	Standard	
---	-----------------	--

Title: **Eskom Documentation Management Standard**

Document Identifier: **32-644**

Alternative Reference Number: **Not applicable**

Area of Applicability: **Eskom Holdings SOC Ltd**

Functional Area: **Documentation management**

Revision: **5**

Total Pages: **25**

Next Review Date: **September 2024**

Disclosure Classification: **Controlled Disclosure**

Compiled by:



T L Ndlela

**Middle Manager:
Document and Records
Management**

Date: 27/09/2021

Functional Responsibility:



L Meyer

**Acting Senior
Manager: Quality
Management**

Date: 27/09/2021

Authorized by:



K Pather

**General Manager: Risk and
Sustainability**

Date: 27 September 2021

Content

	Page
1. Introduction.....	3
2. Supporting Clauses	3
2.1 Scope.....	3
2.2 Normative/Informative References	4
2.3 Definitions	5
2.4 Abbreviations	5
2.5 Roles and Responsibilities	5
2.6 Process for Monitoring.....	10
2.7 Related/Supporting Documents.....	10
3. DOCUMENTATION MANAGEMENT REQUIREMENTS	11
3.1 DOCUMENTATION MANAGEMENT FUNCTIONAL STRUCTURE AND METHODOLOGY	11
3.2 DOCUMENT LIFE CYCLE MANAGEMENT	14
3.2.1 Register Identified Documents and& Records	14
3.2.2 Support of meaningful and effective documents	17
3.2.3 Publishing and Notification of documents and records.....	20
3.2.4 Protection of documentation	21
3.2.5 Records Management	21
3.2.6 Archive & disposal of inactive documents and records	22
3.2.7 Quality Assurance of document and records processes	22
4. Acceptance.....	23
5. Revisions	23
6. Development Team	24
7. Acknowledgements	24
Appendix A – Allocation Centre Namespaces for Level 1 & 2 Documentation.....	25

CONTROLLED DISCLOSURE

1. Introduction

This standard is developed to ensure Eskom Holdings SOC Limited is a world-class power utility meeting both International Standards and National Standards, including those applicable to the management and control of its documentation.

Therefore, this standard provides direction and a framework to meeting this objective, which includes management functional structures, document and record life-cycle rules and direction to all tiers of implementation.

It is incumbent upon each Division to review their current document management structure and ensure compliance to this standard.

2. Supporting Clauses

2.1 Scope

2.1.1 Purpose

This standard provides direction for the functional management of documentation, minimum requirements for the control of documentation throughout the document and record life-cycle and direction regarding related matters, including:

- Documentation Management Functional Structure and Methodology
- Document Lifecycle Management, including
 - Register Identified Documents and Records, including applicable external documents.
 - Support of meaningful and effective documents.
 - Publishing and Notification of documents and records.
 - Records Management.
 - Archive and disposal of inactive documents and records.
- Process Assurance of the document and records processes.

The effective implementation of this standard is dependent on lower level supporting governance and guidance documents, i.e. instructions, forms and templates established by the Divisions/Departments to support specific document management functions of the business.

2.1.2 Applicability

This document is applicable to all Eskom Holdings SOC Ltd Groups/Divisions, its wholly owned subsidiaries and contractors or consultants doing work for Eskom.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

2.1.3 Effective date

The effective date for this standard when all Divisions must have implemented is 3 months after the date of authorisation

2.2 Normative/Informative References

Parties using this document shall apply the most recent edition of the documents listed in the following paragraphs.

2.2.1 Normative

- [1] ISO 9001: Quality Management Systems – Requirements (Clauses 7.5)
- [2] ISO 14001: Environmental management systems - Requirements with guidance for use (Clause 7.5)
- [3] OHSAS 18001/ISO 45001: Occupational health and safety management systems – Requirements (Clauses 4.4.5 & 4.5.4 in OHSAS 18001 & Clause 7.5 in ISO 45001)
- [4] ISO 28001: Security management systems for the supply chain - Best practices for implementing supply chain security, assessments and plans - Requirements and guidance (Clauses 5.6 & A.4.2)
- [5] ISO 27001: Information technology - Security techniques - Information security management systems – Requirements(Clause7.5)
- [6] ISO 50001: Energy management systems - Requirements with guidance for use (Clause 7.5)
- [7] ISO 55001 Asset management — Management systems — Requirements (Clause 7.6)
- [8] 32-1 Documentation management policy
- [9] 32-9: Definition of Eskom documents
- [10] 32-363: Information Security: Asset and Information Classification Procedure
- [11] 32-1216: Process Control Manual for document and record management

2.2.2 Informative

- [1] ISO 9000: Quality Management Systems – Fundamentals and vocabulary
- [2] SANS 15489: Information and documentation – records management. Part 1: General and Part 2: Guidelines.
- [3] 32-143: Procedure for the Handling of Classified Items
- [4] 240-56296995 Standard for records retention periods
- [5] 32-363 Asset and Information Classification Procedure
- [6] SANS 11799: Information and Documentation – Document Storage Requirements for Archive and Library Materials
- [7] SANS 15489: Information and Documentation – Records Management

