03. Document & Data Control Procedure

1.0 PURPOSE

1.1 To establish a procedure to:

i. Allow review, update and approval of documents prior to use;

ii. Ensure relevant versions of the documents are available at all locations essential to the functioning of the Quality Management System.

iii. Provide control over obsolete documents to prevent unintended use;

iv. To identify and control any relevant documents of external origin, e.g. national standards or client contracts & drawings;

v. Provide control of records

vi. Provide control of notices and other temporary sources of data including hand-written information

vii. Establish a process for computer back-up

2.0 RESPONSIBILITY

2.1 The MR (Management Representative) is responsible for administering this procedure.

2.2 All Managers are responsible for implementing this procedure.

3.0 CRITERIA

3.1 To ensure all managers have access to the latest documents

3.2 To ensure all managers know how to confirm the validity of a document

3.3 To prevent error through loss of documents or use of incorrect documents

3.4 To ensure customer documents are kept confidential and are accounted for.

4.0 PROCESS

4.1 Document identification for QMS (AS9120: 4.2.3)

4.1.1 This procedure covers the whole of the Quality Management System (QMS) as stored on the company computer server:

i. Quality Manual

ii. Procedures

iii. Work Instructions
4.1.2 All QMS documents have a consecutive Revision No. and a Revision date which are shown in the document footer.

4.1.3 All documents start at Revision: 1. whenever there is a change to document, the revision number is advanced by one, the revision date of that document is changed to the date of the change and the reason for the change is noted in the change history.

4.1.4 The latest revisions of all the documents of the QMS are kept on a computer directory called ‘AS9120’ on the MCI server. The directory is accessible to both internal employees and Field Sales Engineers. The files are read-only to prevent unauthorized editing of the documents. These documents should be legible and easily identifiable. All managers may read or print these documents. When a document is superseded, the computer file is moved to a directory that is clearly identified for superseded files only.

4.1.5 Printed copies of the QMS are allowed but these are not controlled. Only the copy of the QMS on the computer directory is controlled. It is the responsibility of all managers to ensure that they are using the latest copy of the documents.

4.2 Preparation, Revision and Approval of QMS documents (AS9120: 4.2.3)

4.2.1 It is the responsibility of all personnel to identify activities that require documentation within their area of operation. This may occur due to the needs of the business, as part of the audit process or as part of the corrective and preventive action process.

4.2.2 The responsible Manager prepares and reviews the necessary changes to the QMS and circulates his draft for comment as necessary. On completion of the final draft, the manager forwards the documents to the MR for approval who also re-approves documents.

4.2.3 The MR is responsible for approving the QMS by:

i reviewing all new documents;

ii if approved, updating the computer directory with the new document;

iii Communicating to relevant users to inform them of the revised document;

iv Ensuring that a record is kept of all superseded documents on the computer. These must be kept separately from the current QMS to avoid accidental use.
4.3 Regulations, Technical Specifications, etc (AS9120: 4.2.3)

4.3.1 The MR keeps a copy of any relevant Regulations, Technical Specifications or National Standards. The MR will notify all managers when a document is superseded. Obsolete standards may be kept but are clearly marked as “Obsolete”. Managers may keep their own copies of these documents but must ensure they have the latest revision.

4.4 Quality Records (AS9120: 4.2.4)

4.4.1 The Quality Records are listed in section 5.0 of each of the procedures. These specify the records generated by the quality system, location filed, minimum retention time and manager responsible. It is the responsibility of that manager to index the records as necessary for easy retrieval and to dispose of the records accordingly. Supplier created records such as a MFG certificate of conformance are retained here at MCI and not at the supplier.

4.5 Customer Drawings (AS9120: 4.2.3)

4.5.1 When customer drawings are received in connection with a product:

i Always check with the customer that you have the correct drawing reference number and revision level

ii Record the drawing # & rev on any MCI communication such as quote and sales order

iii Attach a copy of the drawing to the sales order

iv File a copy of the drawing in the drawing file, referenced by customer name

4.5.2 Unless the customer gives alternate written instructions, all customer documents and data received must be treated as intellectual property and kept confidential and stored properly to prevent loss or damage.

