

## PLAN

# DOCUMENT MANAGEMENT PLAN

RBGL-DMT-PLN-Z-00001

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## DOCUMENT DEVELOPMENT AND APPROVAL

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## ACRONYMS AND ABBREVIATIONS

Abbreviation	Definition
DC	Document Controller; Document Control
DL	DocLogix
DMP	Document Management Plan
DP	Document Producer
EDMS	Electronic Document Management System
GIS	Geographic Information System
HoD	Head of Department
MB	Management Board
PM	Project Management
PW	ProjectWise
QM	Quality Management
RBGP	Rail Baltica Global Project
RBR	RB Rail AS
WIP	Work-in-progress

## DEFINITIONS

Term	Definition
3D model	A model with objects having three-dimensional properties. Such models are always to be considered to be dynamic, as they will be made up of "model files" that are "x-ref" or "reference" files.
Approval	Act of authorizing the release of a document
Approver	Person or Structural Unit who is empowered to and responsible for approving a document and authorizing its issuance
Controlled Document	A document whose creation, distribution, and revision are subject to a set of procedures and processes

Data	Information stored but not yet interpreted or analysed.
External Experts	Authorized representatives of RB Rail contractors, IBs, BENs and other organizations
Function	Group of activities that fulfils the major responsibilities for achieving the strategic goals of a Company.
Lifecycle	"Life of the asset from the definition of its requirements to the termination of its use, covering its conception, development, operation, maintenance support and disposal" (3.2.10 - ISO 19650)
Metadata	Information about other data, documents or records that describes their content, context, structure, data format, provenance, and/or rights attached to them.
Objective	"Result to be achieved" (3.7.1 – ISO 9000)
Official Document	Document for which approval for issuance has been given
Originator	Author of models, drawings and documents.
Policy	"<organization> intentions and direction of an organization as formally expressed by its top management" (3.5.8 - ISO 9000)
Procedure	Documented established and official way of doing something. It is a series of actions that must always be conducted in a consistent manner to always obtain the same result.
Process	"set of interrelated or interacting activities that use inputs to deliver an intended result" (3.4.1 - ISO 9000)
Quality	"degree to which a set of inherent characteristics of an object fulfils requirements" (3.6.4 - ISO 9000)
Quality Control	"part of quality management focused on fulfilling quality requirements" (3.3.7 - ISO 9000)
Review	"Determination of the suitability, adequacy or effectiveness of an object to achieve established objectives" (3.11.2 – ISO 9000)
Stakeholder	"person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity" (3.2.3 – ISO 9000)
Status	Defines the "suitability" of information in a model, drawing or document.
Template	Document having a pre-set format, used as an edition framework and starting point for any new document
Top Management	"Person or group of people who directs and controls an organization at the highest level" (3.3.1 – ISO 9000)  Top Management in RBR is RBR Management Board
Uncontrolled Document	Document that is created, stored, or distributed without having gone through the Document Control checks
User	Individual occupying or using a built asset for its designed purpose.
Version(s)	Versions are the intermediate states of a document's modification by its author(s). Each recording of these intermediate states leads to a new version.
Working Document	Any document that is not considered as controlled and official.

# 1 Introduction

1. The Document Management Plan (DMP) describes the roles and responsibilities, processes and procedures, systems and tools, and document types and formats that are used to manage the creation, review, approval, distribution, and storage of controlled documents throughout the Rail Baltica Global Project (RBGP) lifecycle.
2. The DMP aims to ensure that all controlled documentation is consistent, accurate, complete, up-to-date, and compliant with relevant standards and regulations. The DMP also provides guidance and support to all project stakeholders who are involved in document management activities.
3. The purpose of DMP is to establish a standardised and efficient process for document control within the RBGP. It helps to minimise errors, improve collaboration, and enhance overall project efficiency by ensuring that the right documents are available to the right people at the right time.
4. The DMP is a controlled document that is subject to regular review and update to reflect any changes or improvements in the RBGP.

## 2 Roles and Responsibilities

### 2.1 RBR Documented Information Support

6. The below table provides the roles and responsibilities of the teams involved in document management in RBR:

Title	Responsibility
Top Management	Top Management is accountable for the approval and the endorsement of the Document Management Plan (DMP) and other relevant procedures.
Senior Management	Senior Management is responsible for the implementation and the enforcement of DMP in their respective units.
Document Control Manager	Document Control Manager is accountable for establishing the Document Management System in accordance with the Project's objectives and policies. This includes establishing document naming conventions and folder structures for consistent organisation and ease of document retrieval; implementing document review and approval processes; performing and reporting on EDMS Audits; and training and supporting the Document Control (DC) team.
Document Control Team	The DC team's responsibilities include applying best practises when using the EDMS, monitoring signature validity, Quality Control (QC) of internal documents and project deliverables, document distribution according to approved processes, metadata integrity, and training and supporting RBR and RBGP document stakeholders on document management topics.
Corporate Governance and Compliance	Owner of the RBR Management Documentation development and approval processes, establishing and managing RBR Management Documentation workflow in DocLogix, maintaining the RBR Management System Documentation Register, holding the QC of RBR Management Documentation prepared for approval.
AIM Team	Owner and manager of asset register database using the GIS software platform. This includes the creation of unique IDs for sites, assets, and asset types. The team is responsible for importing and updating the asset information based on IFC files created by designers and contractors. AIM team coordinates the update of asset attributes during the construction phase.
BIM Team	BIM Teams' purpose is to ensure that collected digital data meets set requirements in Design Guidelines (DG), and the BIM process is continued until RBGP is built. The BIM Team Leader is the primary point of contact for any BIM-related issues.
GIS Team	Owner and manager of Esri ArcGIS software and web GIS platform (ArcGIS Enterprise). This includes the development of various web-based solutions e.g., maps, apps, dashboards etc. (according to the needs of various RBR teams), sharing GIS data with IBs, BENs and other RBGP partners, supporting the AIM team in Asset Registry management. The team is also responsible for publicly available GIS data.
AsBo/NoBo Team	Leading the management of Assessment body (AsBo) and Notified Body (NoBo) external conformity assessment services and coordinating the implementation of interoperability and safety requirements throughout the project. Responsible for

	delivery of Design and Construction stage evidence to AsBo/NoBo and assessments results to contractors and project stakeholders.
IT Support	Supporting EDMS users on technical system issues and requirements, this includes system maintenance, management of users, templates, workflows, etc.
System Engineering Team	Accountable for incorporating Configuration Management capabilities into Documentation Management for items designated to be stored and managed in the EDMS. This includes the establishment of baselines and delivery identification, integrated within the Documentation Management process itself and the EDMS.

Table 1 - Information Management Teams in RBR

## 2.2 Document Stakeholders

7. The controlled document lifecycle is a process that involves several stakeholders who participate in different stages of the document management process. The participants in the controlled document lifecycle include the document owner, author, producer, controller, reviewer, approver, and user, whose responsibilities are described below.

Stakeholder	Main Responsibility
Document Author	Responsible for writing and creating the document
Document Producer	Uploads the document to the EDMS once it's been authored
Document Controller	Checks and ensures the quality and accuracy of the document, including compliance with established Document Management procedures
Document Reviewer	Thoroughly reviews the contents of the document to identify any errors, inconsistencies, or areas for improvement
Document Approver	Entity such as the Management Board (MB) or Head of Department (HoD) who holds the authority to authorize and approve the document for use
Document Owner	The department or team responsible for maintaining and overseeing the document
Document User	Individuals who access and read the document to gain information or perform their duties

Table 2 - Main responsibilities of Document Stakeholders in RBGP

### 2.2.1 Document Author

8. A document Author is a person who creates and writes a document. Document author may not necessarily be the virtual document producer (DP) when a virtual document, placeholder and task is initiated by someone else on the author's behalf. Document Author's responsibilities are:
  - 8.1. Creating and writing the document's content - researching and gathering information, writing, and editing the content, and ensuring that it is accurate, complete, and up to date.



- 8.2. Coordinating with other RBR and RBGP experts, such as but not limited to engineers, architects, and project managers, to ensure that the documents are accurate and comply with RBGP requirements.
- 8.3. Ensuring that the documents are correctly formatted and indexed, determining the overall look and feel of the document, ensuring that it is visually appealing and easy to read and that they follow the RBR document management procedures.
- 8.4. Ensuring that document contents such as document number, title, page numbering, revision, dates, suitability code and electronic signatures are complete and accurate.
- 8.5. Communicating and coordinating with other team members to keep them informed of any document changes or updates.

