Procedure: Control of Records

1. **SUMMARY**
   1. This procedure defines the requirements for the identification, storage, protection, retrieval, retention time and disposition of controlled quality records.
   2. “Quality records” are those records which provide evidence of Retirement Capital having met – or not met – requirements. This may include requirements related to inspection requirements, purchasing requirements, contractual requirements, etc. The full listing of records affected by this procedure is given in the table at the end of this procedure.
   3. Records outside of this scope do not require control but may be controlled at the discretion of management.
   4. The Operations Manager is responsible for implementation and management of this procedure.
2. **REVISION AND APPROVAL**

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| **Rev.** | **Date** | **Nature of Changes** | **Approved By** |
| 0 | 14/11/2020 | Original issue. | Director |
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1. **IDENTIFICATION**
   1. Retirement Capital maintains records that are needed to provide evidence of conformity to requirements and of the effective operation of the quality management system. The records are identified in the table below, along with the controls for each record type.
2. **STORAGE**
   1. Storage methods are indicated in the table below, for each record type.
   2. Softcopy records and data are stored on the company server or computers; in all cases, computers are subject to backup.
   3. Hardcopy records are stored in suitable cabinets that prevent damage or deterioration.
3. **RETENTION, RETRIEVAL & DISPOSITION**
   1. Records shall be maintained a minimum of 3 unless otherwise indicated below or as defined by customer, statutory or regulatory requirements.
   2. Training records and other records pertaining to employees must be retained at least one year beyond that employee’s end of employment.
   3. Records that are discarded after retention shall be permanently destroyed.
   4. When archived records are stored offsite or in another location, these shall be stored in a controlled environment that also protects them from damage or deterioration.
   5. As required by customer contract or regulatory requirements, quality records shall be made readily available for review by the requesting authority. Such review is limited to those records applicable to the customer or regulatory authority, and shall not allow for the accidental or intentional release of confidential information to an unauthorized party.
   6. **PROTECTION & PRESERVATION**
   7. The listed “controller” shown in the table below must ensure their assigned records remain legible, readily identifiable and retrievable.
   8. In order to ensure protection of records, electronic records are subject to periodic backups, with the backup stored on a separate server. Records are backed up on OneDrive every day.
   9. The Operations Manager is responsible for backup of data.
   10. Quality records data stored on individuals’ computers must either be backed up through the server (as above), or backed up manually onto the server. The individual users of such data are responsible when data is not backed up by the server*.*
   11. Entries made by hand on hardcopy forms shall be made in ink.
   12. White-out or correction tape is not to be used on any quality records. The correct procedure for making corrections is to cross the error out, make the correction and initial it. Optionally, date-sensitive corrections should be dated as well.

**Example:**

*126*

# parts accepted = ~~124~~ ***S.P . 12/12/2020***

**QUALITY RECORDS MATRIX**

| **Required Record or Document Type** | **Retirement Capital Record** | **Responsible Controller** | **Type of Record** | **Storage Location** | **Discard Method** |
| --- | --- | --- | --- | --- | --- |
| Management Review Records | Management Review Meeting Minutes | Operations Manager | Softcopy | Server | Secure delete |
| Customer Satisfaction records | Operations Manager | Softcopy | Server | Secure delete |
| Employee Opinion Surveys | Operations Manager | Softcopy | Server | Secure delete |
| Training Records | Training Matrix | Operations Manager | Softcopy | Server | Secure delete |
| Employee Training Records | Operations Manager | Softcopy |  |  |
| Statements of Training | Operations Manager | Softcopy | Server | Secure delete |
| Applications, resumes | Operations Manager | Softcopy | Server | Secure delete |
| Authority Roster | Operations Manager | Softcopy | Server | Secure delete |
| Records of realization process meeting requirements | Preventive Maintenance Records | Operations Manager | Softcopy | Server | Secure delete |
| Stamp & Signature Control Log | Operations Manager | Softcopy | Server | Secure delete |
| Work orders | Operations Manager | Softcopy | Server | Secure delete |
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| Process control records (incl. temp charts) | Operations Manager | Softcopy | Server | Secure delete |
| Design and Development Records | Design plans | Operations Manager | Softcopy | Server | Secure delete |
| Specifications | Operations Manager | Softcopy | Server | Secure delete |
| Design change records | Operations Manager | Softcopy | Server | Secure delete |
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| Contract Review Records | Customer RFQs | Operations Manager | Softcopy | Server | Secure delete |
| Quotes | Operations Manager | Softcopy | Server | Secure delete |
| Customer POs | Operations Manager | Softcopy | Server | Secure delete |
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| Vendor Evaluation |  |  |  |  |  |
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| Suppler evaluation records | Operations Manager | Softcopy | Server | Secure delete |
| Calibration Records | Calibration Master List | Operations Manager | Softcopy | Server | Secure delete |
| Calibration Records | Operations Manager | Softcopy | Server | Secure delete |
| Certificates of Calibration | Operations Manager | Softcopy | Server | Secure delete |
| Traceability records | Travelers | Operations Manager | Softcopy | Server | Secure delete |
| Record of release of product | First Article Inspection Reports | Operations Manager | Softcopy | Server | Secure delete |
| Receiving Inspection Forms | Operations Manager | Softcopy | Server | Secure delete |
| Final Inspection Sheets | Operations Manager | Softcopy | Server | Secure delete |
| Nonconforming Product Dispositions | Operations Manager | Softcopy | Server | Secure delete |
| Nonconformance Log | Operations Manager | Softcopy | Server | Secure delete |
| Record of nonconforming customer property | Nonconforming Product Dispositions | Operations Manager | Softcopy | Server | Secure delete |
| Corrective & Preventive Actions | CARs | Operations Manager | Softcopy | Server | Secure delete |
| CAR Log | Operations Manager | Softcopy | Server | Secure delete |
| Internal Audit records | Internal audit Reports | Operations Manager | Softcopy | Server | Secure delete |
| Internal Audit Schedule | Operations Manager | Softcopy | Server | Secure delete |