


DRAFT

 ©	PROJECT DESIGN GUIDES	D04
---	-----------------------------	------------

PROJECT DESIGN GUIDE D04 'DOCUMENT PROTOCOLS'

Project Name: <i>Name</i>	Project No.: <i>Number</i>	Date: <i>Date</i>
------------------------------	-------------------------------	----------------------

Document No.: **PDG-PDG-PRO-D04.0** Date Created: **1st Jun 2012** Date Revised:

DRAFT

Revision:	Revision description:	Revision date:
01		
02		
03		

Edited to be project specific / Revised by:	
Name:	Position:
Signature:	Date:
Checked by:	
Name:	Position:
Signature:	Date:
Authorised by:	
Name:	Position:
Signature:	Date:

*DRAFT***Document Distribution:**

Name	Company	Status	Date
		A	00/00/2012

Status key:

A – Action**I** – Information

*DRAFT***The series of Design Management Guides currently includes:****CONTRACT**

- PROJECT DESIGN GUIDE A00 'CONSULTANT APPOINTMENT STRATEGY AND CAM'
- PROJECT DESIGN GUIDE A00.1 'COMPETENCE STATEMENT AND ASSESSMENT'
- PROJECT DESIGN GUIDE A01 'SCHEDULE OF SERVICES (SOS)'
- PROJECT DESIGN GUIDE A02 'DESIGN RESPONSIBILITY MATRIX (DRM)'
- PROJECT DESIGN GUIDE A03 'DESIGN PROGRAMME & DELIVERABLES'
- PROJECT DESIGN GUIDE A04 'DESIGN REVIEW & AUTHORITY PLAN'
- PROJECT DESIGN GUIDE A05 'PROJECT QUALITY PLAN (PQP)'
- PROJECT DESIGN GUIDE A06 'CONTRACT SCHEDULES & DESIGN PROCESSES'

DEVELOPMENT & DELIVERY

- PROJECT DESIGN GUIDE D01 'DESIGN DASHBOARD'
- PROJECT DESIGN GUIDE D02 'COMMUNICATIONS PLAN'
- PROJECT DESIGN GUIDE D03 'DESIGN INFORMATION FLOW MAPPING'
- PROJECT DESIGN GUIDE D04 'DOCUMENT PROTOCOLS'
- PROJECT DESIGN GUIDE D05 [spare / BIM](#)
- PROJECT DESIGN GUIDE D06 'RFI PROCEDURES'
- PROJECT DESIGN GUIDE D07 'CHANGE CONTROL PROCEDURE'
- PROJECT DESIGN GUIDE D08 'QUALITY CONFORMANCE'
- PROJECT DESIGN GUIDE D09 [spare](#)
- PROJECT DESIGN GUIDE D10 [spare](#)

LEAD

- PROJECT DESIGN GUIDE L01 'DESIGN MANAGEMENT AUDIT'
- PROJECT DESIGN GUIDE L02 'CONSULTANT PERFORMANCE REVIEW & TREND'

DRAFT

1.0 Introduction

Project documents of all types, especially design information, needs to be circulated, controlled and filed. To this end it is fundamental to ensure there is a project wide system of referencing published information and amendments thereof. This guide covers the naming, issuing and commenting/approving protocols in such a way as to be compatible with most Externet Project Workflow Management Systems (EPWMS). Reference to Systems Deployed can be found in section 1.0 of the Communication Plan Template of **PDG D02**.

It is fundamental for a document to have provision for its unique reference number, revision, purpose of issue, checking and authorising initial boxes, date issued and revisioning comments. For drawings it is mandatory to have, scale and paper size indicated. Some employers and/or also clients insist upon the inclusion of an H&S risk box in the drawing title box.

2.0 Numbering

It is important that all documents are given a unique reference whose format is consistent.

Separating marks (/ - . etc) should be consistent. For example

✓ **ABC-STR-XYZ-001-GA-5000**

not:

✗ ABC/STR/XYZ/001/GA/5000

not:

✗ ABC.STR.XYZ.001.GA.5000

2.1 Number Sorting

To ensure that a database can sort documents in numerical order, the unique reference number itself must also be consistent. Where the number of documents is likely to be great, numbers should include leading zeros. For example:

Table 1 – Number Sorting

✓ Sorting with zero suffixes	✗ Sorting without zero suffixes.
0001	1
0002	10
0003	11
0010	100
0011	101
0050	2
0100	3
1001	50

2.2 Consultant/CDP Numbering

Project name: / No.