4.6 Control Of Notices And Other Temporary Sources Of Data (AS9120: 4.2.3)

4.6.1 The posting of office memos such as for administration purposes need not be controlled.

4.6.2 However, notices that provide information concerning the quality system or product are discouraged and should be controlled in accordance with this procedure. Such notices might include information that could be misleading if not kept up to date; e.g.: A list of approved vendors

4.6.3 It is human nature to make quick reference documents and post them in easy to reference places. Where these notices contain data that could be revised
through the controlled quality management system, then they pose a risk that the data may become obsolete and then be used in an erroneous way.

4.6.4 In order to provide control over these potential sources of error, the following rules must be used for posting notices:

i Only the MR may post notices

ii The MR must sign and date each notice and provide a copy to the “Notices” file. The copy in the Notices file must note how many copies of the notices have been posted and where.

iii The MR may also note important issues of a temporary nature on department whiteboards.

iv The MR must ensure that the QMS is promptly revised to agree with the contents of any posted notice. Similarly, the MR must ensure that these notices are revised or removed as necessary when they become superseded by changes to the QMS.

4.7 Personal Files and Records (AS9120: 4.2.4)

4.7.1 Managers may print temporary copies of documents and records for their own ease of use. However, these documents are not controlled and managers must know where to find the official records and documents so as to be able to ensure that any information used is accurate.

4.8 Computer Data Back-up (AS9120:4.2.4)

4.8.1 All essential data files will backed up on the main server on a regular basis.

4.8.2 Where possible, use a “multiple media” rotation system for back-ups so as to ensure that back-up records are maintained for various dates over the last few months. This will allow older “ undiscovered” errors to be recovered from earlier back-ups.

4.8.3 At least one piece of the back-up media will be stored in a secure location off-site as security against theft or fire in the office.

4.8.4 The MR will occasionally attempt a back-up recovery to demonstrate that the back-up system will work if required.
## 5.0 Quality Records

<table>
<thead>
<tr>
<th>Record Name</th>
<th>Responsible Person</th>
<th>Location</th>
<th>Index method</th>
<th>Minimum Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current QMS</td>
<td>MR</td>
<td>Computer</td>
<td>Doc No.</td>
<td>Until superceded</td>
</tr>
<tr>
<td>Superseded QMS</td>
<td>MR</td>
<td>Computer</td>
<td>Doc No.</td>
<td>3 years</td>
</tr>
<tr>
<td>Customer drawings</td>
<td>CSE</td>
<td>Drawing file</td>
<td>By customer</td>
<td>Until superceded</td>
</tr>
<tr>
<td>Cert. of Conformity</td>
<td>MR</td>
<td>PO Drawer</td>
<td>Mfg / PO#</td>
<td>7 years</td>
</tr>
</tbody>
</table>

## 6.0 Change History

<table>
<thead>
<tr>
<th>Revision Level</th>
<th>Date</th>
<th>Description of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>22 Oct 04</td>
<td>Initial release</td>
</tr>
<tr>
<td>2</td>
<td>26 Aug 08</td>
<td>Added References to the AS9120 standard.</td>
</tr>
<tr>
<td>3</td>
<td>17 Nov 2010</td>
<td>Paragraph 4.5.2 clarified to conform to new ISO 9001:2008 updates</td>
</tr>
<tr>
<td>4</td>
<td>31 Aug 2011</td>
<td>Updated document to conform to the AS9120 Rev A standard.</td>
</tr>
<tr>
<td>5</td>
<td>31 Jul 2012</td>
<td>Updated document to reference the JEDEC quality standard.</td>
</tr>
<tr>
<td>6</td>
<td>07 Oct 2014</td>
<td>Removed Reference to the JEDEC standard.</td>
</tr>
</tbody>
</table>