

EXPLO National Manual of Assets and Facilities Management Volume 13, Chapter 5

Assets and Facilities Management Contractor Document Management

Document No. EOM-ID0-PR-000005 Rev 001



Document Submittal History:

Revision:	Date:	Reason for Issue
000	28/03/2020	For Use
001	18/08/2021	For Use



THIS NOTICE MUST ACCOMPANY EVERY COPY OF THIS DOCUMENT

IMPORTANT NOTICE

This document, ("Document") is the exclusive property of Government Expenditure & Projects Efficiency Authority.

This Document should be read in its entirety including the terms of this Important Notice. The government entities may disclose this Document or extracts of this Document to their respective consultants and/or contractors, provided that such disclosure includes this Important Notice.

Any use or reliance on this Document, or extracts thereof, by any party, including government entities and their respective consultants and/or contractors, is at that third party's sole risk and responsibility. Government Expenditure and Projects Efficiency Authority, to the maximum extent permitted by law, disclaim all liability (including for losses or damages of whatsoever nature claimed on whatsoever basis including negligence or otherwise) to any third party howsoever arising with respect to or in connection with the use of this Document including any liability caused by negligent acts or omissions.

This Document and its contents are valid only for the conditions reported in it and as of the date of this Document.



Table of Contents

1.0	PURPOSE	5
2.0	SCOPE	5
3.0	DEFINITIONS	5
4.0	REFERENCES	5
5.0	RESPONSIBILITIES	6
5.1	Assets and Facilities Management Document Management Department (AFMDMD)	6
5.2	Assets and Facilities Management Engineering Manager (AFMEM)	6
5.3	Assets and Facilities Management Responsible Engineer (AFMRE)	6
5.4	Assets and Facilities Management Contract Administrator (AFMCA)	6
6.0	PROCESS	6
6.1	Key Principles	6
6.2	Registration of Contract Deliverables	7
6.3	Contract Deliverable Review Cycle	7
6.4	Deliverables Requiring Revision and Resubmission	7
6.5	Deliverable Certified as Final	9
6.6	Superseded and Cancelled Deliverables	9
6.7	Expediting and Status Reporting	9
7.0	ATTACHMENTS	10
	Attachment 1 – Assets and Facilities Management Contract Management Flow Chart	11
	Attachment 2 - EOM-ID0-TP-000006 – Assets and Facilities Management Contract Decal Template	12



Assets and Facilities Management Contractor Document Management

1.0 PURPOSE

This procedure defines the standard process for the submission and processing of Contractor (including suppliers and vendors) deliverables submitted to the AFMT to ensure proper delivery and implementation of Assets and Facilities Management activities and services.

2.0 SCOPE

The procedure is applicable to all Contract submittals received by the Contractor for review and use for works performed under all Government Entities' Assets and Facilities Management activities executed throughout the Kingdom of Saudi Arabia.

3.0 DEFINITIONS

Definitions	Description
Attribute	Information attributed to a document to aid its retrieval from a repository, also referred to as metadata
Contract	Refers to the Main Contract with the Entity of a project, also known as the Prime Contract
Contractor	One that agrees to furnish materials or perform services at a specified price,
Document Placeholder	Used by the Document Management Department to allocate a Document Number in the Enterprise Content Management System (ECMS)
Enterprise Content Management System (ECMS)	An information management and collaboration platform for managing and controlling documents and records
AFMEM	Assets and Facilities Management Engineering Manager
Entity	A Saudi Government organization
IOM	Installation and Operation Manual
MAR	Material Approval Request
Master File	The original or record copy of the Entity documentation maintained by Document Management Department
MRB	Manufacturer's Record Book
AFMDMD	Assets and Facilities Management Document Management Department
AFMT	Assets and Facilities Management Team; is the team deployed by the Entity to manage the Assets and Facilities
AFMRE	Assets and Facilities Management Responsible Engineer
AFMCA	Contract Administrator for the Contractor also referred to as the "Expeditor"
CDC	Contractor Document Controller