DRAFT

Suggested naming protocols for new documents and drawings are detailed below, this is a format to be used when uploading documents and drawings. Information not conforming to the set standards will have their status changed to '**QA Rejected**' and the originator will be required to **amend and reissue** the document.

The same title is to be used on the documents and drawings and the system name field in an EPWMS, or again have their status changed to '**QA Rejected**'. The originator will be required to **reissue** the document **amending** the EPWMS field.

Once amended to be project-wide specific, the following numbering sequences are to be rigorously followed by all parties. The main two categories are consultants and design sub-contractors.

Consultant Numbering:

Drawing Numbering (For Consultants)

Company Prefix (3) Table 4	Discipline (3) Table 6	Sector (3) <i>Optional for large projects</i> Table 7	Building or block (3) <i>Optional for large projects</i> Table 8	Drawing Type (2) Table 9	Number (5) User defined or Table 11
ABC	STR	XYZ	001	GA	5000

E.g. ABC-STR-XYZ-001-GA-5000 (the separator should be a **hyphen**)

Document Numbering (For Consultants)

Company Prefix (3) Table 4	Discipline (3) Table 6	Sector (3) <i>Optional for large projects</i> Table 7	Building or block (3) <i>Optional for large projects</i> Table 8	Document Type (2 / 3) Table 10	Number (5) User defined or Table 11
ABC	STR	XYZ	001	SP	5000

E.g. ABC-STR-XYZ-001-SP-5000 (the separator should be a **hyphen**)

Trade Contractor Numbering:

Drawing Numbering (For Trade Contractors))

Workpackage (4) Table 5	Discipline (3) Table 6	Sector (3) <i>Optional for large projects</i> Table 7	Building or block (3) <i>Optional for large projects</i> Table 8	Drawing Type (2) Table 9	Number (5) User defined or Table 11
3300	STR	XYZ	001	GA	5000

E.g. 3300-STR-XYZ-001-GA-5000 (the separator should be a **hyphen**)

Document Numbering (For Trade Contractors))

Workpackage (4) Appendix D Table 5	Discipline (3) Table 6	Sector (3) <i>Optional for large projects</i> Table 7	Building or block (3) <i>Optional for large projects</i> Table 8	Document Type (2 / 3) Table 10	Number (5) User defined or Table 11
3300	STR	XYZ	001	SP	5000

E.g. 3300-STR-XYZ-001-SP-5000 (the separator should be a **hyphen**)

2.3 Mark Up Sketches

It is inevitable that there will be a number of marked up documents in circulation, especially for costing purposes.

Project name: / No.

DRAFT

To avoid confusion, such mark ups must be allocated individual sketch numbers. These sketches can then be logged to allow the team to fully understand the status of the design and what is being costed against.

For example, a Structural Engineers drawing ABC-STR-GA-5000 (rev.) C marked up by the Architect to show fire protection could be numbered ABC-STR-GA-5000C-SK01 and entitled "e.g. Level 06 Fire Protection". At a later stage in the process, the marked up information, if appropriate, will be incorporated into the original, or a new drawing, the revision of that drawing noting "*incorporating fire protection as shown on sketch ABC-STR-GA-5000C-SK01*".

Drawing Numbering

Company Prefix (3) Table 4	Discipline (3) Table 6	Drawing Type (2) Table 9	Number (5) User defined or Table 11	Revision
ABC	STR	GA	5000	C

ABC-STR-GA-5000 rev. C

Sketch Numbering of the above drawing

Company Prefix (3) Table 4	Discipline (3) Table 6	Drawing Type (2) Table 9	Number (5) User defined or Table 11	Revision	Sketch No.
ABC	STR	GA	5000	C	SK01

ABC-STR-GA-5000C-SK01 rev. -

3.0 Purpose of issue/Status

It is important that the purpose of issue for each document is clearly indicated on the document itself and on the respective EPWMS or paper transmittal sheet. In this regard, all drawn or written information being prepared by a designer must be designated a purpose of issue. Suggested 'purpose of issues' are listed in Table 2. [This is to be edited to suit project specific document 'life' work flow.](#)

Table 2 – Purpose of Issue

Purpose of Issue	Code
Preliminary	PRE
For Planning	PLA
For Information	INF
For Tender Approval	FTA
For Tender	TEN
For Statutory Approval	FSA
For Construction Approval	FCA
For Construction	CON
As Built Record	ABR

For each change in the Purpose of Issue, as a document/drawing passes through its 'life cycle' a new revision must be made, even if the content is unchanged.