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

- [8] SANS 19005: Document Management Electronic Document File Format for Long-Term Preservation
- [9] SANS 15801: Electronic Imaging- Information Stored Electronically – Recommendations for Trustworthiness and Reliability
- [10] SANS 6199: Micrographics – Microfilming of Documents on 16mm and 35mm Silver Gelatine Type Microfilm

2.3 Definitions

Definitions contained in the most recent edition of ISO 9000, Quality Management Systems – Fundamentals and vocabulary must apply as well as the definitions in the Documentation management glossary 240-47961041

2.4 Abbreviations

Abbreviation	Explanation
BU	Business Unit
CO	Chief Officer
DRM	Document and Records Management
DRMS	Document and Records Management System
EDC	Eskom Documentation Centre
EDRMF	Eskom Document and Records Management Forum
EDRMS	Electronic Document and Records Management System
EDS	Eskom Documentation System
EXCO	Executive Committee
GCE	Group Chief Executive
GE	Group Executive
GM	General Manager
OCE	Office of the Chief Executive
OU	Operating Unit

2.5 Roles and Responsibilities

2.5.1 Eskom Documentation Management Manager

It is the responsibility of the Eskom Documentation Management Manager to lead, promote and support the sound management of documentation and information in Eskom by:

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

- 2.5.1.1** fostering a consistent and coordinated approach to document and records management through the design and establishment of the required framework and effective documentation management structure, as well as governing policy, standards, and guidelines;
- 2.5.1.2** creating awareness and providing training and assistance to ensure understanding of and commitment to document and records management by staff at all levels;
- 2.5.1.3** ensuring the implementation of document and records management according to defined rules and prescribed processes;
- 2.5.1.4** establishing the necessary controls to ensure monitoring and measurement of all processes and targets, reporting on performance and reaction to possible deviations or improvement opportunities;
- 2.5.1.5** providing assistance on the control of the complete lifecycle of Level 1 and Level 2 documents as and when required, including storage, retrieval and disposition of current or obsolete documents as applicable.

2.5.2 Group/Divisional Documentation Management Manager/Portfolio Manager

The Group/Divisional Documentation Management Manager can either be a full time position or if it is a Portfolio, it will be an additional role given to a Manager.

It is the responsibility of the Group/Divisional Documentation Management Manager/s Portfolio Managers to:

- 2.5.2.1** ensure representation of their division on the Eskom Document and Records Management [Forum](#) and facilitate the required appointments in other business units/areas of the Division as required by the prescribed Documentation Management structure. The person appointed to represent the Group/Division at EDRMF shall be at a management level and they should be delegated to take DRM decisions for the Group/Division.
- 2.5.2.2** ensure this standard is implemented in their Groups/Divisions and that the required procedure, work instructions and guidelines are compiled/updated to meet this standard.
- 2.5.2.3** to review all other Level 1 and Level 2 documents created or updated by their division for compliance to this standard, to prevent duplicated or unnecessary documents. Any dispute regarding the requirement for a document or other documentation management issues must be referred to the Eskom Document and Records Management Forum for a final decision.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

2.5.2.4 ensure Group/Divisional reporting at the EDRMF on a two monthly basis regarding the degree of compliance and implementation of documentation management on the following:

- i. Status of Group/Divisional documents (Level 2): % of approved documents that have passed their next review date
- ii. Records management
 - o % approved Records retention matrices;
 - o Status of Divisional Taxonomy structure and,
 - o Appointment of Taxonomy Administrators.
- iii. Group/Divisional DRM Forum existence and functioning
- iv. Close out of Divisional DRM related audit findings or non-conformances
- v. Group/Divisional DRM challenges and actions taken to address the challenges
- vi. Group/Divisional DRM escalations to EDRMF and proposed action/decision
- vii. Group/Divisional DRM focus for the following two months

2.5.3 Operating/Business Unit/Departmental Document Controller

2.5.3.1 Each Operating/Business Unit/Area or Departmental Document Controller must be a member of the Group/Divisional Document Management Forum chaired by the Group/Divisional Documentation Management Manager or Portfolio Manager, to address documentation issues within the Division.

2.5.3.2 Each Document Controller is responsible for the implementation of this standard and any approved documentation management procedure, templates, registers, etc. in his/her area.

2.5.3.3 The Document Controller must ensure that they have been trained on the following:

- o Document and records management process/procedure and fully understand it
- o Document and Records Management System so that they are able to control the BU or Departmental documents
 - o Document Management Overview eLearning
 - o Document and records management system training

CONTROLLED DISCLOSED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

2.5.3.4 The OU/BU/Departmental Document Controller must manage the training schedules and training/awareness required, including Section Document Controllers, Compilers, Reviewers, Functionally Responsible Managers and Authorisers.

