ACE

Aquatic Control Engineering

Control of Company Documents Policy

Date Reviewed: 07/06/2023
Next Scheduled Review: 07/06/2024

SCOPE

This document provides guidelines for the publication, review and security of Occupational Health & Safety, Quality and Environmental documentation. The aim is to set a high standard and maintain that standard throughout all documentation produced by Aquatic Control Engineering.

Maintaining up to date and relevant documentation is of key importance to ensure productive and consistent working whilst also tracking projects and activities.

Creating standards for document management and ensuring that documents are created, managed and disposed of appropriately is a key part of a good information management that aims to improve efficiency and mitigate legal and compliance risks (EG requirements to Data Protection Act 2018.)

This policy applies to all employees at Aquatic Control Engineering and any individual creating or handling documentation on the company's behalf. The policy applies to all documents held in any format, including but not limited to the following:

- Letters (digital and hard copy)
- Emails
- Policies
- Procedures
- Templates
- Registers
- Reports
- Contracts
- Presentations
- Official communications
- Company CV's and technical information about personnel
- Photographs

The Company has a clear division between the Company Drive; Business Support, Intranet and QMS. Identified as follows

QMS – In line with IOSO 9001, the QMS is the storage location with all policies, procedures, processes, templates, checklists, reports and plans and other documentation required for planning and execution in the core business areas: Health and Safety, Quality and Environmental whilst also ensuring Training, Company documents etc are all kept here. This location keeps the original copy of all documentation with revision numbers and the PDF versions on an annual basis.
QMS is locked down to the HSEQ Lead, H&S Manager, Quality Manager, MD and Technical Director only.

INTRANET -The Intranet is a library of all documents that have been issued to Aquatic Control Engineering employees to utilise on a daily basis. All documents are Controlled and majority issued in PDF format; unless a template format. This is simply a storage of the most up to date document to be used. It must then be saved in the right location once it has been edited, as it is not a controlled document.

COMPANY DRIVE; BUSINESS SUPPORT - This drive is an area for all working documents to be utilised and stored dependant on departments. The Business Support is broken down to Health and Safety, Quality and Environmental factors with live documents stored such as Training documentation and Organisation structure and Company CV's.

PROJECT FILES - This drive is an area for Project specific documents to be stored, the filing system is accessible to all and is organised into; Pre-Award, Current Live & completed projects. Completed projects are stored for 12 years from completion date.

Manufacturing Drive - This drive is used to store all manufacture-based documentation that is not stored in the project files, information such as detailed Bills of Materials and commercially sensitive information such as detailed cost breakdowns are also stored in this location. Information regarding stock manufacture and batches of incoming stock are also stored here alongside cost/margin monitoring and review data. Manufacturing technical files and record books are stored here against the relevant reference number/project name. Due to the nature of this drive access is restricted to those involved in manufacture and quality management.

APPLICATION and PROJECT DELIVERY

Controlled: Available to the Public

- Public documents are submitted to the Digital Marketing Executive and placed on the website for download in PDF format.
- It is the responsibility of the Digital Marketing Executive to renew the documents and ensure the latest revisions are made available using the Intranet up to date, controlled version.
- All public document updates and uploads to the website will be noted in the Intranet Register.
- Once issued these documents are considered uncontrolled.

Controlled: Available to ALL ACE employees

- These are saved in a PDF format on the company Intranet library drive; Policies, Procedures etc all shown on the Intranet file structure spreadsheet.
- These will be noted with a footer containing the last date of review and next review date.
- It is the responsibility of the Business Services (HSEQ) department to renew documents in the Intranet folder and to allow new controlled documents to be submitted for ACE employees.
- All changes, updates and new additions will also be communicated through e-mail to all staff and where necessary on lunch and learns and toolbox talks.
- All changes and updates of these documents will be noted in the Intranet Register (Controlled Documents Register pre 2019.)

Controlled: Available to stakeholders (Common Data Environment)
BIM – Building Information Maintenance

ACE are involved with provision of 3D models to our clients for our clients to implement into their overall BIM environment. We work with our supply chain who provide the 3D model itself and pass this on to the client. This is only done on request with specific clients.

Recent projects have involved the use of Asite, Projectwise and Sharepoint, (Common Data Environments) whereby ACE upload projects and documentation for review and checking, issuing 3D models to the project's overall 3D model for building information maintenance and document control.

Uncontrolled: Available to all

These documents are saved in an editable format and are kept separately from controlled documents in the relevant area on the Company Business Support drive.

Off Site Access: All controlled documents for the public and staff/subcontractors of ACE will be made available on memory sticks. It is the responsibility of the Site Managers to ensure these documents are available on site and that subcontractors are appropriately briefed on their content and location.

New Documents: When new documents are created the Quality Manager will communicate the new document to all employees or delegate the responsibility to the relevant manager (e.g Health and Safety.)