DRAFT

4.0 Revisions

Whenever a drawing is amended, for any reason, the revision designation must be updated. Examples for the purpose of issue are illustrated in Table 2. For clarity, the revision notes field must be used to give background to why the revision has been made. In addition to revision notes, detailing changes should be noted on the drawing using bubbles or clouds.

Table 3 – Revision Code Sequence

Revisions	Purpose of Issue
P01, P02, P03 etc	Preliminary
PL01, PL02, PL03 etc	For Planning
IN01, IN02, IN03 etc	For Information
TA01, TA02, TA03 etc	For Tender Approval
T01, T02, T03 etc	For Tender
SA01, SA02, SA03 etc	For Statutory Approval
CA01, CA02, CA03 etc	For Construction Approval
C01, C02, C03 etc	For Construction
AB01, AB02, AB03 etc	As Built Record

To ensure that revised documents are recorded as the latest issue, the latest version of an existing document must be issued using the **same filename** as the original publication. For this reason the filename must **not** include the document revision details. For clarity, if a revised drawing has even one digit different to the previous version, all computer systems will pick them both up as the latest version, with the obvious on site implications!

5.0 Document/Drawing Title

Document/Drawing titles are to describe the content. The same title is to be used on the documents that are uploaded to an EPWMS and in the system name field.

6.0 Drawing Format

All drawings are to be issued/uploaded with no exceptions in **PDF** format. This is the 'legal & locked' version. In addition, a native drawing file can be associated (**DWF or DWG in AutoCAD 2004 format, or other to be specified**).

7.0 Standard Drawing/Document templates

The employer may insist on a standardisation of drawing and document templates, as is common for bid documentation.

8.0 Document Format

DRAFT

All documents are to be issued/uploaded with no exceptions in PDF format. This is the 'legal & locked' version. In addition, a native file can be associated ([Microsoft Office format, or other to be specified](#)).

9.0 Work Packages

Relevant work packages should also be associated with a drawing or document to enable easier searching for batches of drawings/documents, refer to Table 5. This is particularly useful for Procurement and Construction managers.

10.0 Standard Recipients and Quantities

Standard Recipients and Quantities

Virtually all documents will be issued on an information management system, however, for any documents issued manually the following table is to be amended and used as guidance for numbers and issue formats to be followed.

Matrix 1 – Document Recipients and Quantities

[Amend as required](#)

	Contractor	Lead Designer	Design Team	Client	Cost Consultant	Sub-contractor
Preliminary	3P + 1E	1P + 1E	1E			
For Planning	3P + 1E	1P + 1E	1E	2P + 1E		
For Information	3P + 1E	1P + 1E	1E			2P + 1E
For Tender Approval	3P + 1E	1P + 1E	1E	2P + 1E		
For Tender	3P + 1E	1P + 1E	1E		1P + 1E	2P + 1E
For Statutory Approval	3P + 1E	1P + 1E	1E			
For Construction Approval	3P + 1E	1P + 1E	1E	2P + 1E		
For Construction	3P + 1E	1P + 1E	1E		1P + 1E	2P + 1E
As Built Record	3P + 1E	1P + 1E	1E	2P + 1E		

Key:

P – Paper

E – Electronic (email, disk, stick)

