

Record Control

1.0 Scope and Objectives

- 1.1 This procedure defines the activities required for establishing and maintaining a record control system.
- 1.2 The objective of the record control procedure shall be to ensure that quality records are established and maintained to provide objective evidence of product conformance to specification, materials and process traceability, documentation retrieval for review and effectiveness of the quality management system.
- 1.3 The result of the record control process shall ensure required documents remain legible, be readily identifiable and retrievable and have needed controls for identification, storage, protection, retrieval, retention time and disposition. Quality records shall be used to improve customer product quality and improve the overall effectiveness of the quality management system.

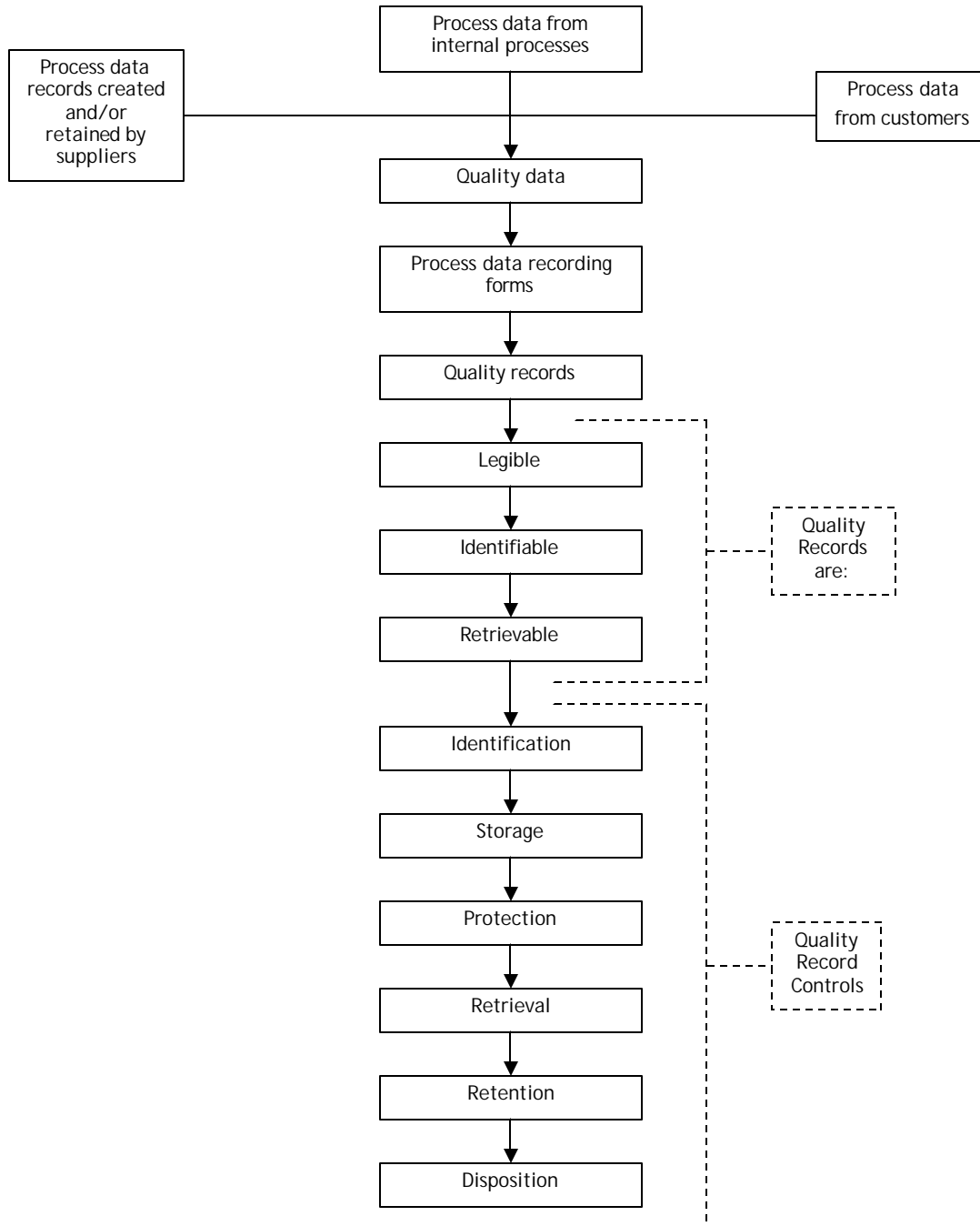
2.0 Applicability

- 2.1 This procedure applies to, but is not limited to:
 - 2.1.1 all documents submitted by customers defining process and product requirements
 - 2.1.2 all documents submitted by customer providing objective evidence of product conformance to customer specification
 - 2.1.3 all documents submitted by suppliers certifying that processes and products meet specified requirements
 - 2.1.4 all documents created by St. Vrain Manufacturing defining processes used to meet specified requirements
 - 2.1.5 all documents created by St. Vrain Manufacturing providing objective evidence of product conforming to customer specification
 - 2.1.6 all personnel within the organization that develop, use and maintain quality records

3.0 Related Documents

- 3.1 QM-001, Quality Manual, Section 4.2.4, Control of Quality Records
- 3.2 Quality records (customer, supplier, internal and external)
- 3.3 Document Control Log
- 3.4 SAE AS9100, Quality Management System - Aerospace - Requirements, Section 4.2.4, Control of Quality Records

4.0 Process Flow Chart



5.0 Procedure

- 5.1 In accordance with SAE AS9100, Section 4.2.4, St. Vrain Manufacturing recognizes the importance of quality records and documents and the need for control.
- 5.2 To provide accountability and traceability on all quality records, all appropriate personnel will use initials, stamps or signatures and dates.

