NTTA
NORTH TEXAS TOLLWAY AUTHORITY

Document Release Notice

Document Number:	PC-03	Title:	Exception Reporting		
Current Revision #:	1	Type of Change:	☐ ORIG RELEASE ☑ REVISION ☐ ARCHIVE ☐ OBSOLETE		
New Revision #:	2	DRN Number:	10229	☑ MAJOR ☐ MINOR ☐ ADMIN	
Date Submitted:	8/15/2010	Document Type:	QMS Document - PC		Choose from Drop Down Menu - left

Summary of Proposed Changes:
- Include paragraph numbers or other references & attach a copy of the new or revised documents)
- For new documents, indicate "Original Release"

2.0 Responsibilities - Added the act of 'closing' an exception report to the DPM's responsibilities
   Added the budget analyst as another potential source of a new exception report
   Deleted the role of Production Manager
4.0 References - Deleted references to PC-02 Cost Estimating and PC-06 Schedule Management

6.0 Procedure - Increased thresholds from 2% overrun to 5% overrun and 15 days to 30 days delay
   Discusses the options of accepting, returning or closing(rejecting) the exception report

9.0 Component Documents - PC-03-F1 – Exception Report Form has been revised

10.0 Flowchart - The swim lane charts have been replaced with updated vertical flowcharts

Reason for New Release / Revision / Obsolescence:
To address PAR #19 - to ensure alignment with revised PC-01

Required Signatures:

Title:	Printed Name	Signature	Date:
Originator	LISA THOMAS	*[signature]*	8/16/10
Process or Content Owner	Lisa Thomas (Alt - Sue Farmer)	*[signature]*	8/16/10
Assistant Program Manager	Micki Ellis (Alt - Steve Knobbe)	*[signature]*	8/18/10
Program Manager	Steve Knobbe (Alt - N/A)	*[signature]*	8-18-10
Department Director	Elizabeth Mow (Alt - Mark Bouma)	*[signature]*	8-20-10
Quality Manager	Peter Claypool (Alt - Micki Ellis)	*[signature]*	8/17/2010
Document Control	Md Omar Faruk (Alt - Sylvia Ehret)	*[signature]*	8/24/2010

Ehret, Sylvia

From: Ehret, Sylvia
Sent: Tuesday, August 24, 2010 2:53 PM
To: Ehret, Sylvia
Subject: QMS Manual Updates

MAJOR REVISIONs

The following documents have been released into the QMS Manual and classified as a major revision. Training to these documents has occurred on August 12, 2010.

Doc #	Document Title	Rev	Originator	DRN#	Changes
PC-01	Corridor and CIP Project Charter Development and Revision	2	Lisa Thomas	10228	Updated responsibilities, procedure changed to streamline current process, revised component documents, replaced flowchart with updated vertical flowchart.
PC-03	Exception Reporting	2	Lisa Thomas	10229	Updated responsibilities, delete references to PC-02 and PC-06, updated procedure, revised component document PC-03-F1, replaced flowchart with vertical flowchart.

The QMS Manual is available at the below location:

http://www.ntta.org/WorkingWithUs/NTTA+QMS+Manual+and+Forms/

Thank you.

Sylvia Ehret
Document Control Manager, HNTB Corp.
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DOCUMENT RELEASE NOTICE - CLOSEOUT CHECKLIST

DRN Number	10 229
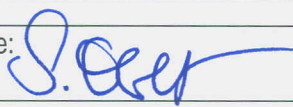
To be completed BEFORE the DRN is released

	YES	NO	N/A
Latest revision of QM-12-F1 form used and submitted by the originator	X	☐	☐
Soft copy of the new/revised documents has been submitted with QM-12-F1	X	☐	☐
Soft copy inclusive of embedded files (pictures, visio flowcharts) has been submitted.	X	☐	☐
All required information have been provided in QM-12-F1	X	☐	☐
Proper document type has been selected in Document Type box of QM-12-F1	X	☐	☐
Relevant type(s) of change have been marked in Type of Change box of QM-12-F1	X	☐	☐
Process owner/originator submitted training record where change is classified as major	X	☐	☐
A DRN number is assigned	X	☐	☐
New/revised document was created/changed using current QM-12-F2 format	X	☐	☐
Compared the word documents with source files to create redline as applicable	X	☐	☐
All spelling has been checked and found correct	X	☐	☐
Latest NTTA logo is available in the document if applicable	X	☐	☐
Originator and all review team members have approved and signed QM-12-F1	X	☐	☐
All requested changes have been incorporated in the source file	X	☐	☐
All Forms/Attachments have been referenced in the parent procedure	X	☐	☐
All Forms/Attachments/Procedures have been referenced in all other documents	X	☐	☐
All external website hyperlinks are correct	X	☐	☐
All the internal QMS links are correct and working fine	X	☐	☐
All Forms/Attachments/Procedures have been linked to their associated documents	X	☐	☐
New Forms/Records have been added to the Record Matrix	☐	☐	X

