MANUAL–VI

STATEMENT OF DOCUMENTS / RECORDS MAINTENANCE

➢ STATEMENT OF DOCUMENTS/RECORDS MAINTAINED

CONTROL OF DOCUMENTS

Broadly the following documents of Quality Management System have been identified for control from approval and/or issue/ distribution point of view.

- Apex Quality Manual/ Locational Quality Manual/ Departmental Quality Manual
- Quality Plans (Project Specific)
- Codes and Standard (National / International) for issue/ distribution control
- Design input viz. assignment
- Design output viz.
  - Technical specification
  - Design calculation
  - Drawing
  - Reports (FR/DPR etc.)
  - Purchase Order
- Contract document
- Design norms/company standard
- Quality Assurance Plan
- Policy guidelines/circulars etc.

The above documents shall be controlled as per laid down Procedure given in the Apex Quality Manual which covers various issues such as approval, review, retention period, document numbering system, amendment status, distribution control, obsolescence, master list maintenance etc. alongwith associated forms/formats.

CONTROL OF RECORDS

Broadly the following documents inputs/results of Quality Management System practices shall be identified as records and shall be maintained.

- Drawings
- Design calculations
- Technical specification
- Purchase Orders
- Master list of drawings/documents
- Reports (FR/DPR etc.)
- List of approved vendors
- Inspection reports & certificates, welder's qualification and welding procedure qualification record, despatch clearance certificate, calibration records and certificates of important measuring & test equipment.
- Management review records
- Records of contract review
- Records of project progress review
- Records of corrective action on Customer complaints and non-conformities
- Qualification/training/skill and experience records etc.

The control of above records shall be as per laid down Procedure given in the Apex Quality Manual which covers aspects such as identification, storage, protection, retrieval, retention period, disposition etc.

DOCUMENT CONTROL PROCEDURE

Purpose : To ensure uniform preparation, compilation, maintenance, amendment and circulation of documents which are required to be put under control.

Scope : This procedure shall be applicable to all pertinent documents needed for maintenance of Quality Management System across all departments / offices of the Company.

Responsibility : MR is responsible for initial drafting, approval, issue, implementation and control of subsequent amendments of this procedure.

Cross reference:
AQM Section 4.2.3 – Control of Documents
AQM Form F-06 – Quality Manual Modification Proposal
AQM Form F-07 – Amendment Status

Procedure detail: The general philosophy of **'Document Control' followed** by the company is as follows: -

i) Document possesses unique identification and revision or as on date status.

ii) There has to be defined authority made responsible for approving, issuing and exercising distribution control for each such identified document including subsequent change control.

iii) Distributing authority is responsible to implement availability of documents in current status at all desired user points. A pre-defined scheme must be followed by receiving authority for prompt segregation and withdrawal of obsolete documents for any project.

iii) Distributing authority for any 'controlled' document must maintain a master list of such documents with respective current revision status.

iv) Documents must bear an evidence of being under control through appropriate signature or else stamp or both in original, as it may be relevant.

v) Master list of each 'Controlled' document is maintained up-to-date by the section exercising control. Such master list establishes the current status of controlled documents.

vi) Procedures / Work instructions and forms / formats shall be numbered uniquely in respective departments / offices.

viii) Modifications to Apex Quality Manual shall be carried-out as per the format MECON : AQM : F-06. Amendment status of changed documents shall be maintained as per fomat MECON : AQM : F-07. Both these records shall be retained for the current edition of manual for a period of minimum 2 years.

For any change in any section of AQM the entire section shall be replaced with new revision status.

vii) **E- Filing & E- archiving** : With a view to progressively make the organization " a paperless office " sections / offices shall practice the concept of E- Filing. All FR / DPR / Other reports, assignment , engineering input / output, technical leaflet / data base etc shall be E-filed to the extent feasible. Similarly, with a view to preserve valuable engineering data / drawings / documents etc sections shall make use of E-archiving facility to the extent feasible.

ix) Electronically generated documents need not bear signature. However, drawings issued for construction must bear STAMP " CERTIFIED FOR CONSTRUCTION" " CERTIFIED FOR MANUFACTURE" with Signature, Name, Designation and Date of authorized Engineer.

ix) The approving and issuing authorities, responsible for control of all documents which relates to Quality Management System practice, are as follows:-

APPROVAL & ISSUE MATRIX FOR DOCUMENT UNDER CONTROL

Type of document	**Approving authority**	**Issuing authority**
Organogram for orgn/office	Chief Executive Officer (CEO)/ Office-in-charge	MR/MRRs
Apex Quality Manual(AQM)	Chief Executive Officer (CEO)	MR
Locational Quality Manual (LQM)	Office-in-charge	Concerned MRR
Inspection Manual	SIC, Inspection Section, H.O.	SIC,Inspection Section, H.O
Quality Plan	Controlling officer	Project Co-ordinator
Norms/Standards/Design Input/Design Output	Respective SIC/controlling General Managers or DGM I/c.	Respective SIC (Section-in-charge)
Inspection Quality Assurance Plan	Inspection Section of respective Co-ordinating offices	Inspection Section of respective Co-ordinating offices
Contract Document	SIC, Contract Section	SIC, Contract Section
Policy Guidelines / Circulars	Board / CMD	SIC, P & A

