

Transnet Capital Projects



Contractor Documentation Submittal Requirements
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Transnet Capital Projects Document Management Contractor Documentation Submittal Requirements

DOC-STD-0001

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1. Purpose

This standard outlines the documentation requirements that are to be implemented by the *Contractor* for the preparation, submission, receipt, review, and collection of Technical and (or) Deliverable Documentation, as detailed in the Contractor Documentation Schedule (CDS).

Contractor documentation is of the utmost importance for the in-house Engineering activities as the information contained in the *Contractor's* documentation interfaces with several other disciplines for the Engineering, e.g., Mechanical, Structural, Piping, Control and Instrumentation, Electrical, etc.

The supply of high quality documentation within the time required as defined in the '*Works Information*', Contractor Documentation Schedule (CDS), and *Contract* must be considered as one of the main objectives by the *Contractor*.

2. Scope

This scope defines the *Contractor's* responsibilities in terms of the preparation of all the *Contractor* Deliverables required for each *Contract*.

3. References

- ISO 9001:2000 - Quality Management Systems Requirements
- SANS 10111 - Code of Practice for Engineering Drawings
- SANS 10143 - Building Drawing Practice
- DOC-FAT-0001 - Contractor Documentation Schedule (CDS)
- DOC-FAT-0002 - Contractor Documentation Register (CDR)
- DOC-FAT-0003 - Contractor Review Label (CRL)
- DOC-FAT-0004 - Contractor Review Label (CRL) for drawings



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4. Definitions / Abbreviations

4.1 Definitions

| | |
|---------------------------------|---|
| 'As-Built' Document | Is a final record of what was actually installed / constructed according to the Fabrication / Construction <i>Contractor</i> , and includes all deviations or changes from the approved AFC document(s). As-Built document(s) are required to reflect the same degree of detail as the original document(s). As-Built document(s) shall be done by all <i>Contractors</i> . |
| <i>Contract</i> | Formal document evidencing agreement between <i>Employer</i> and <i>Contractor</i> for supply of on site or off site services (generic term used for Purchase Orders, Contracts and Service Orders in this Procedure). |
| <i>Contractor</i> | The party to a contract that provides services to the <i>Employer</i> (generic term used for Vendors, Suppliers, Contractors, Consultants, etc.). |
| Controlled Document | Any document where its revision and distribution are recorded to ensure that Project Team Members holding a copy of the document have the current revision, and will receive future revisions, subject to a formal review and approval process. |
| Documentation | Collective term used to describe drawings and documents, e.g., letters, faxes, drawings, specifications, reports, manuals, standards, publications, software, etc. |
| Document Control | The function that ensures systematic registration, distribution, retrieval, status reporting, and storage of revision controlled documentation, typically Technical and (or) Deliverable documentation. |
| Document Management | Is the over-arching term used to describe the management of documentation on a Project. |
| <i>Employer</i> | The party to a Contract or Purchase Order to whom the goods are supplied or for whom the work or services are performed. For this project Transnet Capital Projects is the <i>Employer</i> . |
| <i>Employer's</i> Documentation | Shall mean all documentation issued to <i>Contractors</i> by the Project. |
| Engineering Deliverables | Technical documentation generated by Engineering, i.e. drawings, drawing registers, Engineering Document Registers, calculations, requisitions, equipment lists, design specifications, etc. |



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|------------------------|---|
| 'For Record' Document | A set of record drawings / documents conforming to the marked up prints, drawings and other data, handed over to the <i>Employer</i> as part of the Project Handover Procedure. |
| Master Document | The original wet signed (signature) document which is held by Project Office Document Control. |
| Native/Source Document | Original electronic file format of documentation. |
| Project Deliverables | Is any document, drawing, report, register, task, etc. |
| <i>Project Manager</i> | The Project Manager is appointed by the <i>Employer</i> , and his role is to manage the Contract for the <i>Employer</i> . |
| Squad Checking | The review of technical documentation by multiple Engineering disciplines in order to ensure co-ordination, communication and interface between the various disciplines; done in an area specifically allocated for the review of documentation; the process / activity is controlled by Document Control but the work is executed by the Engineering Team. |
| Tender Document | The formal document that expresses the terms, both Commercial and Technical, against which a Tenderer submits its Tender for Contracts. |
| Transmittal | Is documented evidence of the formal distribution of documentation to recipients which display Transmittal No., Title, Date, Issue Reason, Revision No. etc. It is evidence of distribution and receipt of documentation. |
| Uncontrolled Document | Any copy of a document where distribution is not required to be recorded, and that does not require revision control or formal review. |
| Working Document | The main working copy of an original document where proposed changes are recorded for incorporating into subsequent revisions. |
| 'Works Information' | Shall refer to the <i>Works Information</i> as defined in the Contract |

