 Eskom	Work Instruction	Medupi Power Station Project
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Title: **Document and Record Management**

Document Identifier: **348-883808**

Alternative Reference Number: **200-1680**

Area of Applicability: **Medupi Power Station**

Functional Area: **Document and Record Management**




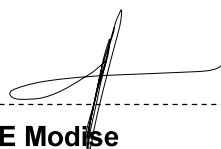
Revision: **8**

Total Pages: **19**

Next Review Date: **June 2024**

Disclosure Classification: **Controlled Disclosure**

Current Change Note **N/A**

Compiled by	QA, Interface & Governance Review	Functional Responsibility	Authorized by
			
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Date: 10/06/2021	Date: 10/06/2021	Date: 10 June 2021	Date: 2021-06-15

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1. Introduction

Medupi project is one of mega project in Eskom, therefore the volume of documented information is large and must be managed efficiently to ensure business continuation. It is of importance that we define clear methods of how documentation must be managed for the Medupi Power Station project to ensure conformity. This will be established through this document, which entails all the required standardised practices for the management of documents and records.

2. Supporting Clauses

2.1 Scope

2.1.1 Purpose

It is to provide a standard guide on how to manage documents and records, to the entire Medupi project team.

2.1.2 Applicability

It is applicable to the Medupi Power Station Project team.

2.1.3 Effective date

This procedure is effective from the day it is authorised and published

2.2 Normative/Informative References

2.2.1 Normative

- [1] 348-636814 Document Review Comments Sheet
- [2] 348-883760 Control of Drawings
- [3] 32-9 Definitions of Eskom Documentation Standard
- [4] 348-653867 Development and Change of Medupi OMS Documents
- [5] 348-883860 Documentation Format and Layout Specification
- [6] 32-1 Documentation Management and Archiving Policy
- [7] 32-6 Document and Records management procedure
- [8] 39-63 ED Control Records Standards
- [9] 348-653867 Engineering Change Management Procedure
- [10] 32-143 Handling of Classified Items
- [11] 348-882606 Handover Documentation Review and Handover Process
- [12] 348-621432 Handover List

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[13] 348-882606 Medupi Project Data Capturing Guideline

[14] OHSAS 18001 Occupational health and safety management systems - Requirements

[15] 32-1216 Process Control Manual(PCM) for Management of Documents and Records

[16] 348-961711 Project Execution Plan

[17] 348-883902 Project Quality Plan

[18] ISO 9001 Quality Management Systems

2.2.2 Informative

[19] 348-9979840 Chapter-Doc Class mapping

[20] 240-71603832 -Eskom Record Archive Transfer Form

[21] 348-9972937 Handover Data Integrity Checklist Template

[22] 240-52483792 Records Control and Retention Procedure

[23] 240-56296995 Standard for records retention

[24] 348-9948274 System Handover Report

2.3 Definitions

Term	Definition
Approved Inspection Authority (AIA)	This is an external agent representing the Department of Labor: Pressure Equipment and Regulations (PER), and is responsible to ensure compliance to the government construction code. This external agent Reviews all designs of all critical plant areas.
Approver/ Owner	A person of appropriate seniority who by signing the document confirms that the document has been reviewed and that its content is valid and aligned to the regulation, policies and business practices. Persons who approve documents shall be the document owners.
Archive	It is an area under the control of Doc Centre, holding documents that are only valid for reference purposes and not frequently used. Examples are records, correspondence and old versions of documents kept for legal purposes.
Authorizer	A person of appropriate seniority who by signing the document makes the contents of the document mandatory and sanctions it for use.
Classification	Classification is the categorization of documents as per information contained by documents.
Confidential	The classification confidential should be limited to information that may be used by malicious/opposing/hostile elements to harm the