## 2.2.2 Document Producer

9. A document Producer (DP) is an EDMS user that creates a virtual document or placeholder or initiates tasks on RBR and RBGP EDMS'. DP responsibilities are:
  - 9.1. Following the RBR Document Management Procedures and Guides.
  - 9.2. Ensuring that document contents such as document number, title, revision, date, page numbering, suitability, and electronic signatures (where required) are complete and accurate.
  - 9.3. Checking documents for quality before uploading to EDMS.
  - 9.4. Collaborating with the DC Team to ensure that the documents are stored in the correct locations and are easily accessible to authorized Document Users.
  - 9.5. Providing any appropriate wet signature originals of hard copy documents to DC Team for processing and record capture, if applicable.
  - 9.6. Provides e-signatures where applicable.
10. DP may also be the same person as the Author, when the Author is independently uploading the document to EDMS. Table below shows the differences between the responsibilities of the Author and DP.

	Document Author	Document Producer
<b>Focus</b>	primarily focuses on the content, quality, and accuracy of the document's information	concentrates on the technical and procedural aspects of document management
<b>Initiation</b>	initiates the creation of the document by writing its content	initiates the document management process within the EDMS, creating virtual documents or placeholders, and ensuring they meet RBGP standards.
<b>Quality Check</b>	may not typically be responsible for quality checks on document metadata and formatting	performs these checks before uploading documents to the EDMS
<b>Collaboration</b>	collaborates with subject matter experts and team members to gather information and ensure document accuracy	collaborates with the Document Control Team to manage document storage and accessibility

Table 3 - Differences in responsibilities of Document Author and Document Producer

## 2.2.3 Document Controller

11. The role of a Document Controller (DC) is primarily about compliance, quality, gatekeeping, and traceability. One of the focuses is ensuring that all controlled documents are issued per the rules, processes, standards, RBR procedures and RBGP Design Guidelines. RBR DC responsibilities are:
  - 11.1. Applying best practices when using the EDMS and available processes.
  - 11.2. Before uploading files to the EDMS, ensuring the document signatures are valid, where applicable.
  - 11.3. Distributing documents loaded into the EDMS following the instructions.
  - 11.4. Ensuring the integrity of the metadata associated with the documentation loaded into the EDMS by ensuring all fields are correctly populated.
  - 11.5. Providing team members with first-line support in using the EDMS.
  - 11.6. Attending DC training programs to stay current on industry standards and best practices.
  - 11.7. Conducting regular DC audits to ensure compliance with DC policy and procedures.
  - 11.8. Evaluating the EDMS's effectiveness and making recommendations for improvement.
  - 11.9. Ensuring all document users adhere to the RBR and RBGP DC policy and procedures.
  - 11.10. Notifying relevant parties of any noncompliance or issues.
  - 11.11. Storing and preserving old or inactive documents in a safe and easily accessible location.
  - 11.12. Managing the retrieval and delivery of archived documents as needed.
  - 11.13. Ensuring that archived documents are preserved, and their authenticity and integrity are maintained.
  - 11.14. Keeping an inventory of archived documents for easy retrieval.
  - 11.15. Assisting in disposing of obsolete or redundant documents as per organizational policies and procedures.
  - 11.16. Promoting collaboration and knowledge sharing among document users through features like commenting, annotations, and document collaboration tools.
  - 11.17. Providing training and ongoing support to document users to ensure they understand the document management system and its functionalities.
  - 11.18. Monitoring and enforcing compliance with DC policy and procedures through regular audits and reviews.

## 2.2.4 Document Reviewer

12. A document Reviewer is an internal RBR or External Expert responsible for reviewing and evaluating documents to ensure they meet specific standards and requirements. The document Reviewer plays a critical role in ensuring the document's quality and accuracy and that it complies with any relevant regulations or standards. The specific responsibilities of a Reviewer are:
  - 12.1. Reviewing documents for accuracy and completeness and ensuring all required information is included.
  - 12.2. Reviewing and evaluating the document's compliance with specific standards and requirements.
  - 12.3. Providing feedback and suggestions for improvement to the document's author or producer.
  - 12.4. Reviewing and approving updated versions of the document as necessary.

## 2.2.5 Document Approver

13. A document Approver is an internal RBR or External Expert responsible for formally approving documents for use and release. The document approver plays a critical role in ensuring that documents meet specific standards and requirements and comply with relevant regulations or standards before they are released. The specific responsibilities of a document Approver may include the following:
  - 13.1. Reviewing and evaluating the document to ensure it meets specific standards and requirements
  - 13.2. Approving or rejecting the document based on their review and evaluation.
  - 13.3. Acting as a liaison between the RBR and any regulatory bodies or other external stakeholders on document review and approval.
  - 13.4. Ensuring that the documents are consistent with the project requirements (procedures, plans and other project governing documentation) and that appropriate stakeholders approve them before release.
  - 13.5. Signing off or stamping approved documents before they are released for use or implementation to indicate that it has been formally approved.
  - 13.6. Tracking and maintaining records of approved documents.
  - 13.7. Reviewing and approving updated versions of the document as necessary.

## 2.2.6 Document Owner

14. A document Owner is an RBR department or RBGP external organization responsible for creating, maintaining, and distributing a specific type of document. In addition, the document owner is responsible for ensuring that the document is accurate, up-to-date, and complies with relevant laws, regulations, and industry standards. The specific responsibilities of a Document Owner include the following:
  - 14.1. Creating new documents or updating existing documents as required.
  - 14.2. Reviewing and approving documents before they are released for use.
  - 14.3. Managing the document review, approval, and distribution process.
  - 14.4. Participating in reviews and audits of their documents to ensure they comply with RBR and RBGP standards.
  - 14.5. Ensuring the documents are stored and indexed correctly in EDMS.
  - 14.6. Monitoring the documents for changes and ensuring that all revisions are controlled and tracked.
  - 14.7. Maintaining the documents' security and access controls to ensure it is only available to authorized personnel.
  - 14.8. Archiving documents that are no longer in use or have reached the end of their retention period.
  - 14.9. Responding to requests for information related to the document.
  - 14.10. Responding to incidents related to the document, such as unauthorized access or modification.
  - 14.11. Reporting and monitoring the document as per the requirement of the document management plan.

## 2.2.7 Document User

15. A Document User refers to an individual or group who accesses and uses the documents within RBR and RBGP EDMS'. All roles mentioned above that work with RBR and RBGP EDMS' are also document Users. It includes people who create, edit, review, approve, read or use the documents for RBGP delivery as part of their job responsibilities.
16. All Document Users are expected to follow the RBR and RBGP document management policies and procedures to ensure the document management system's security, accuracy, and reliability.

# 3 Document Management

17. The Document Management Process in RBR and RBGP encompasses steps such as document creation, review, approval, distribution, document identification (Document Number assignment), version control implementation, alteration management, and template usage. This section primarily applies to Controlled Documents created within the RBGP, including those generated by RBR employees, as well as External Experts and entities associated with RBGP under contracts initiated from 2022-06-01, although the same rules may be applied to other documents as deemed appropriate.

## 3.1 Controlled Documents

18. Controlled documents are those subject to specific procedures and processes governing their creation, distribution, and revision. This ensures accuracy, conciseness, and compliance with relevant regulations and standards. This category includes internally generated documents and those from third parties (stakeholders, consultants, contractors, suppliers, etc.) processed internally or deemed relevant to RBR and RBGP.
19. A controlled document is a document that meets any of the following RBR criteria:
  - 19.1. Describes how RBGP functions both internally within RBR and in relation to third parties.
  - 19.2. Documents any agreements between RBR and third parties or has other contractual significance.
  - 19.3. Is a deliverable under any RBR contract with any third party.
  - 19.4. Relevant to the performance of RBR, RBGP, and any applicable third parties.
20. Controlled documents undergo review and approval by designated individuals or groups before release, with any modifications subject to formal review and approval processes. The review and approval processes ensure that controlled documents are accurate, up-to-date, and compliant with relevant regulations and standards. These processes help maintain consistency and integrity in the information contained within the documents. When creating and updating Controlled documents, authors of the document shall ensure appropriate:
  - 20.1. Identification and description (e.g. A title, date, author, or reference number);

- 20.2. Format (e.g. Language, software version, graphics) and media (e.g. Paper, electronic);
  - 20.3. Review and approval for suitability and adequacy.
21. Controlled Documents must be registered in the Master Document Register (MDR) on the Document Management intranet page in SharePoint. The registered document information undergoes a Document Control review to ensure accuracy and compliance with relevant procedures. This review includes verifying the correctness of the Document Number and Revision, as well as recording all necessary information for traceability. Once the review is complete, the document is added to the MDR. The review process is further detailed in the Master Document Register Guide (RBGL-DMT-QRG-Z- ).