4.2 Abbreviations

| | |
|----|-----------------------------------|
| AB | As-Built / Recorded Documentation |
|----|-----------------------------------|



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| | |
|------|---------------------------------------|
| AFC | Approved For Construction |
| CDR | Contractor Documentation Register |
| CDS | Contractor Documentation Schedule |
| CRL | Contractor Review Label |
| DC | Document Control |
| DCIS | Document Control Instruction Sheet |
| EDMS | Electronic Document Management System |
| FN | Final |
| RE | Responsible Engineer |

5. Responsibilities

5.1 *Contractor*

The *Contractor* is responsible for submitting all documentation, required by the Contract, via Document Control to the relevant *Project Manager*, to comply with the requirements of this standard.

The *Contractor* is responsible for setting up and maintaining his own internal Document Control Process to ensure traceability and accountability for all information submitted to the *Project Manager*, and all information issued to Sub-Contractors.

5.2 *Sub-Contractors*

The *Contractor* is responsible for providing the *Sub-Contractors* with all the relevant information, and for ensuring that the *Sub-Contractors* applies the Standard, and submit their data via the *Contractor* for formal submission to the *Project Manager*. (If the *Contractor* sub-contracts work, he is responsible for providing the Works as if he had not sub-contracted.)

6. Procedure

6.1 Documentation to be Submitted

6.1.1 Contractor Documentation Schedule (CDS) (DOC-FAT-0001)

The CDS states the Employer's requirements for:



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- The document types to be submitted by the *Contractor* at various stages of the Contract
- The timing for documentation to be submitted by the Contractor
- The *Project Manager* completes the Contractor Documentation Schedule (CDS) and includes it with the Enquiry and Contract as an attachment / annexure to the 'Works Information' document. The *Contractor* submits documentation as required by the Contractor Documentation Schedule (CDS), within the time specified in the Contract All documentation shall be submitted according to the dates specified in the Contractor Documentation Schedule (CDS).

6.2 Contractor Documentation Register (CDR) (Annexure B)

The Contractor Documentation Register (CDR) is a list of documentation that the *Contractor* is to submit in accordance with the *Contract*. The *Contractor* is to use the Contractor Documentation Schedule (CDS) as the basis for developing the Contractor Documentation Register (CDR). The CDS is the minimum requirement, and the *Contractor* is still responsible to include all documentation on the CDR required for the successful completion of the contract even if no CDS has been included in the *Contract*.

The title of the documentation shall adequately define and describe the facility and equipment where applicable. The Contractor Documentation Register (CDR) must be submitted within 2 weeks of the *Contract* award date, unless otherwise indicated on the Contractor Documentation Schedule (CDS) or in the Contract. Once the Contractor Documentation Register (CDR) is submitted, the *Project Manager* in conjunction with Document Control assigns document numbers to each document. The Contractor Documentation Register (CDR) is reviewed and returned to the *Contractor* as defined elsewhere in this Standard. The *Contractor* is to use the exact document numbers and titles as provided and listed by the *Project Manager* on the Contractor Documentation Register (CDR), on each of the documents.

The Contractor Documentation Register (CDR) is a 'live' document that shall be updated and re-submitted by the *Contractor* on a regular basis to reflect any changes made, e.g., updated planned / actual submission dates or addition of new documents requiring new numbers. Changes to a row(s) of the register shall be highlighted in colour across the entire row(s).

The Contractor Documentation Register (CDR) shall be submitted in Excel (electronic format) as well as PDF format upon each submission to the Project, and shall also be submitted with the final documentation, unless otherwise agreed as per par 6.3.

The forecast and actual submission dates shall reflect the dates of the next issue of the documentation, and once this submission reaches conclusion the dates are to be updated to reflect the next issue, i.e., the as-built documentation submission dates.

6.3 Format in which Documentation is to be submitted

Although the aim of this Standard is to encourage all documentation to be managed and submitted electronically the *Contractor* can apply to the *Project Manager* to have these requirements changed to accept only paper copies of all documentation

Note: If hardcopy, check electronic system for latest revision

6.4 Documentation Preparation Requirements

6.4.1 Quality

Documentation shall be of the highest quality to allow immediate and accurate use by the Project Manager, i.e., without any need for interpretation due to possible illegibility, or prints / copies of poor quality.

