



# Technical Directorate - Information & Compliance

|                        |                       |                    |                       |
|------------------------|-----------------------|--------------------|-----------------------|
| <b>Site</b>            |                       | <b>Contract</b>    |                       |
| <b>Assessment Date</b> | <i>for office use</i> | <b>Review Date</b> | <i>for office use</i> |

|                                     | <b>Name</b> | <b>Telephone number</b> | <b>Email address</b> |
|-------------------------------------|-------------|-------------------------|----------------------|
| <b>Project Manager (PM)</b>         |             |                         |                      |
| <b>Project Field Engineer (PFE)</b> |             |                         |                      |
| <b>Quality Manager (QM)</b>         |             |                         |                      |
| <b>Documenty Controller(s)</b>      |             |                         |                      |

|                         |  |  |  |
|-------------------------|--|--|--|
| <b>MDL document no.</b> |  | <b>Document Control procedure ref.</b> |  |
| <b>Revision no.</b>     |  | <b>Revision no.</b>                    |  |

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|---|--|--|--|
| <b>Register Issue record (RIR) document no.</b> |  | <b>Register Issue record (RIR) procedure ref. &amp; revision</b> |  |
| <b>Revision no.</b>                             |  | <b>Revision no.</b>  |  |

|   |  |   |  |
|---|--|---|--|
| <b>Materials Proposal Schedule (MPS) document no.</b> |  | <b>Materials Proposal Schedule (MPS) procedure ref.</b> |  |
| <b>Revision no.</b>                                   |  | <b>Revision no.</b>                                     |  |

| Outstanding Actions   |                        |           |
|---|------------------------|-----------|
| Required Condition  | Description + Evidence | Action(s) |
| <p>"...The Contractor shall provide periodic progress reporting of quality management activities in accordance with Part 14 Management and Administration of the Works in Volume 2B of the Works Information including the following: management system status... audit progress results, CARs, and outstanding issues... status of RFI's and non-conformities and summary of actions taken to close out... progress on certification and records... quality issues identified and / or anticipated... improvement activities... performance against the agreed key performance indicators..." CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part 20.2.</p> <p>"...[Audit] shall be planned taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits...The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes..." BS EN ISO 9001:2008 part 8.2.2.</p> <p>"...The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review..." BS EN ISO 9001:2008 part 8.5.1.</p> |                        |           |