2.5.4 Document Controllers

It is the responsibility of the Document Controllers to

- 2.5.4.1** facilitate the correct implementation of the approved documentation management procedures in their areas,
- 2.5.4.2** facilitate the review of documents on time and report on controls as required by their supervisors/managers.
- 2.5.4.3** Document Controllers must generate reports on the following:
 - Draft documents not finalised within defined development periods,
 - Out-dated documents or documents not reviewed on time and highlight documents due for review,
 - Issues to be escalated to the Divisional Documentation Management Manager or Portfolio Manager.
 - Degree of area compliance to DRM standard, procedure, etc.

2.5.5 Compilers

It is the responsibility of the Compiler to ensure that:

- 2.5.5.1** document/s are generated using approved templates,
- 2.5.5.2** draft document/s are watermarked “**DRAFT**” diagonally across the each page of the document, (see also sub-paragraph 3.2.2.2)
- 2.5.5.3** the document is reviewed and revised when changes are submitted, or when the document is due for review and finalised within the review time frame,
- 2.5.5.4** the document content is accurate, of integrity, complete and pertinent to the subject matter,
- 2.5.5.5** identify and communicate the impact of implementing the document,
- 2.5.5.6** a broad spectrum of Reviewers ((Comments Reviewers (subject matter experts) and Acceptance Reviewers (affected managers)) are involved in reviewing the document; the lists should be verified by the Functional Responsible Person prior to the actual review.

The Comment Reviewer, on a voluntary basis may offer review and development comments during the development phase of a document. These comments, being part of the first phase review for

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

document quality and completeness, shall be captured on the collaboration system such as SharePoint or using the document approval process and forms or email. The comments include issues of technical content and accuracy, syntax, template compliance and language accuracy.

2.5.6 Acceptance Reviewer

Acceptance Reviewers are persons identified by the Compiler as representative of the discipline/area in which the developed document will be applicable, by virtue of its direct impact or indirect effects of implementation. The Acceptance Reviewer comment/s shall be captured using the collaboration system such as SharePoint or the document approval process and forms or email. The panel of Acceptance Reviewer/s shall be listed, for reference purposes, within all applicable documents.

The Acceptance Reviewers shall review the document to evaluate if the intended purpose and scope is;

- fit for purpose, and
- acceptable for application in the specific discipline/area.

Further, the Acceptance Reviewers may review the document for technical and quality perspectives by reviewing:

- document layout, language and grammar,
- technical accuracy and completeness,
- possible document duplication,
- possible conflict/misalignment with other documents or
- compliance to legislation, regulation or higher-level document requirements including referenced documents.

2.5.7 Functional Responsible Person (Process/Document Owner)

The Functional Responsible Person (manager, supervisor, subject matter specialist or process owner) shall:

- ensure that the document does not duplicate/conflict an existing documents content,
- consider the impact and relevance of referenced documents in the case of amending a document,
- facilitate the documentation of critical business processes within Eskom,
- have the responsibility to approve the document, and

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

- perform the final review of the document, including the technical accuracy and compliance to requirements.
- ensure that the required compliance review/s have been concluded.

The Functional Responsible Person shall determine if the document is fit for purpose, before the document is submitted for authorisation.

2.5.8 Document Authoriser

The Document Authoriser is a duly delegated person with the responsibility to review the document for:

- alignment to business strategy, policy, objectives, requirements, and
- the impact of implementing the document in the area of applicability.

The Document Authoriser shall authorise the release and application of the document and is accountable for the document implementation within the business.

2.6 Process for Monitoring

The implementation of this standard will be monitored as part of the document and records management assessment.

2.7 Related/Supporting Documents

The following forms and templates are supportive to document management within Eskom Holdings:

- 32-21: Registration Form
- 32-2: Policy and Directive template
- 32-4: Document template
- 32-184: Template for Technical Specification or Technical Standard
- 32-606: Template for Terms of Reference
- 32-23: Document Comment Review Authorisation Form

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

3. DOCUMENTATION MANAGEMENT REQUIREMENTS

The documentation management methodology for Eskom revolves around the following issues that will be addressed in this standard:

- Documentation Management Functional Structure and Methodology
- Document Lifecycle Management, including
- Register Identified Document & Record
- Support of meaningful and effective documents
- Publishing and Notification of documents and records
- Records Management
- Archive & disposal of inactive documents and records
- Quality assurance of document and records processes

3.1 DOCUMENTATION MANAGEMENT FUNCTIONAL STRUCTURE AND METHODOLOGY

3.1.1 Document Management by Eskom Documentation Centre (EDC)

The EDC leads, promotes & supports the management of business documents & records in Eskom by:

- a. fostering a consistent and coordinated approach to document and records management through the establishment of a required framework for documentation management including the establishment of governing policies, standards, procedures and guidelines;
- b. creating awareness and providing training to ensure understanding of and commitment to document and records management by staff;
- c. facilitating the implementation of document and records management:
 - promote compliance to set rules,
 - preventing unwarranted duplication,
 - coordinating the voting and authorisation process for level 1 documents,
 - ensuring availability of level 1 & 2 documents from one reference point,
 - providing adequate search facilities for level 1 and 2 documents,
 - ensuring that a document management database is available and functions effectively, and
 - defining necessary controls and reporting to monitor possible deviations or improvement opportunities.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

- d. monitoring the implementation of documentation management in the business by conducting assessments as part of the internal audits.