	Prepared by:	**Checked by:**
Date:	8-23-2010	
Name:	SYLVIA EHRET	
Signature:	S. Ehret	

To be completed AFTER the DRN is released

	YES	NO	N/A
Revised/New document is available in updated online version of QMS Manual	✓	☐	☐
All links in the new/revised documents are working fine	✓	☐	☐
All flowcharts in the document are visible/readable	✓	☐	☐
An e-mail notification has been sent to the distribution list	✓	☐	☐
Scanned e-mail notification and inserted into DRN number	✓	☐	☐
Updated DRN tracking log with release information	✓	☐	☐
Moved DRN working folder to Archive folder	✓	☐	☐
Filed hard copy of the DRN package	✓	☐	☐
Spreadsheet for Controlled Document Numbers has been updated	☐	☐	X
Spreadsheet for Document Linking updated as applicable	✓	☐	☐

Verified By:	Date: 8/24/2010	Name: Sylvia Ehret	Signature: S. Ehret

Sign-In Sheet
Thursday, August 12, 2010 1:00 pm - 2:30 pm
EPDS Scope Submittal

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NTTA Projects	Original Issue Date: 06/05/2008	PC-03
Resource: Program Controls	Revision ~~1~~ 2 Issue Date: ~~09/16/2008~~ *TBD*	~~6 pages~~ *page x of x*
Title: Exception Reporting		

1.0 PURPOSE:

The purpose of this procedure is to establish the process for generating, <u>reviewing and accepting or closing</u> exception reports for NTTA projects and corridors to capture potential schedule delays and budget overruns, ~~and shall define the method for documenting the resolution of issues identified by an exception report.~~ <u>as compared to the corridor or CIP project Scope,.</u>

~~2.0 GUIDING PRINCIPLE:~~

~~All exception reporting efforts shall comply with the procedures established herein.~~

~~3.0~~ 2.0 RESPONSIBILITIES:

~~3.1~~ 2.1 Deputy Program Manager (DPM) – The DPM shall be responsible for reviewing and accepting <u>or closing</u> the proposed "actions taken" in exception reports.

~~3.2~~ 2.2 Program Controls Manager – The Program Controls Manager shall be responsible for assisting the CM or Project Manager in identifying and resolving budget or schedule issues that result in an exception report. They shall also be responsible for ensuring the accuracy of the exception report and for tracking the exception report resolutions.

~~3.3~~ 2.3 PMO Program Controls ~~Estimating and Scheduling Staff~~<u>Group</u> – The estimating staff shall be responsible for reviewing design level estimates, noting any cost overruns of <u>25% or more of the current budget, and creating and submitting an exception report. The budget analysts shall be responsible for reviewing the summary of actual and pending contracts and noting any cost overruns of 5</u>% or more of the current budget, and creating and submitting an exception report. The scheduling staff shall be responsible for reviewing schedules, noting any adverse schedule impacts of ~~15~~<u>30</u> calendar days or more of the current schedule, and creating and submitting an exception report.

~~3.4~~ 2.4 Corridor Manager (CM)/Project Manager – The CM or Project Manager shall be responsible for working with the design section engineer, construction manager, and ROW & utility coordinators to identify and assist in <u>documenting and</u> resolving budget and schedule issues. ~~The CM or Project Manager shall also be responsible for review and initial approval of exception report form, addressing comments and making appropriate revisions to the exception report form.~~

~~3.5 Production Manager – The production manager shall be responsible for reviewing all project schedules monthly with the corridor team and shall report exceptions to the Program Controls Manager.~~

~~4.0~~ 3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA <u>CIP</u> projects and corridors.

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Title: Exception Reporting		

~~7.2.1   The CM or Project Manager shall review and initial the report and return it to the program controls manager. Once the Program Controls Manager receives the initialed exception report form from the CM or Project Manager, it shall be passed on to the DPM for that corridor or project.~~

~~7.2.2~~ The DPM shall review the exception report and either accepts the resolution provided or returns it to the CM or Project Manager with comments for resolution/revision.