4.0 REFERENCES

1. EOM-ID0-PR-000001- Assets and Facilities Management Document Management Procedure
2. ENT-ID0-PR-000001 - Entity Standard Document Numbering Procedure



5.0 RESPONSIBILITIES

5.1 Assets and Facilities Management Document Management Department (AFMDMD)

- Provide the Contractors the required Document Management Procedures and Templates
- Provide assistance and advice to the Contractor personnel with regards to document numbering and Contractor Submittal Management
- Issue Contract deliverables that are specified as a requirement in the Contract for Review to the Assets and Facilities Management Team (AFMT)
- Ensure that the requirements of this procedure are properly implemented and provides overall advice and assistance to the Contractor in regards to submittal preparation and management
- Attend kick off meeting for each Contract awarded to explain the requirements for the submittal of deliverables and the Enterprise Content Management System (ECMS) being used by the project
- Ensure the names and email addresses of the relevant stakeholders are correct and current for each Contract package
- Provide training to the Contractor on how to submit deliverables officially to the project

5.2 Assets and Facilities Management Engineering Manager (AFMEM)

- Ensure a AFMRE is assigned for each Contract

5.3 Assets and Facilities Management Responsible Engineer (AFMRE)

- Ensure the submitted deliverables are in conformance with specifications and that interfaces with other work are compatible and complete
- Facilitate and coordinate resolution of any open issues between reviewers and the AFMT
- Coordinate and consolidate comments from all reviewers into the master Mark-up of the submitted deliverables
- Assign the relevant review codes for each deliverable via the ECMS review workflow
- Submit contractually required deliverables to AFMT for Review

5.4 Assets and Facilities Management Contract Administrator (AFMCA)

- Provide AFMT with the names and contact information.
- Ensure dates for submittals are outlined and agreed
- Ensure the AFMDMD is invited to the Kick off meeting
- Expedite outstanding submissions of deliverables by Contractor
- Expedite outstanding reviews of deliverables by the AFMT

6.0 PROCESS

6.1 Key Principles

Assets and Facilities Management Contractor Submittal Management Procedure has been prepared with the key principles outlined below:

- Contract deliverables are submitted to substantiate that the services, equipment, and testing methods used by the Contractor meet the A&FM requirements
- Acceptance of the Contract deliverables by AFMT does not relieve the Contractor of any responsibility for compliance within the terms and conditions of their Contract.



6.2 Registration of Contract Deliverables

Agreement on the deliverables to be prepared and the submission dates shall be made during Contract negotiations with the Contractor. These agreements will be reflected in the updated Contract Deliverable List, which will form part of the Contract.

6.3 Contract Deliverable Review Cycle

The review and acceptance of the submitted Contract deliverables is a key milestone in the procurement of engineered equipment. It is also important for materials and fittings.

In order not to impact the project schedule a maximum of 10 working days will be targeted for reviews by the AFMT. If more time is required (e.g. complex Contracts or interface issues with other equipment) the AFMT will communicate this with the Contractor.

Any request from the Contractor to revise a deliverable (Code 2 or Code 3) shall be returned within 10 working days. If more time is required, the Contractor will communicate this to AFMT.

The steps followed in the review process can be summarized as follows:

- AFMDMD will receive all Contract submissions covered by a document transmittal which is to be issued through the appropriate ECMS process
- Contents of the transmittal will be checked against the deliverables received and the Contractor notified by AFMDMD of any discrepancies
- AFMDMD will check received deliverables against the SDS to verify that the A&FM document numbers match the Contractors submitted deliverables
- Number of copies of deliverables to be provided by Contractors will be as indicated in the Contract, extra copies will be produced by Contractor as required
- AFMDMD will distribute Contract deliverables to the relevant A&FM personnel for review via the relevant ECMS process
- Deliverables are reviewed by the Contractor and AFMT as outlined in the Contract

The following is the typical set of Contract documentation, the purpose of each set and the review and approval process:

