

Contractor Document Control Requirements



Item ID: X000000-TCE-DC-PRO-0002

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Driver: Best Practice

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1 PURPOSE

The purpose of this document is to ensure that Contractor deliverables are submitted to TC Energy in a consistent manner, facilitating a progressive turnover of records for submittal to the Company. The Contractor is responsible to ensure that relevant contract, project, code, and regulatory requirements are met. All document requirements are applicable unless otherwise directed by the TC Project Manager and/or TC Project Document Controller.

2 SCOPE

This document describes the process by which the Contractor will submit documentation to TC Energy for review, approval, and information.

3 DEFINITIONS

Term	Definition
Company	TC Energy, its affiliates and subsidiaries
Contractor	Refers to the party (internal or external) hired by the Company to carry out specified work
DocumentControl	Refers to the individual or group responsible for managing access to documents, maintaining files and ensuring proper distribution of documents while tracking revisions
Document Originator	Individual(s) creating and owning the document

4 RESPONSIBILITIES

Role or Department	Responsibilities
DocumentOriginator (Contractor)	<ul style="list-style-type: none"> Develops the deliverable as work is completed, incorporates comments received from the Company and provides related feedback/response
DocumentControl (Contractor)	<ul style="list-style-type: none"> Verifies document naming and revisioning meet criteria Uploads deliverables to the appropriate location on the project SharePoint site within 7 days and sends notification email to the Company Resubmits any rejected documents in a timely manner Receives, retains and actions comments received from the Company Logs deliverables and tracks status in the Contractor's Master Document Register (MDR) Provides the updated MDR to the Company on a regular cadence and/or upon request

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Role or Department	Responsibilities
DocumentControl (Company or Company rep)	<ul style="list-style-type: none"> • Receives the deliverable(s) uploaded to the project SharePoint site by the Document Control (Contractor) • Verifies document naming and revisioning meet criteria • Ensures Contractors adhere to project document control requirements • Sends rejection notification to the Contractor describing the discrepancy • Ensures rejected documents are submitted timely to the Document Control (Contractor)

5 IDENTIFICATION AND TRACEABILITY OF DELIVERABLES

5.1 E-MAIL SUBJECT LINE

Contractor email subject line shall include the project number, project location the document relates to, short description, and date/rev/issue code as necessary.

5.2 FILE NAMING PROCEDURE

Contractors will name documents according to:

- US Gas Projects Document Naming and Numbering Procedure

6 SUBMISSION OF DELIVERABLES

6.1 CONTRACTOR SUBMISSION OF PROJECT DELIVERABLES

6.1.1 DOCUMENT FORMAT REQUIREMENTS

Documents will contain the following elements where applicable:

- Document title
- TC Project name
- TC Project number
- Revision
- Issue status (as applicable)
- Date

6.1.2 APPENDICES, EXHIBITS OR ATTACHMENTS

Documents containing appendices, exhibits or attachments must be referenced in the main document

6.1.3 SUBMISSION FROM CONTRACTOR TO TC ENERGY

Company Document Control will create a Contractor to TCE Library in SharePoint. The URL for the library will be provided at the outset of the project.

For each submission of documents, the Contractor will:

- Ensure documents are named according to the US Gas Projects Document Naming & Numbering Procedure
- Ensure documents meet revisioning criteria

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- Upload deliverables to the appropriate location on the project SharePoint site within 7 days of acceptance and completion and send notification email to the Company, as applicable

6.1.4 E-MAIL NOTIFICATION REQUIREMENTS FOR DELIVERABLES

The Contractor shall prepare an email as follows:

- Subject Line: TC Project Number-Company-Discipline Code-Documents Type-Brief Document Description
 - Example: M002043-ABC-SA-RPRT_JobSafetyAnalysis
- Include a link to the submitted document within the project SharePoint site in the body of the e-mail
- Send to Project Team members and Document Control as required

6.2 ACKNOWLEDGEMENT OF SUBMISSIONS COMPANY DOCUMENT CONTROL WILL CHECK THE PROJECT DELIVERABLES TO ENSURE REQUIREMENTS ARE MET.

If accepted, Company Document Controller or deliverable SME will:

- Respond to the email associated with the deliverable submission

If deficiencies are found the Company Document Control or deliverable SME will:

- Reply to the email associated with the deliverable submission
- Describe the deficiency noted and identify the due date for re-submission

7 DOCUMENT ISSUE AND REVIEW CODING

7.1 REVISION CODES

A revision number, if applicable, is assigned to documents as listed in the below table:

Revision Number	Description
A, B, C	Issued for Review, Acceptance, Bid or Info
0	Issued for Use, Design, Permit, Information, Construction
1, 2, 3	After approval and changes have been incorporated
X	Void or superseded

Some Non-Technical documents may utilize a document date instead of a revision number. Examples include: Correspondence, Daily Reports, Inspection Reports, Resumes, Logs, Meeting Minutes, Meeting Agendas, Org Chart, Presentation, Photograph/Video, Score Card, Status Report, Weekly Progress Report.