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	objectives and functions of an individual and /or institutions
Compiler/ Originator	The person, or team appointed by the functional responsible person to develop a document.
Confidential document	Document that may not be disclosed outside of Eskom.
Controlled disclosure document	Disclosure with appropriate consent and to authorized person
Disposition	Final stage of record management in which a record is either destroyed or permanently retained.
Document	Information and its supporting medium such as specification, Procedure, drawing, report, standard, form and template. Documents require revision & amendment to remain current and normally states activities and controls to be applied.
Documentation	Used to refer to both documents & records
Documentation Centre	The Documentation administration and storage area holding all documents belonging to the project.
Electronic Document Management System (EDMS)	Electronic Information system which captures manages and provides access to documents/records.
Electronic Records	Information which is generated electronically and stored by means of Computer technology.
Handover Package	A file consisting of all documents related to a specific system which gets Handed over to the Client as per the Client's Documentation requirement.
Internal Document	A document created within the project. This is a document generated by anyone working in the project.
Main Documentation Centre	The central Documentation storage and administration area of a business Holding all received documents generated by suppliers and those generated internally.
Major revision	A revision where document content/ meaning is affected by change.
Master Record Index	The 'Master Record Index' lists a master set of drawings which define the design standard (product baseline) of both hardware and software and Records changes to the design.
Metadata	Data about data, that is, data that describes other data. For example, the Unique identifier, title, and compiler; metadata is usually used for retrieving particular source of information.
Minor revision	A revision that doesn't affect document content / meaning, example: - spelling Error I grammatical error.
Non-handover document	Document not forming part of Client's Documentation requirements example: - minutes of meetings.
Parent to child relationship	The link or association made between the higher tier and lower tier Documents in document hierarchy.

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Project Document	A document related to the design and construction work done on the plant.
Public Domain document	Document that can be published in any public forum without constraints.
Record	Any document that is valid, no longer in use for which no few revisions shall be issued, and shall be kept for legal or reference purposes.
Records	Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligation or in the transactions of business. It cannot be revised or changed as it may invalidate the information on the document.
Registration	Recording of brief descriptive information about the document and assigning the document an identifier, unique within EDMS.
Retention Period	The length of time that documents/records should be retained in offices. Before they are either transferred to an archival custody or destroyed/deleted.
Review	The process of considering whether the contents of the current document. Version is still valid, need a revision, no longer applicable, or is replaced by other documents.
Review label	A stamp that is usually put / inserted on the first page of a document where status of the document is indicated, example:- accepted, not accepted etc.
Review Team	A team consisting of a Discipline Engineer, Package Project Manager of the system and any other interfacing discipline's representatives who are responsible to review technical content of the document by checking accuracy, relevancy and completeness.
Review Workflow	An electronic series of processes or steps that are performed in sequential order on Smart Plant Foundation.
Reviewer	A person who checks the correctness and appropriateness of the contents of the documents before authorization of the document.
Secret document	Document that can be made available within specified segments of the Organization.
Squad Check Area	This is an area used to temporarily store vendor documents due for review and the review team uses the same area to check/review vendor Documents.
Template	A document having a standard layout to be used by the organization for a Particular subject to enable pro - activeness.
Termination	The action of either destroying/deleting a document/record or transferring it to an archival custody.
Vendor	Any person(s) or company that is contracted to the Medupi Power Station Project.
Vendor Document	An external document or any document generated by the vendor for the project as per work done by the vendor.
Technical Documentation	Means various documents with product-related data and information that are used and stored. The data and information intended include matters of product definition and specification, design, manufacturing, quality assurance, product liability.

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Top Secret	The classification given to information that can be used by malicious/opposing/hostile elements to neutralize the objectives and functions of institution and/or state.
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Table 1. Definitions

2.4 Abbreviations

Abbreviation or Acronym	Description
Alt ID	Alternative Identifier
AIA	Approved Inspection Authority
CD	Compactable Disc
EA	Engineer Assistant
Config	Configuration Management
DC	Document Compiler
DO	Document Officer
DE	Discipline Engineer
Doc Centre	Documentation Centre
EDMS	Electronic Documentation Management System
FTP	File Transfer Protocol
GX	Generation
ISO	International Organization for Standardization
KPA's / KPI's	Key Performance Areas/ Indicators
LPE	Lead Project Engineer
MDL	Master Document List
MRI	Master Record Index
MRL	Master Record List
OHSAS	Occupational Health and Safety Assessment Series
PBS	Plant Breakdown Structure