Requirements and Controls

- 5.3 Quality records that document process data are established and maintained and provides evidence of conformity to customer product requirements and the effective operation of the QMS.
- 5.4 Quality records may be obtained from:
 - 5.4.1 customers
 - 5.4.2 suppliers
 - 5.4.3 process data from internal processes
 - 5.4.4 any other data source that provides data that can have a direct impact on customer product quality and the effectiveness of the QMS.
- 5.5 Quality records shall remain legible.
 - 5.5.1 data shall be recorded in ink
 - 5.5.2 pencil may be used for reference data
- 5.6 Quality records shall be readily identifiable.
 - 5.6.1 document name and/or number shall be included in the header/footer
- 5.7 Quality records shall be retrievable.
 - 5.7.1 production records are stored in the production office
 - 5.7.2 financial records are stored in the finance office
 - 5.7.3 quality records are stored in both the inspection office and in the job folder in the production office
- 5.8 Controls for identification.
 - 5.8.1 date
 - 5.8.2 revision level
 - 5.8.3 purchase order number
 - 5.8.4 job number

- 5.9 Controls for storage.
 - 5.9.1 customer
 - 5.9.2 chronological order (date/job number)
- 5.10 Controls for protection.
 - 5.10.1 plastic sleeves
 - 5.10.2 manila file folders
- 5.11 Controls for retrieval.
 - 5.11.1 person responsible for file maintenance shall perform retrieval when possible
 - 5.11.2 others may retrieve documents when situation requires
- 5.12 Controls for retention time.
 - 5.12.1 three years minimum
 - 5.12.2 customer required
- 5.13 Controls for disposition of records.
 - 5.13.1 shredding
- 5.14 Quality records created and retained by suppliers shall be controlled to the extent required to maintain, over a period of three years (or period designated by customer contract):
 - 5.14.1 legibility
 - 5.14.2 traceability
 - 5.14.3 retrievability
- 5.15 All applicable quality records are available for review by customers and regulatory authorities in accordance with procedures, contract or regulatory requirements.
- 5.16 Individual procedures that include requirements for quality records will address control requirements found in Sections 5.7 through 5.12, as appropriate.

Quality Record Definition

- 5.17 Quality record is any document or form that contains objective evidence (data) to support the outcome of a process and can be used to determine conformance to requirements.
 - 5.17.1 personnel entering data shall initial, stamp or sign and date the data to provide accountability and traceability

Quality Record Examples

- 5.18 The following are considered to be quality records, but quality records will not be limited to the examples below:
 - 5.18.1 request for quote and response
 - 5.18.2 purchase orders
 - 5.18.3 customer prints, standards and specifications
 - 5.18.4 job ticket
 - 5.18.5 job traveler
 - 5.18.6 inspection report
 - 5.18.7 nonconforming material report
 - 5.18.8 request for deviation
 - 5.18.9 certificates of conformance

Record Retention

- 5.19 Quality records will be stored for a minimum period of three years before disposal.
- 5.20 Quality records will be maintained:
 - 5.20.1 on site for a period of three years
 - 5.20.2 after three years, offsite, according to customer or regulatory authority requirements
- 5.21 Customer may specify any retention period contractually.

Disposition of Quality Records

- 5.22 Quality records identified as being ready for disposal shall be purged from the filing system and shredded.

6.0 Responsibilities

- 6.1 St. Vrain personnel
 - 6.1.1 verify documents meet applicable requirements
 - 6.1.2 maintain documents as required
- 6.2 Quality manager
 - 6.2.1 maintain document control system
 - 6.2.2 issue and control documents
 - 6.2.3 ensure documents are regularly reviewed and updated
 - 6.2.4 ensure that regular internal audits, that address the continued applicability of this document, are scheduled

7.0 Record Retention

- 7.1 Standard retention period will be three years minimum, all documents.
 - 7.1 Customers may stipulate longer retention times.
- 7.2 This controlled QMS procedure shall be maintained on the server indefinitely.
- 7.3 Any hardcopy of this controlled document shall be valid for one day after printing.
 - 7.3.1 after one day has elapsed the document shall be used only as a reference document
 - 7.3.2 reference documents must be verified for revision level prior to use
- 7.4 Obsolete documents shall be removed from area of use and disposed of as appropriate.
- 7.5 As appropriate, all quality records associated with this document are available for customer or regulatory agency review.

8.0 Document Control

- 8.1 Custodian: Quality Manager
- 8.2 Review Activity: Quality Manager
President
Operations Manager
- 8.3 Approval Authority: Quality Manager
President
Operations Manager