## 3.2 Uncontrolled Documents

22. Documents that are not subject to official review and approval processes and created without having gone through the Document Control process are Uncontrolled Documents. Uncontrolled Documents lack the comprehensive control mechanisms inherent to document management, presenting a range of risks that impact both the organization and its members:
- 22.1. Safety: Uncontrolled Documents can lead to safety incidents, including catastrophic consequences.
  - 22.2. Compliance: without gatekeeping, compliance cannot be assured.
  - 22.3. Traceability: uncontrolled documents lack proper tracking, leading to uncertainty regarding their origin, modifications, recipients, timing, and purpose. There is a lack of clean evidence concerning these events.
  - 22.4. Accuracy: Uncontrolled Documents are not subject to formal review and approval, increasing the potential for incorrect or unsafe information.
  - 22.5. Loss of Information: improper filing and a lack of control can result in the loss or misplacement of critical information.
  - 22.6. Confidentiality: Uncontrolled Documents often lack proper confidentiality measures, occasionally leading to information leakage.
  - 22.7. Reputation and Liability: Uncontrolled Documents can harm a company's or individual's reputation and introduce substantial liability risks. Proving claims without controlled records becomes a formidable task.
23. In RBGP certain types of documents may be considered appropriate as Uncontrolled Documents. These documents typically include internal drafts, temporary working documents, and reference materials that are not critical to the organization's operations. These might include:
- 23.1. Working Reports and Registers: Documents created for internal team use to track progress, tasks, and activities.
  - 23.2. Task Logs: Records that outline tasks completed, time spent, and any relevant notes for reference but not formal documentation.
  - 23.3. Draft Documents: Initial drafts of documents or plans that are still in the review and development stage.
  - 23.4. Temporary Notes: Informal notes or memos not intended for formal distribution.

23.5. Personal Working Documents: Individual work notes or drafts not meant for broader circulation.

23.6. Meeting Minutes (Internal): Minutes of internal team meetings that may not require the same level of control as official meeting minutes.

23.7. Informal Communication: Casual emails or messages not related to official documentation.

24. However, even though these documents may be considered uncontrolled, they should still be handled with care to prevent any potential risks or breaches of confidentiality.

### 3.2.1 Transition to Controlled Documents

25. Implementing document numbering, revision control, official review and approval procedures, access restrictions and document controllers serving as gatekeepers are all components of the transition from uncontrolled to controlled documents.

## 3.3 Document Identification

26. Effective document identification is a fundamental aspect of Controlled Documents, ensuring their uniqueness, revision status, and intended purpose. This facilitates proper document creation, organization, access, and storage, enabling the retrieval of essential and relevant information.

27. All Controlled Documents generated within the RBGP must adhere to the "Document Numbering and File Naming Procedure" (RBGL-DMT-PRC-Z-00001). This procedure employs specific attributes, including project (or sub-project), originator, location, document type, and the originator's project role. These attributes are followed by a sequential number, with each field separated by a hyphen ("-"). The structure of the Document Number aligns with BS EN ISO 19650-2:2018 standard.

Project Code	Originator	Volume / System	Level	Document Type	Document Sub-Type	Role	Sequential Number
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RBR and RBGP Document Number Structure

28. Volume/System\* and Level\* are mentioned only where relevant (mainly, in technical documentation), and for other Controlled Documents the document number consists of the following:

Project Code	Originator	Document Type	Document Sub-Type	Role	Sequential Number
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RBR Management Document Number Structure

29. The "Document Numbering and File Naming Procedure" serves as a comprehensive guide, outlining steps for efficient document identification within the RBR and RBGP EDMS.

30. Complementing this procedure is the Master Code List (RBGL-DMT-LST-Z-00001), which provides a detailed list of attributes for each section, enabling users to accurately categorize and label documents. The RBR DC Team is responsible for maintaining and managing all attributes related to document numbering. Any new attribute codes must be approved by the RBR DC Team before use. Collectively, these documents establish a robust framework for effective document control within RBGP.
31. All relevant parties shall receive training on this procedure to understand and implement the document numbering and file naming guidelines effectively. Any exceptions must be documented and approved by the Document Control Team.
32. The DC Team maintains ownership of “Document Numbering and File Naming Procedure” and is responsible for distributing its updates and revisions to all DPs. This procedure shall be subject to periodic review to ensure its effectiveness and alignment with RBGP evolving requirements.

## 3.4 Document Types

33. RBGP produces high volumes of controlled documentation describing how RBR and RBGP are managed. The three main documentation types are Technical, Programme Management, RBR Management. Some examples are in the table below:

Technical	Programme Management	RBR Management
Design Documents	Baseline Schedules	Quality Management Documents
Construction Documents	Work Breakdown Structures (WBS)	Global Finance and Accounting Documents
Engineering Documents	Project management Plans	Administration Documents
Testing and commissioning Documents	Baseline Budget Documents	Legal Documents
Operating documents	Close-out Documents	External Communication Documents

Table 4- Examples of Document Types in RBGP

### 3.4.1 Technical Documents

34. Technical documents describe the use, functionality, technical specifications, and architecture of the Project. In RBGP, RBR Technical documentation is project delivery records needed to plan, design, construct, operate, and control processes and as evidence of results achieved and activities performed. Some examples of technical documents RBGP include:
  - 34.1. Design documents that provide detailed information about the design of the RBGP infrastructure, including plans, drawings, models and specifications.

- 34.2. Construction documents that provide information about the construction process, including schedules, shop drawings, models, cost estimates, safety plans and as-built documentation.
  - 34.3. Engineering documents that encompass critical technical information and data related to the RBGP's engineering aspects, including calculations, technical specifications, and detailed project plans, ensuring the precision and integrity of the Project's engineering components.
  - 34.4. Testing and commissioning documents that provide information about the testing and commissioning of the rail infrastructure, including test procedures, results, and acceptance criteria.
  - 34.5. Operating documents that provide information about the operation of the RBGP infrastructure, including procedures, schedules, and safety guidelines.
35. Technical documentation within RBR is classified into two main categories: graphical and non-graphical data. Graphical documents encompass three-dimensional models, animation files, combined models, reports specific to the clash process, model renderings, visualisations, and other visually oriented materials. Non-graphical data, on the other hand, includes technical specifications, engineering calculations, project plans, schedules, test results, textual reports, and other written materials. These documents provide detailed information and instructions necessary for successfully implementing the RBGP. A more extensive list is provided in the table below. Section 3.6 (Revision Configuration) outlines the revision numbering conventions tailored to each category.
36. The RBR CTO Department and external contributors like Implementing Bodies (IBs), consultants, contractors, and regulatory institutions are all involved in developing these technical documents. They are centrally managed, reviewed, and published using ProjectWise, ensuring a structured and organised approach to document storage and collaboration within the RBGP.

### 3.4.2 Programme Management Documents

37. Project Management (PM) documents outline how RBR effectively manages the various sub-projects within the RBGP. Although the RBGP is often referred to as a single project, it is more accurately described as a significant 'Programme of Projects,' comprising multiple sub-projects overseen by distinct RBR departments. PM documents within the RBGP encompass the planning, execution, monitoring, and closure of these sub-projects. Typically, they are developed and maintained by the project manager and their team, supplying essential information for efficient project management. Some examples of PM documents in RBGP include:
- 37.1. Baseline Schedule that outlines the project's milestones, activities, and dependencies and is used to manage the Project's timeline.
  - 37.2. Work Breakdown Structure (WBS), which breaks down the project into smaller, more manageable components, is used to manage the Project's scope.
  - 37.3. Project Management Plan that outlines the project's management approach, including schedules, budgets, risk management, and quality control.



- 37.4. Baseline Budget documents that outline the project's costs, including resources and materials, are used to manage the project's finances.
- 37.5. Close-out documents summarising the project's results, including accomplishments, lessons learned, and recommendations for future projects.
- 38. These documents are continuously developed and updated throughout the life cycle of each sub-project. Their role is to ensure the effective management of the sub-project, facilitating on-time, on-budget, and on-scope completion.
- 39. RBGP encompasses diverse sub-projects differing in terms of cost, duration, purpose, and discipline. PM Documents are stored, reviewed, and published in DocLogix, ProjectWise and SharePoint following Program Management Guidelines (RBGL-PMD-GDL-Z-00001). The majority of PM documents are non-graphical documents.
- 40. There is no requirement to register working tools such as registers, detailed schedules, cost reports, which undergo routine weekly or monthly updates for the management of day-to-day activities in DocLogix or ProjectWise. However, each regular update should be retained in SharePoint, with the date incorporated into the file name.

### 3.4.3 RBR Management Documents

- 41. RBR Organizational Management System documents refer to a category of RBR documents which will support several functions of RBGP delivery and management. Some examples of RBR Management documents in RBGP include:
  - 41.1. Strategy, that outline the RBR and RBGP goals, objectives, scope, stakeholders, and control for RBR.
  - 41.2. Policies, that outline RBR and RBGP intentions and directions. They cover various subjects, including occupational health & safety, environmental protection, and quality.
  - 41.3. Plans, which outline roles and responsibilities, activities, and processes to achieve specific objectives. These plans may include RBR department management plans, project management plans, and operational plans.
  - 41.4. Procedures, that describe a specified way to carry out an activity or a process and are used to ensure consistency and compliance with policies and regulations.
  - 41.5. Design Guidelines, that provide instructions, step-by-step information or recommendations on particular subjects or tasks. These documents are reviewed and approved by Technical Review Group (TRG) and stored on ProjectWise.
  - 41.6. Global Finance and Accounting documents related to accounting, budgeting, financial reporting, cost management, etc.
  - 41.7. Administration documents related to personnel management, office administration, and support services.