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QA	Quality Assurance
QAD	Quality Assurance Department
QMS	Quality Management System
RACI	Responsible, Accountable, Consulted, Informed
SPF	Smart Plant Foundation
SPO	Smart Plant Operation

*Table 2. Abbreviations***CONTROLLED DISCLOSURE**

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2.5 Roles and Responsibilities

The roles and responsibilities in line with this document are as defined below:-

a) Manager : Documentation Management

- The role of the manager is to enforce compliance to this procedure throughout the Medupi Project.

b) Supervisor: Documentation Management

- The role of a supervisor is to ensure that the tasks are executed in line with this procedure

c) Documentation Officer : Documentation Management

- The role of the Documentation Controller is to process the Documentation in line with this procedure.

2.5.1 RACI Matrix

Process Step	Document Compiler/Originator	Documentation Officer		QAD	Process Owner	LPE/LDE	Contract Manager
Identification and creation of project Documentation	R/ A	I	C		C	I	
Processing of identified Documentation	A	R	C	A	I	I	
Storage and preservation of Documentation	A	R/A	I	A	I	I	
Retrieval and review of Documentation	I	A	I	A	R	I	
Distribution and termination of Documentation	I	R	C	I	C	R	
Retention of records for the required retention period of each type of the record.	A	R/A	I	R	I	I	
Safe keeping of all Project Documentation	R	R/A	I	I	I	I	
Verification of Documentation	I	R/A	I	I	I	I	
Processing of Documentation on EDMS	I	R/A	I	I	I	I	

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Preparation of Documentation review and identification of the review team	A	R	I	A	R/A	R/A
Allocation of the review status of documents	I	I	I	I	R/A	I
Verification of documents review status	I	R	I	I	A	R
Distribution of documents	I	R	I	I	I	A
Load MDL on EDMS	I	R	I	I	C	A

Table 3. RACI Matrix

3. Management of Documentation

All documentation shall be registered and controlled within an Electronic Documentation Management Systems (EDMS), which is Hyperwave for office administration Documentation and financial records, Smart Plant Operation (SPO) for plant related Documentation, SharePoint for team collaboration.

3.1 Process Map/Flowchart

The value chain on figure 1.1 below provides an overview of how the Documentation of the Medupi project must be managed.



Figure 1. Management of Medupi Documentation

3.2 Control of Documentation

This document will define how a document and records must be managed on the Medupi project. The documented information shall be classified as follows:

- **Record:** documented information stating evidence of activities performed on a specific date, time and place. They cannot be revised or changed as that may invalidate the information in the document.
- **Document:** Information and its supporting medium such as specification, procedure, drawing, report, standard, form and template. Documents require revision & amendment to remain current and normally states activities and controls to be applied.
-

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All Documentation shall be registered and controlled using approved Eskom Documentation Management Systems (EDMS) – for governance documents or for technical Documentation as a minimum to comply with the following:

- The Documentation ownership must reside within the Business domain,
- Documentation must be unique in its purpose, content and aim

Records shall be maintained to provide evidence of conformity to the requirements and effective operation of the project. They shall be protected and controlled and shall remain legible, readily identifiable and retrievable. (Refer to **240-52483609 Records Control and Retention document**)

3.2.1 Identification and Creation of Documentation

This phase is initiated by a need to document a business process or any business information required for current or future reference. Creation of Documentation should comply with Documentation Format and Layout Specification (348-883860) and Scope Of work - Contractor Quality Requirements (348-389557). Should there be a need to create a document, the document compiler/originator shall check if the document already exist on the Eskom Documentation Management System and also verify with the Medupi DO.

If the document does not exist, the originator shall use the current approved document template (348-24473) available on the EDMS. If the required template does not exist, the originator must engage with the Medupi DO for further guidance. The Medupi DC will refer the request to Eskom DO to verify if it exist, otherwise the Medupi DO with collaboration with the Medupi Quality team, to then create a new template. If the document that the originator/compiler wants to compile already exists, then the DC shall review and then revise it if necessary.

