

Document Release Notice

Document #:	ENV-05	Title:	Administrative Record	
Current Revision #:	1	Type of Change:	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE	
New Revision #:	2	DRN Number:	10902	<input type="checkbox"/> MAJOR <input checked="" type="checkbox"/> MINOR <input type="checkbox"/> ADMIN
Date Submitted:	10/31/2022	Document Type:	QMS Document - ENV	Choose from Drop Down Menu

Summary of Proposed Changes:

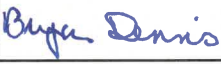





- Include paragraph numbers or other references & attach a copy of the new or revised documents
- For new documents, indicate "Original Release"

QMS Procedure "ENV-05", Revision 2 updates include: procedures, responsibilities and flowchart updates to coincide with procedures and responsibilities in the word document.

Reason for New Release / Revision / Obsolescence:

Revisions are needed to ENV-05 regarding procedure updates, responsibility updates and flowchart updates to coincide with word document updates.

Required Signatures:

Title	Printed Name	Signature	Date
Originator	Bryan Dennis		11/2/22
Subject Matter Expert	Julie Morse ^{CRAIG HAWCOCK}		11-3-2022
NTTA Manager	Kelly Johnson		11/10/2022
PD Manager of Contracts	Ben King		02/10/23
Director of Project Delivery	Elizabeth Mow		2-15-23
Document Control/Quality Manager	Md Omar Faruk		4/4/2023

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1.0 PURPOSE:

The purpose of this procedure is to define the process for the creation of formal Administrative Records on projects in compliance with statutory and regulatory requirements.

2.0 RESPONSIBILITIES:

2.1 Corridor Manager (CM)/Project Manager (PM) - The CM or PM shall be responsible for:

- Forwarding all approved documents and relevant correspondence to the Document Control Specialist
- Establishing a project-file email address to capture project-related emails

2.2 Planning Manager/Planning Staff - The Planning Manager/Planning Staff is responsible for:

- Coordinating with the CM/Project Manager and Environmental Consultant on the environmental issues and deliverables,
- Creation and maintenance of the administrative record

2.3 Environmental Consultant - The Environmental Consultant shall be responsible for:

- Coordinating with the Planning Manager/Planning Staff to determine a written filing protocol to designate the types of documents that should be filed and the information to be included in the administrative record.

2.4 Document Control Specialist - The Document Control Specialist is a designated member of the corridor team or the Environmental Consultant and shall be responsible for:

- Comparing documents, completing the checklist (ENV-05-F1), formatting and indexing the administrative record, removing privileged documents and records, storing the hard copy of the administrative record in PD files, and saving electronic copies of the administrative record in the NTTAs Enterprise Project Delivery System.
- Screening project files from the CM/Project Manager, Planning Manager/Planning Staff, and project/corridor consultants to ensure duplicate copies of documents are not included in the administrative record.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects which utilize federal funds and require a federal- or state-approved Environmental Impact Statement.

4.0 REFERENCES:

- [DM-01](#) Management of Controlled Documentation
- AASHTO Practitioner's Handbook. Maintaining a Project File and Preparing an Administrative Record for a NEPA Study. July 2006. <http://environment.transportation.org/pdf/PG01.pdf>.

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- FHWA Order 1324.1B. FHWA Records Management. July 2013.
<http://www.fhwa.dot.gov/legregs/directives/orders/13241b.cfm>
- U.S. Department of Justice, Environment and Natural Resources Division. Guidance to Federal Agencies on Compiling the Administrative Record. January 1999.
http://environment.transportation.org/pdf/programs/usdoj_guidance_re_admin_record_prep.pdf.

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

An administrative record file is a collection of documents which form the basis for an agency's decision, in this case the selection of a locally preferred alternative and the resulting decision document(s). This does not mean that only documents which support a response decision are placed in the administrative record. Relevant documents that were relied upon in selecting the alternative, as well as relevant documents that were considered but ultimately rejected, are included. The administrative record also acts as a vehicle for public participation in selecting a locally preferred alternative. Administrative record files may be added as relevant documents are generated or received by the FHWA, TxDOT, NTTA, and other agencies and project partners. The administrative record is not complete until it contains a decision document (e.g., Record of Decision or Action Memorandum).

- 6.1 A project-file email address shall be established by the Corridor Manager / Project Manager.
- 6.2 All approved documents and relevant project/agency correspondence shall be forwarded to the Document Control Specialist and/or copied to a designated project-specific document controls email address by the CM/Project Manager, the Planning Manager/Planning Staff, or the Environmental Consultant. The Document Control Specialist shall screen all forwarded documents to ensure there are no duplicates and complete the checklist (ENV-05-F1) to ensure all necessary documents that comprise an administrative record are present.
- 6.3 The administrative record shall be formatted in chronological order by document number, document title, subject, and date.
- 6.4 The administrative record shall be indexed using the naming convention in accordance with *DM-01, Document Control* procedure.
- 6.5 Documents identified by NTTA Legal Counsel as privileged documents and records shall not be included in the administrative record.
- 6.6 A hard copy of the administrative record shall be stored in PD files, separate from the privileged documents.