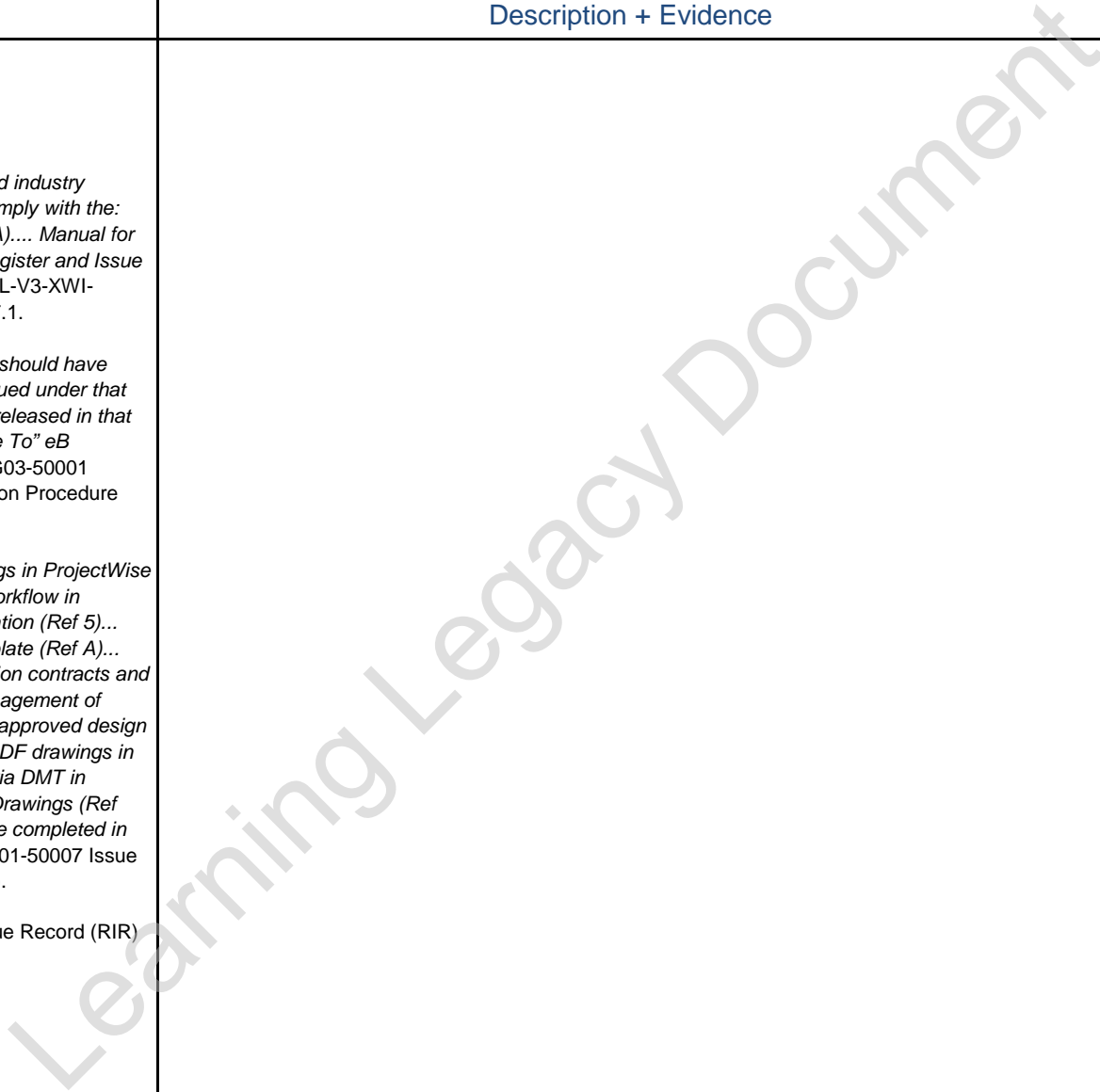
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| Deliverables and MDL  |                        |           |
|---|------------------------|-----------|
| Required Condition  | Description + Evidence | Action(s) |
| <p>"...The CMDL shall: include a programme for the production and submission of deliverables..." CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part13.3.1.</p> <p>"...Records shall be collated, packaged, indexed and submitted by the Contractor in a phased manner for each element, structure, activity or section..." CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part13.3.4.</p> <p>"...The Contractor is to review and update the CMDL as the works progress to ensure it reflects the current status of works and includes each document planned for issue, document due date, purpose of submission and DT review and acceptance status decal. The Supervisor Rep (PFE) shall check for conformance against this requirement...The PM shall review and accept the Contractor's CMDL each period..." CRL1-XRL-N2-GPD-CRG03-50001 Management and Acceptance of Field Documentation Procedure (Rev 4.0) part 7.3.3-4.</p> |                        |           |

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| Document Control (Contractor Records)   |                        |           |
|---|------------------------|-----------|
| Required Condition  | Description + Evidence | Action(s) |
| <p>"...General Contractor records are records that the Contractor shall maintain and retain at a location to be accepted by the Project Manager... Any Contractor record/archiving procedure shall clearly indicate responsibilities for records retention and include details of the location and back up arrangements... Access, Submission and Retention... Access to Contractor records is to be provided to the Employer, the Project Manager and Others authorised by the Project Manager who shall be allowed to copy records as necessary..."</p> <p>CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part13.3.2-3.</p> <p>"...4.2.3 Control of documents...Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4. A documented procedure shall be established to define the controls needed a) to approve documents for adequacy prior to issue b) to review and update as necessary and re-approve documents c) to ensure that changes and the current revision status of documents are identified d) to ensure that relevant versions of applicable documents are available at points of use e) to ensure that documents remain legible and readily identifiable f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose... 4.2.4 Control of records... Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled. The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records. Records shall remain legible, readily identifiable and retrievable..."</p> <p>BS EN ISO 9001:2008 part 4.2.3-4</p> |                        |           |