- 41.8. Legal documents related to contracts, liability, regulations, and compliance.
  - 41.9. External Communication Documents related to media relations, stakeholder communication, and community engagement.
  - 41.10. Procurement documents related to the procurement of goods and services, including purchasing contracts and supplier agreements.
42. RBR Management documents are classified, developed, and approved depending on their type. There are various document types with developed review processes and their management is described in RBR Management Documentation Development, Approval, and Implementation Procedure (RBGL-CGC-PRC-Z-00001) and Policy Development and Implementation Procedure (RBGL-DMT-PRC-Z-00010). These documents are stored on RBR EDMS' and RBR Intranet Portal, and SharePoint, and reviewed regularly to ensure the project runs smoothly and efficiently. All RBR Management documents are non-graphical documents.
43. These documents are crucial in ensuring an integrated and efficient operation of the RGBP and play a vital role in ensuring that the Project is completed on time, within budget, and to the required quality standards.

## 3.5 Document Lifecycle

44. The process of creating a document (based on ISO 9001, section 7.5 "Documented Information") involves the following steps:
- 44.1. Identify the need for the document: The first step is to identify why the document is needed and what purpose it will serve. This may involve analysing the RBR processes, identifying gaps or areas for improvement, or responding to a specific requirement.
  - 44.2. Determine the scope of the document: Once the need for the document has been identified, the next step is to determine the scope of the document. This involves defining the boundaries of the document, the processes it will cover, and the intended audience.
  - 44.3. Define the content and format: The next step is to define the content and format of the document. This may involve developing an outline or structure for the document, specifying the types of information that will be included, and deciding on the formatting and layout.
  - 44.4. Draft the document: With the content and format defined, the document can be drafted. This involves writing the text of the document, organising the information, and ensuring that the language is clear and concise.
  - 44.5. Review and revise the document: Once the document has been drafted, it should be reviewed to ensure that it meets the requirements and objectives of RB Rail. This may involve reviewing the document for accuracy, completeness, and clarity, as well as ensuring that it aligns with other relevant policies and procedures.

- 44.6. Approve the document: Once the document has been reviewed, it may be approved by the relevant stakeholders within RB Rail. This may involve obtaining sign-off from senior management, subject matter experts, or other relevant parties.
- 44.7. Distribute and implement the document: Finally, the document may be distributed and implemented within RB Rail. This may involve communicating the document to relevant employees, providing training and support on its use, and ensuring that it is integrated into the organization's quality management system.

## 3.6 Work-in-Progress and Official documents

- 45. The distinction between a work-in-progress (WIP) document and an official document is essential because it helps to ensure that only accurate, up-to-date, and approved information is shared with external stakeholders and used for decision-making. It also helps to ensure that internal communications and collaboration are efficient and effective by allowing team members to provide input and feedback on documents before they are finalized and approved.
- 46. A clear distinction between working documents and official documents shall be implemented, for example:
  - 46.1. Different filing area (i.e., working documents are not to be published in the same location with officially approved documents)
  - 46.2. Watermark (for Drafts and Superseded/Cancelled documents when such are available to other internal RBR and/or external RBGP parties)
  - 46.3. Different security accesses (working, unapproved documents cannot be accessible for use on site)
  - 46.4. Different metadata (working, unapproved documents must be clearly marked in EDMS')

### 3.6.1 Work-in-Progress Document

- 47. WiP document is a document that is being created or reviewed and has yet to be finalized and approved for release. These documents are used for internal communication and collaboration and may be subject to changes before they are considered complete. A WiP document contains information, which has neither been checked, validated nor authorized yet and which is still under modification by its author(s). WIP documents are usually under the author(s) responsibility and are considered "uncontrolled".

### 3.6.2 Official Document

- 48. An official document is a document that has been finalized, approved, and released for distribution or use. These documents are considered as the final and approved revision. Official documents are controlled documents and must be filed, registered, and distributed to the relevant personnel.

## 3.7 Revision Configuration

49. In RBGP there are two revision configurations – one for graphical documents and another for non-graphical documents. The examples of each category shown in table below.

Non-Graphical Documents	Graphical Documents
Specifications (technical specifications, material specifications)	Technical drawings (general arrangement plans, track layout plans, station elevations, cross-sections)
Contracts (construction contracts, procurement contracts)	3D models (track alignment models, station design models, BIM models)
Reports (progress reports, test reports, inspection reports)	Schematics (electrical, signalling, power supply, telecommunication schematics)
Safety plans (occupational health and safety plan, emergency response plan)	Diagrams (track diagrams, signalling diagrams, network diagrams)
Quality control documents (quality control plan, inspection and test plan)	Maps (track alignment maps, topographical maps)

Table 5- Non-Graphical and Graphical Documents

50. All non-graphical Controlled Documents (excludes drawings, models, visualisations, etc.) shall start with Revision 1.0. The revision numbers shall increment by one whole number (1.0, 2.0., etc.) to the next Revision as the Document progresses through the various review/approval stages. Versions and Unauthorised statuses shall be numbered using decimals (i.e., 1.01, 1.02, etc.).
51. Revisions of graphical data are coded depending on the status of the document. Items with S0 Work-in-Progress and Unauthorised statuses shall be numbered using decimals (i.e., P01.01, P01.02, P01.03, etc.). This shall be changed to integer P01 when signed off by the originator for sharing (i.e., with assigned status S3 - Review and Comment).
52. The Document Numbering and File Naming Procedure (RBGL-DMT-PRC-Z-00001) provides a detailed description of the revision configuration for both graphical and non-graphical documentation in RBGP. It outlines the coding system used to indicate the status of the document and how revisions are numbered.

## 3.8 Version and Revision

53. RBGP documents shall be assigned versions and revisions. Versions shall denote an unauthorized (work-in-progress) document status, indicated by numerical decimal values (0.1, 0.02, 1.01, 1.02 for non-graphical data, P01.01, P01.02, P02.01 for graphical data). Revisions (Official documents) shall be represented by whole numbers (1.0, 2.0, 3.0 for non-graphical data and P01, P02 or C01, C02 for graphical data). The initial unauthorized draft versions of documents shall be designated as decimal numbers, transitioning to a full number upon authorization.

- 54. A distinction is made between revisions, which represent approved and authorized document states, and versions, which serve as unofficial change control records, particularly applicable to collaboration during document development or preliminary reviews.
- 55. A Version is an unapproved document update made before its approval. It tracks internal changes to a controlled document, leading to a final version that becomes a new Revision after approval. To make modifications, a new Version (draft) must be created, and each version is an intermediate state in the process. Versions are made and controlled by the document author, making them working documents.
- 56. A Revision is a document status officially published and added to the date of issue, content, and author. If necessary, amendments should lead to a new Revision. All previous revisions are archived, and only the latest one is accessible to users by default.