Any illegible or indecipherable drawings will be systematically rejected and returned to the *Contractor*, who shall in no case allege documentation being rejected and returned as a reason for any delay affecting delivery.

All documentation shall have sufficient borders for punching as required for filing purposes.

6.4.2 Standards and Codes

All documentation shall conform to the latest revisions of the following, i.e.,:-

- SANS 10111 - Code of Practice for Engineering Drawings, or
- SANS 10143 - Building Drawing Practice, or
- ISO 9001:2000 - Quality Management Systems Requirements

6.4.3 Language

All drawings and documents shall be in English.

6.4.4 Units and Dimensions

All units and dimensions on the *Contractor's* documentation shall be in SI units, unless otherwise specified.

6.4.5 Sizes of Documentation

6.4.5.1 Drawings

The following standard drawing sizes shall be used:

- A3 - 277 x 420mm
- A2 - 420 x 594mm
- A1 - 594 x 841mm
- A0 - 841 x 1189mm

Note:

- Drawings wider than A0 are not acceptable to the *Project Manager*
- Hard copy drawings shall be printed out at actual size, e.g., shall not print A1 size when drawing size is A0
- A4 drawings are prohibited unless issued as part of a document.



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6.4.5.2 Other Documents

All the *Contractor's* documentation other than drawings shall be prepared on standard A3 or A4 size sheets suitable for insertion into an A4 (W71) hard-core binder (file).

All documentation shall have sufficient borders to allow for punching.

6.4.6 Documentation with Multiple Sheets

6.4.6.1 Drawings

If a series of drawings of a particular area is produced by the *Contractor* (e.g., loop diagrams which may have fifty (50) or more sheets) one sequential drawing number shall be used with a series of sheet numbers.

Where more than one sheet is used, the first sheet (numbered 01) shall incorporate an index for all the other sheets in the series, including their current revision status and date.

6.4.6.2 Documents

The *Contractor's* documents with several sheets (e.g., data sheets, reports, etc.) shall be compiled as sets, i.e., a multi sheet document identified as a single document with a single document number. Thus, each sheet is identified individually, e.g., "sheet 10 of 15" and all documents shall be numbered from page 2 onwards.

Each set shall include a Table of Contents and the identification data shall as a minimum contain the following, i.e., the document number, revision number, page number and continuation information shall appear on every page of the multiple page documents. The front sheet of each document shall be page 1; however the number or wording "page 1" is not shown on the first page.

6.4.7 Details Required on Documentation

Each drawing and document shall be identified with the following information, i.e.,:-

- Project Name and Number
- Contract Number or Purchase Order Number
- Equipment Tag Number(s) (if applicable)
- Manufacturer's model / type (if applicable)
- Official Name of *Contractor's* Company
- *Contractor's* Reference Number
- Project Document or Drawing Number
- Electronic File Name (identical to the *Employer's* Document or Drawing Number and not the *Contractor's* Document or Drawing Number)
- Identification and signature of Originator, Checker, Approver, PR Eng, etc.
- Complete Descriptive Title
- Revision



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- Date

6.5 Electronic Documentation Requirements

No "Protection" or "password" will be placed on electronic files.

Electronic submissions shall conform to the minimum quality standard as listed below, i.e.,:-

- File Formats to be submitted
- All deliverables submitted by the *Contractor* must be supplied in the formats listed below, and be editable using the software listed in Table 1. Only exceptions that have prior approval from the *Project Manager* will be accepted. Software used shall be the latest generation, and where appropriate, shall be regularly upgraded.

Note:

All electronic documents shall be submitted in Adobe Acrobat (PDF) format and the 'Native' file shall be included at the final submission.

