1.0 SECTION ONE - INTRODUCTION

1.1 Purpose

The purpose of this process is to ensure that records which have been identified as evidence supporting the QMS are identified and controlled. This process shall define record identification, storage, protection, retrieval, retention and disposal in order to provide records that remain legible, readily identifiable and retrievable.

1.2 Scope

This procedure applies to all records that have been identified as evidence supporting the QMS.

1.3 Information ‘TURTLE’

Inputs:
♦ Identified QMS records
♦ Changes to requirements for records

Outputs:
♦ Controlled records (secure, retrievable—electronic or hard copy)

Process Requirements:
♦ IT Infrastructure-ECollab

Process Metrics:
♦ Each process owner or delegate reviews his/her Record Management Table (QF-424-01) annually.
♦ Audit findings pertaining to uncontrolled or non retrievable, records. (Target is 0 such findings.)

Human Resources:
♦ Process owners (PO)

Materials & Equipment:
♦ Computers
♦ Physical storage location (if applicable)
♦ Archives

Linked Processes / Documents:
♦ Q1-400-01, section 4.2.4
♦ Q2-423-01, Control of Documents
♦ QF-424-01, Record Management Table Form Template
♦ All overarching and underlying processes
♦ Q3-423-01, Document Format And Revisions
♦ QF-423-05, Q2 Documentation Form Template
♦ QF-423-06, Q3 Documentation Form Template

Associated Records:
♦ Record Management Table
♦ Review decision record
♦ Records in ECollab; and
2.0 SECTION TWO – PROCESS FLOWCHART

Record Development Process

2.1 Process Owner (PO) or delegate: Addition or new requirement identified and confirm requirements

2.2 PO (delegate) New form required to capture record data?

2.3 Apply Control of Documents Q2-423-01

2.4 No

2.5 PO (delegate): Is the record referenced in other controlled documents?

2.6 Yes

2.6.1 Control of Documents Q2-423-01

2.6.2 No

2.7 PO (delegate): Notify staff and create record.

2.8 Control of Documents Q3-423-01

END
Procedural Notes

2.1 Process is initiated with the identified need for record support for the QMS. This may be for a new record or changes to an existing record. Process Owner (PO) or delegate confirms that record contains appropriate information and its association with the target process and is also responsible for determining the appropriate protection, retention time, back-up and retrieval requirements of any appropriate controlled record.

2.2 If a new form is required to enter the record then the Control of Document process should be initiated to create and control the form.

2.3 New Form Template will be developed following the Control of Documents process (Q2-423-01).

2.4 Record control staff will collect and record the required information for a new record on the process’ Record Management Table (QF-424-01). Each process is responsible for its own Master List of Records.

2.5 PO or delegate verifies whether the record is referenced in other controlled documents.

2.6 Process owner or designate revises the appropriate levels of documentation (i.e. process description, relevant work instruction) to reference the information collection, recording and reporting activities associated with record.

2.7 PO or delegate is responsible to ensure that staff requiring access to records has access to the latest revision and are notified of all record control procedures. This includes notification of records deleted from the Record Management Table. A new record is created. PO or delegate will ensure that a systematic review is performed at a frequency appropriate to the record in question. The review will assess the continuing requirement for the record and determine if changes are required to the form, recording procedures, or the retention time. If the PO or delegate decides to delete a record, the Record Management Table (QF-424-01) shall be revised.

Remark: Environment does not yet have authorization from Library and Archives Canada (LAC) to delete documents and records that pertain to activities that are specific to the department. This means that a record that is no longer useful (whose retention period has expired) must be archived until the department obtains from LAC the authorization to dispose of the record.

2.8 If the PO or delegate identifies a requirement for a new record or changes to an existing record, the Document Development Process is initiated. A record of decisions for the record review process shall be created. Ensure that all related links or references to the record have been updated in all related procedures or instructions. Retention and archival of electronic records are managed through ECollab. All information must be stored in accordance with information management guidelines and policies. A record of decisions for the record review process shall be created. Reference: Q3-423-01, Document Format And Revisions.

3.0 SECTION THREE - SUPPLEMENTAL INFORMATION

3.1 Procedural Responsibility

Staff - any EC employee

PROCESS OWNER (PO) – Individual responsible for the process or designate

Record Control – employee responsible for the QMS document control for a given process
3.2 Definitions

Quality Management System (QMS) Record – document stating results achieved or providing evidence of activities performed

4.0 SECTION FOUR - DOCUMENT HISTORY

Detailed History of Changes

<table>
<thead>
<tr>
<th>Rev#</th>
<th>Date</th>
<th>State</th>
<th>Initials</th>
<th>Description of Changes</th>
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<tr>
<td>1A</td>
<td>2006-12-15</td>
<td>Approved</td>
<td>AM</td>
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<tr>
<td>2Dv01</td>
<td>2007-05-17</td>
<td>Draft</td>
<td>EB/AM</td>
<td>Revisions following audit/PO meeting (French translation, document review)</td>
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<tr>
<td>2A</td>
<td>2007-05-23</td>
<td>Approved</td>
<td>JSC</td>
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<tr>
<td>3Dv01</td>
<td>2010-01-03</td>
<td>Draft</td>
<td>MG</td>
<td>Added some suggested changes to guide Irina for changes required to reflect ECollab</td>
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<tr>
<td>3A</td>
<td>2010-03-22</td>
<td>Approved</td>
<td>EM</td>
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<tr>
<td>4A</td>
<td>2011-03-22</td>
<td>Approved</td>
<td>PT</td>
<td>Process owner changed to Alain Boisvert. No other change.</td>
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<tr>
<td>5A</td>
<td>2012-06-21</td>
<td>Approved</td>
<td>PT</td>
<td>Added a remark to Procedural Note 2.11 regarding authorization to dispose, plus a few minor corrections</td>
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<td>6Dv01</td>
<td>2013-01-23</td>
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<td>LCD</td>
<td>Added the document Q3-423-01, QF-423-05, QF-423-06 to this process. Document revised to ensure that it reflects all WES/WSC documentation procedures; clarification of notes and other matters concerning documents.; reduced the flowchart from 2 pages to 1 page; removed a big part that didn’t reflect the recent updates of QMS.</td>
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<tr>
<td>6Dv02</td>
<td>2013-01-25</td>
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<td>Minor changes in the section “Information TURTLE”. Organized the Procedural Notes.</td>
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<tr>
<td>7Dv01</td>
<td>2014-01-27</td>
<td>Draft</td>
<td>EH</td>
<td>Updates to ecollab links and changes to connectors in flowchart.</td>
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<td>7A</td>
<td>2014-01-27</td>
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<tr>
<td>8A</td>
<td>2015-04-20</td>
<td>Approved</td>
<td>AB</td>
<td>Reviewed and maintain status quo, process subject to change due to release of ISO 9001:2015 standard. Proposal to potentially merge with Q2-423-01 Control of Documents common process.</td>
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<td>9A</td>
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<td>Updated information turtle to make linkage to EC File Plan</td>
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