6.5 The exception report shall be ~~closed only~~accepted when the issue responsible for the schedule delay or potential budget overrun and the recommended course of action have been accepted by the DPM. ~~Whether~~ The DPM might chose to close the exception report, thereby rejecting the budget overrun or schedule delay, requiring the CM or Project Manager to address the issue in a different manner.

~~7.3~~6.5.1 The DPM shall note whether resolution is achieved using contractual or management means, ~~the Program Controls Manager shall document the resolution~~ in the "resolution/closure" section of the exception report form. Impact(s) on the project schedule or budget parameters due to the resolution shall be noted.

~~7.4~~6.5.2 ~~Closed~~ Notification of returned, returned or accepted exception reports shall be issued to the CM or Project Manager and ~~Deputy~~ Program Controls Manager.

~~If the proposed resolution is accepted the~~

6.6 The Program Controls Manager shall ~~notify the APM, PM and Director of~~ file the accepted or closed Exception Reports in content management.

~~7.5~~6.7   The CM or Project ~~Delivery~~ Manager shall submit an updated Scope, per PC-01, within one week after notification of an accepted Exception Report.

~~7.6   Within one week the updated charter with completed project change request shall be submitted by the CM to the Program Controls Manager for review.~~

~~8.0~~7.0   **REGULATORY REQUIREMENTS:**

N/A

~~9.0~~8.0   **RELATED BOARD POLICY:**

N/A

~~10.0~~9.0   **COMPONENT DOCUMENTS:**

- PC-03-F1 Exception Report Form

~~11.0~~10.0   **REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Lisa Thomas	06/05/2008		Original Issue

NTTA Projects	Original Issue Date: 06/05/2008	PC-03
Resource: Program Controls	Revision ~~1~~2 Issue Date: ~~09/16/2008~~TBD	Page 5 of 6 pages
Title: Exception Reporting		

~~**12.0**~~ FLOWCHART: ~~Exception Reporting Process Flowchart~~   (Adjust zoom to enlarge)
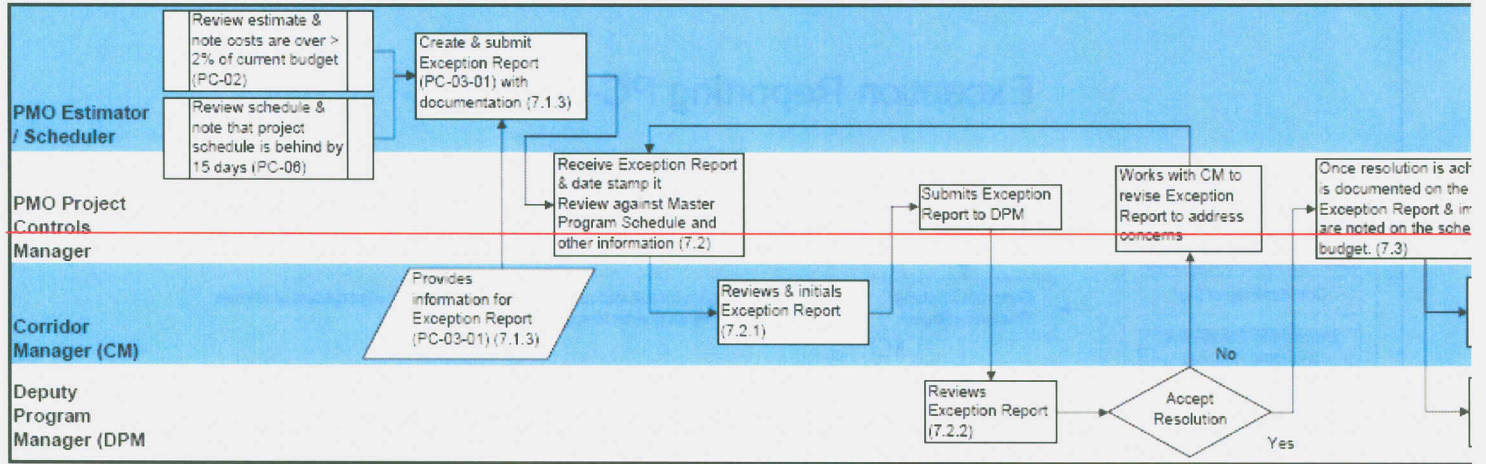
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QMS MANUAL
Procedure Definition

NTTA Projects	Original Issue Date: 06/05/2008	PC-03
Resource: Program Controls	Revision 2 Issue Date: TBD	Page 1 of 4 pages
Title: Exception Reporting		

1.0 PURPOSE:

The purpose of this procedure is to establish the process for generating, reviewing and accepting or closing exception reports for NTTA projects and corridors to capture potential schedule delays and budget overruns as compared to the corridor or CIP project Scope,.

