

Figure 2 - Stage Gate Decisions and Assurance



Project Rotherhithe to Canary Wharf Crossing
Document Type File Naming Convention
Document Reference ST_PJ585C-AMD-XXX-XX-LST-IM-00001

Field 1	Field 2	Field 3	Field 4	Field 5	Field 6	Field 7
ST_PJ585C	PPD	BAS	XX	PLN	CE	00001
Project	Originator	Volume	Location	Type	Role	Number

Project	Field 1	Field 2	Field 3	Field 4	Field 5	Field 6	Field 7
Rotherhithe to Canary Wharf Crossing	Code	Directorate or Organisation	Code	Code	Code	Code	Code
	ST_PJ585C	AFC	AFC	ZZ	ANF	Architect	N/A
4-8 Character Code		FID	BAS	XX	CAL	Building Surveyor	N/A
Project Specific (SAP Code)		SPD	CAR		CER	Civil Engineer	N/A
		BUD	COM		CM3	Drainage, Highways Engineer	N/A
		BIM	COM		COM	Electrical Engineer	N/A
		ESO	CWY		CON	Facilities Manager	5 digit sequential number
		PPD	DPE		DIA	Geographical and Land Surveyor	Universal
		AMD	DRG		DRG	Heating and Ventilation Designer	
		RSM	DTT		FRM	Interior Designer	
		SOP	ELC		INV	Client Manager	
		PMO	EST		DM2	Landscape Architect	
			FTW		DM3	Mechanical Engineer	
			FAE		MAN	Public Health Engineer	
			FRS		MED	Quantity Surveyor	
			LAE		MST	Structural Engineer	
			MEC		POC	Town and Country Planner	
			PMP		PRO	Contractor	
			POW		POL	Subcontractor	
			PRM		REF	Geotechnical Engineer	
			RSK		RFI	Lighting Engineer	
			SFS		REP	Technology Engineer	
			SIG		PLN	Traffic Engineer	
			TRK		STR	Environmentalist	
			ZZZ		LST	Acoustics and Noise	
			XXX		REG	Road Traffic Engineer	
					SCH	Transport Modelling	
					REQ	Urban Designer	
					STD	Other	
					SUR	2 Character Code	
					TMP	Universal	
					VSF		
						2 Character Code	
						Universal	

Volume	Field 3	Field 4	Field 5	Field 6	Field 7
Automatic Fare Collection	AFC	ZZ	ANF	Architect	N/A
Bridges & Structures	BAS	XX	CAL	Building Surveyor	N/A
Control & Information	CAR		CER	Civil Engineer	N/A
Vehicle Carriageway	CAR		CM3	Drainage, Highways Engineer	N/A
Communications	COM		COM	Electrical Engineer	N/A
Cycleway	CWY		CON	Facilities Manager	5 digit sequential number
Depot Plant & Equipment	DPE		DIA	Geographical and Land Surveyor	Universal
Drainage	DRG		DRG	Heating and Ventilation Designer	
Deep Tube Tunnels	DTT		FRM	Interior Designer	
Electrical Systems	ELC		INV	Client Manager	
Earth Structures	EST		DM2	Landscape Architect	
Footways	FTW		DM3	Mechanical Engineer	
Fencing and Environment	FAE		MAN	Public Health Engineer	
Fire Systems	FRS		MED	Quantity Surveyor	
Lifts and Escalators	LAE		MST	Structural Engineer	
Mechanical Systems	MEC		POC	Town and Country Planner	
Pumping Systems	PMP		PRO	Contractor	
Power	POW		POL	Subcontractor	
Premises	PRM		REF	Geotechnical Engineer	
Rolling Stock	RSK		RFI	Lighting Engineer	
Street Furniture	SFS		REP	Technology Engineer	
Signalling	SIG		PLN	Traffic Engineer	
Track	TRK		STR	Environmentalist	
Multiple Volumes-Classification	ZZZ		LST	Acoustics and Noise	
Not Applicable	XXX		REG	Road Traffic Engineer	
3 Character Code			SCH	Transport Modelling	
Universal			REQ	Urban Designer	
			STD	Other	
			SUR	2 Character Code	
			TMP	Universal	
			VSF		
				2 Character Code	
				Universal	

Rotherhithe to Canary Wharf Crossing

Document Control
Procedure



Programme -

Project – Rotherhithe to Canary Wharf Crossing

Document Control Procedure

P02	Second Draft	M Richards	27/10/2017				
P01	Initial Draft	M Richards	30/08/2017				
Rev	Reason	Prepared	Date	Reviewed	Date	Approved	Date
Document Number							Rev
ST_PJ585C-PMO-XXX-XX-PRO-IM-00001							C01



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1. Introduction

1.1. Document Purpose

The purpose of this document is to set out the document control procedures for the Rotherhithe to Canary Wharf Crossing Project.