| RIR  |                        |           |
|--|------------------------|-----------|
| Required Condition   | Description + Evidence | Action(s) |
| <p>"...The Contractor's design process shall follow good industry practice for the design of similar works and shall comply with the: Employer's Technical Assurance Plan (Appendix 7A)... Manual for Control of 3D Models (Appendix 7B) utilising the Register and Issue Record (RIR) Template (Appendix 7D)..." CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part 7.7.1.</p> <p>"...RIR Document Relationship Protocol... All RIRs should have "Reference To" eB relationship to all documents issued under that revision of RIR. Ensure that only documents being released in that revision of the RIR are provided with the "Reference To" eB relationship to the RIR..." CRL1-XRL-N2-GPD-CRG03-50001 Management and Acceptance of Field Documentation Procedure (Rev 4.0) part 5.1.5.</p> <p>"...The Designer is responsible for: Creating drawings in ProjectWise and approving drawings through the ProjectWise workflow in accordance with CAD QRG - ProjectWise Authorisation (Ref 5)... Producing the RIR in accordance with the RIR template (Ref A)... Creating relationships between drawings, construction contracts and the RIR, in eB, in accordance with CAD QRG - Management of RIRs in eB (Ref 7)... Delivery of the completed and approved design package. This includes: o Checking the approved PDF drawings in eB o Transmitting the RIR to CRL Technical in eB via DMT in accordance with CAD QRG - IFC RIR Process for Drawings (Ref 8)... Maintaining and revising the RIR until works are completed in accordance with Ref 7..." CRL1-XRL-O4-GPD-CR001-50007 Issue of Design Documentation for Construction (Rev 3.0).</p> <p>*CRL1-XRL-Z-ZTM-CR001-50019 Register and Issue Record (RIR) Template (Rev 5.0)*</p> |                        |           |



MPS AND MCRs

| Required Condition  | Description + Evidence  | Action(s) |
|---|---|-----------|
| <p>“...The Contractor will develop a Civils MPS [using CRL1-XRL-Z-ZTM-CR001-50026 Materials Proposal Schedule – Template] for planned and proposed materials requisitions and procurement. The Contractor may add additional fields to develop the MPS to support the Contractor’s procedures, such as procurement and quality management systems...”</p> <p>“...The Contractor will develop an architectural MPS [using CRL1-XRL-Z-ZTM-CR001-50026 Materials Proposal Schedule – Template] for planned and proposed materials requisitions and procurement. The architectural MPS should include architectural samples, mock-ups, prototypes and key benchmarks. The Contractor may add additional fields to develop the MPS to support the Contractor’s procedures, such as procurement and quality management systems... Both an Inspection and Test Plan (ITP) and an MCR (with Inspection Record) will be completed for prototypes and benchmarks. Samples require an MCR (with Inspection Record) but no ITP...”</p> <p>“...Mechanical, Electrical and Public Health (MEP) materials compliance... The Contractor will issue the MEP MPS to the Supervisor’s Representative (PFE), who will send it to the CEG Lead Reviewer (MEP) for review and acceptance... The Contractor will provide in excel format the information for their Materials Proposal Schedule (or similar) under the headings... Contract number... Discipline... Asset ‘L’ class code and description... Product name and range... Manufacturer or supplier details... London Underground (LU) approved product register identification code (if it exists)... Forecast date for submission of MCR... CRL review status... MCR eB number (once the MCR has been accepted by CRL)... The ‘Discipline’ column must be completed using the following list... Lifts and escalators - Public Health – BMS... Mechanical - Electrical – LV – OHLE... Premises - Electrical – HV - Fire systems...”</p> <p>CRL1-XRL-N2-GPD-CR001-50007 Demonstration of Materials Compliance Procedure (Rev 3.0) parts 6 - 8.</p> | <p>“...The Contractor will provide a separate MPS for Systemwide, Civil, MEP, architectural and Railway System materials... [the Contractor] will provide an MCR to the Supervisor’s Representative (PFE) for acceptance. The Contractor will use CRL1-XRL-C-ZTM-CR001-50002 Materials Compliance Record – Template]...” CRL1-XRL-N2-GPD-CR001-50007 Demonstration of Materials Compliance Procedure (Rev 3.0) part 5.</p> <p>“...The MPS shall identify... Architectural and non-architectural items... Samples/mock ups required including Test Panels and Quality Benchmarking where required... PTR/RFI reference numbers... Material approvers(Contractor/subcontractor organisation/persons including applicable BREEAM specialists)... Target submission dates...” CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part 13.3.7.</p> |           |