3.1.2 Document Management Functional Structure

To support document management implementation two committee structures are established namely the Eskom Document and Records Management Forum and the Group/Divisional Documentation Management Forum.

- a. The Eskom Document and Records Management Forum is chaired by the Eskom Document and Records Management Manager with representation from all Divisions.
- b. The Group/Divisional Documentation Management Portfolio Manager with representation from all Operating/Business Unit/Area(s) chairs the Group/Divisional Document Management Forum.

The committee structures will -

- i. function in accordance with a Terms of Reference,
- ii. appoint in writing all members to the committee,
- iii. meet at least biannually,
- iv. promote standardisation and simplification of document management, including dispute resolution, provide direction regarding document management governance i.e. procedures, standards, templates, and
- v. monitor the degree of implementation of this Standard and related governance.

3.1.2 DRM Group/Divisional Structures

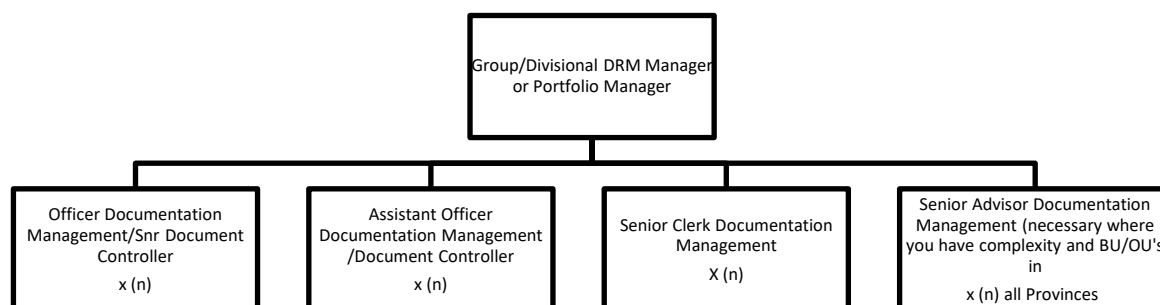
The structure below is a proposed structure that will assist the Groups/Divisions in ensuring that DRM is effectively addressed in the Group/Division.

Large Groups/Divisions that have a number of Business/Operating Units and have offices throughout the country, it is advisable to have a Group/Divisional Documentation Management Function.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

**Note:**

- The structure will vary from one Group/Division to another dependent on size and also the level of knowledge, experience and qualifications of appointed persons
- x (n) indicates that the Division looking at the size and complexity of the Division will determine the numbers.
- Medium to small Group/Division can allocate the documentation management function to one of the Business Units and the Functionally Responsible Manager will then ensure that he appoints an Officer Documentation Management/Senior Document Controller to drive documentation management in the Division.

3.1.3 Compacting of DRM responsible employees

Employees that have been appointed to conduct DRM functions shall be compacted on at least the following:

- a. Facilitation the timely review of documents
- b. Reporting of Group/Divisional document status and DRM issues to the Group/Divisional Management Committee
- c. Facilitation of effective records management by ensuring that the Division/OU/r BU's have an:
 - i. authorised records matrices
 - ii. agreed filing structure/taxonomy on the DRM system
- d. Facilitation of DRM audit findings close out
- e. Quality of document information (metadata) captured on the DRM system (accuracy and completeness).

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

3.2 DOCUMENT LIFE CYCLE MANAGEMENT

The document and records management process control manual 32-1216 indicates the sequence of activities from the time that the document is registered until document and record disposal.

3.2.1 Register Identified Documents and Records

3.2.1.1 Document creation

The responsibility for document and record creation lies within the business processes; it is not a document management function to create documents or records. Hence, it is the responsibility of the business process via the Process Owner to ensure all relevant documents and records are identified to support the effective implementation of the specific process. The business processes are required to comply with the following rules -

- a. Any employee required to compile a document or record must have competence on the subject matter and have been trained on the applicable document standards, templates and writing skills.
- b. The requirement to create a document or record is triggered via the execution of a business process, which may include meeting legislation & regulatory requirements, risk assessments, internal & external audits, gap analyses, organisational changes, and management decisions.
- c. Policies and procedures shall only exist at an Eskom level.
- d. For Eskom wide policy principles, the Group Executive/general Manager accountable must request a slot to present these to the EXCO for approval before the policy is signed.
- e. The business processes must promote avoidance of document duplication across Groups/Divisions/Departments.
- f. All business documents and records must be created using approved templates and conform to the Corporate Identity requirements. This includes using approved Eskom templates for controlled documents. For all other document types, the information in the header or footer must specify as a minimum the Eskom logo, document title, unique identifier, revision, area of applicability, disclosure classification and page numbers. Where a business unit or department need to deviate from the front page layout or other prescribed information, a concession may be requested from the EDC in writing.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

3.2.1.2 Document registration

All documents must be registered on a document management system and be assigned a unique identifier.