## 3.9 Templates

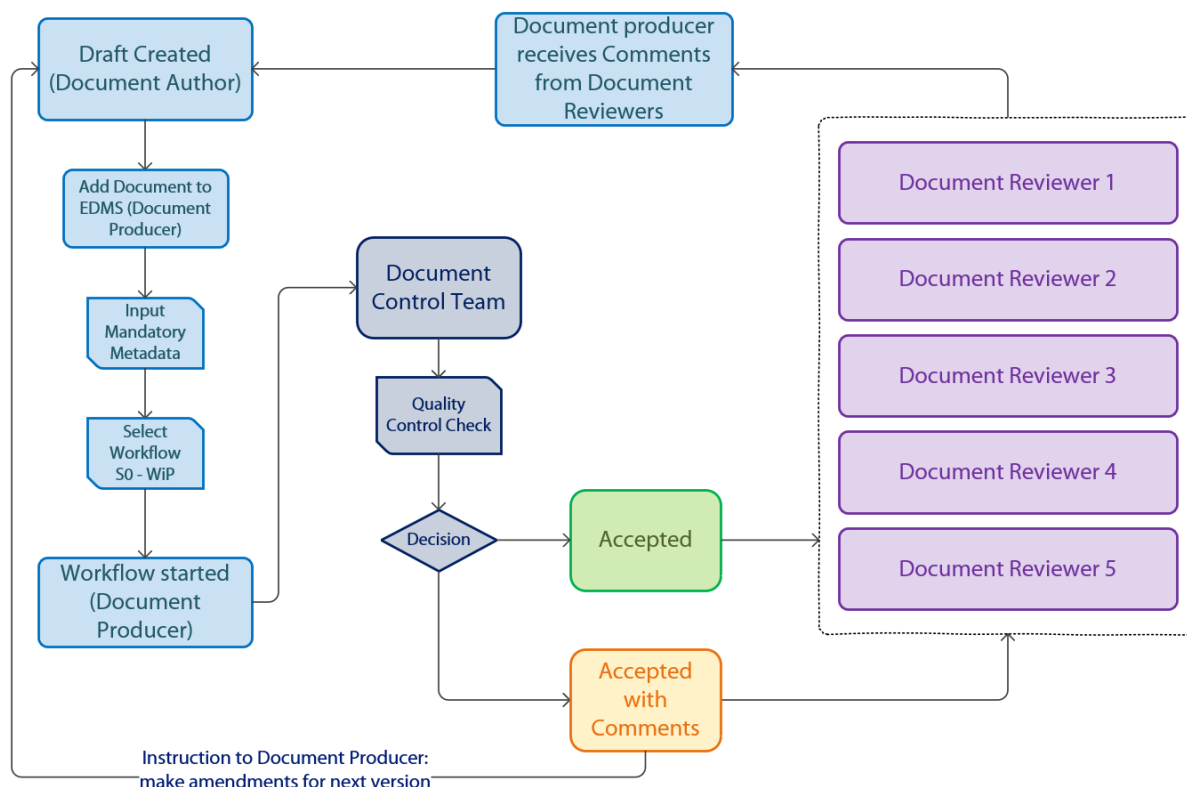
- 57. The purpose of having templates within RBGP is to provide standardised documents, processes, and procedures that can be used consistently across the organisation, regardless of location or department. Templates can be used for a variety of tasks, such as management plans, procedures, reports, meeting minutes, assessments, and more. Benefits of using templates within RBGP:
  - 57.1. Consistency: Templates help ensure that all documentation is consistent in format, style, and content, which can make it easier for stakeholders to understand and use.
  - 57.2. Efficiency: Templates save time by providing a starting point for creating documents and processes rather than starting from scratch each time.
  - 57.3. Quality: Templates ensure that project documentation is of high quality by providing a standardised framework for capturing and communicating information.
  - 57.4. Compliance: Templates ensure that RBGP documentation meets relevant regulatory or organisational standards.
  - 57.5. Communication: Templates help facilitate communication between project stakeholders by providing a common language and format for sharing information.
- 58. Overall, templates play an important role in ensuring that RBGP is managed effectively and efficiently while maintaining a high level of quality and compliance.
- 59. RBGP templates are stored on the RBR Intranet, in the Document Management Site, on ProjectWise, and in DocLogix. Templates are managed by RB Rail; all new templates must be reviewed and approved by the RBR DC Team prior to use and registered in Master Document Register.

## 4 Document Review, Approval and Distribution Cycles

60. Each type of document review, approval, and distribution cycle contributes to the overall quality and effectiveness of the final document, as part of the document management and approval process. These cycles within RBR and RBGP are structured into distinct stages, each serving a specific purpose and contributing to the creation, refinement, authorisation and distribution of Controlled Documents. These stages are defined as follows:
- 60.1. S0 – Work in Progress: This initial stage is dedicated to refining the document's draft. It involves seeking feedback, making iterative revisions, and enhancing the content to meet the required standards and expectations.
  - 60.2. S1 – Document Coordination: At this stage, the focus is on promoting collaboration, alignment, and task management among document stakeholders. It ensures that all parties involved are on the same page and working in coordination.
  - 60.3. S2 – Document for Information: This workflow is designed to keep stakeholders informed without requiring a specific action. It ensures that relevant individuals are aware of the document's contents and its implications for their work.
  - 60.4. S3 – Document Review and Comment (Squad Check): In this phase, the document undergoes a thorough review and comment process. It is a critical step in the document management process, as it helps enhance the quality and accuracy of the document.
  - 60.5. S4 – Document Approval (Gate Review): The final stage involves formal endorsement and authorization. Documents are reviewed and authorized by designated individuals or groups to ensure compliance with the required standards and fitness for distribution.
61. Each of these stages plays a crucial role in the document lifecycle, collectively contributing to the overall efficiency and compliance of RBR and RBGP document management and approval processes.

### 4.1 S0 – Work in Progress

62. The purpose of conducting a work in progress (WiP) review is to assess the initial draft of a document and provide feedback for further improvement. The document is evaluated by designated reviewers or subject matter experts to identify areas of improvement, potential errors, or inconsistencies.
63. The objective is to refine the document, address any identified issues, and ensure it aligns with the intended purpose and meets the specified requirements. The document is not considered final at this stage, and the feedback received helps shape subsequent revisions and iterations before reaching the approval or finalization stage.



Step 1: Document is drafted by Document Author and first version is uploaded to EDMS by Document Producer (DP). All mandatory Metadata filled in and document issued on S0 Work in Progress workflow

Step 2: The DC Team performs a QC Check takes one of the following actions:

- Accepts the document (sends it to reviewers).
- Accepts the document with comments (sends it to reviewers and to the DP, along with a note to incorporate the suggested quality amendments in the next revision of the document).

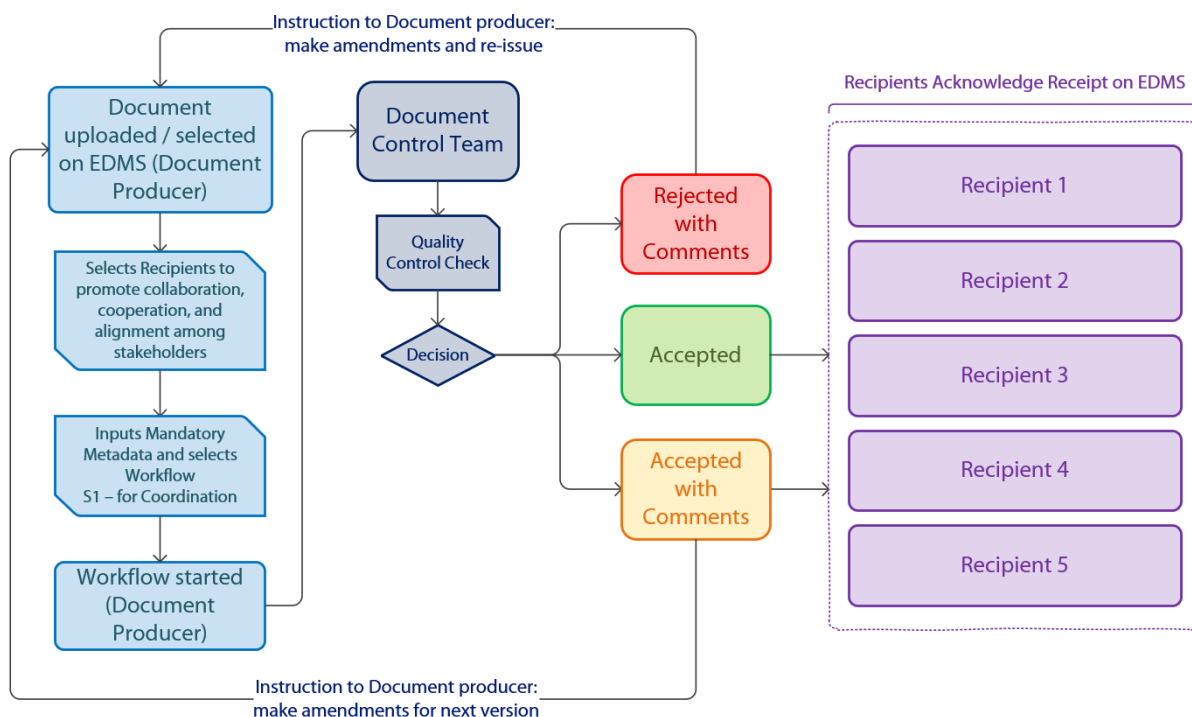
Step 3: Document is sent to designated Document Reviewers to be evaluated to identify areas of improvements, potential errors, or inconsistencies.

Step 4: Comments are sent back to DP.

## 4.2 S1 – for Coordination

64. The purpose of issuing a document for coordination is to promote collaboration and cooperation among stakeholders and interrelated processes. The document is distributed to individuals or groups with direct responsibility or involvement in the coordination of activities or tasks.

65. The objective is to ensure that recipients understand their roles, responsibilities, and the interdependencies between various tasks, teams, or departments. The document may include project plans, schedules, task assignments, guidelines, procedures, or any other information that assists in coordinating activities, managing dependencies, and ensuring progress.
66. Documents issued for coordination do not require recipient input or review; their sole purpose is distribution.



Step 1: The DP uploads the document to the EDMS, either by creating a new document or selecting an existing one, selects recipients, inputs mandatory metadata, and starts the workflow "S1 – for Coordination".