This document has been created based on the principles set out in the following:

- BS1192:2007+A2:2016
- PAS1192:2-2013
- PAS1192:3-2014
- PAS1192:5-2015

It is intended upon its completion and acceptance that this document will be superseded by the Pan TfL CDE Standard.

1.2. Document Scope

The procedures set out in the document are meant for the Rotherhithe to Canary Wharf Crossing Projects only. The Procedures apply to both Internal TfL Teams and External suppliers when exchanging information with TfL.

1.3. Target Audience

- Projects and Programmes Directorate (PPD)
- Sponsorship Directorate
- Third Parties (to be confirmed)
- Any other directly appointed suppliers



2. Roles and Responsibilities

2.1. Roles and Responsibilities

Document control involves the control and distribution of reliable information, within TfL and with third parties, using the agreed processes and systems. In order to achieve this specific roles and responsibilities need to be agreed upon by all parties involved.

All Projects should have a dedicated Document Controller working on the project to ensure the smooth flow of information between all parties. In the event that a Document Controller is not appointed to a Project then the responsibilities listed in Table 1 - Responsibility Matrix will need to appropriately applied to other project team members at the beginning of the project.

2.2. Responsibility Matrix

Role	Responsibilities
Rotherhithe to Canary Wharf Crossing Document Controller	- Be the focal point for all programme documentation and responsible for the flow of information across the Project - Ensuring the implementation of this procedure and the TfL Document Control Policy across the Project. - Creation and supervision of the folder structure, and removal of non-compliant folders and files - Issuing transmittals - Generating new document numbers - Schedule and complete regular health checks within the Document Management System and report any non-compliance issues to the relevant party - Highlighting any issues that have been identified within the Document Management System - Identifying and proposing continual improvements for the Document Management System and document control procedures
TfL Rotherhithe to Canary Wharf Crossing Team	The Rotherhithe to Canary Wharf Crossing Team is responsible for: - Providing correct and complete information to the Document Controller to process in a correct and timely manner - Follow the Rotherhithe to Canary Wharf Crossing Document Control Procedure - Inform the Document Controller of the creation of a new document - Inform the Document Controller of any incorrect data detected within the Document Management System - Report any document control issues to the Document Controller for review and to correct/improve the DMS and document control processes.
Third Parties	Internal delivery partners and other parties are responsible, and dependent on their contracted role within the programme for: - Submission of documents in line with the process as described in Appendix A



- Report any issues that may delay any document submissions

Table 1- Responsibility Matrix



3. About Document Control

3.1. Document Control Systems

The projects document control process is made up of two separate systems LiveLink and Asite.

3.1.1. LiveLink (TfL Document Manager)

Livelink is an **internal** system which TfL use for the initial **creation** and **editing** of Project Documents. We refer to this area as the **Work In Progress** area (as mentioned in the BS I 192:2007+A2:2016).

The Project specific LiveLink area should be used instead of a Department Specific Shared Drive or your Desktop.

TfL is not responsible for providing a Work In Progress area for Third Parties/Suppliers.

For further information regarding LiveLink please email [REDACTED]

3.1.2. Asite

Asite is an **external** system which TfL use for the **sharing** and **acceptance** of Project Documents. We refer to this area as the **Shared** and **Published** area (as mentioned in the BS I 192:2007+A2:2016).

The Project specific Asite area should be used for formally sharing documents and tracking acceptance processes instead of sending emails with attachments of Project specific documents.

For further information regarding Asite please email [REDACTED]

3.2. Document Reference Numbering

All documents on Asite regardless of creator should have a document reference number.

New document reference numbers are to be generated by the Rotherhithe to Canary Wharf Crossing Project Document Controller using Asite, see 3.2.1 New Files.

