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EXTERNAL REFERENCE

## Quality Document F4E-Supplier Documentation Exchange

This document specifies the transmission and storage rules for contractual documents to be exchanged between F4E and the Suppliers.

<i>Approval Process</i>			
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*Change Log*

**F4E-Supplier Documentation Exchange (23CKVU)**

<i>Version</i>	<i>Latest Status</i>	<i>Issue Date</i>	<i>Description of Change</i>
v1.0	Signed	15 December 2010	
v1.1	Approved	15 December 2010	Updated references
v2.0	Approved	17 March 2016	Updated to take into account the Contract Tracker as portal for the Supplier to exchange documentation with F4E



## QUALITY INSTRUCTION

### Control Page

idm@F4E ref: F4E\_D\_23CKVU Date: 17 March 2016

Document title: F4E-Supplier Documentation Exchange

### Areas and functions

Instruction ownership: F4E Documentation Manager  
 Area(s) concerned: Operational Expenditure – Contract/Grant Implementation  
 Function(s) concerned: All Operational Roles

### Purpose

This document defines the rules for the documentation exchange between F4E and the Supplier during the implementation of the contract/grant agreement.

### Scope

This policy is applicable to all operational contracts/grant agreements, when included as part of the contractual documentation.

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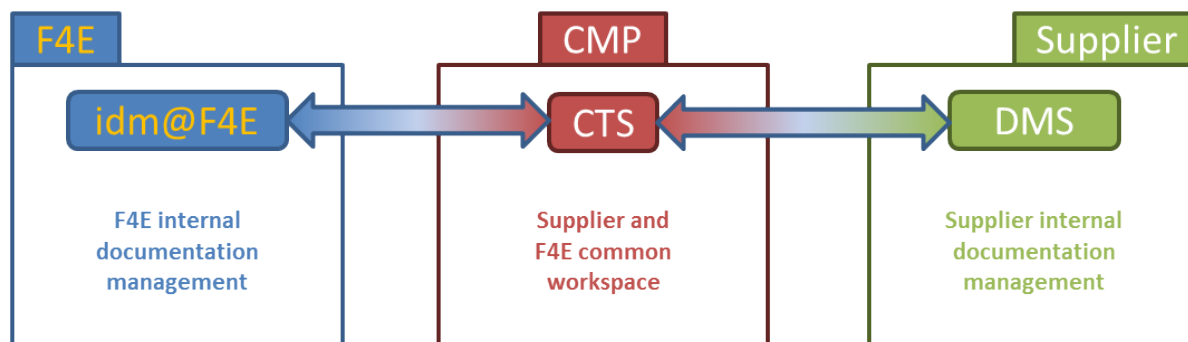
### Abbreviations and Definitions

Term	Definition	Acronym
Controlled Document	a document that is maintained and updated: it has an impact on a part or all the organizational units at F4E.	---
Uncontrolled Document	does not require review and/or approval by other staff: no impact other than on the work of the author	---
Approval	Formal agreement for the use or application of a product or document. The approver takes responsibility for the use.	APP
Acceptance	Acknowledgement that a product or document is in compliance with the contractual requirements.	ACC
Information	Documents sent for information require no further decision i.e. they require neither acceptance nor approval	INF
DOC	Document Control Officer of Unit (F4E internal assignment within the Project Team)	DOC
TPO	Technical Project Officer for the Contract	TPO

### Applicable documents

- [1] F4E-QA-115 -- 'Supplier Quality Requirements' ([F4E internal access \(22F8BJ\)](#) , [External Access](#))
- [2] PA and ITA Documentation Policy ([F4E internal access \(26P4J8\)](#))

## 1. Introduction



- 1.1. The Contract Tracker System is the application of the F4E Contract Management Platform (CMP) dedicated to the exchange and traceability of documents, correspondence and meetings between F4E and the Supplier in the frame of contract grants and international agreements (framework contracts and partnership agreements) execution.
- 1.2. idm@F4E is the approved official internal repository for all documents of F4E, including those related to the design and configuration of the ITER machine and ancillary parts, and to the management of F4E. The management and control of F4E documentation, including versioning, reviewing, commenting and approval, is recorded in idm@F4E.
- 1.3. The exchange of all quality and technical documentation and information between F4E and the Supplier shall be conducted through and between F4E's TPO (or nominated Technical Officer) in charge of the Contract and the Supplier's Technical Responsible, and through the Contract Tracker System (CTS). This includes the documentation issued by third parties to be delivered to the Supplier (as reference of applicable documents to the contract).
- 1.4. The outcome of the internal F4E review process of the Supplier documentation shall be transmitted to the Supplier through CTS.
- 1.5. Any relevant information and/or decision taken in the frame of the execution of the contract shall be recorded in CTS (either using the Communications Libraries of CTS or uploading a PDF version of an Email containing the information).

