email cover page (or Submittal cover page) and attached electronic letter is received, reviewed by the Project Manager, filed to appropriate Collaboration Software subject matter location and original left on the Project Manager’s email with Title search as main guide to future document searches.
3. **CC to Project personnel:** The recipient should cc a document to project personnel including sub-consultants or sub-contractors. As well, check that the email was cc’d to Collaboration Software Archive??. Do so if it was not done in the original email. Additionally, if the email was not sufficiently described in the “Subject”, the recipient has the option to add to the “Subject” and send to Collaboration Software Archive, or send on to cc recipients with the document re-titled, and even resend to the originator if the original “Subject” description is functionally inadequate.
4. **‘ORGANIZATION’ Task List and Issues Management:** The ‘ORGANIZATION’ Task list in Collaboration Software??(Does this function exist? If not, it is a ‘Organization’ process?) ~~will function as a repository of issues to be resolved where they will be assigned to a role for action and tracked to completion. Project Admin will track actions identified in emails, meeting minutes, and enter these into the ‘ORGANIZATION’ Task List in Collaboration Software so that those who are tasked with the item can be reminded to follow up until the issue is closed.~~

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

1. Drawings and specifications from Owner shall be filed electronically in Collaboration Software. If paper copies are received, one copy is filed to the Master Stick file and it shall be scanned to Collaboration Software??.
2. Project and Contract documents which identify scope, schedule, and price are filed electronically in Collaboration Software.
3. Collaboration Software recipient permission authority shall be reviewed for correctness by the Project Manager, or the Project Administrator.
4. New or revised contract drawings, specifications, or requirements from Owner shall be made available to recipients (‘ORGANIZATION’ personnel, Consultants and Sub-contractors) per Document Control.
5. 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.
6. Determine if any drawings and/or specifications from Owner are revised from the contract set of drawings and specifications.
7. If changes have been made, a review of the changes made by the Owner shall be immediately organized and ‘ORGANIZATION’ personnel shall be tasked with identifying changes that could cause a change to price, scope, or schedule. A notification to the Owner shall be provided of any such Changed Condition, internally within 5 days plus 2 days to the Owner for a target of 7 days from receipt of changed project requirements. Follow up shall be by official letter to the Owner.

**5.1.5 Drawings and Documents Outgoing**

1. **Drawings to be filed to Collaboration Software:** As of ??, ‘ORGANIZATION’ has directed all consultants and ‘ORGANIZATION’ personnel to file new or updated drawings, documents and specifications using Collaboration Software file structure under the Owner Drawing Numbering system??.
2. **Drawings are to be saved to Collaboration Software**. When saving and uploading a new version of a drawings, the person doing the upload is requested to provide a short comment under the “comments”? (Does this comments box exist)? box on the Collaboration Software upload screen identifying the changes to the drawing. The comment will be viewable on the Collaboration Software Version Log??. This process will help us to do a better job of tracking what changes are in each version of the document or drawing.
3. **Drawing numbers** are to follow the ??Owner drawing numbering guideline. See Attachment ?? for Owner drawing numbering details.
4. **Drawing issuance policy (Drawing Control): (Design-Build and IPD only)**

**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 – Redline Record (As-built)??

 1 set 24 x 36 – General use??

 1 set 11 x 17 – General use??

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

 1 set 11 x 17 – General use??

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

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

Drawing numbers are assigned or monitored through the ‘ORGANIZATION’ designated person – position is called Document Control??.

 Blocks of drawing numbers will be pre-issued??.

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 on Collaboration Software under Project Phase, 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”.

The Collaboration Software “check-out procedure” is to be utilized whenever revising the “Drawing List” so as to prevent two people trying to upload new versions of the Drawing List at the same time?? I doubt this is an issue, but ??.

1. **Drawing Checkout Policy:** Collaboration Software Documents tab??, (“Check out” drawings if you are going to be making revisions to the drawing and want others who may also want the drawing to be notified that revision is underway??)
2. **??X-Refs (Autocad) Policy**
3. **??X-Refs Bound to the Drawing:**
4. **??Plot Stamping regarding printed drawings:**