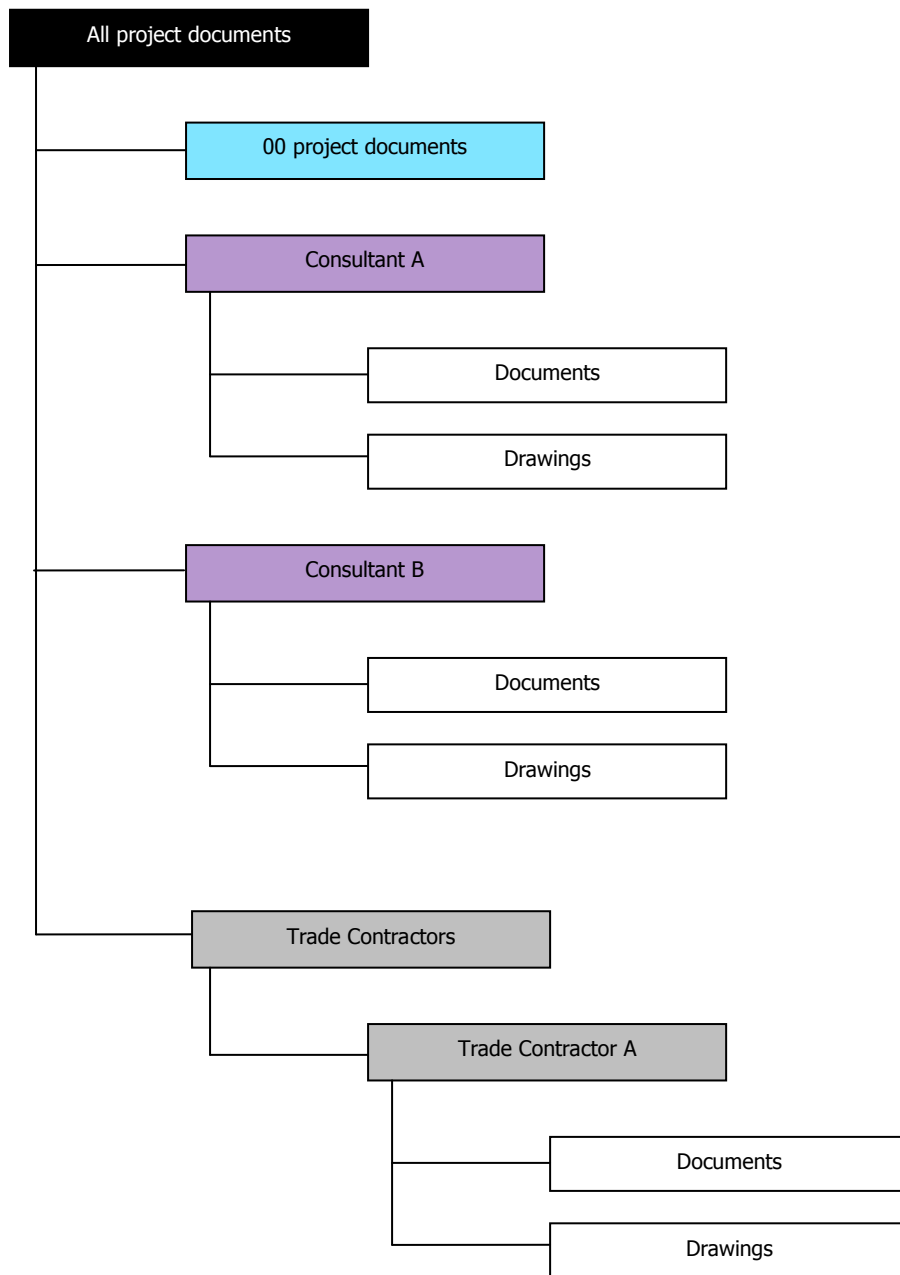
11.0 Legibility

All drawings are to be legible when printed at full size and when reduced to A3. Type size is to suit a reduction to 50% scale and to being read by site personnel in a typical site environment. Text is not to overlap with other text, elements of the drawing or leader lines. Leader line origins are to be clearly identifiable. Drawings are not to be 'over loaded' with information. Colours are to be appropriate, i.e. yellow text on white paper is not suitable.

DRAFT

12.0 Folders

A folder structure for each project is to be developed to provide a simple and intuitive system for storing and retrieving all project documents. See typical example below.