| Competence Training and Awareness  |                        |           |
|--|------------------------|-----------|
| Required Condition   | Description + Evidence | Action(s) |
| <p>"...The Contractor shall provide appropriate training to all personnel in the operation of the Quality Management System and maintain training records ..." CRL1-XRL-V3-XWI-CR001-50035 Works Information (Rev 2.0), part 20.6.1.</p> <p>"...6.2.1 Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience... NOTE Conformity to product requirements can be affected directly or indirectly by personnel performing any task within the quality management system... 6.2.2 Competence, training and awareness... The organization shall a) determine the necessary competence for personnel performing work affecting conformity to product requirements b) where applicable, provide training or take other actions to achieve the necessary competence c) evaluate the effectiveness of the actions taken d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and e) maintain appropriate records of education, training, skills and experience (see 4.2.4)..."<br/>                     BS EN ISO 9001:2008 part 6.2.1-2.</p> |                        |           |

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|-----------------|-----------------------|-------------|-----------------------|
| Site            |                       | Contract    |                       |
| Assessment Date | <i>for office use</i> | Review Date | <i>for office use</i> |

|                              | Name | Telephone number | Email address |
|------------------------------|------|------------------|---------------|
| Project Manager (PM)         |      |                  |               |
| Project Field Engineer (PFE) |      |                  |               |
| Quality Manager (QM)         |      |                  |               |
| Documenty Controller(s)      |      |                  |               |

|                  |  |                                 |  |
|------------------|--|---------------------------------|--|
| MDL document no. |  | Document Control procedure ref. |  |
| Revision no.     |  | Revision no.                    |  |

|  |  |   |  |
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| Revision no.                             |  | Revision no.  |  |

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| Materials Proposal Schedule (MPS) document no. |  | Materials Proposal Schedule (MPS) procedure ref. |  |
| Revision no.                                   |  | Revision no.                                     |  |



