

Title: **Control of Documents and Records** Document Identifier: **240-94027247**
Work Instruction

Alternative Reference
Number: **Not Applicable**

Area of Applicability: **Eskom Rotek Industries
SOC Ltd**

Functional Area: **Eskom Rotek Industries
SOC Ltd**

Revision: **6**

Total Pages: **22**

Next Review Date: **October 2022**

Disclosure
Classification: **Controlled Disclosure**

Compiled by

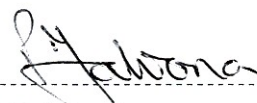
R Khan
DCC Supervisor

Date: 24/10/2019

Functional Responsibility

A Govender
CoE Quality Manager

Date: 24/10/2019

Authorised by

P Faloona
SHEQ Head of Department

Date: 25/10/2019

Content

Page

1.	Introduction	3
2.	Supporting Clauses.....	3
2.1	Scope	3
2.1.1	Purpose	3
2.1.2	Applicability	3
2.1.3	Effective Date	3
2.2	Normative/Informative References	3
2.2.1	Normative	3
2.2.2	Informative	4
2.3	Definitions	4
2.4	Abbreviations	6
2.5	Roles and Responsibilities.....	6
2.6	Process for Monitoring	8
2.7	Related/Supporting Documents	8
3.	Controlling Of Documents.....	9
4.	Acceptance	20
5.	Revisions	20
6.	Development Team	22
7.	Acknowledgements.....	22
Figure 1:	Document Registration Process	16
Figure 2:	Reviewing an Existing Document Process	17
Figure 3:	Archiving of Documents Process.....	18
Figure 4:	Adopting of Eskom Policies and Procedures Process.....	19

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

1. INTRODUCTION

- 1.1 Operating an effective Business Management System requires that all documents and records is controlled to a certain standard. It is a requirement that all Eskom Rotek Industries business functions and activities are documented to facilitate sharing of knowledge, training, standardise implementation of business processes, and provide authentic, reliable and retrievable evidence.
- 1.2 The organisation subscribes to the ISO 9001, ISO 14001, OHSAS 18001, and ISO 17025 International Standards which means adherence to the requirements of these standards is mandatory and auditable.

2. SUPPORTING CLAUSES

2.1 Scope

2.1.1 Purpose

- a) The purpose of this document is to comply with the requirements of ISO 9001, ISO 14001, OHSAS 18001, and ISO 17025; as well as to align to the 32-6 Eskom Document and Records Management Procedure. It also sets the direction and controls applicable for business documentation to ensure standardisation, optimisation and simplification.
- b) This Work Instruction describes the process and requirements for the creation, registration, review, publication, archiving, and disposal of documents and records within the Business Management System.

2.1.2 Applicability

This work instruction is applicable to all employees executing tasks for Eskom Rotek Industries SOC Ltd.

2.1.3 Effective Date

This document shall be effective once authorised.

2.2 Normative/Informative References

Parties using this document shall apply the most recent edition of the documents listed in the following paragraphs. All the below listed Eskom and ERI documents are accessible on Eskom Hyperwave. Standards are accessible on the Eskom intranet.

2.2.1 Normative

- a) ISO 9001 Quality Management Systems;
- b) SHEQ Manual (240-94027315);
- c) Typing Standard (240-137057652);
- d) Coding of BMS Documentation (240-94027233);
- e) Document and Records Management Policy (32-1);
- f) Document and Record Management Procedure (32-6);
- g) Document and Registration Form (32-21);

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder. Eskom Rotek Industries SOC Ltd

- h) Change Documentation Status Form (32-423);
- i) Document Management Glossary (240-47961041);
- j) Document and Records Management Metadata Standard (32-980).

2.2.2 Informative

- a) ISO 9001, Quality Management Systems – Requirements;
- b) Definition of Eskom Documentation Standard (32-9);
- c) Eskom Documentation Standard (32-644);
- d) ISO 14001, Environmental Management System - Requirements with guidance for use;
- e) ISO 18001, Occupational Health and Safety Management System - Guideline for the implementation of OHSAS 18001;
- f) ISO 17025, General Requirements for the competence of testing and calibration laboratories.

2.3 Definitions

Definition	Explanation
Authenticity	The quality of being genuine and not corrupted. An authentic record is one that can be proven to: <ul style="list-style-type: none">• Be what it intended/purports to be• Have been created or sent by the person identified to have created or sent it, and• Have been created or sent at the time recorded.
Directive	An instruction, decision or requirement from Eskom Directors, or actions arising from an Executive Committee which set out a specific course of action for a specific circumstance. A Directive is a short-term document that will either be closed when the action is complete or it may become a policy. It will expire or be re-issued after one year. Corporate Audit or Corporate Technical Audit will provide assurance on the close-out of Directives. NOTE: Eskom RoteK Industries SOC Ltd will adopt all Eskom SOC Ltd directives, where applicable.
Disclosure Classification	The classification for: <ul style="list-style-type: none">• Public domain: published in any public forum without constraints (either enforced by law, or discretionary).• Controlled disclosure: controlled disclosure to external parties (either enforced by law, or discretionary).• Confidential: the classification given to information that may be used by malicious/opposing/hostile elements to harm the objectives and functions of Eskom RoteK Industries SOC Ltd.• Secret: the classification given to information that may be used by malicious/opposing/hostile elements to disrupt the objectives and functions of Eskom RoteK Industries SOC Ltd.

