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Issue:	2
Date:	5 June 2010
Compliance date:	4 September 2010

Document Management

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1 Purpose

This standard forms part of the suite of documents comprising the Planning and Programme Controls standard.

2 Scope

This Network Rail standard specifies processes for the management of documentation within Investment Projects (IP) and Asset Management (Renewals) AM(R). It supports NR/L2/INF/02220, *Document and records management.*

This standard specifies requirements for controlled and uncontrolled document development and distribution, archive and hand back. It specifies supporting processes and the capture of incoming and outgoing communication.

It is applicable to all project and functional groups within IP and AM(R). It is also applicable to contractors working for IP and AM(R).

Attachments to documents are also within the scope of this standard.

Controlled Documents shall include all GRIP products delivered by an asset or major project and any supporting documentation within projects and functions within IP and AM(R) as defined in local work instructions.

3 Roles and responsibilities

IP Document Control Manager
Accountable for the definition, delivery, governance and continued improvement of controlled document management processes and procedures within Investment Projects and Asset Management (Renewals)

Document Author
Create or revise documents using standard company templates as appropriate

Document Control Managers/Information Controllers
Accountable for the traceability, governance and reporting of all programme, project or area controlled documents. Accountable for the administration of the EDMS, including training and system support within their business area or major project.

Responsible Document Control Person (RDCP)
Responsible for the traceability and distribution of controlled documents. Ideally this post shall be a Document Controller. Where Document Controller resources are not available it is the responsibility of the document author.

Document Control Team
A team of RDCP's responsible for the traceability of documents in their area.

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Document Lead Reviewer
Co-ordinate and consolidate Reviewers' comments

Document Reviewer
Authorised person who is qualified to review a document as instructed by the Lead Reviewer

Document Approver/Authoriser
Authorised person who is suitably qualified to approve or authorise a document.

Head of Planning & Programme Controls
Accountable for the successful implementation and maintenance of this standard, including any review and granting of derogations.

Programme/Project Managers/Department Heads
Accountable for the timely approval, review, request for information of documents in their area of work and responsible for their teams complying with this standard.

Responsible Engineers (typically Senior Engineer)
Accountable for the accuracy and currency of engineering documents and information, and for checking that signatures are applied by qualified personnel.

NOTE Typically, this is the most senior engineer in a project, programme or area of work.

4 Terms and definitions

For the purposes of this standard, the terms and definitions in the following apply.

NR/CS/INF/02203, Document control – Issue and receipt.

NR/L2/INF/02018, Specification for the management of safety related Infrastructure records

NR/L2/INF/02202, Records management of Health and Safety Files

NR/L2/INF/02204, Document control – Process and accountabilities.

NR/L2/INF/02220, Document and records management.

NR/L2/ELP/21120, E&P records management process.

NR/L3/INF/02221, Document creation and approval.

NR/L3/INF/02222, Metadata for document and records.

NR/L3/INF/02225, Records management.

NR/L3/INF/02226, Corporate Records Retention Schedule.

NR/L2/EBM/088, Responsibility for Maintenance of Changed Assets

NR/L3/EBM/089, Asset management plan

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5 Requesting documents

5.1 Establishing if a document exists

The document author shall establish if a document already exists or needs development. If the document is identified as being present within Network Rail, the requestor/originator shall identify the custodian of the latest version of the document and request that document (Appendix A).

5.2 Requesting documents from Network Records Group (NRG)

Any documents required from NRG for a project shall be obtained as specified in NR/L2/INF/02018.

5.3 Requesting documents from archive

Any document required from archive shall be obtained as specified in *Company Deep Store Guidance Note.*

6 Controlled documents

6.1 Properties of new controlled documents

If a new document is required, the originator shall develop the new document in accordance with the following.

a) All Network Rail documents shall follow the agreed company templates.

NOTE 1 Typically, for Projects, these can be located within the Project Manager's Information Centre on Connect (GRIP).

b) The document titles shall be no longer than 255 characters.

NOTE 2 EDMS typically relies on the maximum of 255 characters for search indexes.

c) Document titles shall be full and descriptive, and embody the meaning and sense of the text and intended purpose of the document. A title shall have sufficient meaning and key words on which an EDMS can perform an efficient search. A meaningful title shall have at least three topics from the following:

1) the subject(s) to which the document refers;
2) ten word description of a problem;
3) the geographical area or line;
4) the asset or group of assets in question;
5) level or type of technology;
6) critical safety related subject matter;
7) general approach – conceptual, advisory, design;
8) level of urgency, priority or sensitivity;

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9) key, popular terminology or expression, e.g. “signal sighting”;

10) the names of associated parties, e.g. local authorities, suppliers, TOCs, HMRI;

d) The document shall have a unique document reference number that enables users to easily identify the document’s purpose, e.g. asset/project, discipline, etc. These references shall be as specified in local work instructions. This number will incorporate the EDMS unique number.

e) The document shall have the number of each page and total number of pages specified on each page (sheet).

f) The document shall have the relevant version or revision number for the document (a local work instruction will detail the local rules for applying and controlling version and revision for that business area within the investment programme organisation.)

g) Where signatures are required at a certain lifecycle stage of the document, signatures shall be present in the appropriate signatory boxes and supported by the printed name of the signatory.

h) All documents shall be written using the “Arial” font style.

NOTE 4 The main body of the document should have a text size of 12.

i) Any addendum (an addition, a supplement or appendix) shall be subject to the same requirements of the titling and numbering as the parent document. No addendum shall be issued or revised in its own right, i.e. independently.

NOTE 5 Within a multi-contract programme, it is recommended that the originating companies logo (name), programme and or project title as a minimum be shown on the front page/drawing frame of documents produced.

6.2 Meta data of controlled documents

All controlled documents shall include the meta data specified in NR/L3/INF/02222.

Local work instructions for each business area will also define any meta data requirements specific to that area of work, these shall also identify meta data requirements from cross functional partners.

7 Electronic document storage

All controlled documents shall be stored in the appropriate EDMS. All corporate or system rules shall be applied to the document as specified in Table 1.

The electronic version of documentation that has been raised to a major status and holds a “wet signature” (e.g. “Authorised” and/or “Approved”) shall be a true facsimile of the original.

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