6.5.1 Table 1: Acceptable File Formats

| Document Type | Description |
|---|--|
| Drawings | Native: Micro Station 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Data Sheets (other than instrumentation) | Native: MS Excel 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Data Sheets (Instrumentation) | Native: As per software used or as otherwise specified in Contract |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Engineering Data Lists | Native: MS Excel 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Calculation Outputs / Results | Native: As per software used or as otherwise specified in Contract |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Document Viewers – Redlining | Adobe Acrobat v7 minimum with "Comments" enabled |
| All Reports | Native: MS Word 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Report supporting Data including: Calculations, Charts, | Native: As per software used or as otherwise specified in Contract |



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| | |
|-------------------------------------|--|
| Graphs, Indexes, etc. | Published In: Adobe Acrobat (PDF) version 7 or later |
| Manuals | Native: MS Word 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| General Documents | Native: MS Word 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Presentations | Native: MS PowerPoint 2003 or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Colour Photographs / Scanned Images | Native File format: JPG Compression level 1% |
| Graphic Imagery | Published images in: TIF uncompressed or WMF |
| | Native image format: Corel Draw 7 CDR file |
| | Adobe Photoshop 7.0 PSD |
| | PowerPoint 2000 PPT file |
| Project Schedules | Native: Primavera P6 (preferred) |
| | Native: MS Project |
| | Published In: Adobe Acrobat (PDF) version 7 or later |
| Databases (preferred) | MS SQL Server 2000 |
| Databases (non-preferred) | ODBC compliant |
| | Microsoft Access 2003 |
| Data Compression | Software: WinZip 8.0 |
| Other General Project Data | Native: Microsoft Office 2003 application or later |
| | Published In: Adobe Acrobat (PDF) version 7 or later |

6.5.1.1 Native File

Native files shall be clean of all extraneous fonts, formats and styles to ensure inadvertent reformatting and format adjustments or difficulties that do not eventuate in downstream handling of documents.

6.5.1.2 Adobe Acrobat (.PDF) Files

PDF files shall be of a high quality and without dark background shading as definition may otherwise become lost.

The quality of Adobe Acrobat (.PDF) files shall be such that a hardcopy of a laser printed A1 Adobe Acrobat (.PDF) drawing can clearly be read in A3 size. Similarly A3 and A4



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Adobe Acrobat (.PDF) file quality shall be such that hardcopy of a laser printed A3 or A4 Adobe Acrobat (.PDF) document can clearly be read in A4 size.

The Contractor shall physically test and confirm this prior to transmitting Adobe files.

PDF files shall be saved as "Reader Extent" to make provision for the use of electronic signatures.

PDF files shall be "Optimized" to improve Quality and then "Reduce File Size" through Adobe.

6.5.1.3 Databases

Databases shall be presented in compatible format on CD Rom as specified in Table 1. Multi format documents (created from several files) shall be combined and submitted as a single Adobe Acrobat (.PDF) file.

6.5.1.4 Drawing Files

These shall be submitted in Adobe Acrobat (.PDF) and the 'Native' file format shall be submitted on the final submission unless otherwise specified. 'Native' files shall include reference / border files, etc.

A single file shall be submitted per document, i.e., under no circumstances shall different drawings with different numbers appear on one sheet under one file name, nor shall a drawing with multiple sheets be saved into one electronic file.

All CAD drawings shall be contained in one single merge file, any form of ex Ref or Reference File will not be accepted.

6.5.1.5 Sketches

These shall be A3 or A4 size scanned as Adobe Acrobat (.PDF) file.

6.5.1.6 Text Documents

Each page of a single document shall be collated into one file. (The "wet" signature Contractor Review Label (CRL) coversheet, where required, is inserted at the beginning of the document prior to review).

6.5.1.7 Tables / Diagrams

These shall be A4 and A3 size only.

6.5.1.8 Reports

Reports containing Word, Excel, DGN, DWG, brochures, etc., shall be compiled as one Adobe Acrobat (.PDF) file.

Note:



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Original colour hardcopies shall be scanned in colour to ensure all details of paper documents.

6.5.1.9 Photo's / Video's

Prints should be submitted of conventional photographs or prints and digital files of electronic images, or as specified by the Project Manager.

6.5.2 Security

Files shall be clear of known viruses and extraneous (irrelevant) macro's. The *Contractor* shall at all times have the latest generation of virus protection software. The *Contractor* shall ensure appropriate security systems are in place to prevent unauthorized electronic distributions and (or) unauthorized editing or manipulation of electronic files.

6.5.3 Scanning Requirements

Where possible 'native' files shall be converted to PDF rather than scanned from hardcopy.

Where this cannot be done all drawings and documents shall be manually scanned black and white except where colour image and fonts are required or necessary.

The settings below should be adhered to where possible and may vary depending on scanning software used. Where images rendered with these settings are unreadable, operators shall use their discretion, and adjust colour depth and resolution accordingly.