The file naming convention with which the document reference number is produced can be found in Appendix D – File Naming Convention

3.2.1. New Files

When a new file is produced the projects document controller should be notified. An email is sent to the document controller with a completed Document Reference Number Request Form.

The document controller will create a "Placeholder" via Asite.

Upon the creation of the placeholder an automated email will be sent to the requestor containing the Document Reference Number and the folder path (location).

The Doc Ref can now be included within the file prior to upload to Asite.

Once complete the file can be uploaded into the placeholder using the process outlined in "Uploading to a Placeholder" located in Asite Folder "08.03 – Presentations"



3.2.2. Existing Files (2nd, 3rd, 4th Revision)

Any user can revise an existing file (i.e. a pre-existing file with a pre-existing Document Reference Number) on Asite. The process of replacing a file with the next revision is covered in “Asite – How to Revise a Document” located in Asite Folder “08.03 – Presentations”.

The logic located in 3.3 Document Revision should be used to determine the relevant Revision Number
 NB files on Asite should always have whole number revisions.

3.2.3. Third Party of Legacy Files

When a third party or legacy file is uploaded to Asite it should be done using the standard process outlined in “Asite – How to Upload a file” located in Asite Folder “08.03 – Presentations” and using the following metadata fields to present the following information:

File name = Third Party Document Reference Number

Doc Ref = Tfl’s Document Reference Number (this is Automatically generated by Asite when mandatory metadata fields are applied)

Doc Title = The documents title, this should be something clear and searchable.

This is to ensure consistency and that the third parties naming convention is searchable.

3.3. Document Revision

The document owner is responsible for ensuring that the document has the correct revision.

Documents with no revision will be set at a default revision of P01.

When editing a document in LiveLink files will be revised using Minor Revision Increments.

When uploading a document in Asite files will be revised using Major Revision Increments.

Revision	Status	System
P01.01	First draft (Document Created)	LiveLink
P01.02	First draft (Changes made)	LiveLink
P01.03	First draft (Changes made)	LiveLink
P01	First Draft (Shared for Comment)	Asite
P02.01	Second Draft (Comments Addressed)	LiveLink
P02	Second Draft (Shared for Acceptance)	Asite
C01	Published Document	Asite

Table 2 – Revision Control



Interim revisions will help to maintain the internal review track. Only full revisions shall be uploaded to the Asite or transmitted between the TfL and Third Parties/Suppliers.

3.4. Document Status

The below table outlines the document, drawing and model statuses which will be used for the Feasibility Stage of the Rotherhithe to Canary Wharf Crossing project. The statuses are taken from the BSI 192:2007+A2:2016.

Code	Suitability
S0	Work In Progress
S1	Suitable for Coordination (3D Model files only)
S2	Suitable for Information (Legacy files only)
S3	Suitable for Review and Comment
S4	Suitable for Stage Gate Approval
A3	Accepted at Concept Stage
A4	Accepted at Detailed Stage
A5	Accepted at Construction Stage

Table 3 – Document Status

3.5. Document Comment / Acceptance

The document Acceptance Process can be found in Appendix A – Document Acceptance Process.

Please refer to the Pathway Product Matrix for an understanding of which roles are Responsible/Accountable and who should be Consulted/Informed.

<http://onelink.tfl.gov.uk/sites/ptpm/TfL%20Pathway/Pages/TfL%20Pathway%20Home.aspx>

When receiving externally produced documentation, drawings and models the below table identifies which Project personnel are responsible for Comment and Acceptance:

Document Type	Name	Job Role	Comment	Acceptance
All	Dan Hall	Project Manager	☒	☒
All	Michelle Fernandes	Project Manager	☒	☒
Programmes			☒	



Technical Approvals	☒
Risk Assessments & Method Statements	☒
Commercial	☒
Traffic Management	☒

Table 4 - Comment and Acceptance Authority

Once a transmittal is received by an individual it is an indication that a document has been issued formally for comment or acceptance.

The individual who receives the transmittal will be responsible for closing out their action.

3.6. Additional Metadata

The term metadata refers to additional data stored against a file which is uploaded onto Livelink and Asite.

As a minimum, all files upon being uploaded to Asite or Livelink will have the following metadata stored against them:

- Document Reference Number (Created through Asite)
- Document Title
- File Name
- Revision
- Status
- Originator
- Transmittal Number (If issued for Comment or Acceptance)

Additional Metadata Fields can be added upon request.