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 authorised version on the system

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom RoteK Industries SOC Ltd

Definition	Explanation
	<ul style="list-style-type: none"> Top Secret: the classification given to information that may be used by malicious/opposing/hostile elements to neutralise the objectives and functions of Eskom Rotek Industries SOC Ltd.
Document Metadata	Is all additional related document information that describes the attributes of a specific document (or record).
Draft	A preliminary version of a document that is not authorised. Also a status used to reflect such a version.
Policy	<p>This is a high-level document that sets out a management decision on the approach to a specific area of work in the form of a statement of intent. It will include the functional responsibilities and accountabilities conferred by the Policy.</p> <p>NOTE: Eskom Rotek Industries SOC Ltd will adopt all relevant Eskom SOC Ltd policies, and will only develop its own policies where there is no applicable policy at Eskom SOC Ltd.</p>
Position Paper	This is a paper issued to describe, clarify, document and communicate agreed positions and direction on key or developing business issues. They are typically used to supplement, or as a precursor to, business plans, directives and in particular, policies.
Procedure	A document that describes the purpose, scope and sequence of activities, control points and responsibilities required to perform a high-level managerial, administrative or technical function and how it will be recorded. Compliance with a Procedure is mandatory in its area of applicability.
Documents and records	Incorporates both documents and records. It is required information that needs to be controlled and maintained by the organization for their operations/related processes. It can be in any format and on any medium and can come from any source
Records	Document stating results achieved or providing evidence of activities performed.
Specification	A document that prescribes technical requirements on performance or characteristics of plant, equipment and products or services that shall be met in every application by the suppliers of the product or service.
Terms of Reference	A document defining the purpose, scope, responsibilities, delegated authority, membership and reporting requirements of committees and sub-committees.
Version Control	The management of documents or records in order to keep track of changes and revisions and ensure the most current version remains available for use.
Work Instruction/Instruction/Method Statement	The detailed sequence of steps, controls and records required to complete a specific task.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

NOTE: Consult the ISO 9000: Quality Management Systems - Fundamentals and Vocabulary as well as the (32-9): Definition of Eskom Documentation Standard for further definitions.

2.4 Abbreviations

Abbreviation	Explanation
BMS	Business Management System
DCC	Document Control Centre
ISO	International Organisation for Standardisation
OHS	Occupational Health and Safety
ERI	Eskom Rotek Industries SOC Ltd
PDF	Portable Document Format
OCR	Optical Character Recognition

2.5 Roles and Responsibilities

2.5.1 The DCC provides a service to control and preserve documents centrally within the organisation.

2.5.2 All documents in the system must be revised/reviewed at the applicable frequency as stipulated in 3.13.1

NOTE:

- Documents that have passed "the next review date" shall remain valid until they are superseded, archived or cancelled. This practise is however, not encouraged and the DCC will prompt reviews via the monthly status report on Hyperwave.
- The monthly status report is made available to all personnel on Hyperwave and will reflect documents past their review date and documents due for review within the forthcoming 6 months.
- DCC will also send this status report to the responsible Quality Officers / Regional SHEQ Managers / SHEQ Business Partners and Quality Managers of the documents that are due for review on a monthly basis.
- If a document is not reviewed by the due date, it is the responsibility of the DCC to issue an NCR to the document owner.

2.5.3 Management (Manager/Supervisor)

Management is responsible for ensuring that:

- a) This Work Instruction is adhered to.
- b) All documents required at their point of use are available and are the latest revision.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

- c) Documents are handled and stored in such a manner that they are legible and fit for use. Documents/records that become illegible or unfit for use must be handled according to Section 3.8. Disposal/Cancellation of Documents and records
- d) Records are controlled in accordance with Records Retention Matrix (240-43723778).

2.5.4 Document Control Centre Supervisor

The DCC Supervisor is responsible for controlling all incoming and outgoing documentation as well as supervising and assisting with the following tasks:

- a) Issuing new document numbers and revision numbers.
- b) Formatting and typing of documents where required.
- c) Registering documents on Hyperwave and ensuring that the following compulsory metadata is completed for each document: Title, Status, Security Class, Document Sub Type, Document Owner (Functional Responsible person), Document Type, Publisher, Document Number, Created, Modified, Approved By, Author (Compiler), Date Approved\Review Date, Version Control
- d) Ensuring that documents are signed and dated by the relevant parties.
- e) Maintaining the Master list of documents.
- f) Publishing via link to Hyperwave and distributing documents to the relevant parties.
- g) Retrieving and destroying of obsolete documents controlled by the DCC.
- h) Ensure that there is no duplication of existing documentation.

2.5.5 Document Compiler/Originator

The Compiler/Originator, identified by the functional responsible person (Process Owner/Line Manager) to compile the document shall:

- a) Compile the document using the latest authorised revision of the applicable template.
- b) Ensure that minimum document requirements as described in section 3 are adhered to.
- c) Ensure that proof reading is performed on the developed document.
- d) Ensure that the document does not duplicate an existing document purpose and content.
- e) Complete all relevant details on the Document and Registration Sheet (Form No.: 32-21) and submit to eridcc@eskom.co.za.
- f) Ensure that the document is reviewed within stipulated time frames.

2.5.6 Functional/Responsible Person (Process Owner)

The functional responsible person (Manager/Supervisor/Subject Matter Expert/Process Owner) shall:

- a) Ensure the use of correct templates and that layout requirements are met.
- b) Have the responsibility to approve the document and perform the final review of documents.

CONTROLLED DISCLOSURE

2.5.7 Document Authoriser

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

- a) Alignment to business strategy, policy, objectives, requirements;
- b) The impact of implementing the document in the area of applicability; and
- c) Authorising the release and application of the document and is accountable for the document implementation within the business domain.

2.5.8 Acceptance Reviewers

The acceptance reviewers may review the document from a Technical as well as a quality perspective by reviewing as undermentioned:

- a) Document Layout, language and grammar
- b) Technical accuracy and completeness
- c) Possible document duplication
- d) Compliance to legislation, document requirements or other requirements including related documents.

2.6 Process for Monitoring

2.6.1 This work instruction will be monitored via Business Management System Audit (240-94027195) and self-assessments. The adequacy, effectiveness and efficiency of this work instruction will be monitored by Hyperwave system generated reports compiled by the DCC Supervisor.

2.6.2 Customer Satisfaction Survey (Form No.: 240-94026351) will be distributed by the DCC Supervisor to obtain and analyse customer perception.