6.5.3.1 Scan Settings

- Resolution:-

Black and White - 200 dpi

Colour - 100 dpi

Fine Line Drawings - 300 dpi

- Image Type:-

Black and White - 1 Bit

Colour Line Drawings - 8 Bit (256 colours) minimum

Colour photos and rendered images - 24 Bit

Use automatic threshold to determine the white and black points

- Other Criteria to Adhere to:-

Rotate to correct reading (i.e., viewable at correct orientation)

De-skew (i.e., straighten if on a slant)



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De-speckle (i.e., remove background dirt)

Optimized (i.e., reduce file size)

Note:

When a scanned drawing is printed to be re-scanned, subsequent to, e.g., mark-ups or signatures, then it shall be scanned at a setting of 400 dpi.

6.6 Documentation Numbering

Once the Contractor Documentation Register (CDR) has been submitted by the *Contractor*, Document Control will allocate the *Employer's* documentation numbers on the Contractor Documentation Register (CDR) and return it to the *Contractor*.

A unique sequence number is allocated to each document and remains the same for each submittal of that specific document.

The *Contractor* shall use the *Employer's* document numbers and titles exactly as per the Contractor Documentation Register (CDR) on all documentation submitted.

Electronic file names for all documentation shall be exactly as per the *Employer's* documentation numbers, including the revision number.

7. Revising Documentation

All documentation carries a revision block, which must be completed in full before submitting to the *Project Manager*, and typically denotes the following:-

- NO. - Revision Number, e.g., 00, 01, etc.
- DESCRIPTION - Describes the status, e.g., Issued for Tender and a brief description of the changes made.
- BY - Person responsible for revising the document
- CHK'D - Person responsible for checking the revised document
- APP'D - Person responsible for approving the revised document
- DATE - Date of the revised document

7.1 Revision Notes

The revision block should record each change in revision with a brief but specific description of the changes made.

Terms such as "Minor Revision" or "General Revisions" shall be avoided in favour of a more specific notation.

More than one line may be used but only the revision number and date together with the relevant initials shall appear in the top line.



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7.2 Indicating Revisions

Revisions shall be clearly identified by placing a revision triangle with the correct revision number in the right hand column in the case of documents, and is adjacent to the area on the document that has been changed.

All revisions made on drawings shall be enclosed by a cloud except in cases where to add a cloud detracts from the readability of the drawing. At subsequent revisions all clouds and revision triangles from the previous formal revision shall be removed from the drawing.

7.3 As-Built / Final Revisions

Should documentation require changes upon completion of Construction, it shall be revised to an "As-Built" status, as well as bear the wording "Certified As-Built", which is indicated in the revision block of the documentation.

Should documentation not require any changes upon completion of Construction, it shall be revised to a "Final" status, as well as bear the wording "Certified Final", which is indicated in the revision block of the documentation.

8. Documentation Submission

8.1 Documentation Submission Format

All documentation shall be submitted under cover of a *Contractor's* Transmittal Note.

8.2 Electronic Transmission

The Contractor Documentation Schedule (CDS) defines which documentation shall be transmitted electronically. All electronic documentation shall be transmitted on CD ROM unless otherwise agreed as per Par 6.3.

Documentation submitted on CD ROM shall be contained in a zip file with the Transmittal Note enclosed.

Note:

In the event of documentation required urgently and the *Contractor* is not able to submit a CD ROM and (or) hard copy format timeously, then e-mail transmission may take place (but in extreme cases only)

Per e-mail - the file size may not exceed 5 MB and the Transmittal Note shall be attached.

The *Contractor* is still required to submit the relevant CD ROM to Document Control without delay.

When sending an e-mail the *Contractor* shall ensure that the subject field of the e-mail is completed as follows, i.e.,:



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- Contract Number – *Contractor's* Transmittal Number and Description of documentation transmitted.

8.3 Hard Copy Transmission

Documentation shall be submitted in printed hard copy format unless otherwise stated on the Contractor Documentation Schedule (CDS).

8.4 Transmittal Notes (Annexure A)

All documentation shall be submitted under cover of the *Contractor's* Transmittal Note indicating all *Contract* references (i.e., Project No, *Contract* No, etc.), Project Documentation Number(s), Revision Number, Title and Chronological listing of transmitted documentation.

The *Contractor's* Transmittal Note shall state the purpose / issue reason of the documentation submission.