For externally produced documents the Supplier is solely responsible for the provision and application of metadata to their documents.

3.7. Document Distribution

If a document is being shared for Comment or Acceptance then it shall follow the process map outlined in Appendix A – Document Acceptance Process.

If a document is being shared informally while it is still Work in Progress then a link to its location in LiveLink should be used.

A document should never be shared as an attachment in an email, as it makes version control and audit trails impossible.

3.7.1. Comments Logs

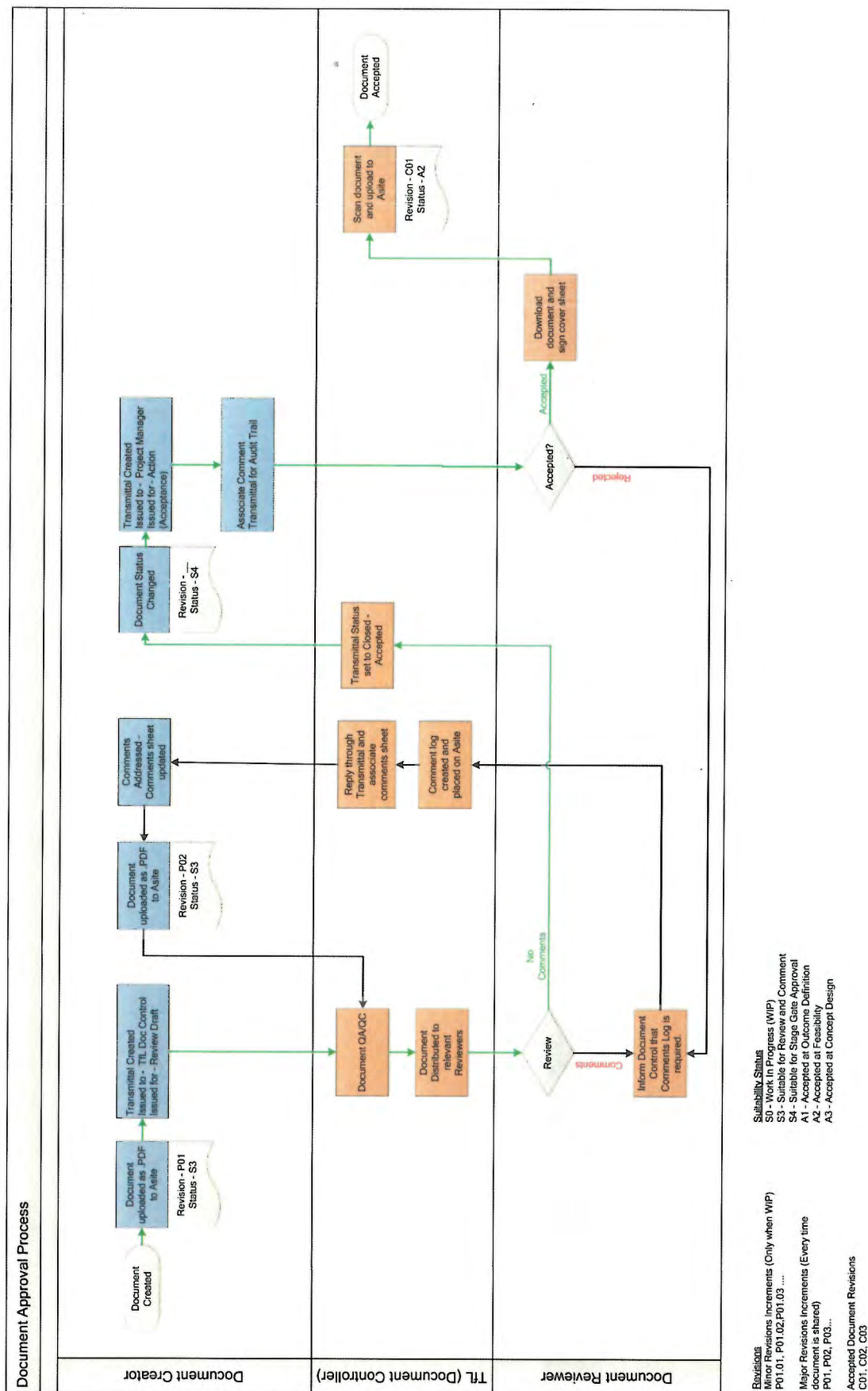
Upon the commencement of the Acceptance Process outlined in section Appendix A – Document Acceptance Process a comments log may need to be produced. This will be generated by the Document Controller and placed into Asite.

