

Documented Information Management Policy

RCCAC-ADM-POL-001

Rev. 1.2

Rockwell Collins CETC Avionics Co., Ltd.

Approval

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Revision History

Revision	Originator	Description	Date
1.0	James Zhang	New Release	06/26/2015
1.1	James Zhang	Added the Signature column in the Approval page	10/12/2015
1.2	James Zhang	1. Replaced “record” as “documented information” per AS9100: 2016 requirements; 2. Added the data protection requirements for the electronic documented information	04/12/2017

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1 Introduction

1.1 Purpose

Specifies requirements and guidelines for managing the life cycle of Rockwell Collins CETC Avionics Co., Ltd. (hereafter referred to as “RCCAC”) Documented Information.

1.2 Applicability

Location: RCCAC, Chengdu, Sichuan, China.

1.3 Requirements Implementation

This policy meets the requirements for Documented Information Management as defined in AS9100: 2016 and ISO 9001: 2015.

1.4 Industrial Standards

Table 1-1 Referenced Industrial Standards

Standard	Description
AS9100: 2016	Quality Management System – Requirements for Aviation, Space and Defense Organizations
ISO9001: 2015	Quality Management Systems - Requirements

1.5 Company Documentation

Table 1-2 Referenced Company Documentation

Document #	Description
RCCAC-QMS-P-000	Quality Manual
RCCAC-QMS-P-901	Quality Documented Information

1.6 Definitions and Acronyms & Terms

1.6.1 Acronyms

Table 1-2 Acronyms

Acronym	Definition
RCCAC	Rockwell Collins CETC Avionics Co. Ltd.
QMS	Quality Management System

1.6.2 Definition

- Documented Information – A document created, received and maintained as evidence of the Company’s operational activities, institutional or individual, that comprises content, context and structure sufficient to provide evidence of that activity, pursuant to a legal obligation, or because of its historical/other long-term value to RCCAC.
- Data – A general term used to denote computer-based documented information. Data provides the content for electronic documented information.

- Document – A single item of recorded information, such as a letter, memorandum, report or form, consisting of one or more pages.
- Duplicate and/or Copy – Informational or operational copies of a document used on an as-needed basis to support ongoing business operations.
- Information – Data endowed with relevance, purpose and value.
- Official Documented Information Copy – The final, officially recorded position of the organization related to the specific content of the documented information.
- Personal documents – Documented Information of a private nature that pertain solely to an employee's personal activities and interests and are not related to the employee's assigned duties or the Company's mission, goals, objectives, or business operations.
- Vital Company Documented Information – Information that is essential to the Company's operations. If lost, damaged, destroyed, or otherwise rendered unavailable or unusable, essential business operations will be curtailed, discontinued, or severely disrupted, with resulting financial losses or other adverse consequences for the Company.

2 Scope

2.1

The purpose of Documented Information Management Policy is to establish common enterprise requirements resulting in:

- improved quality and safety
- decreased costs and sustained efficiencies
- the elimination or reduction of organization-unique requirements and the resultant variation inherent in these multiple expectations
- improved customer satisfaction

2.2

The Documented Information Management Policy is comprised of two parts to enable effectiveness: infrastructure and stewardship. Infrastructure involves building and maintaining the foundation processes, management tools, and discipline necessary for ongoing enterprise documented information management. Stewardship consists of the formal assignment and acceptance of enterprise responsibility for the oversight of QMS documents.

2.3

The Documented Information Management Policy is under the overall direction of the RCCAC General Manager, Chief Technical Officer, and/or Board of Directors and is administered by the Documented Information Management department (if applicable) that is affiliated with Quality department.

3 Policy

3.1

It is the policy of the RCCAC to manage company documented information in a systematic manner over the documented information's entire life cycle and to ensure that every documented information

maintains the basic attributes of the “good documented information” throughout its life cycle. Maintaining documented information in this manner allows RCCAC to ensure their evidentiary value in case of litigation, investigation and /or audit. Those attributes are:

- a) Authenticity – the documented information is what it is purported to be, created by the person purported to have created/sent it, and created at the purported time.
- b) Integrity – the documented information is complete and unaltered.
- c) Reliability – the documented information can be trusted as a full, complete, and accurate representation of the activity/action/fact to which it attests.
- d) Usability – the documented information can be located, retrieved, presented, and interpreted.

3.2

All documented information must be retained, managed and disposed of in accordance with retention periods and guidelines specified in the RCCAC-ADM-S-011 Documented Information Retention Schedule.