In order to ensure that correct processes are followed and templates or layouts are used, document controllers must be informed of all registered documents, including those registered by document compilers.

A responsible functional person for the applicable discipline must sanction documents created externally to Eskom and received via a transmittal for registration.

3.2.1.3 Document Identification rules

The following mandatory information fields are critical for all documents and records, to ensure effective identification and traceability.

- a. **Document titles** must be descriptive of the content and intent of the document,
- b. **Document types** can only allocated according to 32-9: Definition of Eskom documents ,
- c. **Disclosure classification** of documents must comply with 32-363: Information Security: Asset and Information Classification Procedure. According to the classification of the intellectual assets, appropriate access control needs to be applied and sensitive data to be hidden.
- d. **Document and Record numbering** to comply with the principles of unique identification.
- e. **Electronic filenames** of documents must capture the unique identifier, the title, the type and applicable revision, (see 3.2.1.5). For records, the file naming must be as prescribed by the area.

Note: The record file name must uniquely identify the records and should be on the footer of the record.

- f. The following is the **minimum required information for each document** to be captured on the system or index used to control documents:
 - i. Document type
 - ii. Responsible Division or Originating Area
 - iii. Unique Identifier/Document Identifier
 - iv. Alternative Reference Number (if applicable)
 - v. Area of Applicability
 - vi. Revision/Version – Where the system does not have, the field for revision ensure that the system file versioning is aligned to the revision number of the document.
 - vii. Date Approved
 - viii. Next Review Date
 - ix. Disclosure Classification
 - x. Compiled by - name
 - xi. Functional Responsibility Person/Document Owner - name
 - xii. Authorised/Approved by – name

CONTROLLED DISCLOSED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Additional classification information specific to a Group/Division/Department can be captured on the second page of the document template where applicable. If the second page is not used, it can be deleted.

Note: Where the second page is used, the Group/Divisional DRM Manager or responsible function must ensure that the fields to be used are standardized.

- g. The following **minimum required information for the records** must be captured on the system or index used to control records:
 - i. Record title
 - ii. Responsible Division
 - iii. Location
 - iv. Medium
 - v. Retention period
 - vi. Disclosure classification
 - vii. Disposal date and method
- h. For all uncontrolled documents not having templates only the headers and footers are standardised. Use 240-43921804 Form Header and Footer Portrait Template or 240-43921898 Form Header and Footer Landscape Template

3.2.1.4 Document identification

Each document shall be uniquely identified. Identifiers are structured in the format X-Y. Where the “X” represents the namespace ID and the “Y” is a sequential number (unique per namespace), the sequential numbers are auto-generated by the applicable document and record management application.

This identifier is independent of revisions in that it remains constant for all revisions of the same document and can be used to reference the document independently of any specific revision of the document.

Notes:

Note 1: No meaning should be inferred from the namespace ID. When the document changes applicability it will retain the same number but the applicability field must be changed accordingly.

Note 2: Documents with pre-existing Unique Identifier numbers will retain allocated numbers.

Note 3: The previous allocated namespaces per Division can be seen on Appendix A. Please note that these can no longer be used but have been included for information to understand the numbering when a user comes across that numbering.

3.2.1.5 Document title and electronic file names

a. Document Title

The title of a document must be descriptive of the content and intent and must include the document type e.g. standard, policy. The language structure of the title shall follow the rules of sentence writing, where only the first letter is in capital unless the word is the name of person, division, business unit, department, place, country, or abbreviation (i.e. a proper noun).

Examples of document titles:

- i. Eskom documentation management **standard**
- ii. Group IT Committee **terms of reference**

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Files created within taxonomy structure for approved documents saved on the DMS shall be named using the document title, as all other information is part of the metadata.

b. Electronic file names

The naming convention for the capturing of an electronic file name must comprise the following format the unique number, the title and type and revision.

For example:

- **Controlled document: 32-644 Eskom Documentation Management Standard Rev 1.**
This is important, as the file name is part of the footer of page 1 of the document for traceability.
- **Records:**
 - 27122018 Minutes of the Eskom Document and Records Management Forum (EDRMF) meeting
 - 0401002 J P Lukhele_Medical Assessment 13 April 2018

3.2.2 Support of meaningful and effective documents

3.2.2.1 Document Review Cycles

All controlled documents must be under revision control (see below for details) and reviewed within set review periods to ensure the document is meaningful and effective for the business. Therefore all controlled governance documents will be allocated a **review cycle of not greater than 3 years whilst technical and labour relations documents 5 years or 10yrs for technical documents if the document has been stabilised.**

Where documents are regularly used and contain strategic detail that could be affected by changes in the organisation a shorter e.g. annual, review cycle is recommended.