2.6.3 Document Control Centre Control of Incoming and Outgoing Documents (Form No.: 240-100739168) shall be used to track turn-around time for all requirements which should ideally be handled within a 14 day period. Where there are delays, customers are to be notified at least 2 days before the end of the 14 days.

NOTE: In cases where documents have been sent via eridcc@eskom.co.za and the turnaround time has not been adhered to, the Product Groups/Support Services may issue an NCR to the DCC.

2.7 Related/Supporting Documents

2.7.1 Document and Record Registration Form (Form No.: 32-21).

2.7.2 Policy/Directive Template (Form No.: 240-94026947).

2.7.3 Work Instruction/Procedure/Method Statement Document Template (Form No.: 240-94026437).

2.7.4 Change Documentation Status (Form No. 32-423).

2.7.5 Record Retention Matrix (Format/Template) (Form No.: 240-104638872).

2.7.6 Document Transmittal Form (Form No.: 240-94026439).

2.7.7 Personnel Authorised to Remove Documents/Records from the Document Control Centre (Form No.: 240-94026927).

2.7.8 Drawing Print Request Form (Form No.: 240-94026449).

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

- 2.7.9 DCC Control of Incoming and Outgoing Documents Master (Form No.: 240-100739168).
- 2.7.10 External Origin Document Register (Form No.: 240-94026575).
- 2.7.11 Document Template for (Procedures, Standards, Work Instructions and Guidelines etc.) (Form No.: 240-94026437).
- 2.7.12 Customer Satisfaction Survey (Form No.: 240-94026351).
- 2.7.13 Scanning Protocol (Form No.: 240-150644423).

3. CONTROLLING OF DOCUMENTS

3.1 General Document Requirements

Documents required by the Business Management System shall be controlled. The organisation adheres to ISO 9001, ISO 14001, OHSAS 18001, and ISO 17025 with regards to controlling documents and records. No handwritten changes are allowed. All documents and records to be drafted in English. It can be in any format (e.g. graphics, software version) and in any media (e.g. paper, magnetic, electronic).

3.2 Unique Identification of Documents and records

- 3.2.1 Documents and records are uniquely identified and controlled in accordance with Record Retention Matrix (Form No.: 240-104638872). Records should be stored in hard copy or electronic format. They may be kept in files, cabinets, plastic sleeves or any other means that prevents damage, deterioration or loss and that affords protection from fire, theft and ultra-violet light, as far as is reasonably practical.
- 3.2.2 Document Controllers shall control the issue of unique identifier per document/vital record on receipt of a completed 32-21 Documentation Registration Form and after verification by the Compiler that such a document (based on available attributes – title, description, process owner, type etc.) does not exist within the business. Hyperwave will generate a unique identification number 240- for all documents except for audit reports, service reports and documents which will be issued unique identification numbers according to the Coding of Business Management System Documentation Work Instruction (240-94027233).

3.3 Revision Control

- 3.3.1 When a document is authorised for the first time it will start at Rev 1 and it will be the latest revision *e.g. 240-94027247 Rev 1 - Control of Documents and Records Work Instruction.*
- 3.3.2 Any revisions made to an approved revision will follow the next sequential revision number *e.g. 240-94027247 Rev 2 - Control of Documents and Records Work Instruction.*
- 3.3.3 The compiler must ensure that changes made to the document are captured in the Revision History of the document.
- 3.3.4 In certain instances where necessarily the Company Logo changes, new document coding is introduced or document type change, revision numbers will not necessarily follow a sequential order and may start from the beginning. Previous revisions are kept on record for historical references.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

3.4 Version control

- 3.4.1 Is used for internal review processes and will typically be used in cases where a document is Draft or is checked out by a Compiler for work-in-progress changes/modification to the content, normally managed in the document or outside of an application.

NOTE: *The version number and the revision number are not the same i.e. the version number is used by DCC to track changes of draft documents and the official revision number is contained on the actual approved document.*

As a result of the bulk upload from "H" Drive to Hyperwave attention must be drawn to the following:

- In cases where the metadata field for version control is not specified, the document is at Version 1.0. A number of version control changes could occur before a Revision Control change is published.*
- Reference numbers in the header of the actual document may differ from the 240- system generated numbers reflected in Hyperwave. When the document comes up for review in the next cycle the 240- number will replace the existing number as a unique identifier in the content of the document.*
- Documents containing previous company logos shall be considered valid and applicable to Eskom Rotek Industries SOC Ltd. Logos will be updated as and when these documents are reviewed in the next cycle.*

3.5 Storage and Access Control

The storage area physically allows for reasonable access control. To ensure that confidentiality is maintained, each Departmental Manager completes Personnel Authorised to Remove Documents/Records (Form No.: 240-94026927) from the DCC in order to control access to documents. Any changes regarding access control shall be communicated to the DCC by the relevant Managers. H-Drive will be used as a back-up system to store documents.

3.6 Disclosure Classification

The Compiler/Originator shall review the content of the document or record and determine the suitable disclosure classification applicable to the document or record. All pages of a document or record should reflect the disclosure classification. Disclosure classifications are either, Secret, Controlled Disclosure, Private or Public.

3.7 Triggers

The following are the minimum triggers for the identification, development or revision of a document:

- 3.7.1 Revision of the ISO/OHSAS Standards,
- 3.7.2 Corrective and Preventive Action,
- 3.7.3 Legal Requirements,
- 3.7.4 Job/Task Observation conducted,

CONTROLLED DISCLOSURE

- 3.7.5 Risk Assessment and incident reports,
- 3.7.6 Any significant changes which affect the BMS,
- 3.7.7 Revision of the ISO/OHSAS Standards,
- 3.7.8 Corrective and preventive action,
- 3.7.9 Legal Requirements,
- 3.7.10 Job/Task Observation conducted.