Creation of record must be compiled on approved relevant template in line with your business process.

3.2.1.1 Submission

Documentation shall be submitted through the Medupi Documentation Centre. Submission of hard copies shall be hand delivered to the Documentation Centre. Submission of electronic copies shall be done through the email proxies listed on table 2 below. The email subject must include the package number, unit no, system/plant description, document type. If the Vendor does not copy the relevant proxy email address, then the submission is not considered formal and will not be attended to by the documentation Centre.

Files that exceed the size that can be transmitted via email, one must submit via the Eskom large file transfer portal.

Discipline	Discipline Email Addresses
SHE	MedupiHS@eskom.co.za
Environmental	Medupienvironment@eskom.co.za

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DocMan	MEDUPISITEDOC@eskom.co.za
Fidic	Medupi-FIDIC@pbworld.com
Quality	MedupiQA@eskom.co.za
P02	MedupiBoiler@eskom.co.za
P03	MedupiTurbine@eskom.co.za
P17,P18,P19	MedupiCandl@eskom.co.za
P04,P06,P09,P10,P20B,P21,P31B,P35A/B/C/D	MedupiBopMechanical@eskom.co.za
P08	MedupiCivils@eskom.co.za
P11,P16, P50	MedupiElectrical@eskom.co.za
P01, P22/34A, P22/34B, P27,P28,P32,P33	MedupiCoalandAsh@eskom.co.za

Table 4. Discipline Proxy Email Addresses

a) Transmittal

All Documentation is to have a cover page which clearly states the Documentation description / title, revision number, Documentation number and Documentation status. The documents being submitted (electronic and hard copy) shall be accompanied by a completed transmittal note. A transmittal template shall have the minimum: field requirements as stipulated on the format and layout Speciation (348-883860)

b) Submission Acknowledgement

Every Vendor document submitted to the Doc Centre shall be verified to ensure compliance to the format and layout requirements as per the Format and Layout Specification (348-883860). On receipt of the Documentation, the following tasks shall be performed by Medupi DO:

- Completeness of the pack being submitted, confirm if the information listed on the transmittal matches with the actual documents\packaged Documentation.
- Check compliance of the documentation against the format and layout requirements.
- Acknowledge receipt of the Documentation by signing the transmittal note indication the status (Accepted, Rejected, partial accepted). Then send the copy of the signed transmittal to the submitter.

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3.2.2 Processing of Documentation

The processing of Documentation must be done in line with the Data Capturing guideline (348-883753).

3.2.2.1 Registering of Documentation

Once the documentation to be generated is identified, the document compiler/originator shall submit it to Medupi DO for registration. Medupi DO shall register it on SPO and then it shall auto-generate a Documentation number. Documentation of external origin shall be registered by the Medupi DO on the EDMS and managed according to this procedure.

3.2.2.2 Documentation Number

All project Documentation shall be assigned a unique identification number by the Medupi DO on SPO or designated person for Hyperwave. The numbering shall be uniquely assigned to a document.

3.2.2.3 Attaching of Documentation to EDMS

Post Documentation registration, and redlining of the SPO number on the Documentation, Medupi DC shall attach the file to the relevant number.

3.2.2.4 Revising of Documentation

All Revision controlled Documentation shall have the next review date. Document revision can also be done on an ad-hoc basis should there be a need.

Medupi Power Station Project team shall make use of numerical, sequential revision numbering approach, starting from 0. If the Medupi DO is processing a document with an existing approved older revision, one must revise it to the next sequential revision in line with the controls maintained within the EDMS.

Version control is used to track minor changes against a revision that is under review, prior to approval, meaning that document will be in draft state. Table 3 below illustrate the maturity of revision and version.