3.2.1

The RCCAC-ADM-S-011 Documented Information Retention Schedule specifies the time period documented information must be retained to satisfy regulatory and business requirements.

3.2.2

Documented information must be discarded promptly when their retention period expires.

3.3

This policy applies to documented information created in all media types (i.e., paper, computer, photographic, etc.) and includes all RCCAC computing resources and personal computing devices. Acceptable Use and Monitoring of Computing Resources.

3.4

It is the responsibility of each department and employee to understand and be in compliance with all documented information management documentation.

4 Procedure

4.1 Documented Information initiation and documented information form management

4.1.1

Some documented information can be presented in paper forms. Other documented information is electronic and can be accessed via Google Drive, SVN, or other software systems.

4.1.2

Documented information shall be made clearly, neatly and carefully and shall not be corrected randomly. In case of error documented information for hard copy documented information, the person undertaking correction shall sign and date beside the place where corrections are made.

4.1.3

All documented information shall be made truly and kept properly. No false or forged documented information are allowed.

4.2 Collection and filing management of documented information

4.2.1

The Department who uses the documented information table/forms shall be responsible for labeling, classification and collection of the documented information.

4.2.2

Each Department shall make routine management over documented information, in order to ensure perfect preservation of documented information for future search. Documented information must be placed in retention time and labeled for future reference, so that documented information is used to provide evidence for traceability, verification, prevention and corrective measures. The documented information retention schedule shall be in accordance with RCCAC-ADM-S-011 Documented Information Retention Schedule

4.2.3

Referencing relevant documented information shall be done at the preservation place of documented information of the department with approval from manager of the Department. When it's necessary to borrow documented information, approval of manager of the responsible department is required and documented information shall be returned to the proper place after reading.

4.2.4

Documented information that is borrowed shall not be damaged and lost. Once lost or damaged, the situation shall be reported to the responsible department in time for timely recovery. In case the documented information gets lost, the responsible person shall recover the documented information and have the person initiating the documented information to verify it by signing the documented information.

Filed documented information shall be kept well in proper conditions in order to avoid damage and loss, and easy to take out and put back. Retention time shall be defined in the documented information list and all regulated retention times should be deemed as the shortest term.

4.2.5

Electronic documented information shall be protected from accidental or intentional alteration and from deletion while the documented information still in the retention schedule (see

RCCAC-QMS-S-011 Documented Information Retention Schedule), only authorized personnel shall be permitted to create, capture or purge electronic documented information.

Electronic records shall be preserved without loss of any vital information for as long as required by statutory and regulatory requirements, interested parties' requirements and best practice.

4.3 Disposal of documented information

4.3.1

Retention time of documented information should meet requirements for traceability. For documented information over the retention time, the filing department shall assign relevant person to destroy such documented information.

4.3.2

Documented information of external origin that are necessary for the quality, design, development and production of products shall be identified and a distribution control process shall be established by the function/organization that has cognizance for the receipt of the document.

5 Responsibilities

5.1 Employees

Each employee of is responsible for the following:

- a) Reading and understanding the documented information definition as contained in this policy
- b) Determining what documents created, received, or maintained during the performance of his or her duties are the documented information and properly managing, retaining, and ultimately destroying them in accordance with this policy
- c) Documents not considered documented information must be managed and destroyed in accordance with this policy

5.2 Documented information Management Department

The role of Documented Information Management Department currently is replaced by the Quality Department, is responsible for:

- a) Defining, maintaining, and updating strategies, plans and documentation for systematic management of documented information throughout RCCAC.
- b) Coordinating documented information management strategies, plans, and documentation with other business processes and documentation developed throughout the RCCAC.
- c) Publishing and distributing documented information management documentation, using formats, methods, and technologies appropriate to RCCAC operations.
- d) Assisting in the identification, evaluation and/or development of procedures, guidelines, methods, requirements, etc., for specific documented information management initiatives, such as defining documented information retention requirements, cost-effective storage of company documented information, purging and destruction of obsolete documented information, and convenient retrieval of such documented information.

- e) Assisting all departments in understanding and implementing documentation and processes for documented information relating to their business operations.
- f) Authorizing or assessing specific documented information management issues, systems, technologies, applications, and operations.
- g) Authorizing and/or conducting periodic, comprehensive, or selective audits of all departments and employees to determine compliance with documented information management documentation and practices.