In some cases controlled documents enter a phase of stability due to the maturity of the associated technology/plant/equipment, such controlled documents can be classified as a “stabilized document”.

The applicable document/drawing owning group/division/OU/BU must establish work instructions (operational procedure) detailing the methods and controls to manage documents considered as “stabilized document”.

The work instruction (operational procedure) must detail the criteria applicable to such extended review cycle periods and the controls to ensure the stability of the identified controlled document/drawing, including marking for the identified document/drawing and actions to revert to normal review periods in cases where changes or amendments are implemented. The review period shall in no case extend beyond a ten (10) year period.

All employees may notify a document owner of an inaccuracy or problem identified in an approved document following the deviation process, i.e. Corrective and Preventive Action process.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

3.2.2.2 Document authorisation Roles

The following rules apply to this phase, with the associated responsibilities defined in paragraph of this standard:

- a. **Document compilers** must be proven competent in terms of the subject matter of the document and compliance to Eskom Documentation Management responsibilities.
- b. **Reviewers** there are two types of reviewers namely **independent and acceptance**. The independent review is normally performed by the functional responsible person or document owner and acceptance reviewers who review the document for general acceptance within the target or applicable area of the business. Reviewer focus includes-

- Independent reviewers who are subject matter experts to review the content of the document for technical correctness (Subject Matter Experts), legal and regulatory compliance (Compliance Officers), document management compliance and intended purpose,
- Acceptance reviewers review the document for general acceptability for implementation in the target or area of the business. This may include template compliance and quality including language, grammar and referencing within the document.
- The compiler and document owner are responsible to identify applicable reviewers, considering the following:
 - The applicable GE/GM must be consulted regarding who needs to influence the Policy documents,
 - Policy documents are to be circulated to EXCO members for information after publication,

Comments received on documents should always be in writing with responses required from all reviewers. Where documents are reviewed in workshops or meetings, discussions must be recorded and kept as record of review comments. The standard time frame for meaningful influence of documents is **10 working days** unless otherwise stipulated for a specific type of document in a Divisional instruction.

- c. **Authorisation** must take place at the highest level of accountability based on the document area of applicability. All authorised documents should have as a minimum three signatures indicating the responsibility for authorising in terms of compilation, functional responsibility and authorisation. In some instance due to the organisational structure, there can be four signatories where a “supported by” signatory is included.

The following to be applied -

- Eskom wide Procedure and Policies aligned with the EXCO approved principles must be authorised by the accountable GE/GM, and
- Divisional documents and specialised technical documents must be authorised by the GE/GM accountable or delegated senior manager.

3.2.2.3 Document Revision and Version control

All documents and drawings must be under Revision and Version control, to meet configuration requirements in managing changes and amendments. The revision and version notation is to be clearly indicated on the document or drawing.

Draft documents must be clearly marked by the application of a “watermark” diagonally across all pages indicating “Draft”, until the document is ready for approval and printed for signature. For drawings the application of the “watermark” is to be appropriate to clearly indicate the status and further applied in such a manner that does not conceal important aspects applicable to the legibility of the drawing.

CONTROLLED DISCLOSED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Revision and Version Fundamentals

Revision and Version control notation comprises three parts, namely the Title (“Rev”), the 1st digit after the title, namely Revision space represented by a numeric digit i.e. “1”. Following the Revision space digit is the Version digit, which is either a numeric or alpha digit, which may be separated by “decimal point”, for example 1.1 or 1A.

It is also important to understand the two processes related to revision and version control of documents and drawings, namely “Major Change” and “Minor Change”. These do not necessarily have a one-to-one relationship with revision or version status, but are more associated with the nature of changes to the document or drawing. Therefore a number of changes to a document or drawing may occur under Version control, managed as “work-in-progress”, before a next Revision is authorised.

Note - Only an authorised Revision is used for official purposes i.e. contract requirement, audit requirement, or legal requirement.

Revision and Version Schemas

Two Revision and Version control notations are applicable. Schema A is the Eskom **default notation** that is applicable across all documents and drawings. Schema B is authorised for use in legacy systems or Smartplant applications to maintain the integrity of the existing Revision and Version control. The use of Schema B must be supported by a reason.

Schema A

This schema applies the notation of ‘title’, 1st digit, decimal point and 2nd digit, for example “Rev1.5”. The first draft of a document starts at revision number “0” and the version “.1”, therefore shown as Rev0.1. Any further versions (work-in-progress amendments) made to the document will increase the revision number with a value of 0.1. The example below indicates the revision number of a document after 2 (two) versions:

44-3 OCE Quality Manual **Rev 0.3**

When a document is authorised the revision number is increased with a value of 1.0 and the decimal value (version digit) is reset to 0 (zero), e.g.

44-3 OCE Quality Manual **Rev1**

Any subsequent amendments to the authorised revision of the document or drawing will see the decimal number increased by a value of 0.1 and so forth until the next revision is authorised, e.g.