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6.7 All electronic copies of administrative record contents shall be saved in the NTTA's Enterprise Project Delivery System.

6.8 All administrative record files must be reproducible from both the hard and electronic copies.

7.0 REGULATORY REQUIREMENTS:

- Administrative Procedure Act (APA). 5 U.S.C. 706 (2)(A): http://www.patentofficelawsuit.info/apa_act.htm
- Freedom of Information Act (FOIA): <http://www.state.gov/m/ai/ips/>
- National Environmental Policy Act of 1969 (as amended): <https://ceq.doe.gov/>
- FHWA Technical Advisory 6640.8A: <http://environment.fhwa.dot.gov/projdev/impTA6640.asp>

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- [ENV-05-F1](#) Administrative Record - NEPA Compliance Documentation Checklist

10.0 FLOWCHART:

N/A

11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	J. Craig Hancock Julie Morse	06/08/2012	10401	Original Issue – Originally DM-03. Deleted guiding principle. Updated responsibilities, scope/ applicability, and procedures to be consistent with current practice and organizational changes. Deleted component document DM-03-F1 and renumbered as ENV-05-F1.
1	Julie Morse	03/06/2020	10811	Further clarified responsibilities of Document Control Specialist. Updated web links for references and regulatory requirements.
2	Julie Morse	TBD	TBD	Updated environmental manager/planner position titles throughout. Added reference to project-specific document controls email address.

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1.0 PURPOSE:

The purpose of this procedure is to define the process for the creation of formal Administrative Records on projects in compliance with statutory and regulatory requirements.

2.0 RESPONSIBILITIES:

2.1 Corridor Manager (CM)/Project Manager (PM) - The CM/~~Project Manager~~ or PM shall be responsible for forwarding:

- Forwarding all approved documents and relevant correspondence to the Document Control Specialist. ~~The CM/Project Manager shall also establish~~
- 2.4 • Establishing a project-file email address to capture project-related emails.

2.2 Environmental Planning Manager/Lead Environmental Planner Planning Staff - The ~~Environmental Planning Manager/Lead Environmental Planner Planning Staff~~ is responsible for coordinating:

2.2 • Coordinating with the CM/Project Manager and Environmental Consultant on the environmental issues and deliverables, ~~including the creation and maintenance of the administrative record.~~

- Creation and maintenance of the administrative record

2.3 Environmental Consultant - The Environmental Consultant shall ~~coordinate~~ be responsible for:

2.3 • Coordinating with the ~~Environmental Planning Manager/Lead Environmental Planner Planning Staff~~ to determine a written filing protocol to designate the types of documents that should be filed and the information to be included in the administrative record.

2.4 Document Control Specialist - The Document Control Specialist is a designated member of the corridor team or the Environmental Consultant and shall be responsible for ~~comparing~~:

- Comparing documents, completing the checklist (ENV-05-F1), formatting and indexing the administrative record, removing privileged documents and records, storing the hard copy of the administrative record in PD files, and saving electronic copies of the administrative record ~~on~~ in the ~~NTTA's~~ NTTAs Enterprise Project Delivery System. ~~The Document Control Specialist shall be responsible for screening~~
- 2.4 • Screening project files from the CM/Project Manager, ~~Environmental Planning Manager/Lead Environmental Planner Planning Staff~~, and project/corridor consultants to ensure duplicate copies of documents are not included in the administrative record.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects which utilize federal funds and require ~~an FHWA~~ a federal- or state-approved Environmental Impact Statement.

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4.0 REFERENCES:

- [DM-01](#) Management of Controlled Documentation
- AASHTO Practitioner's Handbook. Maintaining a Project File and Preparing an Administrative Record for a NEPA Study. July 2006. <http://environment.transportation.org/pdf/PG01.pdf>.
- FHWA Order 1324.1B. FHWA Records Management. July 2013. <http://www.fhwa.dot.gov/legsregs/directives/orders/13241b.cfm>
- U.S. Department of Justice, Environment and Natural Resources Division. Guidance to Federal Agencies on Compiling the Administrative Record. January 1999. http://environment.transportation.org/pdf/programs/usdoj_guidance_re_admin_record_prep.pdf.