Documentation for different purposes must be sent on separate *Contractor* Transmittal Notes. The *Contractor* shall note that documentation will be rejected if this requirement is not met.

The *Contractor* Transmittal shall be signed, date stamped and returned to the *Contractor* by Document Control.

8.5 Formats and Quantities of Documentation

The required number of copies and formats of documents / drawings shall be specified in the Contractor Documentation Schedule (CDS).

A typical example of quantities and formats would be as follows:-

- Pre-Construction – Hard copy and PDF (to be specified in 'CDS')
- Construction – Hard copy and PDF (to be specified in 'CDS')
- As-Built – Red Lined – Hard copies (Normally 3 off) (to be specified in CDS')
- Certified As-Built / Final – Hard copies (full size) and CD ROMs containing PDF and 'Native' file formats (to be specified in 'CDS')

8.6 Address for Submission

The address of submission will be as specified in the *Contract* and all submissions will be identified with the Contract Number, and the responsible *Project Manager*. All deliveries will be made to Document Control who will distribute the documentation to the relevant *Project Manager*.

9. Review and Acceptance of *Contractor* Documentation

The *Contractor* submits documentation as the *Contract* requires to the *Project Manager* via Document Control for review and acceptance.



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9.1 Contractor Review Label (CRL)

The purpose of the Contractor Review Label (CRL) is for the *Project Manager* to assign a review code to the reviewed documentation denoting the status of the documentation after consolidation of comments. The Contractor Review Label (CRL) is to be inserted by the *Contractor* as follows:-

9.1.1 First Submission of Documentation

The first revision is revision '0', with subsequent revisions '1', '2', '3', etc.

9.1.2 Review of Documentation

Acceptance of documentation by the Project will in no way relieve the *Contractor* of their responsibility for the correctness of information, or conformance with the requirements. This responsibility rests solely with the *Contractor*.

Once documentation has been reviewed by the Project, all comments are consolidated and a review code is assigned on the Contractor Review Label (CRL) to the original reviewed / marked-up drawing / document by the *Project Manager*.

9.1.2.1 Review Codes for Contractor Documentation

The Review Code resulting from the review is as follows, i.e.,:-

- Code C1 – Accepted

The *Contractor's* design / submission of documentation is accepted and the *Contractor* only needs re-submit documentation only if major changes have been made. The next submission will be the for Approval of "Redline" and / or "Final " documentation.

- Code C2 – Accepted with Comments. Revise and Resubmit

In the event that the Project returns documentation with comments noted, the *Contractor* shall, within the '*period of reply*' as defined in the *Contract Data*, make the required changes and submit the revised documentation for further review on the next revision.

- Code C3 – Not Accepted. Revise and Resubmit for Review

In the event that the Project returns documentation with "Not Accepted, Revise and Re-submit" the *Contractor*, within the '*period of reply*'; make the required changes and re-submit the revised documentation on a new revision for further review. Should these revisions necessitate changes in other related documentation, the *Contractor* shall make the appropriate changes and re-submit all the revised related documentation for further review. The *Contractor* shall not proceed with any activities controlled by the *Contractor's* documentation until it has been re-submitted and acceptance indicated.

The *Contractor* revises and re-submits documentation but on the next revision until a review code 'C1' is achieved. This review process shall not entitle the *Contractor* to submit any claims due to time loss.



Note: If hardcopy, check electronic system for latest revision

- Code C4 – Review Not Required

Documentation signed at "Code C4" level is considered to be for information only and does not require further submission, and shall not be returned to the *Contractor*. However, Document Control shall issue a Transmittal only to the *Contractor* in this regard as notification.

9.1.2.2 Return of Reviewed Documentation

The original reviewed / marked-up drawing / document is scanned to PDF format and a copy is returned to the *Contractor* indicating the *Project Manager's* further instructions.

Return of the reviewed documentation is either in hard copy format, in which case the original reviewed / marked-up drawing / document is returned, or on CD.

Contractors will be advised by e-mail or fax (accompanied by a copy of the Project's Transmittal Note) that documentation is available for their collection.

9.1.3 Review Period

The *Contractor* shall allow the *Project Manager* the '*period of reply*' to review and respond to the *Contractor's* submission of documentation, i.e., from time of receipt by the *Project Manager* to the time of dispatch by the *Project Manager*. However, work shall proceed without delay in the event of late return of the documentation by the *Project Manager* with prior notification in writing by the *Contractor*.