Revision Number	Version Number	Status	Definition
0	1	Draft	First draft document
0	2	Draft	First draft under review before approval. The version shall change from 1 to 2 (undergone two review cycles)
1	0	Approved	Once the draft is approved, the revision shall be 1.0
1	1	Draft	First draft under review before approval to next revision

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2	0	Approved	Approval of revision 1, version 1 (undergone one review cycle before approval)

Table 5. Discipline Proxy Email Addresses

3.2.3 Review of Documentation

Upon completion of registration, Medupi DO shall verify the reason of issue as per the information on the transmittal received or on the Document Cover Page. Based on the information captured on the transmittal by the Vendor, and instruction from the Contracts Manager, Medupi DO shall assign the document to the relevant review process, refer to list of below:

- a) **Review and Authorisation Workflow:** Detailed electronic workflow within the EDMS
- b) **Notification workflow:** An electronic workflow for sharing information
- c) **Authentication Workflow:** A workflow within EDMS, that is executed to capture the audit trail of desktop\offline reviews.

A period of 21 calendar days is allocated for the review of Vendor Documentation first submission from the Vendor documents and 7 days for all newer revision. The number of days is counted from the date when the vendor issues the documents to the project. It is the responsibility of CM to ensure that the Vendor documents are reviewed within the specified period.

All Documentation received from the Vendor shall be processed/captured and work-flowed within 24 hours period upon their receipt. Where this condition cannot be met, the CM shall be informed timeously to ensure that an extension of review period is sought from the submitting party. Review comment must be captured on the comment sheet (348-14108).

3.2.4 Distribution of Documentation

This is a process of issuing Documentation to the user\recipient, either internally within the project or to external stakeholder\vendors. Distribution must always be accompanied by a transmittal.

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- a) Outgoing Transmittal is created on EDMS and documents being transmitted are linked to the generated transmittal.
- b) DO shall print out the Outgoing Transmittal and take the hardcopy to the responsible CM for verification (i.e. confirm correctness of documents to be issued, intended recipient and reason for issue), and the CM shall sign anywhere on the transmittal as an indication that everything is accurate
- c) An automated system notification is sent to all recipients notifying them of documents to be distributed.
- d) Hard copies of the documents to be transmitted together with the created transmittal shall be signed by the responsible CM prior to DO issuing them.
- e) Issuing of documents shall be done by email (i.e. sending an email from the discipline email address) or by physical collection from the Doc Centre

For physical collection, Medupi DO shall inform the Vendor of documents readiness. On collection of documents, the Vendor shall sign the transmittal as a way of acknowledging receipt. Medupi DO shall scan and attach the signed copy to the generated transmittal number on EDMS.

3.2.5 Storage and Preservation

These refers to the storage of electronic copies stored in Eskom approved EDMS, and storage of hard copies which are filed in the allocated storage facility.

3.2.5.1 Storage of Documentation/ Hard-copy Records

All received hard copy files shall be filed or stored at a physical facility. The Medupi DO must control all access to the hard-copy storage facility. Access to the processing, storage, and retrieval of Documentation shall be limited to authorized personnel.

3.2.5.2 Security

Documentation compilers are responsible for setting the security level of Documentation by assigning one of the levels below:

- Confidential
- Controlled Disclosure
- Secret
- Top Secret
- Public Domain

a) Removal of Documentation

Removal of Controlled Documentation on any form of media shall not be taken off-site without appropriate authorisation from the Documentation owner.

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b) Equipment Security Guideline

Equipment should be physically protected from security threats and environmental hazards to reduce the risk of unauthorised access to Documentation and to safeguard them against loss or damage.

3.2.5.3 Preservation

The following shall be considered when storing Documentation:

- a. Provisions to prevent damage from harmful conditions (i.e. excessive light, stacking loads, electromagnetic fields, other environmental conditions (flooding, fire, etc.), as applicable to the type of media being stored, and
- b. Provision to prevent damage from infestations, moisture, temperature and pressure.

3.2.5.4 Obsolete Documents

Electronic copies of obsolete Documentation shall be kept in EDMS and the status must be reflected as such using a watermark, it must also be reflected on the hard copies. Access to obsolete Documentation shall be restricted in order to prevent unintended use. When there is a need to support a requirement, a request should be made to the Documentation Management to provide the Documentation.

3.2.6 Disposal of Records

The destruction of records is an irreversible act, while the cost of preserving records worthy of permanent preservation is high and continuing. It is the responsibility of the Business Function responsible Manager to identify the records which can be destroyed.