DRAFT

13.0 Document Approval / Comment Procedures

13.1 Introduction

Whether undertaken manually or via an internet document management system the basic principles are the same. The Approval, or as some prefer to call it, Commenting process is not for shifting risk between parties. The originator of the document retains all associated risks. This process is one of due diligence in terms of QA as defined by **PDG A04**. The Lead Designer does, however, retain responsibility for making all co-ordination comments and clearly linking them to the documents in question. The aim is to ensure that deficiencies in design documentation are discovered and 'put right' by the originator before it becomes a construction issue.

Process flow charts for variations of the approval process are to be found in **PDG D03**.

13.2 Mark up references

Comments are to be referenced with: company name, commenter initials, unique code and date.

13.3 Comment Contents

Comment content should be concise. Comments may say 'Please refer to mark-ups directly on the document', or make general comments regarding the drawing/document.

13.4 Reviewer Comments

Reviews will be undertaken by competent design team members, co-ordinated by the Lead Designer and then forwarded to the Lead Reviewer. Following this formal review, documents will receive one of the following statuses, prior to being returned to the originator:

- **A** – To be issued without amendment.
- **B** – Requires minor amendment but does not need to be re-submitted for inspection before being issued, provided the minor amendments are incorporated into the design. Where comments are subject to debate, a response must be given to the Contractor within 1 week.
- **C** – Drawings which require significant amendment or re-drawing and which must be resubmitted by the originator for further inspection. For any comments that are subject to debate, a response must be given to the Contractor within 1 week.
- **X** – Outside scope
- **QA** – Quality Assurance rejected

The final status will be applied by the relevant Lead Reviewer as appropriate. Reviews are to be undertaken within the limitations of the stage the information is issued at.

13.5 Responsibility

In no way does the status given by the design team and/or the Contractor diminish the originators responsibility and liability for conformance (to contract documents and procedures, regulations and relevant standards), coordination and timeliness of their design. This is also stated in the standard sub-contract documents as follows:

"The Sub-contractor will obtain all information necessary for the preparation of, and shall submit to the Contractor for review..... details relevant to the Sub-contractor's responsibilities... Such review in no way diminishes the Sub-Contractor's responsibilities under the Sub-Contract."

*DRAFT***Appendix A – Numeral Tables**TABLE 4 – Company Abbreviation
Amend/complete as required

Company	Abbreviation
ABC Architect	ABC
DEF Structural Engineer	DEF
Sparky Building Services	SPA

TABLE 5 – Work Package Code
Amend/complete as required

Work Package	Code
Demolition	Contractor procurement codes to be used
Ground works	
Substructures	
Superstructures	
Cladding	
Roofing	
Windows	
Partitions	
Etc, etc	

TABLE 6 – Discipline Abbreviation
Amend/complete as required

Discipline	Abbreviation
Main Contractor	MCO
Electrical	ELE
Mechanical	MEC
Public Health	PUB
Fire consultant	
Acoustic consultant	
Security consultant	

TABLE 7 – Sector Abbreviation or Code
Amend as required

Project name: / No.

DRAFT

Sector	Abbreviation or Code
Phase 1	Ph1
Phase 2	Ph2
Phase 3	Ph3

TABLE 8 –Building of Block Abbreviation or Code
Amend as required

Block	Abbreviation or Code
Block 1	BL1
Block 2	BL2
Block 3	BL3

TABLE 9 – Drawing Type
Amend as required

Drawing Description	Drawing Code
General Arrangement	GA
Section	SE
Elevation	EL
Detail	DE

TABLE 10 – Document Type
Amend as required

Document Type	Abbreviation or Code
General across project	GEN
Area Data Sheets	ADS
Assembly	AM
BREEAM	BR
Health & Safety	HS
Minutes	MM
Design & Construct	D&C
Legal	LEG
Financial	FIN
Facility Management	FM
ICT	ICT
Method Statements	MS

DRAFT

Calculations	CA
Samples	SM
Non Conformance Report	NCR
Component	CO
Site Survey	SS
Sketch	SK
Process	PRO
Programme	PG
Project Business Plan	PBP
Report	RP
Room Data Sheets	RDS
Schedules	SCH
Scope of Works	SW
Site Photographs	PH
Specifications	SP (and NBS letter/Number)
Test Certificates	TC
Inspection & Test Plans	TP
Tender	TE
Protocols	PTC
Other	OR

TABLE 11 – Drawing Number
[Contractor/Constultant defined](#)

Work break down	Number