3.8 Controlling the Issuing of Documents and Drawings

- 3.8.1 All documents except forms are either password protected or converted to PDF format to prevent unauthorised changes. Forms are not protected to allow information to be captured on them for the purpose of record keeping, however changes to the layout of these documents may only be made according to the process described in Figure 2.
- 3.8.2 The Document Controller will load the document onto the relevant database and notify end-users of the changes or distribute the documents and records on a Distribution List. Once processed the Document Controllers are to file the document in the relevant file. Documents are to be filed according to the Product Group / Support Service (Turbo Gen Services, Transformer & Switchgear Services etc.) and document types i.e. Forms, Work Instructions etc.
- 3.8.3 Where the document is to be made available by distribution of hard copies, the Document Controller will distribute according to the distribution list and update the relevant database. All hard copies will have the "Controlled Disclosure" clause at the footer of the document:
- 3.8.4 If utilised, position papers must be registered by the document owner in line with Coding Document (240-94027233) and distributed by the owner in question.
- 3.8.5 Printing, scanning and photocopying of drawings controlled as per Standard Work Instruction (240-137473292).
- 3.8.6 To ensure that the organisation is updated with respect to relevant legislation, the Eskom Legal Register will be utilised.

3.9 Control of Documents of External Origin

- 3.9.1 External documents are mostly managed by the Eskom Information Centre; this includes standards, books, reports and journals. Other documents of external origin include those received from suppliers shall be recorded in the External Origin Document Register (Form No.: 240-94026575) Appendix I, by respective Product Groups / Support Services and forwarded to DCC to publish the master list on Hyperwave.
- 3.9.2 It is the responsibility of the SHEQ personnel in all Product Groups to notify DCC of any new revisions or changes with regard to the master list. It is the responsibility of SHEQ Business Partners to ensure the master lists for their respective Product Groups is up to date.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

3.10 Retention of Records

- 3.10.1 Records will be retained in accordance with relevant management system standards, contractual, organisational and legal requirements (whichever has the longest duration). Retention times for records are stated in Record Retention Matrix Format / Template (Form No.: 240-104638872) Appendix F.
- 3.10.2 All records generated shall be assigned a retention classification type which shall set the retention period, namely lifetime / permanent or non-permanent. The classification shall consider the regulatory, business (warranty requirements) and stakeholder requirements.
- 3.10.3 All Product Groups and / or DCC shall use Form No.: 240-104638872 as a guideline so as to have an overview of the records series created in the area, how long should these be kept, where and how these are kept.
- 3.10.4 All Product Groups are responsible to scan records and upload them onto the Knowledge Management space on Hyperwave. Records must be OCR (Optical Character Recognition) scanned and searchable by content. Optical Character Recognition enables searches within the document / record. (i.e. using keywords to find the document / record).
- a) Process for creating an OCR record on the multifunction device (RICOH)
 - i. Login on the multifunction device;
 - ii. Select "Scan to MyMail";
 - iii. On the "Scan to MyMail window, select "Scan Settings" at the top tab;
 - iv. Select the PDF Converter tab at the bottom of the window and select "Yes" on "Create a searchable PDF" and press start.
 - b) Once scanned, the record will be named as outlined in Scanning Protocol (240-150644423).

3.11 Disposal/Cancellation of Documents and records

- 3.11.1 In order to prevent the unintended use of obsolete documents and records the compiler must complete a Change Documentation Status Form (No.: 32-423) and submit to DCC. All archived, cancelled or superseded documents shall be moved from the active collection to the Obsolete Documents Collection on Hyperwave. Rights for everyone to view the document shall be removed. *Refer to Figure 3 - Archiving of Documents Process.*
- 3.11.2 Obsolete confidential hardcopy documents are shredded or filed for reference purposes/historical information. Some documents are sent to an external service provider for archiving. Other documents which do not contain confidential information may be disposed of in the following ways:
- a) Tearing;
 - b) Recycling, etc.
- 3.11.3 Obsolete documents and records in electronic format shall be erased or overwritten.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

3.12 Registration of New Documents

- 3.12.1 When submitting a document for registration it is preferable that the documents be submitted electronically using track changes. Where this is not possible due to limited access to a computer, handwritten changes to the document will be accepted.
- 3.12.2 Upon finalisation of the document DCC will always send electronic copies (except for Role Profiles) for review to the Compiler or Functional Manager. The turnaround period for the Compiler to send back the document electronically to DCC will be 7 working days. Where there are delays, DCC is to be notified in advance. Upon receipt of the document, DCC will then print the document and request the Compiler via e-mail to collect from DCC for approval.
- 3.12.3 All requests for registration of documents as well as queries must be directed only to the below mentioned e-mail address. Document registration form 32-21 must accompany all requests for the registering of documents. In order to cancel or review a document 32-423 must be completed and submitted electronically via eridcc@eskom.co.za. Requests sent to any other e-mail address will be rejected.
- 3.12.4 All queries must be sent to the centralised e-mail address. Walk-in queries will be attended to via appointments between the following times:
Monday – Friday: 09h00 to 11h00.
- 3.12.5 Control of Method Statements for Construction Services:
- Send generic method statements with Quality File for Tender Returnables.
 - Upon contract award, project specific method statement is drafted and project specific number is allocated for Client's approval and work's continuation.
 - Numbering differs from project to project and this is taken from a Project name abbreviation, for an example: Kusile P20 (Project Method Statements – MS-KS-P20-001).
 - Document register is kept and maintained on site.
 - Once method statement is finalized, registration has to be done via DCC – i.e. complete the 32-21 and send the document electronically through eridcc@eskom.co.za, DCC will issue a reference number and send to the Quality Officer.
 - Method statement will have document number (240- number) and an Alternative number (Site related number). This will be updated on the Site method statement register.
 - Once the method statement has been approved, Quality Officer to send an electronic copy to DCC to upload on Hyperwave.
 - Any changes in revisions will be communicated with DCC via the Quality Officer.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

3.12.6 Control of Forms / Process Flows for Construction Services:

- a) Forms and process flows are generated as the work progresses and registered and controlled at DCC.