9.1.4 Revised Documentation

On receipt of the reviewed documentation the *Contractor* shall make any modifications requested / marked-up and re-submit the revised documentation within '*the period of reply*' on the Contractor Documentation Schedule (CDS). Queries regarding comments / changes should be addressed with the *Project Manager* prior to re-submittal.

Any re-submittals, which have not included the changes / comments identified, will be marked with the applicable review code and returned to the *Contractor* to be corrected and re-submitted. The *Contractor* shall re-issue the revised documentation incorporating all comments on a new revision and other specified details not included in the previous issue within '*the period of reply*' of receipt of the marked-up documentation.

All revised data shall be submitted in its entirety and shall reflect the revision control numbers, and shall also indicate which documentation the revised documentation supersedes, if applicable.

In the case of drawings every sheet has its own revision number and is revised as an individual document.

In the case of documents all sheets under cover of one document number shall be under the same revision number and be re-submitted, even if the revision is a minor one.



Note: If hardcopy, check electronic system for latest revision

10. As-Built / Final Documentation

This is Certified 'As-Built / Final Accepted' documentation or documentation for which no further review is required. The final documentation shall form part of the final *Contractor* Manual(s) or Data Packs

Contractors shall provide the 'As-Built' documentation that form part of the Operating, Instruction and Maintenance Manuals that were issued and accepted prior to 'As-Built' conditions for inclusion in these types of manuals by the *Project Manager*.

10.1 Definition of Final and As-Built Status of Documentation

10.1.1 "Final" Documentation

This applies to "As Manufactured and Delivered to Site".

Documentation submitted subsequently by the *Contractor* once "Final" status is reached shall be indicated as such in the Revision Notes Block as "Final" and shall also reflect the New Revision Number on the document in the revision block provided.

10.1.2 "As-Built" Documentation

This applies to "As Constructed or As Installed".

The Contractor Documentation Schedule (CDS) shall indicate the documents which are to be brought to "As-Built" status, and must be submitted only after practical completion when the documentation qualifies for "As-Built" status, and the period after completion by which they must be finalized.

10.2 Preparation of As-Built Documents

10.2.1 Transnet Capital Projects Documents

The *Contractor* responsible for completing the construction / installation works shall prepare three (3) marked up hard copies of the applicable documents to represent the As-Built condition(s). The mark-ups shall be in RED pencil or pen and be complete and accurate.

Once prepared the As-Built mark-up documentation is transmitted to Transnet Capital Projects for updating of the original design documentation.

Documents / drawings updated with information known by the *Project Manager* and as provided by *Contractors* at the completion of their *Contracts* is utilized by the *Project Manager* to update Engineering Deliverables / drawings to this status, i.e., "For Record Purposes".

Note:

File naming convention on drawings / documents shall be in accordance with the Project numbers assigned on the Contractor Documentation Register (CDR).



Note: If hardcopy, check electronic system for latest revision

10.2.2 Design, Supply and Install Contractor Documents

Contractors responsible for the design, supply and installation of equipment are responsible for producing As-Builts of their own documentation.

The *Contractor* shall prepare three (3) marked up hard copies of the applicable documents to represent the As-Built condition(s). The mark-ups shall be in RED pencil or pen and be complete and accurate.

Once prepared the As-Built mark-up documentation is transmitted to the *Project Manager* for Approval through the normal process. Once approved C1 the *Contractor* can proceed to update his drawings and submit as part of the final package

The mark-ups are returned to the *Contractor* so that they can produce the As-Built revisions.

11. Installation, Maintenance and Operating Manuals and Data Books

These shall be supplied by the *Contractor* as manuals in an A4 hard covered, red, grease and waterproof binder using two (2) ring type binders.

Drawings and charts larger than A4 shall be folded and those greater than A3 shall be enclosed in an A4 plastic pocket of adequate strength.

Manuals shall be well indexed and user friendly. Manuals shall include a summarized Table of Contents and in manuals comprising a number of files / volumes there should be one summarized Table of Contents in each of the files / volumes. The draft Table of Contents shall be submitted for review to the Project Manager prior to the compilation and official submittal of the manuals. The technical content of manuals shall be specified by the *Project Manager*.

The originals of all brochures shall be issued to the *Project Manager*. When a general brochure is applicable to a range of equipment, then the specific item, catalogue number or model number shall be stated, which is best achieved by introducing a separate index page, which cross-references the specific item to a tag number.