## 2. Scope

- 2.1. This document specifies the transmission and storage rules for contractual documents to be exchanged between F4E and the Suppliers.
- 2.2. The main documents concerned by this procedure include, but are not limited to: Contract and Grant Agreement documents, including deliverables, QA Documents (Quality and Control Plans, NCR, DR, etc), Inspection and Test Reports, Baseline documents/ Technical documents.
- 2.3. The exchange of correspondence can be performed with any software dedicated to this purpose. However, if a decision is taken through a correspondence exchange, the outcome shall be recorded in CTS (see Section 1.5).
- 2.4. Finally, this procedure covers only those documents to be managed (archived or reviewed) within the idm@F4E. Other documents and data files are, for example, managed through specialized CAD software (e.g. CATIA) undergo other requirements which are specified in separate documents.

### 3. Documentation Exchange Area

- 3.1. Prior to the start of the works of each contract or agreement, a specific CTS workspace shall be set-up for the exchange of the documentation between F4E and Suppliers. The CTS workspace will be linked to an `idm@F4E` folder to be chosen by the F4E TPO (the `idm@F4E` linked folder should be the "Implementation" folder as described in [2]), so that the transfer of Supplier documentation from CTS to `idm@F4E` is automatic.
- 3.2. All contents in the linked `idm@F4E` folder (including an eventual substructure) will be mirrored in CTS for the Suppliers. The workflow status and the version status of a Supplier document in `idm@F4E` will be also mirrored in CTS. The review comments resulting from an internal F4E review process in `idm@F4E` will not be mirrored in CTS. Only the comment entered by the F4E approver in `idm@F4E` will be mirrored in CTS and therefore available to the Supplier (as well as the workflow and version status).
- 3.3. Documentation transmitted by the Supplier to F4E shall be previously approved by the Supplier (internally at the Supplier Documentation Management System) and uploaded to the specific workspace of CTS by the Supplier. All documents uploaded through CTS workspace by (submitted by) the Supplier will only be accepted to be reviewed if they have been internally approved by the Supplier.
- 3.4. The outgoing documentation (from F4E to the Supplier) shall be managed by F4E also through the specific CTS workspace dedicated to Suppliers. The documentation to be shared with Suppliers will be mirrored in CTS by placing the document (or a shortcut to the original document) inside the linked `idm@F4E` folder and marking it as "Available in CTS".

### 4. Quality Requirements

- 4.1. F4E and the Supplier shall agree and establish a planned list of document deliverables (Documentation Schedule). This list shall include contractual and technical documentation, as appropriate.
- 4.2. This list will be used at the contract start for the setup of documentation milestones.
- 4.3. It shall be as complete as possible at first issue in `idm@F4E` and can be amended, if required, by issuing a new agreed version. All the fields of this list must be filled in by the relevant Supplier and the list shall be sent back to F4E by uploading it in the specific CTS workspace to be used for the transmission of documentation prior to the start of the works.
- 4.4. Normally, such a list should always contain the following information for each deliverable:
- Document title, Supplier document unique reference (and version if already delivered to F4E), IDM UID and version (if already delivered to F4E).
  - Expected delivery date and milestone on which the document is due. This information is not needed for irregularly issued documents or documents for which the delivery date cannot be planned, such as correspondence, minutes, etc. If a single issued document is supposed to be amended within the period of the Contract implementation, an estimated delivery date of the first version of the document should be stated.
  - Author, Reviewer(s) and Approver of the Supplier.
  - Propose of Submission to F4E (for Approval, for Acceptance or for Information).
  - Status of the document (In Work, Signed, Approved, Revision Required, Disapproved).