3.12.7 Control of Data books for Construction Services:

- a) Upon finalisation of handover; data-books are submitted to client either in hard copy or CD (depending on client's requirements).
- b) ERI keeps data-books electronically in a form of a CD and also load them on SharePoint.
- c) Records are kept for a period of 10 years.

3.12.8 Document Controllers shall complete the following compulsory document metadata fields when registering a document:

- a) Status;
- b) Security Class;
- c) Document Subtype;
- d) Document Owner (Functional / Responsible Person (Process Owner));
- e) Approved By (Document Authoriser);
- f) Author (Document Compiler/Originator);
- g) Date Approved;
- h) Review Date.

Refer to Figure 1 - Document Registration Process.

NOTE: *If a new document has been in draft or out for comments for a cumulative period exceeding 6 months from initial date, it is taken that the document is not required by business and will be archived by the DCC.*

3.13 Reviewing Existing Documents

3.13.1 Any **controlled document** requires regular review at least once every 3 years and **technical documents** and **forms** must be revised at least every 5 years.

3.13.2 When reviewing documents, the compiler must ensure that all supporting documents are still valid.

3.13.3 In cases where the compiler is no longer available and the document is due for review, it is the responsibility of the line manager to reallocate a compiler. This process will be prompted by the DCC.

3.13.4 The review process includes consideration of the following:

- a) Suitability and relevance to the workplace;
- b) Identified areas requiring improvement;
- c) Effectiveness in achieving desired outcomes, in particular where non-conformance or corrective action is required;
- d) Compliance with legislative requirements.

CONTROLLED DISCLOSURE

3.13.5 The document review cycle process may commence either via the Document Controller issuing a notice to the document Compiler to conduct the review or by the Document Compiler or Functional Responsible Person initiating a review (normally due to identified changes) and informing the DCC.

3.13.6 The document review process can either be done using one of the following methods:

- a) Using a collaboration tool or system e.g. MS Outlook, SharePoint, etc.
- b) Presentation in a meeting or workshop where minutes can be used as evidence that the document was reviewed for comments or acceptance.

Refer to Figure 2 - Reviewing an Existing Document Process.

- c) In instances where a document is due for review but the content still remains valid, the Change Documentation Status form (32-423) must be completed, stipulating under the "Reasons for change in status of the document" that the document has been reviewed and found fit for use, with no changes required.
- d) The 32-423 form is then submitted to the DCC, where it will be attached to the existing document on Hyperwave as a cover page. This process is only applicable to documents that are already on the latest available templates. Documents on outdated templates must be transferred to the latest version and follow the normal process.
- e) For forms, a similar process is followed however the 32-423 form will not appear as a cover page. Instead, it will be retained on Hyperwave as an attachment accessible to DCC personnel. The headers will change to reflect new review date.

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder. Eskom Rotek Industries SOC Ltd