- If the Contractor is required to submit the one set of hard copies as part of their Contract this set will be kept by AFMDMD as part of the Hard Copy Filing library
- AFMDMD will send the Contract deliverables for review electronically via the ECMS Review whereby the RE will comment, sign and provide the review status code electronically
- The RE assigns the appropriate Review Status (Code 1, Code 2, Code 3 or Code 4) and returns to AFMDMD by completing the review process within the ECMS
- AFMDMD will only file original (wet signed) documentation by the RE in the Hard Copy Filing library as documentation coded, commented and digitally signed via the ECMS review process will be captured electronically

6.4 Deliverables Requiring Revision and Resubmission

Contract deliverables will use numeric Revisions with the initial (first) submission starting at Revision 001. This allows the revision number for Contract deliverables to act as a Contract submission count, which allows both the Contractor and the Contractor to identify quickly how many times a deliverable, has passed through the Contract submission process.



Assets and Facilities Management Contractor Document Management

Submission count	Revision
1 st submission	Rev 001
2 nd submission	Rev 002
3 rd submission	Rev 003
4 th submission	Rev 004

It is important that Contract deliverable revisions are submitted in a systematic and progressive sequence, whilst ensuring that no revisions are skipped or duplicated during the submission process, this allows the AFMDMD to maintain complete and comprehensive revision history in the ECMS.

The timely return of Contract deliverables requiring revision and resubmission is key to ensuring the procured item or equipment is manufactured to agreed procedures, documents and drawings.

It is the RE responsibility to collate all the comments or amendments required to the deliverable by completing the ECMS review process so that AFMDMD can transmit the commented deliverable to the Contractor. It is recommended that all reviewers (including AFMT) incorporate their comments on the initial submittal where possible. The RE shall consult the discipline/sub-discipline leads with any questions on subsequent submittals of Contract deliverables for review when required.

The RE must decide and differentiate between a design change and design development (consult EM as required). Any changes that have a commercial and or schedule impacts shall be the responsibility of the Contract & Procurement Departments, who must be copied on all transmittals to and from the Contractor.

At the end of the review process there are four possible outcomes for the Contract deliverables that have been reviewed:

1. Code 1 - Reviewed and accepted as final. Work may proceed
2. Code 2 - Reviewed and accepted as marked. Revise and resubmit. Work may proceed
3. Code 3 - Reviewed and returned. Revise and resubmit. Work may not proceed
4. Code 4 - Review not required. For information only. Work may proceed

For Code 1 and Code 4 there is no requirement for the Contractor to resubmit the deliverable. For Code 2 and Code 3, it is imperative that the Contractor revises and resubmits the deliverable. For Code 3, the urgency is higher as the Contractor has not accepted the equipment, assembly or service to go ahead. For Code 2, there is less urgency for the return of deliverable as equipment, assembly or service has been accepted as long as the RE's comments are included. However, it is imperative that the deliverable is accepted and reviewed at the earliest to enable the personnel at the Contractor's manufacturing facilities to manufacture the equipment and the Contractor's nominated inspectors inspect the item or equipment with the least amount of confusion.

The following Contract decal shall be used for the purpose of indicating the status of the reviewed deliverable prior to returning to the Contractor:

Subcontract Document Review/Acceptance	
☐ Code 1 – Reviewed & accepted as final. Work may proceed	☐ Code 2 – Reviewed and accepted as marked. Revise & resubmit. Work may proceed
☐ Code 3 – Review & returned. Revise and resubmit. Work may not proceed	☐ Code 4 – Review not required. Information only. Work may proceed
Acceptance of this document does not relieve the Subcontractor of any responsibility for compliance with the terms and conditions of the contract	Signature: _____ Date: ____/____/____
ALL CHANGES TO THIS DOCUMENT SHALL BE CLOUDED BY THE SUBCONTRACTOR	

Based on this, the Contractor shall ensure each submittal has the Contractor decal on their deliverables to reflect the above codes. The Contract Drawing Block Template shall be used for all drawings as it has the Contract decal embedded into the template.



Assets and Facilities Management Contractor Document Management

All Contract deliverables will have the decal marked up and signed by the RE to capture the designated review status.