Step 2: The DC Team performs a QC Check of the document and takes one of the following actions:

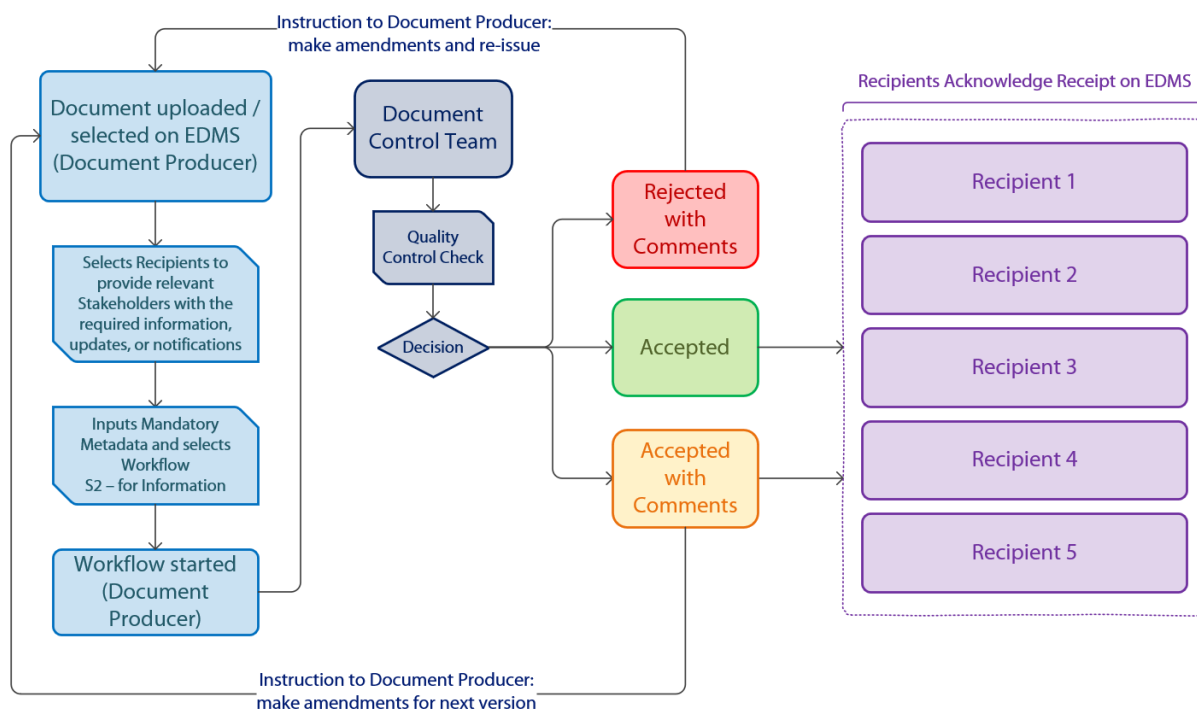
- Accepts the document (sends it to recipients).
- Accepts the document with comments (sends it to recipients and to the DP, along with a note to incorporate the suggested quality amendments in the next revision of the document).
- Rejects the document with comments (sends it back to the DP without reaching recipients).

Step 3: Recipients acknowledge receipt of the document on the EDMS. This acknowledgment serves as confirmation that the recipients are aware of the document and its importance for their respective roles or responsibilities.



## 4.3 S2 – for Information

67. The purpose of issuing a document for information is to provide relevant stakeholders with the required information, updates, or notifications. The document is distributed to individuals or groups who must be informed about a specific topic, decision, or event.
68. The objective is to ensure that recipients are aware of the document's contents, but no specific action or response is required from them. The document may include project status updates, announcements, meeting minutes, reports, or any other relevant information that must be shared.
69. Documents issued for coordination do not require recipient input or review; their sole purpose is distribution.



Step 1: DP uploads the document to the EDMS, either by creating a new document or selecting an existing one, selects recipients who need to receive the document for information purposes, updates, or notifications, inputs mandatory metadata, and starts the workflow "S2 – for Information".

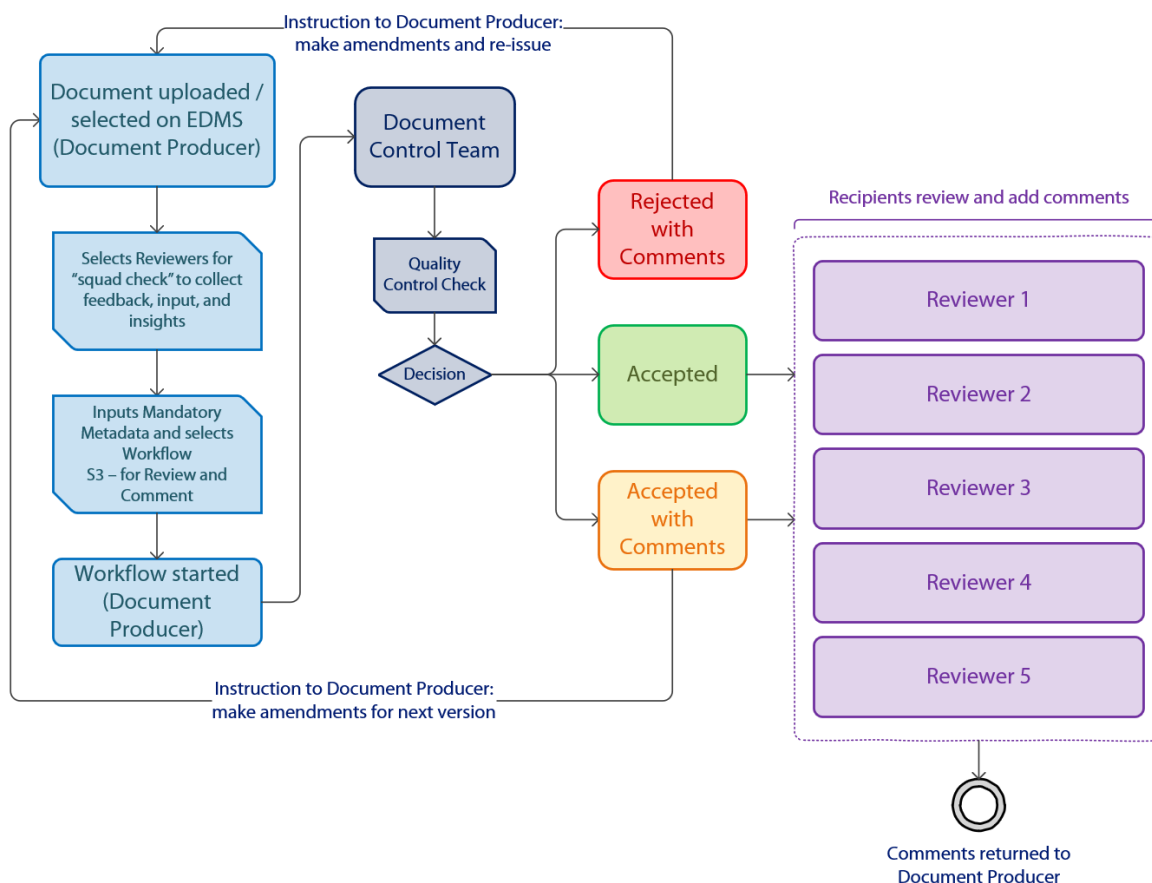
Step 2: The DC Team performs a QC Check of the document and takes one of the following actions:

- Accepts the document (sends it to recipients).
- Accepts the document with comments (sends it to recipients and to the DP, along with a note to incorporate the suggested quality amendments in the next revision of the document).
- Rejects the document with comments (sends it back to the DP without reaching recipients).

Step 3: Recipients acknowledge receipt of the document on the EDMS, confirming that they have received and reviewed the information provided.

## 4.4 S3 – for Review and Comment (Squad Check)

70. The purpose of issuing a document for review, also known as a "squad check," is to collect feedback, input, and insights from relevant stakeholders in order to improve the document's quality and effectiveness. The document is distributed to a designated group of experts or teams.
71. The objective is to collect feedback, suggestions, or recommendations that can help in identifying any potential issues, gaps, or improvements in the document. Before progressing further in the approval process, the document may undergo multiple review iterations to ensure that it meets the desired standards and complies with existing procedures and guidelines.



Step 1: DP uploads the document to the EDMS, either by creating a new document or selecting an existing one, selects reviewers who will provide feedback, remarks, and insights on the document, inputs mandatory metadata, and starts the workflow "S3 – for Review and Comment".