Retained records may be disposed-off on completion of stipulated retention times after obtaining written authorization from the Owner. At the end of the stipulated retention period, the DO shall advise the relevant Manager and obtain authorization to dispose-off the records or obtain extension to the storage period.

The following methods shall be applied for the disposal of records based on media.

Medium	Method
Paper	Shredding, pulping, recycling
Microfilm or Microfiche	Recycling, pulverizing
CD/DVD	Reformatting, Pulverizing, shredding, cutting, incineration
Computerized Data	Degaussing

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Magnetic Tapes	Demagnetizing, pulverizing, shredding, incineration
Hard drives/USS/Flash -Drives as well as other Plug-in devices	Sanitise
Electronic	Permanent deletion

Table 6. Disposal Methods

3.3 Document Review and Self-Assessment

3.3.1 Document Self-Assessment

The “Process Owner” identified on the front page of this document along with departmental personnel and the project QMS Engineer shall undertake a “self-check” review of the process defined in this document at six monthly intervals, commencing from the effective date of this document, to check:

- a) the process / procedure operational integrity
- b) process efficiency
- c) The level of stakeholder knowledge and implementation.

Participants and results of the “self-check” review shall be documented by the Process Owner in the “Self-Assessment Checklist” (***QMS Template No. 348-655890***) included as an Appendix to this procedure which shall be issued to medupiga@eskom.co.za by the Process Owner once completed.

Process Owner shall proceed with any revision requirements in line with Medupi Procedures 348-653867 “Development and Change of Medupi QMS Documents”

3.3.2 Revision Period

All QMS documents shall undergo a 3-yearly compulsory revision.

3.4 Training Requirements

The procedure shall be published to the entire project and awareness session will be conducted on request and when gaps are identified.

4. Acceptance

This document has been seen and accepted by:

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Name	Designation
David Phiri	Supervisor :Documents and Records Management
Mokgoba Kganakga	Officer :Documents and Records Management
Nkeke Phaswana	Supervisor :Documents and Records Management
Samuel Rasesemola	Supervisor :Documents and Records Management
Thelma Madzhiga	Manager :Documents and Records Management

Table 7. Acceptance

5. Revision history

Date	Rev.	Compiler	Remarks
June 2021	8	Choene Komape Assistant Officer:- Documentation Management	-Changed it from Procedure to Instruction. - The department to align with 32-6 Records and Documents Management Procedure
December 2018	7	Choene Komape Assistant Officer:- Documentation Management	Aligning the procedure with the SPO system.
April 2015	6	K Nkadimeng Documentation Management Manager	- Original documents This document supersedes the following procedures : -Document Management 200 - 1680 - Document Control 200 - 32712 - Document Retention 200 - 79304 - Control of Records 200 - 1681

Table 8. Revision History

6. Development Team

The following people were involved in the development of this document:

- Choene Komape
- Documentation Management Team

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Appendix A – Process Self-Assessment Checklist

Discipline:		Applicable Document No.: 348-883808				Self-Assessment Date: 20/02/2021	
Item No	Ref Section	Self-Assessment Question	Compliant			Comment	
			Yes	Part	No		
1	3.2	Are Documentation received and issued within the project, registered on the EDMS?		X		Loading in progress	
2	3.2.1.1	Are all electronic Documentation submissions communicated through the proxy?	X			All Internal and External should be submitted through the proxies	
3	3.2.1.1	Are all Documentation submissions acknowledged? Information?	X				
4	3.2.1.1	Are all Documentation accompanied by a transmittal note when they are submitted to Doc Centre?	X				
5	3.2.5.2	Are project electronic Documentation stored in the Eskom Approved EDMS?	X				
6	3.2.2.4	Are all documents revision controlled?	X				
Comments: We will align to Level 1 (32-6) Records and Documents Management Procedure, therefore this will become a work instruction.							
Self-Assessment by:		Name:	Position:		Revision Required? (Yes / No)	Planned Revision Date:	
Attendees:							

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