**5.2 Submittals (submissions)**

1. **Submittals** are to be implemented through Collaboration Software?? Filing the Submittals to ??.
2. **When to use Submittals**??**:** Submittals shall be utilized for design items to be sent to the Owner from ‘ORGANIZATION’ and (if Subcontractor originated) from Subs. **Internal submittals are discouraged??. We prefer to utilize design review meetings to discuss concepts and minimize internal submittals??.**
3. **Table showing submittal evolution and process??:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Submittal status** | **30%** | **60%** | **Rev 0, IFC** | **Rev 1** | **etc** |
| **Typical dwg rev #** | **A or B or C etc** | **B or C or D etc** |  **IFC, Rev 0** | **1** |  |
| Office checkscertification | Design checks | Design checks | Design checksStamp of PEng | Design checksStamp of PEng |  |
| **Submittal rev #****And issue** | **A****Issued to Collaboration Software** | **B** **Issued to Collaboration Software**  | **0****Issued to Collaboration Software** | **1****Issued to Collaboration Software** |  |
| **Action 1** | Update dwg list | Update dwg list | Update dwg list | Update dwg list |  |
| **Action 2** |  |  | Update IFC dwg list??? | Update IFC dwg list??? |  |
|  |  |  | File pdf copy of IFC drawing in “IFC Drawings” folder on Collaboration Software | File pdf copy of IFC drawing in “IFC Drawings” folder on Collaboration Software |  |
| **Action 3** |  |  | Print copy to site in 24 hrs | Print copy to site in 24 hrs |  |
| **Action 4** |  |  | Review by ‘ORGANIZATION’ and Owner,  | Review by ‘ORGANIZATION’ and Owner,  |  |
| **Action 5** |  |  | Review comments returned to originator and start next iteration\* | Review comments returned to originator and start next iteration\* |  |
|  |  |  |  |  |  |

**Note 1:** Submittals are one of the tools of quality management – allowing the Sub or ‘Organization’ to declare their intent regarding supply of process or product. The Owner can respond prior to PO or purchase as to the acceptability of the submittal – when the costs incurred are still very small.

Note 2: Collaboration Software default**??** for submittals starts at rev 0**??**. Use alpha rev numbers for pre-IFC. Use numeric rev numbers for IFC and up.

1. **Transmittals??: Transmittals are** not to be utilized on this project. Email and Submittals are sufficient categories for correspondence tracking.
	1. **Correspondence Outgoing - to be performed by Sub-consultants and subcontractors**
2. Sub-consultants and Subcontractors should utilize correspondence in the same manner as is performed by CHANDOS. (5.1.1 and 5.1.2 above will generally be utilized).
3. Subs may wish to write a Document Control procedure that will spell out the details of their document control – to be submitted to ‘ORGANIZATION’ in order to agree on the process**??**.
	1. **Quality Management (Controlled) Document**

Prior to Collaboration Software (Collaboration Software Document Control**??**), “Controlled documents” defined the requirements for distribution control for a document or drawing or work process, and was followed to ensure that any change in the information flowed to those that required it for any work item.

Now that we are using the Collaboration Software Document Control system**??**, we no longer need to manually control the distribution list to prevent unknown changes**??**.

**Track Document or Track Folder:** Those that wish to be notified of any revisions will “track” a document within Collaboration Software**??**. One simply puts a check in the box marked “Track File” or “Track Folder”. When-ever changes to a document or folder occur, the system will notify you of the change. The following are examples of documents that a user may want to track:

* Quality manual
* Quality Management Procedures
* Work Methods,
* Drawing folder

Quality documents are identified with a document name and document number as follows:

* Quality Management Procedures are prefixed ‘QMP’
* Forms (checklists) are typically identified with the same QMP number as the procedure it represents and with a letter suffix. Example the Audit Report and Audit Checklist are QMP 011b and 011c respectively.
* Work methods are prefixed ‘WM’

The initiating person/department shall either send out documents directly and include any interested parties in the distribution - or - shall identify to Document Control the required distribution and shall request that Document Control issue the document in question.

The following steps shall be taken when issuing a new or revised controlled document:

* Documents shall be filed in Collaboration Software, Documents, Quality Management folder and identified by title, revision # of the document, and document owner or location.
* Issue a copy by email to each person or organization that should also be included in the distribution. Documents may be issued to parties outside the organization; in this case, the initiating person shall identify the distribution of the document.
	1. **Uncontrolled Documents**

“Uncontrolled” and “Reference Only” are terms used which are deemed to have the same meaning. Uncontrolled documents must be verified as current by comparison to the Collaboration Software current electronic version prior to use and are for informational purposes only.

Phone calls shall be documented if during the conversation, agreement or disagreement is substantive.

* 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.

1. **REFERENCES**

6.1 Collaboration Software Electronic Document Filing Structure (see Collaboration Software on-line) **??**.

6.2 ~~See also Quality Record Process & Tracking and associated Electronic Records Filing Structure~~

1. **ATTACHMENTS**

7.1 ~~Key to Owner Drawing Numbers and Document Numbers –~~

 7.2 ~~Screen shot of Collaboration Software drawing or document Upload~~ **~~“comments”~~**

**End of Document**