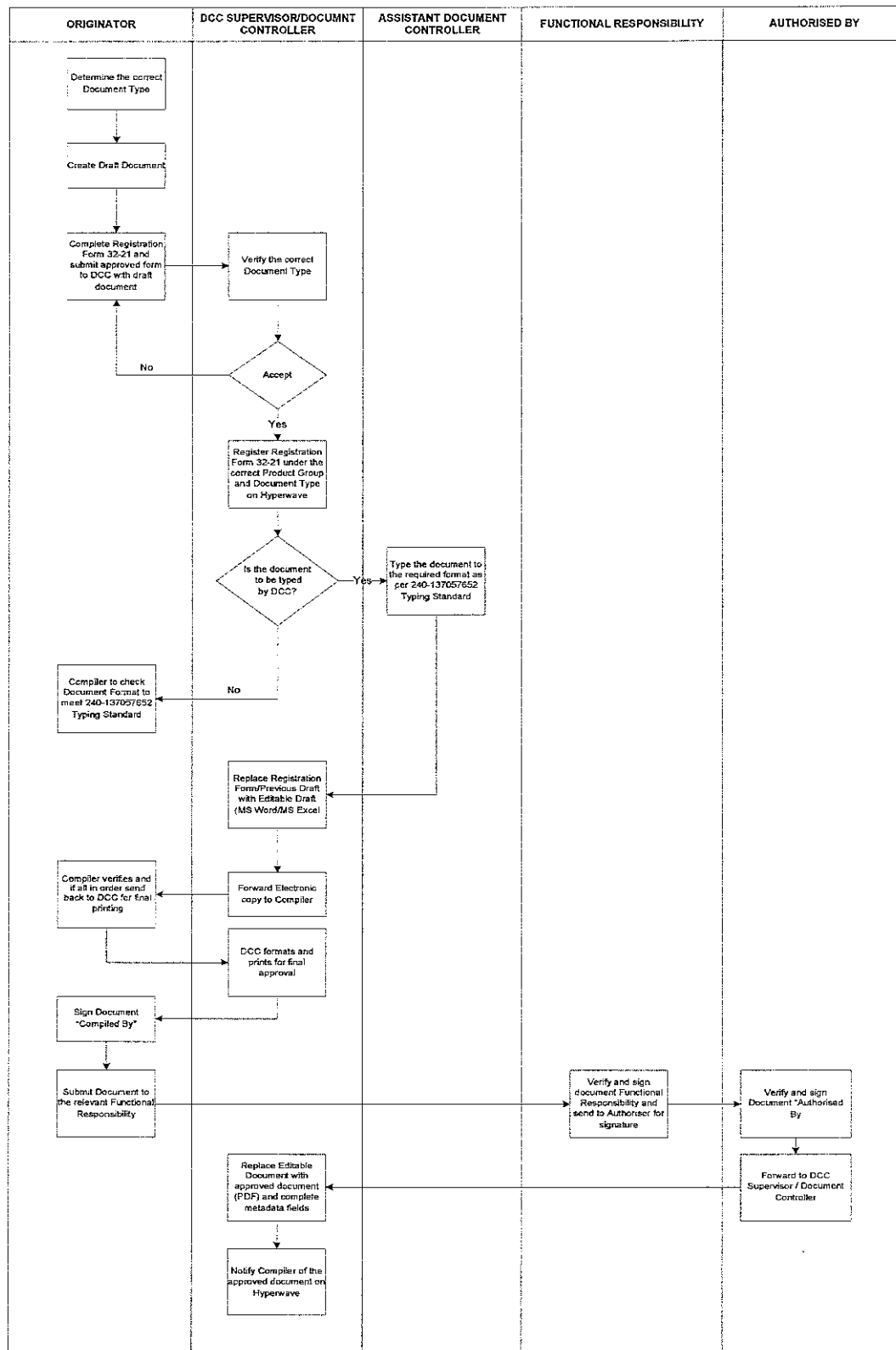


Figure 1: Document Registration Process

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder. Eskom Rotek Industries SOC Ltd