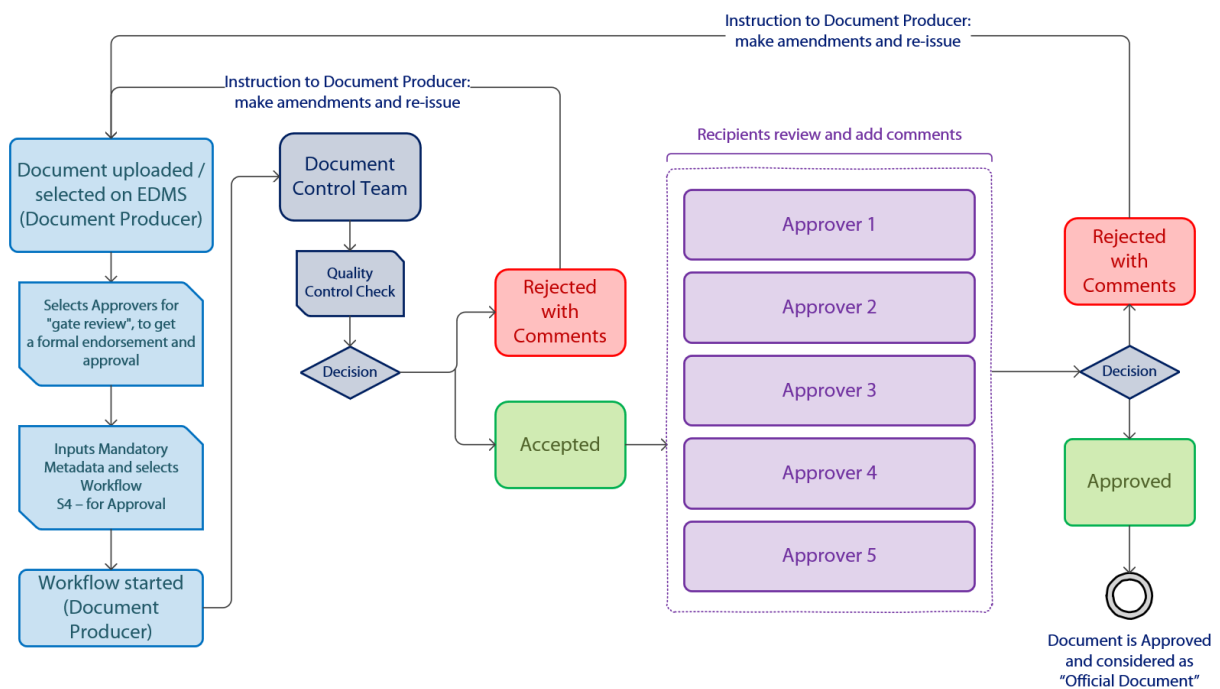
Step 2: The DC Team performs a QC Check of the document and takes one of the following actions:

- Accepts the document (sends it to reviewers).
- Accepts the document with comments (sends it to reviewers and to the DP, along with a note to incorporate the suggested quality amendments in the next revision of the document).
- Rejects the document with comments (sends it back to the DP without reaching reviewers).

Step 3: Reviewers provide comments and suggestions on the context of the document to improve its quality, accuracy, or completeness. Comments and suggestions are returned to the DP for incorporation into the next document revision.

## 4.5 S4 – for Approval (Gate Review)

72. The purpose of issuing a document for approval, also known as a "gate review", is to get a formal endorsement and approval from designated individuals or authorities. The document is presented to a specific approval body or individual(s) responsible for evaluating its content, conformance with standards and policies, and alignment with project objectives.
73. The objective is to obtain the necessary approvals or authorizations required to advance the document to the next phase or stage in the project. The document may be subject to a rigorous assessment, evaluation, and decision-making process, considering factors such as feasibility, cost implications, regulatory requirements, and overall project alignment.



Step 1: DP uploads the document to the EDMS, either by creating a new document or selecting an existing one, selects Approvers who have the authority to officially approve the document, inputs mandatory metadata, and starts the workflow "S4 - for Approval".

Step 2: The DC Team performs a QC Check of the document and takes one of the following actions:

- Accepts the document, sending it to the selected Approvers for their review and approval.
- Rejects the document with comments (sends it back to the DP without it reaching approvers).

Step 3: The Approvers review the document and take one of the following actions:

- Reject the document with comments, sending it back to the DP for amendments based on the provided feedback.
- Approve and endorse the document, making it the official document revision.

## 5 Document Storage and Exchange Systems

74. The following table outlines RBR common systems to be used appropriately and consistently to support the Project principles. The accessibility and visibility of information and documentation is the key factor to determine what system to use for that specific purpose.

75. The table below provides information on roles and support regarding RBR document management and document control.

Accessibility & Visibility	Systems and Purposes
Internal RBR Employees & External RBGP Parties such as contractors, subcontractors, Stakeholders, IB's, suppliers, etc.	ProjectWise - for sharing, submitting, distributing, reviewing, and approving controlled project delivery documentation.
RBR Members Only	DocLogix - for sharing, submitting, distributing, reviewing, and approving corporate controlled documentation.
RBR Members Only	SharePoint - For sharing and collaborating on working documentation  MS Teams - for internal and external online and video meetings and group chats, and for creating internal channels and posting messages to internal members
Individual RBR employees Only	Outlook - For corporate e-mails, and as an official means of communication.

	OneDrive - documentation that is being processed individually, Document drafts and Teams chat files
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Table 4 - Information Exchange Systems uses

76. DocLogix and ProjectWise shall be used for the submission, review, acceptance, and storage of controlled documents as per Section 3.1 - Controlled Documents. SharePoint shall be used for unofficial document filing and collaborative creation. A document lifecycle could start in either DocLogix, ProjectWise or SharePoint. The characteristics of a document could change; this will determine where the document shall be stored. RBR EDMS' shall be used to manage the complete lifecycle of controlled documents.
77. Document filing system shall be based on Latvian Archives approved Nomenclature (RBCR-ADM-LST-Z-00001). Nomenclature also notes the document retention period and the location of their repository. The folder structure in RBGP EDMS' shall be updated upon implementation of the new EDMS.

## 5.1 DocLogix

78. DocLogix (DL) is the EDMS used for RBR controlled corporate documents review, submittal, registration, and storage. It includes documents such as, but not limited to, agreements, procurement documents, Management Board documents, orders, power of attorneys, official correspondence, invoices, accountancy-related requests, and quality management documents.
79. According to the information security level of each document group, rights to access and work with documents differ. Documents available to employees vary depending on the access rights granted to the employee's position in the company.
80. Controlled corporate documents must be created using templates and registered in DL. The signing of documents can be organized only after they are approved via workflows in DL. If DL doesn't offer an option to register a specific document type (like meeting minutes, reports, etc.), the document must be registered in Master Register.
81. Document approval workflows differ depending on the type of document. The approval process must be aligned with the Regulation on Representation Rights (RRR). The document producer must add approvers where applicable to grant a proper approval process.

## 5.2 ProjectWise

82. ProjectWise (PW) is the EDMS system for project delivery (design and construction) documentation used for managing and sharing design and construction information throughout the project lifecycle. The platform provides a centralized repository for storing and managing project data, including documents, drawings, 3D models, and other digital assets. All project delivery documents are stored, reviewed, and distributed through PW. For documents not published in DL, ProjectWise is to be used as Team-wide official document sharing,

reviewing, progress tracking, and storage location (i.e., using PW CTO Transmittal review process). Within RB Rail, PW is used for:

- 82.1. Document management: PW allows users to store, organize, and manage documents and other digital assets in a centralized location.
- 82.2. Collaboration: PW enables collaboration between project team members by providing tools for sharing and reviewing project information.
- 82.3. Workflow management: PW has set up workflows for reviewing and approving project information.
- 82.4. Version control: PW provides version control capabilities, ensuring that users always have access to the most up-to-date information.
- 82.5. Security: PW has robust security features, including access controls and encryption, to protect RBR and RBGP information from unauthorized access or theft.

## 5.3 SharePoint

- 83. In RB Rail, SharePoint is a tool for internal collaboration that allows co-authoring, version history, comments capturing and 24/7 cloud accessibility to all employees. Typical uses of SharePoint in RBR include:
  - 83.1. RBR intranet and the landing page.
  - 83.2. Areas for each function/team's draft and working documents before they are ready for formal review, approval, submission, and distribution via PW and DL.
  - 83.3. Each team/cross-team collaboration and online document co-authoring.
  - 83.4. Sharing un-controlled documented information (not contractual or official), i.e., registers, lists, internal presentations, and other ad-hoc documents.
  - 83.5. Sharing Documents through links instead of attachments in emails (improves access to the current version to work on)
  - 83.6. Directly working on the single copy in SharePoint, where version history and comments are automatically captured.
- 84. For documents not published in PW and DL, SharePoint is to be used as a Team-wide unofficial document filing location. Unlike hard-drive folders, in SharePoint, Metadata can be stored instead of a File Name in the system. The below screenshot shows how information about the item can be stored in SharePoint as Metadata instead of adding it to the File Name.