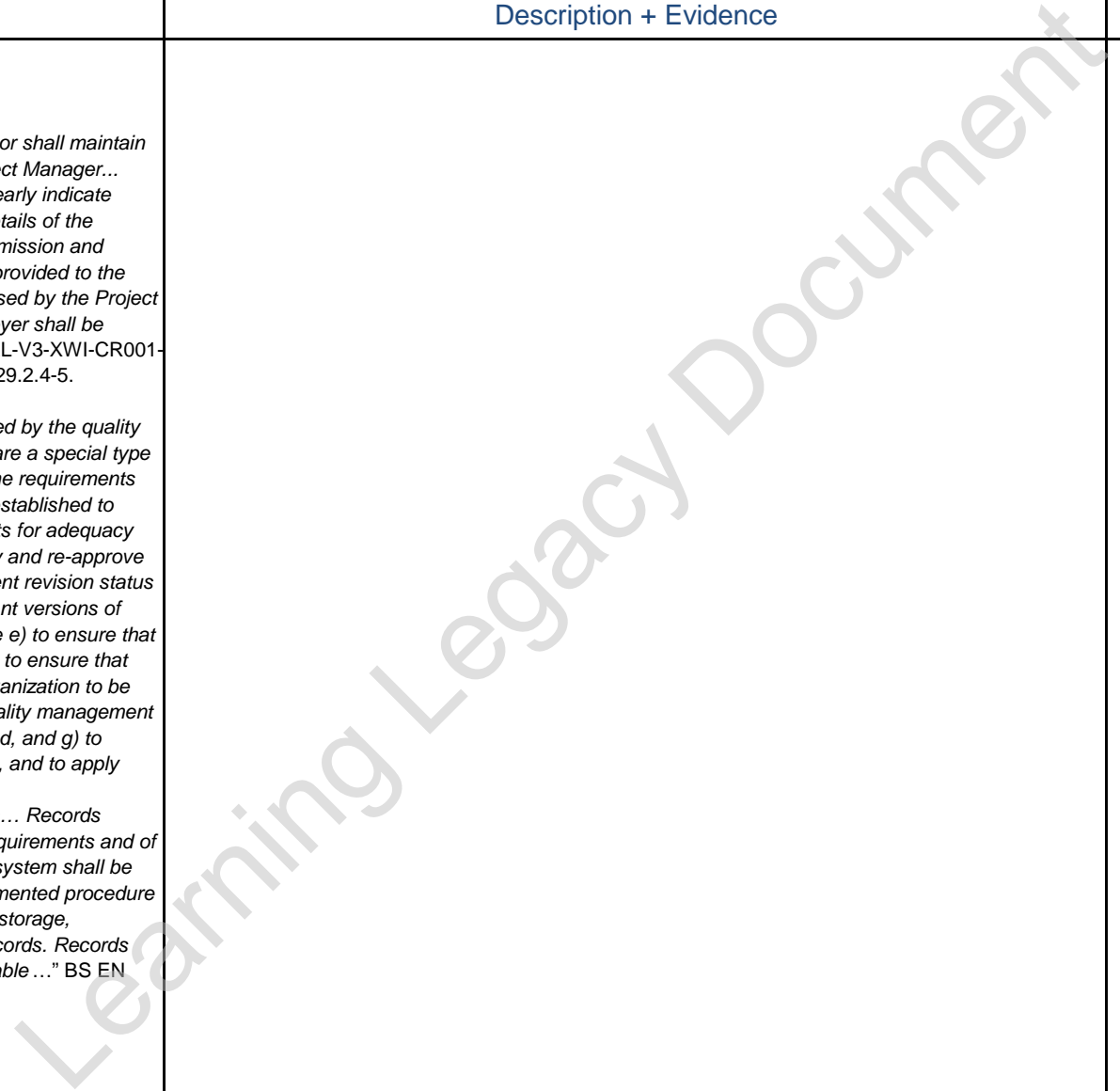
| Outstanding Actions   |                        |           |
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| <p>"...The Contractor shall provide periodic progress reporting of quality management activities in accordance with Part 14 Management and Administration of the Works in Volume 2B of the Works Information including the following: management system status... audit progress results, CARs, and outstanding issues... status of RFI's and non-conformities and summary of actions taken to close out... progress on certification and records... quality issues identified and / or anticipated... improvement activities... performance against the agreed key performance indicators..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 20.2.</p> <p>"...[Audit] shall be planned taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits...The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes..." BS EN ISO 9001:2008 part 8.2.2.</p> <p>"...The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review..." BS EN ISO 9001:2008 part 8.5.1.</p> |                        |           |