The template for a comments log can be found in Folder “02.08 – Templates” on Asite.

An example comments log is included in Appendix B – Comments Log.



4. Appendix A – Document Acceptance Process



5. Appendix B - Comments Log

Transport for London
Review Comments Log

Project Reference:	Project Name:	Review Date:	Status	Requires response/action to be implemented before document is approved/accepted.				
Document Reference:	Document Title:	Document Issue Number or Date:		Action implemented.				
Ref.	Reviewer Name / Discipline	Document Section	Issue / Comment	Required Action	Status	Project / Contractor Response	Open / Closed / No Action	Document Changed

6. Appendix C – Folder Structure

Projects Generic Document Folder Structure

Reference Number	Section / Document title	Security Level	Review Schedule (Yrs after project end)	Disposal Schedule (Yrs after project end)
•	01.00 Correspondence & Meetings			
	01.01 Incoming Correspondence			
	e-Mails	TfL Restricted	7	10
	Fax	TfL Restricted	7	10
	Letters	TfL Restricted	7	10
	Memos	TfL Restricted	7	10
	Transmittals	TfL Restricted	7	10
	01.02 Outgoing & internal Correspondence			
	e-Mails (Outgoing/Internal)	TfL Restricted	7	10
	Fax (Outgoing/Internal)	TfL Restricted	7	10
	Letters (Outgoing/Internal)	TfL Restricted	7	10
	Memos (Outgoing/Internal)	TfL Restricted	7	10
	01.03 Confidential Correspondence (Only use if secure)			
	e-Mails (Confidential/Restricted)	TfL Restricted	7	10
	Fax (Confidential/Restricted)	TfL Restricted	7	10
	Letters (Confidential/Restricted)	TfL Restricted	7	10
	Memos (Confidential/Restricted)	TfL Restricted	7	10
	Transmittals (Confidential/Restricted)	TfL Restricted	7	10
	01.04 Meetings & Schedules			
	Meeting Agendas	TfL Restricted	7	10
	Meeting Minutes	TfL Restricted	7	10
	Meeting Schedules	TfL Restricted	7	10
	Transmittals (Outgoing/Internal)	TfL Restricted	7	10
•	02.00 Management			
	02.01 Planning			
PD0013	Communication Plan	TfL Unclassified	7	10
PD0016	Construction Management Plan (CMP)	TfL Unclassified	7	10
PD0028	Integrated Assurance and Approvals Plan (IAAP)	TfL Unclassified	7	10
PD0036	Pathway Product Management Plan (PPMP)	TfL Unclassified	7	10
PD0036	Pathway Product Management Plan Approval	TfL Unclassified	7	10
PD0037	People Change Plan	TfL Unclassified	7	10
PD0042	Project Execution Plan (PEP)	TfL Unclassified	7	10
	Reviews to Project Plan	TfL Unclassified	7	10
PD0056	Stakeholder Engagement Plan	TfL Unclassified	7	10
PD0009	Value Strategy and Plan (Benefits and Value	TfL Unclassified	7	10