Documents > General > Guides, Tutorials, Training Material						
	Name ▾	Document Number ▾	Revision ▾	Document Title ▾	Status ▾	Author ▾
	Flowcharts					
	RBGL-DMT-MRC_PP-Z-00001.pptx	RBGL-DMT-MRC_PP-Z-00001	1.0	Document Numbering and File Naming Workshop - Project	Work in Progress	Lina Vasiljevaite
	RBGL-DMT-MRC_PP-Z-00002.pptx	RBGL-DMT-MRC_PP-Z-00002	1.0	Document Numbering and File Naming Workshop - Corporate	Work in Progress	Lina Vasiljevaite
	RBGL-DMT-QRG-Z-00001.docx	RBGL-DMT-QRG-Z-00001	1.0	CTO Transmittal on ProjectWise QRG	Published	Anastasija Ahmerova
	RBGL-DMT-QRG-Z-00001.pdf	RBGL-DMT-QRG-Z-00001	1.0	CTO Transmittal on ProjectWise QRG	Published	Anastasija Ahmerova
	RBGL-DMT-QRG-Z-00002.docx	RBGL-DMT-QRG-Z-00002	1.0	Document Quality Control (QC) Checklist	Work in Progress	Sabine Ābrama
	RBGL-DMT-QRG-Z-00002.pdf	RBGL-DMT-QRG-Z-00002	1.0	Document Quality Control (QC) Checklist	Published	Sabine Ābrama
	RBGL-DMT-QRG-Z-00003.docx	RBGL-DMT-QRG-Z-00003	1.0	Revision and Version Management QRG	Published	Sabine Ābrama
	RBGL-DMT-QRG-Z-00003.pdf	RBGL-DMT-QRG-Z-00003	1.0	Revision and Version Management QRG	Published	Sabine Ābrama
	RBGL-DMT-QRG-Z-00004.docx	RBGL-DMT-QRG-Z-00004	1.0	RFI Flow on ProjectWise QRG	Work in Progress	Anastasija Ahmerova

Figure 10 - Metadata on SharePoint

## 5.4 MS Teams

85. MS Teams is a communication tool that allows RBR members to organize or join online audio and video meetings and create group chats with internal and external parties. It also allows RBR members to create a shared workspace by creating Channels in Teams for assorted topics. This common workspace enables RBR employees to post messages to the group members and add files repository from their SharePoint libraries for better and more efficient working document collaboration. Typical uses of MS Teams in RBR include:

- 85.1. Written, audio and video communication between RBR employees (chats, online meetings, workshops and presentations).
- 85.2. Posting messages to a Channel. Channels are topics where you can post messages to your Teams members, have conversations, and collaborate on files from SharePoint.
- 85.3. Schedule and join online meetings, audio and video calls with external members who do not have RBR email accounts.
- 85.4. Access files stored in the Project SharePoint and add other MS applications such as OneNote, Wiki, and Planners to your channel.
- 85.5. Make a call to anyone else who also uses MS Teams
- 85.6. See if people are available online

86. MS Teams chats are not visible to the extended RBR team that are not members of group chats. Therefore, MS Teams must not be used for formal and important correspondence involving confirmation, decision, and clarification where project information needs to be accessible to RB Rail.

## 5.5 Outlook

87. E-mails are not visible to the wide RBR team. If someone leaves the Project, their emails cannot be made visible to the project team. Therefore, emails must not be used for formal and important correspondence involving confirmation, decision, and clarification where project information needs to be accessible to RB Rail.

## 5.6 OneDrive

88. OneDrive is only to be used for synchronizing Users files PC to securely access files anytime - even when offline. It is possible to share a OneDrive file with other users by sharing a hyperlink, but such distribution for review, or co-authoring of document drafts is not recommended.
89. In RBR OneDrive is only to be used for single user documents, such as notes, drafts, ad hoc documents.

# 6 Document Archiving and Retention

90. Archiving and retention of Controlled RBR documents are conducted in accordance with Latvian Legislation and nomenclature regulations, ensuring full compliance with applicable laws and regulations.
91. Document retention periods are determined based on the type of document, its legal or regulatory requirements, and the organizational needs. RBR departments, in collaboration with RBR DC Team and relevant stakeholders, identifies and establishes appropriate retention periods for different document categories. These periods are designed to meet legal obligations, facilitate effective record-keeping, and ensure the availability of documents when needed. As documents reach the end of their active lifecycle but still require retention, an archiving process is initiated. The process is described in the Document Storage and Archiving Procedure (RBGL-DMT-PRC-Z-00008).
92. By adhering to the archiving and retention guidelines outlined in the Document Archiving and Retention Procedure, RBR ensures the proper management, retention, and preservation of documents in accordance with legal requirements, facilitating efficient document retrieval and supporting effective records management practices.

# 7 Access and Security

93. The Information Protection Procedure (RBGL-SCR-PRC-Z-00001) describes the process of documented information access and security, which is primarily managed by the RBR Security department. This document focuses on ensuring the confidentiality, integrity, and availability of documentation, as well as managing access permissions and protecting against unauthorised access or breaches.



94. The Information Protection Procedure also describes the established document classification levels based on sensitivity and confidentiality. To ensure that documents are treated and shared in accordance with their assigned classification levels, proper handling procedures, such as marking them with appropriate security labels, are implemented. RBR has four document classification levels: non-classified, for internal use only, limited access, and restricted.
95. The RBR IT department manages document management system access and user permissions. Access rights are assigned based on job roles and responsibilities, as well as the principle of least privilege, to ensure that authorised personnel have appropriate access to required documents while preventing unauthorised access to sensitive or confidential information.
96. User authentication mechanisms are used in EDMSs to ensure that only authorised individuals can access and manipulate the documents. The RBR IT Department is in charge of implementing and managing strong authentication methods like username/password authentication, multi-factor authentication, and other secure authentication protocols. Every EDMS with its own access rights has yearly audits. Typically, the audit scope includes a review of user access and account management for old/inactive accounts.

## 8 Auditing and Reporting

97. Document Management auditing activities are typically documented in the QMS and initiated by the Corporate Quality Manager, with the Document Control (DC) team assisting in data collection and analysis. The DC team conducts data analysis to identify trends, patterns, and areas for improvement within document management processes. This analysis helps evaluate document control efficiency, identify issues, and provide improvement recommendations
98. The DC team regularly performs metadata validation reports within the EDMS to verify the stored documents' corresponding metadata accuracy, completeness, and consistency. These reports help identify discrepancies, errors, or anomalies in the data, as well as the development of corrective actions and strategies for data maintenance.
99. The DC team is currently "cleaning up" the metadata for historical documents in ProjectWise. It includes reviewing and improving metadata attributes and ensuring conformity and compliance with established Design Guidelines and Document Management procedures. The objective is to improve the quality and searchability of historical documents, leading to effective data retrieval and use.

## 9 Training and Communication

100. The RBR Document Control Team is providing training and guidance to all stakeholders involved in the Rail Baltica project. The training sessions cover various aspects of Document Management in the project, including the use of specific software tools, clarifying relevant procedures, and best practises for organising and sharing documentation. The goal of the training is to ensure that all stakeholders have a comprehensive understanding of the document management processes and are equipped with the necessary skills to effectively handle and maintain project documentation.
101. These training sessions are provided to every newly hired employee, contractor, or on-demand basis. The trainings cover various aspects of document management, such as version control, file naming conventions, and proper storage and retrieval methods. Additionally, offering the training on an on-demand basis allows for flexibility in meeting the specific needs and schedules of all those involved in the project.

## 10 Process control

102. The Information security of the documents is ensured by system controls: job roles and responsibilities based assigned access rights, preventing unauthorised access.
103. Metadata accuracy, completeness, and consistency is monitored by DC team during document review, approval and distribution cycle using system controls preventing document approval without endorsement of DC Team.
104. Document management quality audits should be regularly performed by Corporate Quality Manager in order to evaluate established controls efficiency.

## REVIEW AND UPDATE OF THE DOCUMENT

105. This DMP shall be updated upon implementation of the new EDMS to ensure that it is in line with the system's functionalities and capabilities, and subsequently reviewed on an annual or as-needed basis for any necessary adjustments or improvements to be made based on organisational changes as well as industry best practises. Regular review and update of the DMP ensures that it remains relevant and aligned with the evolving needs of the RBGP.

## REFERENCES

Ref:	Document Number:	Document Title:
1.	RBGL-CGC-PRC-Z-00001	RBR Management Documentation Development, Review and Implementation Procedure
2.	RBGL-DMT-LST-Z-00001	Numbering Master Codes List
3.	RBGL-DMT-PRC-Z-00001	Document Numbering and File Naming Procedure
4.	RBGL-DMT-PRC-Z-00008	Document Archiving Procedure
5.	RBGL-DMT-PRC-Z-00010	Policy Development and Implementation Procedure
6.	RBGL-PMD-GDL-R-00001	Project Management Guidelines
7.	RBGL-SCR-PRC-Z-00001	Information Protection Procedure