Document Title	IDM@F4E Ref & Version	Activity ID	Activity Description	Expected Date	Supplier Internal Flow	Supplier DMS Ref #	Propose	Status in IDM
					Author	Reviewer	Approver	

- 4.5. The Supplier shall send to F4E only documents approved at the level defined by the Quality Plan and applicable procedures. In order to ensure documents review and approval, Suppliers shall review documents in their own system and upload them in the specific CTS workspace together with evidence of review and approval.
- 4.6. Incoming documents will be accepted by F4E ONLY IF they have APPROVAL by the Supplier (see Section 3.3).
- 4.7. The reference document version (i.e. the version of the document which should be considered as the valid one to be used e.g. in a contractual context) shall always be the latest approved (by F4E) document transmitted to F4E making all previous versions obsolete. Any approved document which is not transmitted to F4E or any unapproved version of documents cannot be used or considered a reference document.
- 4.8. If there are comments by F4E, requiring document modification prior to final acceptance/approval, these comments shall be resolved by the Supplier.
- 4.9. Incoming documents which require F4E approval shall have an F4E staff member as approver in idm@F4E.
- 4.10. The appropriate F4E approver of each document will depend on the document type, system etc., as specified on separate procedures, such as the specific process SOAP.
- 4.11. Incoming documents uploaded through CTS for acceptance/approval are managed through the idm@F4E internal approval process. Thus, every document to be approved by F4E shall be uploaded into the specific CTS workspace. The F4E TPO shall SIGN the Supplier document (in idm@F4E) so that the F4E review process may start. For each workspace, the F4E TPO shall create (in CTS) at least one list of F4E reviewers (signatory, reviewers and approver). The Supplier shall select one of such lists as part of the Supplier document metadata. The F4E TPO may edit the list(s) as needed.
- 4.12. For all documents to be approved, the idm@F4E cover page auto-generation shall be activated.
- 4.13. Documents sent for information must be uploaded in the relevant CTS workspace by the Supplier submitting this document in order for F4E to take it into consideration. For such documents, the only role defined shall be the signatory (F4E staff member). No reviewer or approver shall be set.