	Management Strategy)			
	BIM Execution Plan	TfL Unclassified		
PD0048	Schedule	TfL Unclassified	7	10
	Contractor's Programme for Completion of Scope of Works	TfL Unclassified	7	10
PD0054	Stage Gate Certificate	TfL Unclassified	7	10
	Stage Gate Review (SGR)	TfL Unclassified	7	10
	Site Pre-Start Checklist	TfL Unclassified	7	10
	02.02 Governance & Cost			
PD0008	Authority Submission	TfL Restricted	7	10
PD0010	Business Case	TfL Restricted	7	10
	Cost of Work Done (COWD)	TfL Restricted	7	10
	Document Control Procedure File Index	TfL Restricted	7	10
PD0022	Estimate	TfL Restricted	7	10
	Service Entry Sheet (SES)	TfL Restricted	7	10
	02.03 Reporting			
PD0029	Integrated Assurance Review (IAR)	TfL Unclassified	7	10
PD0039	Progress Report	TfL Unclassified	7	10
	Project Period Report	TfL Unclassified	7	10
	SQE Reports	TfL Unclassified	7	10
	02.04 Risk, Issues & Value Management			
PD0009	Benefits and Value Management Strategy	TfL Unclassified	7	10
PD0039	Issue Register	TfL Unclassified	7	10
PD0045	Risk Management Strategy	TfL Unclassified	7	10
PD0046	Risk Register	TfL Unclassified	7	10
PD0009	Value Output Report (Benefits and Value Management Strategy)	TfL Unclassified	7	10
	Supplier Risk Rating	TfL Unclassified	7	10
	02.05 Change Control			
PD0012	Change Control Register	TfL Unclassified	7	10
No Product no.	Change Request Form (CRF)	TfL Unclassified	7	10
	02.06 Resource Management			
	Organisation Charts	TfL Unclassified	7	10
	02.07 3rd Party & Stakeholder Management			
PD0023	External Consultation Strategy	TfL Unclassified	7	10
•	03.00 Feasibility & Scope			
	03.01 Brief			
PD0043	[Project] Feasibility Report	TfL Unclassified	7	10
	BIM Strategy			
	03.02 Data Capture			
	Data Capture i.e. For Contractors use during tender			
	03.03 Optioneering			
	Option Documents	TfL Unclassified	7	10
	03.04 Recommendations			
	Recommendation Documents	TfL Restricted	7	10
	03.05 Requirements			
PD0020	Crime and Disorder Assessment Rationale	TfL Unclassified	7	10
PD0021	Equality Impact Assessment - EqIA	TfL Unclassified	7	10



PD0032	Maintenance Concept	TfL Unclassified	7	10
PD0034	Operational Concept	TfL Unclassified	7	10
PD0044	Project Requirements	TfL Unclassified	7	10
	Employers Information Requirements	TfL Unclassified	7	10
04.00 Contracts & Commercial Management				
04.01 Procurement Strategy				
	Procurement Schedule	TfL Restricted	7	10
PD0038	Procurement Strategy	TfL Restricted	7	10
04.02 Quotations & Contractor Estimates				
	Contractor Estimates	TfL Restricted	7	10
	Quotations	TfL Restricted	7	10
04.03 Pre-Qualification Submissions				
	Pre-Qualification Documents	TfL Restricted	7	10
04.04 Tender Documentation				
PD0060	Tender Process - Pre-Qualification Questionnaire and Invitation to Tender (PQQ and ITT)	TfL Restricted	7	10
	BIM Assessment Forms			
04.05 Negotiation / Contract Award				
PD0018	Contract Award Recommendation	TfL Restricted	7	10
04.06 Contract Management				
PD0019	Contract Management Plan	TfL Restricted	7	10
	Contract Payment Approval Form Contract Justification	TfL Restricted	7	10
	Contract Records (Other than NEC)	TfL Restricted	7	10
	Applications For Payment	TfL Restricted	7	10
	Invoices	TfL Restricted	7	10
	Local Orders & Materials	TfL Restricted	7	10
	Vested Interest Forms	TfL Unclassified	7	10
	BIM Protocol	TfL Unclassified	7	10
04.07 NEC Contract Records				
	NEC Compensation Events - Project Manager	TfL Restricted	7	10
	NEC Early Warning Notices - Contractor	TfL Restricted	7	10
	NEC Early Warning Notices - Project Manager	TfL Restricted	7	10
	NEC Instructions - Project Manager	TfL Restricted	7	10
	NEC Notification of Compensation Events - Contractor	TfL Restricted	7	10
	NEC Notification of Compensation Events - Project Manager	TfL Restricted	7	10
	NEC Other Documents (NEC Contract Records)	TfL Restricted	7	10
	NEC Project Communication - Contractor	TfL Restricted	7	10
	NEC Project Communication - Project Manager	TfL Restricted	7	10
05.00 Design				
05.01 Design Reviews				
	Engineering Reviews	TfL Unclassified	7	10
PD0049	Scope Definition Reviews and Design Reviews	TfL Unclassified	7	10
05.02 Design Surveys				
	Surveys	TfL Unclassified	7	10
05.03 Drawings & Models				
	Design Drawings	TfL Unclassified	7	10