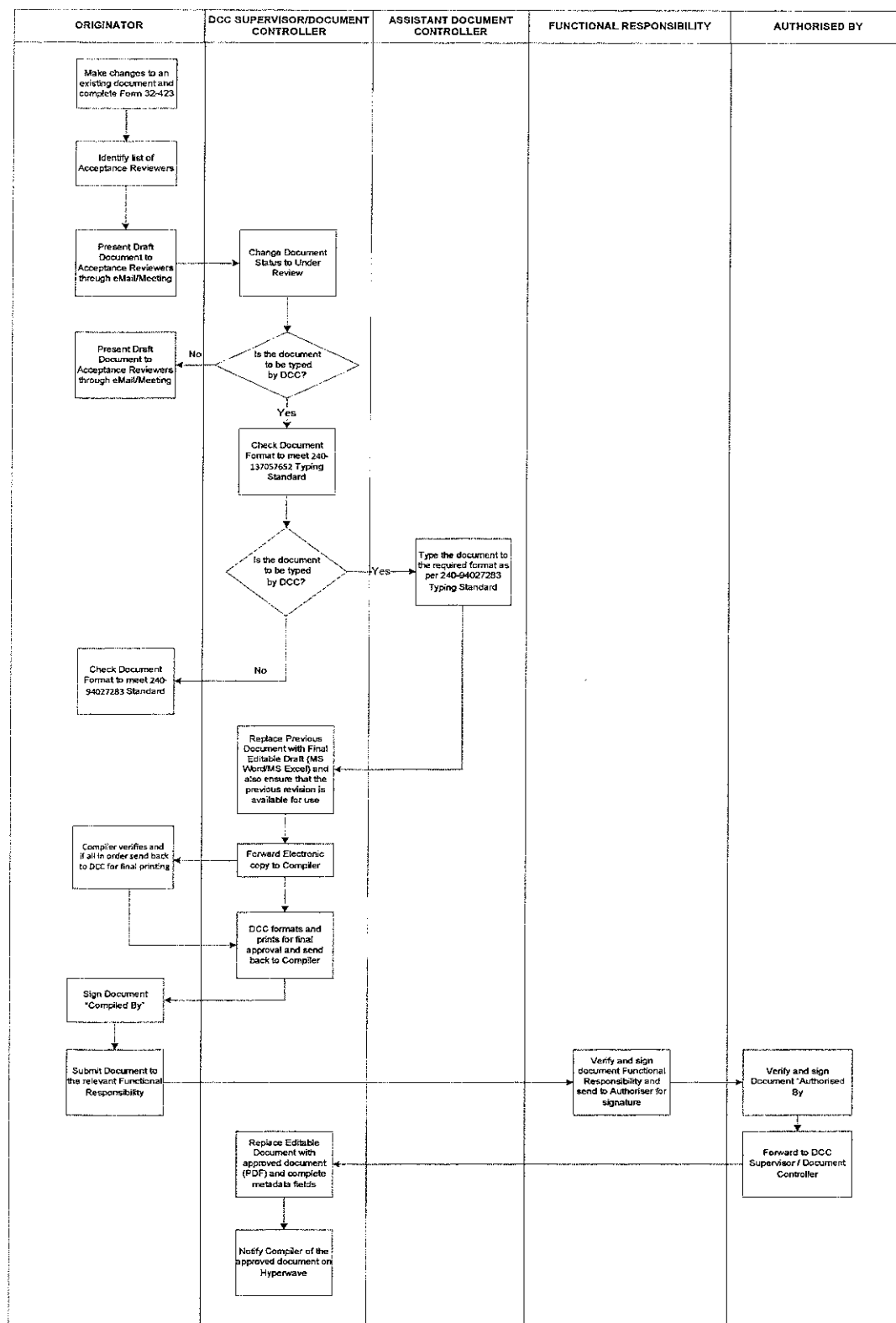


Figure 2: Reviewing an Existing Document Process

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

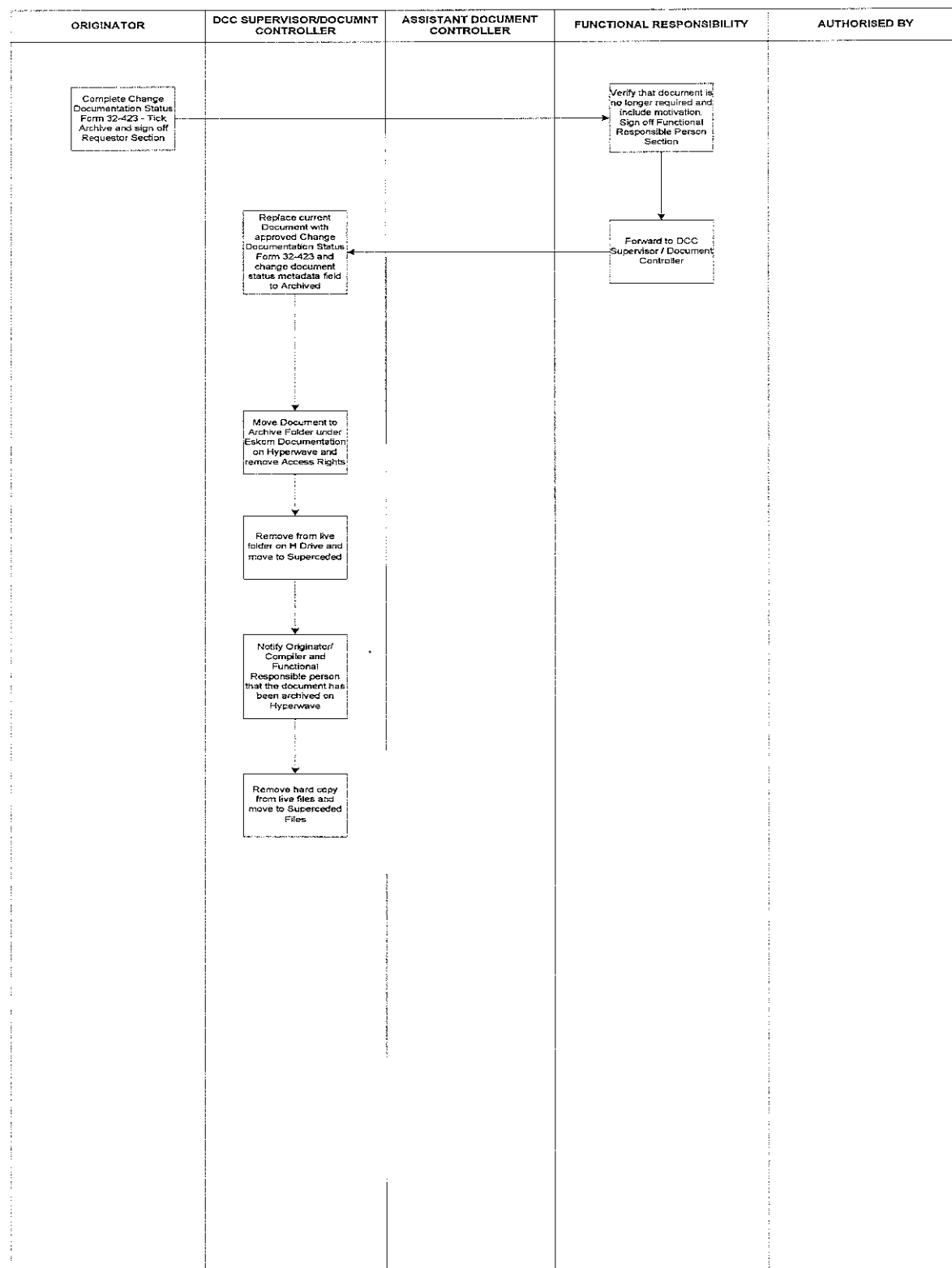


Figure 3: Archiving of Documents Process

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

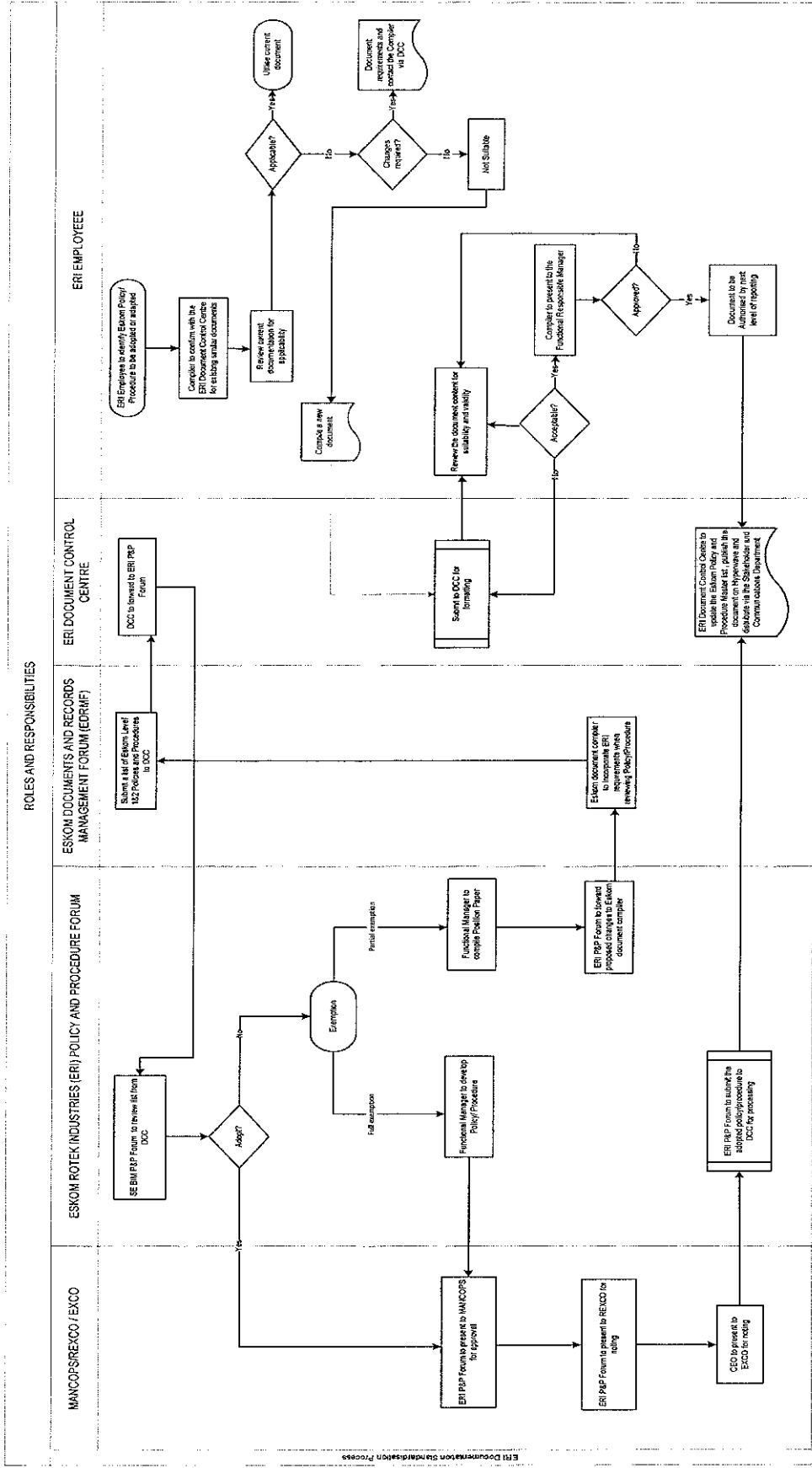


Figure 4: Adopting and adapting of Eskom Policies and Procedure Process

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 authorised version on the system. No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotex Industries SOC Ltd

4. ACCEPTANCE

This document has been seen and accepted by:

Name	Designation
N Ramnarian	SHEQ Business Partner - Transformer and Switchgear Services
J Leshiba	SHEQ Business Partner - Support Services (Acting)
R Kgopa	SHEQ Business Partner – Construction Services
B Mahlangu	SHEQ Business Partner – Turbo Gen Services (Acting)
S Narainsingh	SHEQ Business Partner – Logistics Services
H Rust	SHEQ Business Partner – Bulk Material Services
P Morake	Document Controller
A Naidoo	Document Controller
A Thusi	Document Controller
NB Radebe	Assistant Document Controller
S Smith	Assistant Document Controller
TG Nelufule	Quality Clerk

5. REVISIONS

Date	Rev.	Compiler	Remarks
28/11/2007	1	D Jagiban	RQ-E-31 – All
24/09/2009	3	S Pretorius	RQ-E-24 – All
09/05/2011	14	S Pretorius	TTQ-D-04- All
01/08/2013	0	R Khan	Changed reference number from TTQ-D-04 to E-05
08/10/2015	0	R Khan	Changed logo, reference number E-05 to F-308 and contents to align with the merge of documents onto the new Eskom Hyperwave.
22/10/2015	1	D Moodley	Added “Documents containing previous company logos shall be considered valid and applicable to Eskom Rotek Industries SOC Ltd. Logos will be updated as and when these documents are reviewed in the next cycle.” To Note 3.2.3 on Pg 11
12/06/2016	2	R Khan	Corrected revision number added 3.7.3 “.....Matrix Form Register (using Form No.: H-09 as a guideline....” And 3.9.2 “In order to track turnaround time the Document Controllers are to ensure that they utilise the voting button on email.”

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd

Date	Rev.	Compiler	Remarks
27/07/2016	3	R Khan	<ul style="list-style-type: none"> Added under Section 2.2.1 i) Document Management Glossary (240-47961041) and j) Document and Records Management Metadata Standard (32-980) Added under 2.3 Definition – “Disclosure Classification” and “Version Control” Added under 2.5.2 Note 2 “DCC will notify the responsible process owner of the documents that are due for review and if no response is received and there is no indication of a plan to review.....” Added under 2.5.3 c)Section 3.8 Disposal/Cancellation of documents and records Moved 2.5.6 a) to 2.5.5 d) Moved 2.5.5 d) to 2.5.4 h) Changed Form No. H-990 to 240-100739168 