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| Deliverables and MDL   |                        |           |
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| Required Condition   | Description + Evidence | Action(s) |
| <p>"...The CMDL shall: include a programme for the production and submission of deliverables..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 29.2.3.1.</p> <p>"...Records shall be collated, packaged, indexed and submitted by the Contractor in a phased manner for each Sub-system, Elementary System, activity or section in accordance with the Works Information..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 29.2.6.</p> <p>"... The Contractor is to review and update the CMDL as the works progress to ensure it reflects the current status of works and includes each document planned for issue, document due date, purpose of submission and DT review and acceptance status decal. The Supervisor Rep (PFE) shall check for conformance against this requirement...The PM shall review and accept the Contractor's CMDL each period..." CRL1-XRL-N2-GPD-CRG03-50001 Management and Acceptance of Field Documentation Procedure (Rev 4.0) part 7.3.3-4.</p> |                        |           |

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| Document Control (Contractor Records)   |                        |           |
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| Required Condition  | Description + Evidence | Action(s) |
| <p>"...Contractor records are records that the Contractor shall maintain and retain at a location to be accepted by the Project Manager... Any Contractor record/archiving procedure shall clearly indicate responsibilities for records retention and include details of the location and back up arrangements... Access, Submission and Retention... Access to Contractor records is to be provided to the Employer, the Project Manager and Others authorised by the Project Manager. The Project Manager and / or the Employer shall be allowed to copy records as necessary..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 29.2.4-5.</p> <p>"...4.2.3 Control of documents...Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4. A documented procedure shall be established to define the controls needed a) to approve documents for adequacy prior to issue b) to review and update as necessary and re-approve documents c) to ensure that changes and the current revision status of documents are identified d) to ensure that relevant versions of applicable documents are available at points of use e) to ensure that documents remain legible and readily identifiable f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose... 4.2.4 Control of records... Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled. The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records. Records shall remain legible, readily identifiable and retrievable..." BS EN ISO 9001:2008 part 4.2.3-4</p> |                        |           |



| RIR  |                        |           |
|--|------------------------|-----------|
| Required Condition   | Description + Evidence | Action(s) |
| <p>"...The Contractor is required to generate contract specific document numbers for all revision X (red line) drawings within the ECMS for each individual drawing using the approved taxonomy. The Contractor is also required to issue the revision X (red line) as Scanned PDF or electronically DGN) by uploading each individual drawing onto the ECMS, together with the Employer's standard Register and Issue Record (RIR) on a formal transmittal to the Project Manager..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 29.2.8.1.</p> <p>"...RIR Document Relationship Protocol... All RIRs should have "Reference To" eB relationship to all documents issued under that revision of RIR. Ensure that only documents being released in that revision of the RIR are provided with the "Reference To" eB relationship to the RIR..." CRL1-XRL-N2-GPD-CRG03-50001 Management and Acceptance of Field Documentation Procedure (Rev 4.0) part 5.1.5.</p> <p>"...The Designer is responsible for: Creating drawings in ProjectWise and approving drawings through the ProjectWise workflow in accordance with CAD QRG - ProjectWise Authorisation (Ref 5)... Producing the RIR in accordance with the RIR template (Ref A)... Creating relationships between drawings, construction contracts and the RIR, in eB, in accordance with CAD QRG - Management of RIRs in eB (Ref 7)... Delivery of the completed and approved design package. This includes: o Checking the approved PDF drawings in eB o Transmitting the RIR to CRL Technical in eB via DMT in accordance with CAD QRG - IFC RIR Process for Drawings (Ref 8)... Maintaining and revising the RIR until works are completed in accordance with Ref 7..." CRL1-XRL-O4-GPD-CR001-50007 Issue of Design Documentation for Construction (Rev 3.0).</p> <p>*CRL1-XRL-Z-ZTM-CR001-50019 Register and Issue Record (RIR) Template (Rev 5.0)*</p> |                        |           |