7.2 ISSUED FOR CODES

An Issued for Code, if applicable, is assigned to documents as listed in the below table:

Code	Issued For
IFR	Review
IFA	Acceptance
IFE	Estimate
IFD	Design
IFB	Bid
IFI	Information
IFU	Use
IFC	Construction
IAB	As-built
IFP	Permit
IFH	HAZOP

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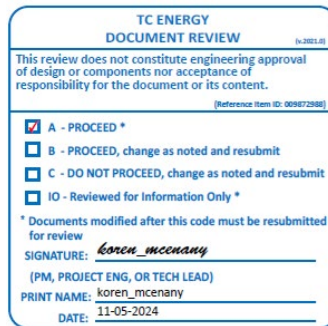
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IRL	Red Line
IFO	Obsolete
IFS	Superseded

7.3 REVIEW STATUS CODES AND STAMP

Contractor documents submitted for Company review will be reviewed by a Company representative. The Company Representative will place the Review Status Stamp along with appropriate return code in the document. The Contractor will revise the document as indicated on the review status code stamp. Once a document submitted for review with an alphabetic review number (i.e. Rev A, B, C) has been deemed acceptable, the document revision will be changed to revision “0” and the correct ‘issued for’ code applied. The revision “0” document will then be resubmitted to the Company to be stamped with code “A – Proceed.”



Code	Description	Definition	Application Guidelines and Notes
A	Proceed	The reviewed deliverable(s) have been reviewed without comment. Proceed to the next stage or phase of development.	If a document is submitted with an alphabetic revision number (i.e. A, B, C) and the document receives an “A” code, the document revision number will be changed to “0” (zero) issued for use/construction and re-submitted. See the project Document Numbering and File Naming Procedure for details on revision control.
B	Proceed, change as noted and resubmit	The reviewed deliverable requires some changes, but those changes are such that the work can be allowed to proceed on a limited basis.	With this rating, work may continue of some components of the document. However, resubmittal is required to ensure that mark-ups are interpreted correctly and incorporated.
C	DO NOT PROCEED, change as noted and resubmit	The reviewed deliverable has serious deficiencies or require major changes such that the work cannot proceed without revision.	This rating is driven by the extent of mark-ups or the severity of a particular deficiency. Work cannot proceed to the next stage or phase of development.
IO	Reviewed for Information Only	The deliverable is provided for information or reference only.	



8 COLLABORATION AND DOCUMENT TURNOVER

8.1 SHAREPOINT

A shared workspace (Team Collaboration site) has been created within SharePoint for use by third-party contractors and vendors. This area of SharePoint may be used by contractors to share and collaborate as part of deliverable development. The main purpose of the Team Collaboration site is to make it easier and more efficient for the contractors and company to work together, collaborate, share information and manage documents more effectively. This space is accessible to all contractors, thus content posted to this site is considered public.

Each contractor also has a separate SharePoint subsite on the Project SharePoint that contains a TCE to Contractor library, a Contractor to TCE library, and a Collaboration library where working files of deliverables are exchanged. Once a deliverable document has been finalized, the Contractor/Vendor submits the final version into SharePoint for acceptance.

The Contractor is required to progressively upload all construction documents to their SharePoint subsite throughout construction. Field documentation is to be uploaded daily, weekly, monthly depending on the document type and project requirements as set forth in the project Information Management Plan. These files are audited by the inspection team, and the field clerk uploads the documents to the project team's Construction Library. These documents are then reviewed again for completion before uploading into Project Pulse.

An on-boarding session will be held by the Project Document Controller to review the SharePoint process with the Contractor and identify any further training required. This on-boarding session may be included as part of any kickoff meeting for their work.

8.2 TRANSMITTALS

Transmittals are not required for deliverables. Pre-construction contractor deliverables prepared by the contractor and approved by project team will be stamped and/or routed through Adobe Sign in lieu of a formal transmittal.

9 TRACKING PROJECT DOCUMENTS

9.1 MASTER DOCUMENT REGISTER (MDR)

Each Contractor will maintain a Master Document Register (MDR) that lists the deliverables. The MDR will be submitted to the Company monthly in electronic format.

The following information is required for each document:

- Originating Company
- Document Name
- Document Description
- Document Revision
- Current Status
- Issue Purpose (IFR, IFA, IFB, etc.)
- Issue Date
- Discipline
- Review Requirements
- Due Date – when document review is to be completed

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- Responsible Person
- Return Date – for documents requiring review
- Review Return Code (from Review Stamp)
- Comments

The Company will supply an MDR template. The Contractor may use their own MDR form if it contains ALL fields shown on the Company MDR template. (See addendum E-5-2)

9.2 OTHER REGISTERS

Registers will be kept for other collections of documents and records as the project requires. The registers are used to confirm that all required records are received. Registers will be kept for the following types of records:

- Requests for Information (RFI) via SharePoint RFI tool
- Design Change Notice (DCN) via SharePoint DCN tool
- Construction Variance Request (CVR) via SharePoint CVR tool, as applicable

10 REFERENCES/ADDENDUMS

- US Gas Projects Document Naming and Numbering Procedure (X00000-TCE-DC-PRO-0001)
- Addendum E-5-1 Document Control Transmittal Template
- Addendum E-5-2 Master Document Register

Document Contact/Document Owner Manager	Jill Riggleman Manager, USGP Document Control & Information Management US Gas Projects
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