6.5 Deliverable Certified as Final

The communication of the review of Contract deliverables is a key aspect of the Contractor submittal management process. The timely communication of reviews will ensure work agreements will be conducted to reviewed deliverables and also within the agreed budget.

Once the Contract deliverable have been through the review cycle and certified final (Code 1 or Code 4) by the RE they require no further amendment by the Contractor or Contractor unless design changes occur or the deliverable is to be revised. The deliverable must then return to the review cycle before becoming certified final again as “Code 1 or Code 4”.

An electronic copy containing the RE signature on all Certified Final Contract deliverables must be returned to the Contractor on a transmittal via the relevant ECMS process, on completion of the review cycle.

The Contractor will reproduce these certified final deliverables for inclusion in the manuals they must produce, e.g. Installation and Operating Manuals (IOM), Manufacturing Records Book (MRB), etc.

The IOM and MRB are reviewed by the RE and if found complete with no changes required will be certified as final by coding them as “Code 1” as well as applying the RE signature and date.

Once the manuals have been reviewed, AFMT will return a copy to the Contractor via transmittal through the designated ECMS process.

6.6 Superseded and Cancelled Deliverables

Contract deliverables that are identified as superseded or cancelled shall be processed as follows:

- Stamp the deliverable (electronically) “CANCELLED” or “SUPERSEDED” with a comment in the ECMS identifying the reason why the deliverable is either superseded or cancelled. The RE should sign the “CANCELLED” or “SUPERSEDED” record
- Log the “CANCELLED” or “SUPERSEDED” deliverable in the ECMS to indicate the status (Superseded or Cancelled) as appropriate
- Canceled deliverables will have *****Cancelled***** added to the ECMS “Title” field
- Superseded deliverables will have *****Superseded by XXXXXXXXXXXX-X_XXX-XXX-XX-XXXXXX***** added to the ECMS “Title” field which will act as a sign post pointing to the superseding deliverable
- The Revision will not change when superseding a deliverable but the Revision will change to XXX if Canceled
- Transmit the deliverable back to those individuals who received the previous submittals including the Contractor

6.7 Expediting and Status Reporting

A key aspect of managing the Contract deliverable process is to keep all team members informed of the status of Contract submission and review.

AFMT will also prepare a consolidated Summary Status Report detailing the information of all the Contracts, using the current information found in the ECMS as the basis. The report will summarize the approval status of Contract deliverables.



Assets and Facilities Management Contractor Document Management

The status report shall cover:

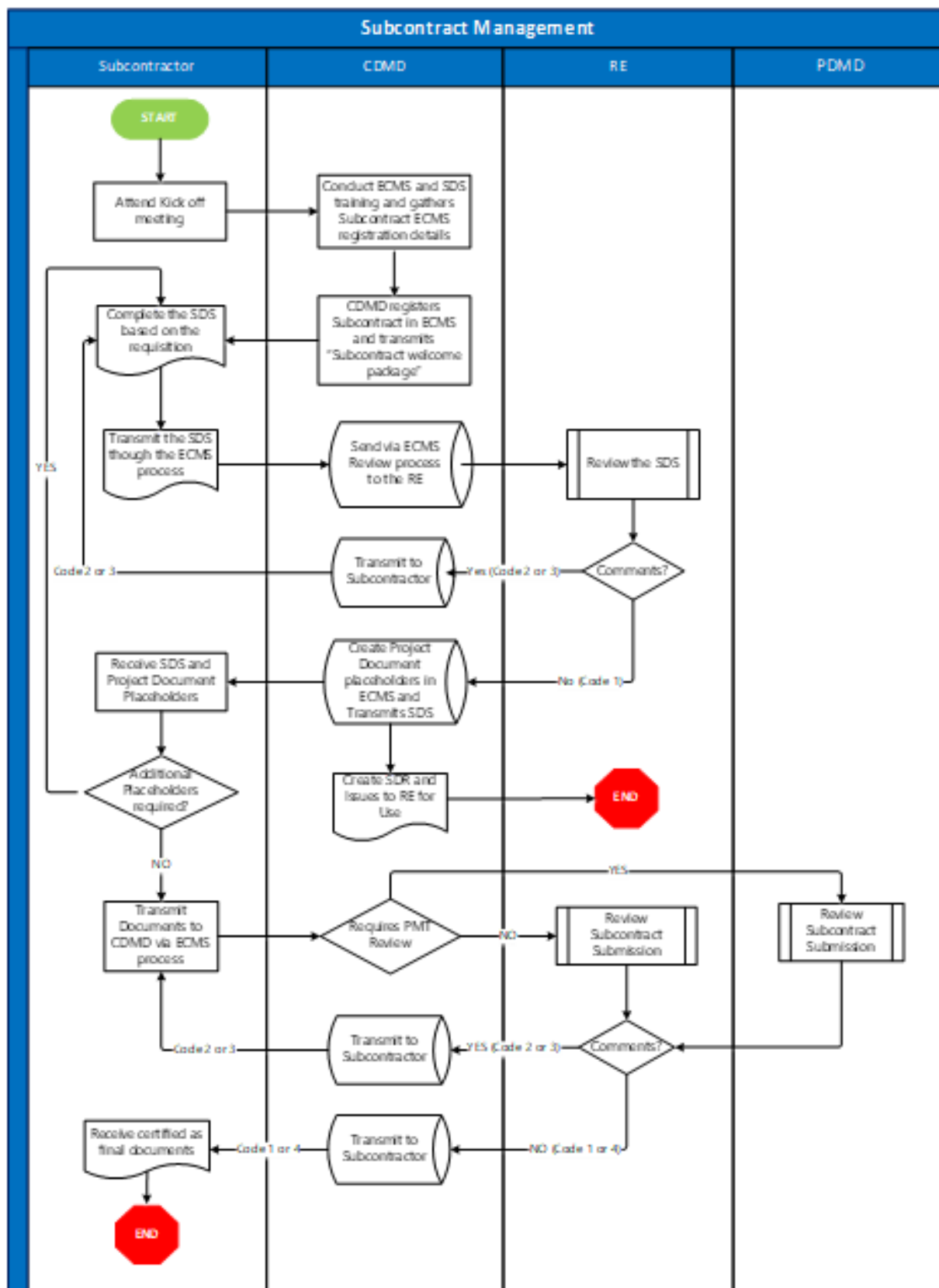
- Number of Contract deliverables due for return from Contractor within a given period
- Number of overdue Contract deliverables from Contractor for expediting by a specified number of days
- Number of Contract deliverables still being reviewed by the RE beyond the allowable review period
- Number of review status codes totals per Contract

7.0 ATTACHMENTS

1. Assets and Facilities Management Contract Management Flow Chart
2. EOM-ID0-TP-000006 – Assets and Facilities Management Contract Decal Template



Attachment 1 – Assets and Facilities Management Contract Management Flow Chart





Attachment 2 - EOM-ID0-TP-000006 – Assets and Facilities Management Contract
Decal Template



Asset and Facilities Management - Project Contractor Decal Template

**Asset and Facilities Management - Project
Contractor Decal Template**

Project Title

This box shall be deleted and all sections in RED must be updated in with the relevant information. Please see Assets and Facilities Management Contractor Document Management (EOM-ID0-PR-000005)

Subcontract No. XXXXXXXXXXXX-X-XXX-XXXXXX-XX-XX-XXXXXX

Document No. EOM-ID0-TP-000006

Rev 000

Subcontract Document Review/Acceptance	
☐ Code 1 – Reviewed & accepted as final. Work may proceed	☐ Code 2 – Reviewed and accepted as marked. Revise & resubmit. Work may proceed
☐ Code 3 – Review & returned. Revise and resubmit. Work may not proceed	☐ Code 4 – Review not required. Information only. Work may proceed
Acceptance of this document does not relieve the Subcontractor of any responsibility for compliance with the terms and conditions of the contract	Signature: _____ Date: ____/____/____
ALL CHANGES TO THIS DOCUMENT SHALL BE CLOUDED BY THE CONTRACTOR	