44-3 OCE Quality Manual **Rev1.1**

Schema B1 (Legacy)

This schema applies the notation of ‘title’, 1st **numeric** digit, and 2nd **alpha** digit (Capitalised), for example “Rev1A”.

The first draft of a document starts at revision number “0” and the version “A”, therefore shown as

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Rev0A. Any further versions (work-in-progress amendments) made to the document will increase the version alpha digit sequentially, namely A, B, C, D, etc. The example below indicates the revision number of a document after 2 (two) versions:

44-3 OCE Quality Manual **Rev0C**

When a document is authorised the revision number gets increased with a value of 1.0 and the decimal value (version digit) is reset, e.g.

44-3 OCE Quality Manual **Rev1**

Any subsequent amendments to the authorised revision of the document or drawing will apply sequential alpha version control notation i.e. A, B, C, and so forth until the next revision is authorised, e.g.

44-3 OCE Quality Manual **Rev1A**

Schema B2 (Smartplant)

This schema applies the notation of 'title', 1st **numeric** digit, and 2nd **alpha** digit (Capitalised), for example "Rev1A".

The first draft of a document starts at revision number "1" and the version "A", therefore shown as Rev1A. Any further versions (work-in-progress amendments) made to the document will increase the version digit (2nd) sequentially, namely A, B, C, D, etc. The example below indicates the revision number of a document after 2 (two) versions:

44-3 OCE Quality Manual **Rev1C**

When a document is authorised, the revision and version digits at last review are applicable, but only the revision digit is displayed on the document/drawing and the document/drawing status changes to "Current". Note the revision is not revved to the next higher digit as traditional practice.

For example

44-3 OCE Quality Manual **Rev1C** (last draft reviewed for authorisation)

Authorised revision = 44-3 OCE Quality Manual **Rev1C** – but document shows only Rev1

Any subsequent amendments to the authorised revision of the document or drawing will apply the next sequential numeric digit to the Revision and the version alpha commences at i.e. A, B, C, and so forth until the next authorised revision, e.g.

44-3 OCE Quality Manual **Rev2A**

3.2.3 Publishing and Notification of documents and records

- a. All business documents and records must be stored in the approved official **document and records management system** (DRMS) in accordance with the system taxonomy or filing structure;
- b. Where **other approved systems** are implemented for control of documents and records, the systems must be referenced in the document management procedures, including a clear definition of the relation between official DRMS and the other system/s in use. Where documents are stored or transferred between different systems during their lifecycle, the method and controls must be clearly identified and described;
- c. Each Group/Division/Business Unit/ Area/Department must have an **index of all documents** controlled and clearly defining the ownership, unique identifier, title, status, storage location

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

(electronic and hard copy) as well as next review date as a minimum. The index must be maintained by the respective document managers and controllers and reported on as specified in the applicable documentation management procedure.

Note: The **DRMS** could serve as an index if it has the functionality for reporting.

- d. New and revised documents to be communicated to all affected parties -
 - A list of all approved level 1 documents must be **published on the intranet** by the Eskom Documentation Centre web page,
 - The availability of updated level 1 documents must be communicated via the DRM Group/Divisional Representatives,
 - All other authorised documents must be made available and communicated only via document controllers of the area that owns the document;
- e. A search facility or method for retrieval of published documents, must be clearly defined in applicable documentation management procedure/s and staff trained to be able to find information;
- f. Suitable access controls are to be applied in the DRMS to prevent the unauthorised use of **obsolete or unauthorised** documents;
- g. **Hard copies** of authorised, including the signed versions, and obsolete documents must be retained by the Document Controller of the Group/Division/Business Area/Department that owns the document in facilities adequate to protect the documents from unauthorised access or possible damage; and
- h. **Methods for the storage and maintenance** of these documents must be specified in the document and records management procedures/instructions, including retention periods required by law or the nature of the document, archiving rules and facilities or methods of disposal.

3.2.4 Protection of documentation

All documentation shall be allocated a disclosure classification in the document footer and employees must also select the appropriate sensitivity classification in the Microsoft software application.

Information about the document must also be captured on the “Properties” of the document. Minimum information to be captured is:

- Document title
- Author
- Category (Capture the document disclosure classification and indicate the group that will have access to the document).

Note: If it is confidential to Treasury only indicate the level and scope for distribution e.g. “Confidential_Treasury only”

If it is confidential to cross-functional domains, e.g. IT/OT/etc. then indicate appropriately e.g. “Confidential-IT/OT”

3.2.5 Records Management

The management of records ensures that evidence of actions is protected and preserved to meet business, legal and regulatory requirements. Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

Records management procedures must describe as applicable the processes and metadata (fields of information) to support identification, storage, protection, retrieval, retention and disposition method. The preservation of records is to ensure legibility, identification and retrievability.

In implementing records management, the following records management standards must be considered, namely.

- SANS 15489: Information and documentation – Records management Part 1 and II
- SANS 11799: Information and documentation – Document storage requirements for archive and library material
- SANS 19005-1: Document Management - Electronic Document File Format for Long-Term Preservation
- SANS 15801: Electronic Imaging – Information Stored Electronically – Recommendations for Trustworthiness and Reliability.