2.0 RESPONSIBILITIES:

2.1   Deputy Program Manager (DPM) – The DPM shall be responsible for reviewing and accepting or closing the proposed "actions taken" in exception reports.

2.2   Program Controls Manager – The Program Controls Manager shall be responsible for assisting the CM or Project Manager in identifying and resolving budget or schedule issues that result in an exception report. They shall also be responsible for ensuring the accuracy of the exception report and for tracking the exception report resolutions.

2.3   PMO Program Controls Group – The estimating staff shall be responsible for reviewing design level estimates, noting any cost overruns of 5% or more of the current budget, and creating and submitting an exception report. The budget analysts shall be responsible for reviewing the summary of actual and pending contracts and noting any cost overruns of 5% or more of the current budget, and creating and submitting an exception report. The scheduling staff shall be responsible for reviewing schedules, noting any adverse schedule impacts of 30 calendar days or more of the current schedule, and creating and submitting an exception report.

2.4   Corridor Manager (CM)/Project Manager – The CM or Project Manager shall be responsible for working with the design section engineer, construction manager, and ROW & utility coordinators to identify and assist in documenting and resolving budget and schedule issues.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA CIP projects and corridors.

4.0 REFERENCES:

- PC-01   Corridor and CIP Project Scope

5.0 DEFINITIONS & ACRONYMS

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Resource: Program Controls	Revision 2 Issue Date: TBD	Page 3 of 4 pages
Title: Exception Reporting		

6.6 The Program Controls Manager shall file the accepted or closed Exception Reports in content management.

6.7 The CM or Project Manager shall submit an updated Scope, per PC-01, within one week after notification of an accepted Exception Report.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- PC-03-F1 Exception Report Form

10.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Lisa Thomas	06/05/2008		Original Issue
1	Lisa Thomas	09/16/2008		Complete Rewrite
2	Lisa Thomas	TBD	10229	To align with revised PC-01

NTTA Projects	Original Issue Date: 06/05/2008	PC-03-F1
Resource: Program Controls	Revision Issue Date:	1 Page
Title: Exception Reporting - Exception Report Form		

Corridor / Project Title:

Report Date: **Previous Report Date:**

Corridor:

Corridor Manager (CM)/Project Manager:

Corridor / Project Description (Enter project description here):

Current Approved
Total Estimated Cost: **Orig. First Start:**   **Orig. Last Finish:**

Estimate Level: **Estimated Cost**

	Estimated Cost			
Management (Previous Cost): Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Planning (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Design (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Construction (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Inspection (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Utilities (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
ROW (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:
Additional Phase Increase/Decrease to Cost: Total Revised Cost:		Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:

Proposed Total Est. Cost: **Proposed First Start:**   **Prop. Last Finish:**

Problem:

What action is being taken:

Resolution/Closure (filled in when completed, include budget and/or schedule impact):

Signatures for Approval:

Program Controls Manager _____ **Date:** _____

Corridor / Project Manager _____ **Date:** _____

Deputy Project Manager _____ **Date:** _____

CC: Original to Support Services   Corridor / Project Manager   Program Controls Manager

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NTTA Projects	Original Issue Date: 06/05/2008	PC-03-F1
Resource: Program Controls	Revision 1 Issue Date: TBD	1 Page
Title: Exception Reporting - Exception Report Form		

Corridor / Project Title:

Report Date: **Previous Report Date:**

Corridor:

Corridor Manager (CM)/Project Manager:

Corridor / Project Description (Enter project description here):

Current Approved
Total Estimated Cost: **Orig. First Start:**   **Orig. Last Finish:**

Estimate Level:		Estimated Cost				
Management (Previous Cost): Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Planning (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Design (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Construction (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Inspection (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Utilities (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
ROW (Previous Cost) Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	
Additional Phase Increase/Decrease to Cost: Total Revised Cost:			Orig Start Date: Proposed Date:		Orig Finish Date: Proposed Date:	

Proposed Total Est. Cost: **Prop. First Start:**   **Prop. Last Finish:**

Problem:

What action is being taken:

Resolution/Closure (filled in when completed, include budget and/or schedule impact):

Signatures for Approval:

Program Controls Manager _____ **Date:** _____

Corridor / Project Manager _____ **Date:** _____

Deputy Project Manager _____ **Date:** _____

CC: Original to Program Controls   Corridor / Project Manager