Naming Convention

The following procedure will determine the overall naming of any document in the Quality and Health & Safety system. E.g. <Document Name>-<Annotation>-<Revision>

<Document name> The document Name will identify the relevance of the document in the system, for example Control of Company Documents Policy.

<Annotation> is Month and Year i.e. 02 = February, 03 = March, then the last two digits from the current year i.e. 15 = 2015 & 16=2016

Reviews: All documents on the Intranet Library list are reviewed on a bi-annual basis as a minimum standard unless stated otherwise. This is the responsibility of the Quality Manager to disseminate review tasks to the manager in question. Any changes are communicated to all ACE Employees, usually by email, or during staff meetings and quarterly management reviews.

Archiving: Any old or revised documents are moved to archive folders within the relevant folder in the QMS-HSEQ area of our IT system which has restricted access for HSEQ leads and the Managing Director.

Project Specific communications: Many documents will be created with projects in mind where the only relevance is to the project in question. Therefore, clearly naming the documents as such is of high importance. The list below provides an explanation of the Annotation for project specific documents. These abbreviations are self-explanatory in most instances for simplicity.

- BOM Bill of Materials
- CC Completion Certificate
- CE Compensation Event
- DIC Design Issue Checklist
- DRA Design Risk Assessment
- DWG Drawings- General
- EW Early Warning
- FAT Factory Acceptance Test
- HS Health and Safety
- ITP Inspection and Test Plan
- MOM Minutes of meeting
- MS Method Statement
- MSC Miscellaneous
- OC Order confirmation
- ODR Order
- PA Payment Application
- PPM Project Progress meeting notes
- PRG Project Program
- PSH Pre-Start Handover
- QT Quotation
- RA Risk Assessment
- RR Risk Register
- REP Site Report/Survey/Other Report
- RN Release Note
- SAT Site Acceptance Test / Commissioning
- SIR Site Inspection Report
- SRC Site Responsibilities Checklist
- TQ Technical Question
- PMR Project Monthly Review

Training Records and Training schedules with course information are also saved within the Business Support drive and updated and reviewed on an annual basis.

REVIEWS

Legislation review can be relatively complex and therefore it is important that regular external communications are filtered by the HSEQ Lead. Where appropriate, external advice from a suitably qualified professional can be sought and additional training identified. Any changes identified in legislation or review are used to update documentation systems and then notified to senior employees at Quarterly Management

Review meetings. Following a Management Review, a process for informing employees is formulated and rolled out. This can include:

- E-mails and updating of controlled documents on the company Intranet.
- Help sheets for staff and information leaflets and posters provided.
- Training sessions provided including lunch and learn workshops
- External training and/or courses provided.
- Changes in organisation of facilities; office movements, removal or addition of a facility etc.
- Additional meetings and changes in company policy/ job descriptions or similar.
- Additions, removal or updates of the legislation library.

Annual Review: All controlled documents are reviewed on a bi-annual basis as a minimum standard unless stated otherwise. These revisions are communicated via hard copies and require a signature.
Annual Review for the following company documents:

- Policies
- All Workplace Risk Assessments, including Fire, personal and others relating to personnel
- All HSEQ Manuals, Plans and Reports including business continuity and strategic planning

Bi-Annual Reviews is the minimum for all other controlled documents highlighted in the Intranet spreadsheet on the Intranet File Register.

Quarterly Review: Any controlled documents identified as requiring review will be highlighted at quarterly management reviews for consultation.

On-going Review: All controlled documents are living documents and may need revision on a day to day basis as legislation and improved working systems dictate. These changes are communicated as and when to all staff by means of e-mail and approved by the Managing Director.

Approval: The Joint Chairman; Business Services (HSEQ Lead) and / or the Managing Director will approve all changes to be communicated. No changes will be distributed without approval.

Storage: The IT department shall provide a secure location for controlled documents relating to Health and Safety, Environment and Quality Systems. This location shall afford access to top management and appointed personnel. This location will be fully controlled by Heads of compliance; Quality Manager.

For the storage of drawing documents, ACE use PDM software in conjunction with Solidworks. PDM (product design management) acts as a secure vault for drawings and design documents, to ensure duplication does not occur, and to provide version control. The software has a fixed workflow which controls document status, which in turn also assists with document security, quality management and inspection history. For more details, please refer to the Workflow Guidelines document.

Protection, retrieval, retention and disposal: All Controlled documents in this area will remain protected by the limited access applied to the folder. Retrieval will be by request to top management from those requiring access to specific documents. Disposal will be by means of archival in the relevant folder. Permanent disposal will be determined by retention rules. Retention will be determined by legislation governing retention of specific records documentation. All other documents will be retained for 5 years. All records will remain legible, identifiable by the naming convention and through location lists and revision data.

Signed:

Stephen Randall
Managing Director