3.2.6 Archive & disposal of inactive documents and records

Documents and records with a status superseded or cancelled must be **archived** for the prescribed retention period. The Divisional/BU/Departmental records retention matrixes must specify the retention periods applicable to the various document and record types, considering the necessity of reserving information beyond the periods of obvious usefulness, and legal and contractual requirements. The procedure must describe archive methods, which conserve space but allow access when necessary. Paper documents must be archived in an in-house or off-site archiving facility and electronic documentation must be archived within the document management database.

Documentation must be **disposed** of after the retention periods unless otherwise specified by the document owner. Paper documents to be recycled when classified as public domain or non-classification. All other paper documents must be destroyed in such a manner to prevent reconstruction of document.

3.2.7 Quality Assurance of document and records processes

Document and Records management processes are to be audited using the Internal Audit Process. All audits are to be arranged between the Audit Department and the Business Unit/Area or Departmental Documentation Manager. These audits may include process audits (across functions/domains) and systems audits of the documentation management function.

Analysis of the audit results should be considered to establish competency requirements and resourcing, training and recruitment improvement initiatives to address shortcomings.

CONTROLLED DISCLOSURE

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

4. Acceptance

This document has been seen and accepted by;

Name	Designation
Morateng Skhosana	EDRMF Representative - Transmission
Shirley Konopi	EDRMF Representative – Distribution
Ashley Govender	EDRMF Representative – Generation
Felix Bosch	EDRMF Representative – Generation Asset Management
Bongi Teti	EDRMF Representative – Distribution Technology
Xolani Mhlakaza	EDRMF Representative – Procurement and Supply Chain Management
Thando Dladla	EDRMF Representative – Group Capital
Adam Shongwe	EDRMF Representative – Risk and Sustainability
Frans Magongoa	EDRMF Representative – Human Resources
Keitumetse Fatyi	EDRMF Representative – Finance
Michael Reynolds	EDRMF Representative – Group IT
Nonhlanhla Mabuza/ Petunia Ledwaba	EDRMF Representative – Strategy and Planning
Lele Noko	EDRMF Representative – Government and Regulatory Affairs
Amanda Thusi	EDRMF Representative – Eskom Rotek Industries
Mietie Kanjee	EDRMF Representative – Assurance and Forensics
Noko Makgoka	EDRMF Representative - Legal and Compliance
Mpho Ohasi	EDRMF Representative – Office of Company Secretary

5. Revisions

Date	Rev.	Compiler	Remarks
July 2021	5	T L Ndlela	Document reviewed to correct 2.5.2.3 and remove reference to Hyperwave as the business is migrating to a new EDRMS.
January 2021	4	T L Ndlela	Document review based on review cycle and incorporated comments received from National Nuclear Regulator

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Date	Rev.	Compiler	Remarks
November 2018	3	T L Ndlela	Reviewed based on review cycle and to ensure alignment with requirements of the ISO 9001 standard. Included protection of documentation and review of documents by Compliance for legal and regulatory compliance.
March 2015	2	T L Ndlela	Reviewed to align with policy and to address the A&F Document and Records Management Adequacy Audit findings.
September 2012	1	T L Ndlela	Document reviewed to align with the Document and Records Management Process 32-1216. Also consolidating requirements from 32-392 for simplification. Alignment
October 2009	0	T L Ndlela	Compiling standard for rules on Eskom Documentation Management.

6. Development Team

None.

7. Acknowledgements

None.

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.

Appendix A – Allocation Centre Namespaces for Level 1 & 2 Documentation

Note: These namespaces are here for reference purposes only; as documents are now registered on the electronic document and records management system and each EDRMS will be allocate a namespace.

Allocation Centre	Namespace ID
CORPORATE AFFAIRS	470
CORPORATE SERVICES	40
DISTRIBUTION	34
ESKOM DOCUMENTATION CENTRE	32
FINANCE	35
GENERATION DIVISION	36
HUMAN RESOURCES	37
DEMAND SIDE MANAGEMENT	471
SPECIAL PROJECTS 2010	472
KSACS (Old Division)	38
ENTERPRISES	39
OFFICE OF THE CHIEF EXECUTIVE	44
GENERATION PRIMARY ENERGY	45
SYSTEM OPERATIONS AND PLANNING	46
TRANSMISSION	41
GENERATION NUCLEAR	238
EXTERNAL RELATIONS (Old Division)	42
GENERATION BUSINESS ENGINEERING	474

Note: With the implementation of EDRMS, all registered documents on the system will have a namespace ID allocated by the system. Hence, these listed namespace ID's can no longer be used for documents.
Documents that were allocated numbers using these Namespaces do not need to be renumbered

CONTROLLED DISCLOSURED

When downloaded from the document management system, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorized version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Holdings SOC Ltd, Reg No 2002/015527/30.