**5. Documentation Requirements**

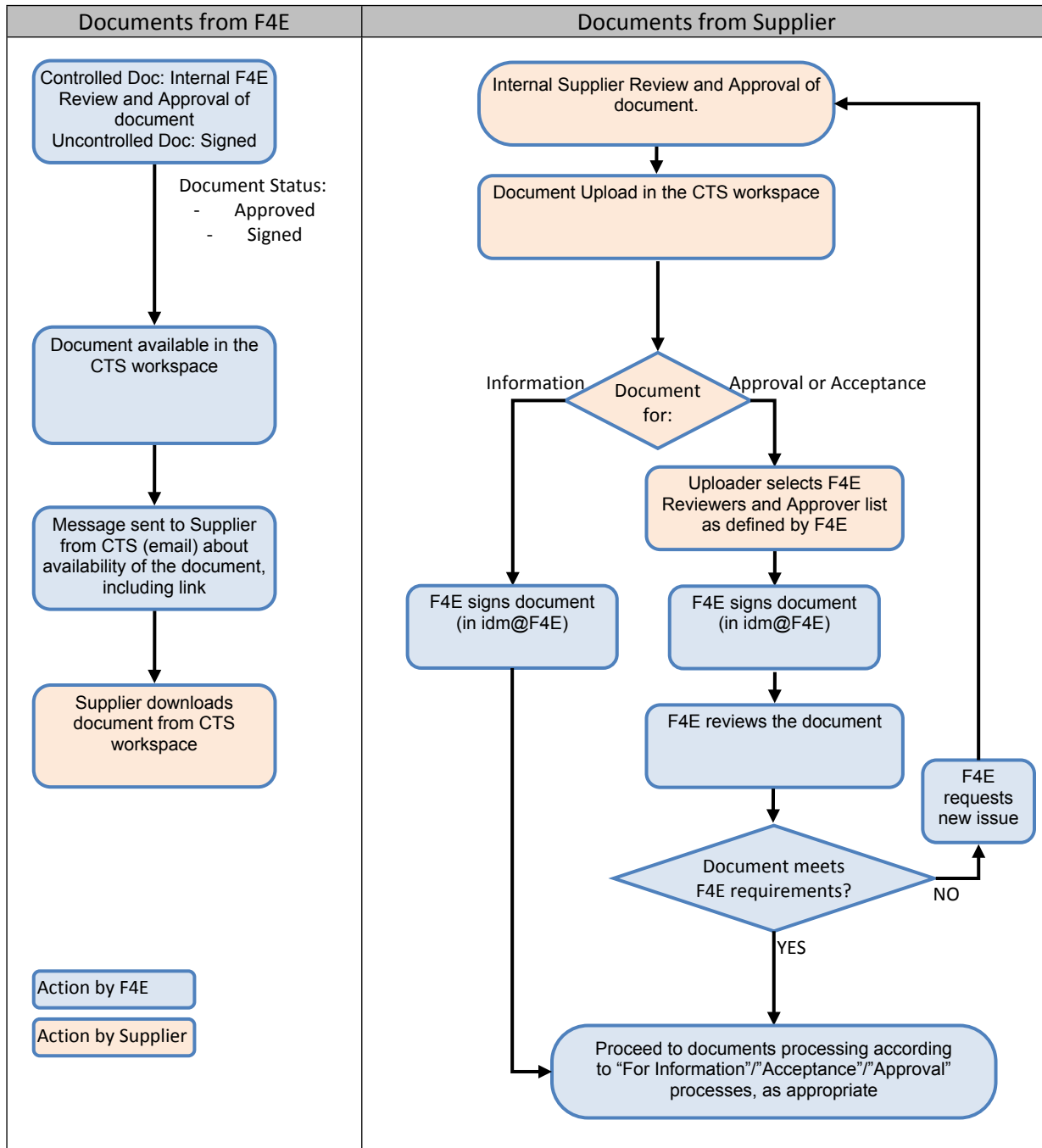
- 5.1. Documents shall be uploaded in PDF format (PDF version 1.4 or above).
- 5.2. Source file(s) shall also be provided. It should be uploaded as attachment to the PDF File (The master PDF file will always be considered as the official document).
- 5.3. Documents must use ISO sizes. All units and dimensions must be in the metric system unless otherwise specified. The standard and preferred size for documents is A4 (210x297mm).
- 5.4. The maximum recommended file size should not exceed 50 MB. However, on ad-hoc basis larger file can be uploaded, if needed.
- 5.5. The logo of originator shall be displayed on the first page in all cases (the logo of the company / organization to which the author belongs to must be present).

- 5.6. Author and Approver names on the first page. Reviewers, approval decisions on the first page
- 5.7. The Supplier's DMS document unique reference and version number shall be displayed on every page. Each page numbered with unique values in sequential order.
- 5.8. No encryption, password or protection should be present on the documents.
- 5.9. Documents shall not be split. If the document maximum allowed size is exceeded (50MB) an ad-hoc solution will be set in place by F4E to cover the situation.

## 6. Responsibilities

- 6.1. All Parties shall be responsible for the upload of their own documents.
- 6.2. F4E is responsible for:
- Maintaining the F4E electronic document management system (idm@F4E)
  - Setting up the CTS Workspace
  - F4E is responsible for the internal workflow inside of F4E
- 6.3. The supplier shall be responsible for:
- The Supplier internal management of project and technical documentation
  - Supplier internal review and approval of the documents before submitting them to F4E
  - Loading documents into the CTS workspace for F4E approval/acceptance/information
- 6.4. The Supplier shall keep in its internal Document Management System all necessary documents and technical information related to the Contract and subcontracts for monitoring, quality assurance controls, checks and audits. If so required, the Supplier shall provide copies of such documents for the use of F4E. Any version of a document that has been sent for review or approval shall be kept.

## 7. Documentation Exchange



7.1. Documents that require F4E approval/acceptance shall be uploaded through the CTS workspace and sent for checking via electronic workflow. The check will involve at least F4E and the Supplier, but may involve third parties.

7.2. Automatic notifications are sent to F4E by the CTS for each upload of the documentation.

## 8. idm@F4E Accounts

8.1. The Supplier shall request the F4E TPO for the necessary idm@F4E accounts to comply with this document.

8.2. Users shall be able to log on to the system via the web without special software installation, only requiring credentials.