5.0 DEFINITIONS & ACRONYMS:

[N/A](#)

6.0 PROCEDURES:

An administrative record file is a collection of documents which form the basis for an agency's decision, in this case the selection of a locally preferred alternative and the resulting decision document(s). This does not mean that only documents which support a response decision are placed in the administrative record. Relevant documents that were relied upon in selecting the alternative, as well as relevant documents that were considered but ultimately rejected, are included. The administrative record also acts as a vehicle for public participation in selecting a locally preferred alternative. Administrative record files may be added ~~to~~ as relevant documents are generated or received by the FHWA, [TxDOT](#), [NTTA](#), and other agencies and project partners. The administrative record is not complete until it contains a decision document (e.g., Record of Decision or Action Memorandum).

- 6.1 A project-file email address shall be established by the ~~CM~~[Corridor Manager](#) / Project Manager.
- 6.2 All approved documents and relevant project/agency correspondence shall be forwarded to the Document Control Specialist [and/or copied to a designated project-specific document controls email address](#) by the CM/Project Manager, the ~~Environmental~~[Planning](#) Manager/~~Lead Environmental Planner~~[Planning Staff](#), or the Environmental Consultant. The Document Control Specialist shall screen all forwarded documents to ensure there are no duplicates and complete the checklist (ENV-05-F1) to ensure all necessary documents that comprise an administrative record are present.
- 6.3 The administrative record shall be formatted in chronological order by document number, document title, subject, and date.
- 6.4 The administrative record shall be indexed using the naming convention in accordance with *DM-01, Document Control* procedure.

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- 6.5 Documents identified by NTTA ~~legal counsel~~ [Legal Counsel](#) as privileged documents and records shall not be included in the administrative record.
- 6.6 A hard copy of the administrative record shall be stored in PD files, separate from the privileged documents.
- 6.7 All electronic copies of administrative record contents shall be saved ~~on~~[in](#) the NTTA's Enterprise Project Delivery System.
- 6.8 All administrative record files must be reproducible from both the hard and electronic copies.

7.0 REGULATORY REQUIREMENTS:

- Administrative Procedure Act (APA). 5 U.S.C. 706 (2)(A): http://www.patentofficelawsuit.info/apa_act.htm
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8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- [ENV-05-F1](#) Administrative Record - NEPA Compliance Documentation Checklist

10.0 FLOWCHART:

N/A

~~11.0~~ 11.0 REVISION HISTORY:

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0	J. Craig Hancock Julie Morse	06/08/2012	10401	Original Issue – Originally DM-03. Deleted guiding principle. Updated responsibilities, scope/ applicability, and procedures to be consistent with current practice and organizational changes. Deleted component document DM-03-F1 and renumbered as ENV-05-F1.
1	Julie Morse	03 03/06/2020	10811	Further clarified responsibilities of Document Control Specialist. Updated web links for references and regulatory requirements.
<u>2</u>	Julie Morse	TBD	TBD	Updated environmental manager/planner position titles throughout. Added reference to project-specific document controls email address.

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1.0 PURPOSE:

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2.0 RESPONSIBILITIES:

- 2.1 Corridor Manager (CM)/Project Manager - The CM/Project Manager shall be responsible for forwarding all approved documents and relevant correspondence to the Document Control Specialist. The CM/Project Manager shall also establish a project-file email address to capture project-related emails.
- 2.2 Environmental Manager/Lead Environmental Planner - The Environmental Manager/Lead Environmental Planner is responsible for coordinating with the CM/Project Manager and Environmental Consultant on the environmental issues and deliverables, including the creation and maintenance of the administrative record.
- 2.3 Environmental Consultant - The Environmental Consultant shall coordinate with the Environmental Manager/Lead Environmental Planner to determine a written filing protocol to designate the types of documents that should be filed and the information to be included in the administrative record.
- 2.4 Document Control Specialist - The Document Control Specialist is a designated member of the corridor team or the Environmental Consultant and shall be responsible for comparing documents, completing the checklist (ENV-05-F1), formatting and indexing the administrative record, removing privileged documents and records, storing the hard copy of the administrative record in PD files, and saving electronic copies of the administrative record on the NTTA's Enterprise Project Delivery System. The Document Control Specialist shall be responsible for screening project files from the CM/Project Manager, Environmental Manager/Lead Environmental Planner, and project/corridor consultants to ensure duplicate copies of documents are not included in the administrative record.

3.0 SCOPE/APPLICABILITY:

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 - 6.8 All administrative record files must be reproducible from both the hard and electronic copies.
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- FHWA Technical Advisory 6640.8A: <http://environment.fhwa.dot.gov/projdev/impTA6640.asp>

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- [ENV-05-F1](#) Administrative Record - NEPA Compliance Documentation Checklist

10.0 FLOWCHART:

N/A

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