FORM NO. 6
Ref. No. ……

It is proposed to modify the enclosed quality system documents as per following :

Sl. No.	Requirement A/D/R	Document No.	Clause Paragraph	Document Amendment Status			
				Present		Proposed	
				Edition	Revision	Edition	Revision

SPECIMEN COPY

Name …….. Signature …….. Date …/ …/ …..

Designation …..... Location ……. Section ……

Stage 2	Stage 3
Approved by : …… Name : …… Designation (SIC) : …… Date : ……	The proposed changes have been revised and these are in line with the overall guidelines mentioned in the AQM Endorsed by : Name : (GM I/c) : Div. Head Date :
A–ADDITION D–DELETION	R. REVISION/AMENDMENT

* The proposed amended documents to be enclosed.
** Strike out whichever is not applicable.

Note: Please use more sheets if necessary.

FORM NO. 7

AMENDMENT STATUS

Sl. No.	Chapter/ Section/Clause/ Paragraph amended	Page No.	Description of amendment	Date	Previous Status of Document		Latest Status of Document	
					Edition	Revision	Edition	Revision
	SPECIMEN COPY							

PROCEDURE FOR CONTROL OF RECORDS

Purpose : To ensure uniform methodology for control of records demonstrating QMS practice in the organization.

Scope : This procedure shall be applicable to all projects.

Responsibility : MR is responsible for initial drafting, approval, issue, implementation and control of subsequent amendments of this procedure.

Procedure Details :

i) Records demonstrating the practices of QMS shall be established and maintained to provide means of subsequent analysis and improvement planning. Records shall remain legible, readily identifiable and retrievable.

ii) Following records are being identified for maintenance of Quality Management System. However, this is a representative list and not exhaustive. Records to be maintained for a specific project shall be identified in respective project Quality Plan also.

- Drawings
- Design calculations
- Technical Specifications prepared by MECON
- List of approved vendors
- Inspection Reports, Welder's Qualification and welding procedure Qualification record, Inspection certificate, Despatch clearance certificate. Calibration records & certificates of important measuring & test equipment.
- Management Review Records
- Records of Contract Review
- Records of corrective action on customer complaints and non-conformities.
- Training records.

iii) Indexing / filing / storage

Documents to be primarily indexed project-wise for easy reference. Secondary indexing may be worked out based on requirements.

Documents shall be with proper identification marked on the top of the files / folders.

Documents other than drawings shall be stored in filing cabinets/ storage racks in orderly manner project-wise/discipline-wise. All the filing cabinets/storage racks/drawing cabinet shall be properly marked with identification and their contents.

Document of confidential nature to be identified by the Section-in-Charge and stored under lock and key with up-to-date issue control records.

iv) No modification shall be allowed on Quality Records.

Quality Record : The recommended minimum retention periods for Quality Records shall be as per table given below, unless agreed otherwise with the Clients, or as per statutory provisions.

Sl. No.	Quality Records	Retention Period
1.	Design work related Quality Records	As indicated below.
i)	Copies of assignments issued/ received	Till the project is complete
ii)	Approved Vendor Drawings	One year after the project is commissioned/handed over.
iii)	Office copies of specification	Three years after the project is commissioned/handed over.

Sl. No.	Quality Records	Retention Period
iv)	Office copies of Design calculation/ estimates etc. of critical deliverables of main units	Thirteen (13) years after the project is commissioned/handed over.
v)	Check prints of drawings	Till the issue of final drawings.
vi)	Modification drawings/sketches	Till the as-built drawings are issued.
vii)	Project completion reports and as-built drawings	Three years after the project is commissioned or handed over whichever is later.
viii)	Feasibility Report and Detailed Project Report and other Reports	To be retained in TIC for reference purposes
ix)	Soft copy / Microfilm / Tracings / originals of drawings and bill of materials (Individual section to send the soft copy of drawings/documents etc. for E–Archiving latest six months after the project is commissioned)	To be retained in the technical archives.
x)	QAP/Test certificate /Test reports	Till the project is commissioned/ handed over and performance guarantee/ warranty period is over.
xi)	Policy Documents	Till the next amendment
xii)	Minutes of review meetings with customer in appropriate project files	Project coordinator and the concerned section-in-charge upto final settlement and contract closure.

Sl. No.	Quality Records	Retention Period
xiii)	Contract documents	13 years after completion of contract.
xiv)	Customer's satisfaction measurement data	MR's office for 3 years period

ii) Sections shall have freedom to decide for longer periods of retention in view specific project requirements.