**MPS AND MCRs**

| Required Condition  | Description + Evidence  | Action(s) |
|---|---|-----------|
| <p>“...The Contractor will develop a Civils MPS [using CRL1-XRL-Z-ZTM-CR001-50026 Materials Proposal Schedule – Template] for planned and proposed materials requisitions and procurement. The Contractor may add additional fields to develop the MPS to support the Contractor’s procedures, such as procurement and quality management systems...”</p> <p>“...The Contractor will develop an architectural MPS [using CRL1-XRL-Z-ZTM-CR001-50026 Materials Proposal Schedule – Template] for planned and proposed materials requisitions and procurement. The architectural MPS should include architectural samples, mock-ups, prototypes and key benchmarks. The Contractor may add additional fields to develop the MPS to support the Contractor’s procedures, such as procurement and quality management systems... Both an Inspection and Test Plan (ITP) and an MCR (with Inspection Record) will be completed for prototypes and benchmarks. Samples require an MCR (with Inspection Record) but no ITP...”</p> <p>“...Mechanical, Electrical and Public Health (MEP) materials compliance... The Contractor will issue the MEP MPS to the Supervisor’s Representative (PFE), who will send it to the CEG Lead Reviewer (MEP) for review and acceptance... The Contractor will provide in excel format the information for their Materials Proposal Schedule (or similar) under the headings... Contract number... Discipline... Asset ‘L’ class code and description... Product name and range... Manufacturer or supplier details... London Underground (LU) approved product register identification code (if it exists)... Forecast date for submission of MCR... CRL review status... MCR eB number (once the MCR has been accepted by CRL)... The ‘Discipline’ column must be completed using the following list... Lifts and escalators - Public Health – BMS... Mechanical - Electrical – LV – OHLE... Premises - Electrical – HV - Fire systems...”</p> <p>CRL1-XRL-N2-GPD-CR001-50007 Demonstration of Materials Compliance Procedure (Rev 3.0) parts 6 - 8.</p> | <p>“...The Contractor will provide a separate MPS for Systemwide, Civil, MEP, architectural and Railway System materials... [the Contractor] will provide an MCR to the Supervisor’s Representative (PFE) for acceptance. The Contractor will use CRL1-XRL-C-ZTM-CR001-50002 Materials Compliance Record – Template]...” CRL1-XRL-N2-GPD-CR001-50007 Demonstration of Materials Compliance Procedure (Rev 3.0) part 5.</p> <p>“...The Contractor shall develop a Materials Proposal Schedule (MPS) listing all proposed permanent works materials and products and indicating any variances from the specified materials. The MPS shall identify... architectural and non-architectural items... samples/ mock-ups/ prototypes/ test panels/benchmarks required... PTR-RFI reference numbers... material approvers(Contractor /subcontractor organisations/persons, including applicable BREEAM specialists); and... target dates (approval, delivery, over dues)...” CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 20.7.</p> |           |

| Competence Training and Awareness  |                        |           |
|--|------------------------|-----------|
| Required Condition   | Description + Evidence | Action(s) |
| <p>"...The Contractor shall provide appropriate training to all personnel in the operation of the Quality Management System and maintain training records ..." CRL1-XRL-V3-XWI-CR001-50131 Systems Works Information (Rev 2.0), part 20.6.1.</p> <p>"...6.2.1 Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience... NOTE Conformity to product requirements can be affected directly or indirectly by personnel performing any task within the quality management system... 6.2.2 Competence, training and awareness... The organization shall a) determine the necessary competence for personnel performing work affecting conformity to product requirements b) where applicable, provide training or take other actions to achieve the necessary competence c) evaluate the effectiveness of the actions taken d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and e) maintain appropriate records of education, training, skills and experience (see 4.2.4) ..." BS EN ISO 9001:2008 part 6.2.1-2.</p> |                        |           |

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