The address, phone numbers, fax numbers and reference numbers of all *Sub-Contractors* shall be provided.

Where manuals include drawings that still need to be revised to "As-Built" status, and such manuals are required prior to 'As-Built' status, the manual will not be considered to be in its final form until the "As-Built" version of each such drawing has been incorporated.

The required number of copies of the manual(s) shall be as specified by the *Project Manager* and submitted per type or model number of equipment included in the contract, or as specified by the *Project Manager*.



Note: If hardcopy, check electronic system for latest revision

A typical example of what the binder / file(s) shall be marked with on the spine and the front cover is as follows: -

- Project Name
- Manual Title, e.g., Installation, Maintenance and Operating Manual
- FBS No. and Title
- Manual Numbering (e.g., Volume 1 of 2, etc.)
- Contract Number
- Contractor Name

12. Cancelling and Superseding Documentation

The Document Control Procedure for cancelling and superseding is as follows:-

12.1 Superseding

If the document / drawing has been transmitted anywhere and is to be replaced by a different document number / drawing number, then it is superseded. The superseded item should go up a revision and always have the new drawing or document number written across it, as the normal practice.

The Document Controller is to check that this has been done on the drawing or document, and the revision title block should be preceded with:-

- e.g. "SUPERSEDED by 222057-2-211-M-GA-0030"

12.2 Cancelling

If the item is to be cancelled, it means the item has been previously transmitted and it is not being replaced by another drawing number / document number. In this case the Document Controller should check that the revision has gone up, the word "CANCELLED" is written across the drawing / document and the word "CANCELLED" is placed at the beginning of the revision title block

13. Records

All documents generated in terms of this standard are to be retained by Transnet Capital Projects as records in accordance with the requirements of Project Procedure DOC-P-0013.



Note: If hardcopy, check electronic system for latest revision

Annexure A – Typical Transmittal Note



Document Transmittal Note

| TO : | | DATE : | | | |
|---|------------------------------------|--------------------------------|-------------------------|--------------------------------|------------------------|
| LOCATION : | | FROM : DOCUMENT CONTROL | | | |
| ATTENTION : | | ORIGINATOR : | | | |
| | | PROJECT No : | | | |
| | | TRANSMITTAL NO. : | | | |
| PURPOSE OF ISSUE (<i>indicate with an "X" in the appropriate block</i>) | | | | | |
| <input type="checkbox"/> | APPROVED FOR CONSTRUCTION | <input type="checkbox"/> | FOR APPROVAL | <input type="checkbox"/> | AS - BUILT |
| <input type="checkbox"/> | APPROVED FOR DESIGN | <input type="checkbox"/> | FOR INFORMATION ONLY | <input type="checkbox"/> | FINAL HANDOVER |
| <input type="checkbox"/> | FOR TENDER PURPOSES / ENQUIRY | <input type="checkbox"/> | FOR REVIEW / COMMENTS | <input type="checkbox"/> | OTHER (please specify) |
| <input type="checkbox"/> | FOR CONTRACT / PURCHASE / SERVICES | <input type="checkbox"/> | RETURN OF DOCUMENTATION | | |
| ADDITIONAL REMARKS BY ORIGINATOR (<i>if applicable</i>) | | | | | |
| DOCUMENT NUMBER | REV. | DESCRIPTION | COPY QTY | FORMAT E or H | |
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| DISTRIBUTION : | | | | E = Electronic H = Hardcopy | |
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| Sent by : | | Received by : | | Date : | |
| Signature : | | Signature : | | | |
| PLEASE CONFIRM RECEIPT BY SIGNING ONE COPY OF THE TRANSMITTAL AND RETURN TO DOCUMENT CONTROL AS SOON AS POSSIBLE | | | | | |

DOC-TMP-0003 Rev.02



Note: If hardcopy, check electronic system for latest revision

Annexure B – Typical Example of CDR (can be supplied electronically)

| TRANSNET CAPITAL PROJECTS | | | | | | | |
|---------------------------------|------------------------------|------------------------------|-----|----------------------------|------------------------|-------------|------------------|
| TRANSNET | | | | | | | |
| Project Number: _____ | | | | | | | |
| Contract Number: _____ | | | | | | | |
| Register Document Number: _____ | | | | | | | |
| TCP Document Number | Document Title (Description) | Contractor's Document number | Rev | Forecasted Submission date | Actual Submission Date | For- mat | Reason for Issue |
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