Added Heading Version Control and removed 3.2.3 Added Heading Revision Control 3.4 Added Point 3.4.4 “In certain instances...” Added Heading Storage and Access Control 3.5 Removed footnote under 3.5.3 Removed Lexis Nexis and added Eskom Legal Register under 3.5.6 Under 3.7.3 changed the word “picture” to “overview” Added Figure 4 – Adopting of Eskom Policies and Procedures Process Flow Under Acceptance – Changed SHEQ BP for Construction Services Changed Retention Matrix template number 240-104638872
11/07/2016	4	V Mazula	<ul style="list-style-type: none"> Under 3.9 added “Master lists of documents of external origins to be published on Hyperwave” Added under 3.1 “All documents and records to be drafted in English. It can be in any format (e.g. graphics, software version) and in any media (e.g. paper, magnetic, electronic)” Added under 2.3 Definition-“Documents and records” <p>Under section 3 changed the heading from Documents and records work instruction to Controlling of Documents</p>

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder. Eskom Rotek Industries SOC Ltd

Date	Rev.	Compiler	Remarks
10/05/2017	4	R Khan	<ul style="list-style-type: none">Document registration process. Entire document aligned to ISO 9001: 2015.
21/09/2018	5	R Khan	<ul style="list-style-type: none">Reference to control of drawings excluded in 3.8.5Clarified stance on walk-in queries – 3.12.4Added Point 3.12.5 to 3.12.7Changed turnaround time to 14 working days
24/10/2019	6	R Khan	<p>Added</p> <ul style="list-style-type: none">In instances where a document is due for review but the content still remains valid, the Change Documentation Status form (32-423) must be completed, stipulating under the "Reasons for change in status of the document" that the document has been reviewed and found fit for use, with no changes required.The 32-423 form is then submitted to the DCC, where it will be attached to the existing document on Hyperwave as a cover page. This process is only applicable to documents that are already on the latest available templates. Documents on outdated templates must be transferred to the latest version and follow the normal process.For records, a similar process is followed however the 32-423 form will not appear as a cover page. Instead, it will be retained on Hyperwave as an attachment accessible to DCC personnel.Added 3.10.4 for Hyperwave Knowledge Management scanning protocol and OCR format guideline.

6. DEVELOPMENT TEAM

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

- Angelene Govender
- Roma Khan

7. ACKNOWLEDGEMENTS

Nomsa Malaka

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 authorised version on the system.

No part of this document may be reproduced without the expressed consent of the copyright holder, Eskom Rotek Industries SOC Ltd