



RFM

Procedure 8:

Document Control and Record Management

*Alaska Responsible Fisheries Management (RFM)
Certification Program
17065*

Procedure 8: Document Control and Record Management

1. Purpose

This procedure is of key importance as it describes the method by which the controlled copies of the RFM Quality Management System (QMS) documents are changed, approved, issued and maintained in a condition which reflects current practice, and how RFM records are maintained.

2. Scope

Management of Document Control of the Quality Management System is the responsibility of the Sustainability Director. RFM documents are graded into three tiers as listed below:

a) Tier 1: Policy, Standards and Key Document Control

Document	Change Recommendation Lead	Approval By
Quality management System	RFM Committee	ASMI Board
RFM Procedure 8	RFM Committee	ASMI Board
RFM Fishery Standard	RFM Conformance Criteria Committee	ASMI Board
RFM Chain of Custody Standard	ASMI Technical Committee	ASMI Board

b) Tier 2: Scoring and RFM Processes

Document	Change Recommendation Lead	Approval By
RFM Scoring Guidance	RFM Conformance Criteria Committee	ASMI Board

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RFM Procedures 1-7, 9-10	RFM Team/RFM Committee	ASMI Board
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c) Tier 3 - RFM Forms, Factsheets and Recording Templates

Document	Change Recommendation Lead	Approval By
RFM Templates and Training Materials	RFM Team/RFM Committee	Sustainability Director

Issue review and update controls will be applied to all of RFM's Quality Management System documentation to show that the documents have been issued after approval. All relevant QMS and Procedure documents will be available on the ASMI website.

3. Method

3.1 Issue Management

Master copies of both current issue and immediate superseded issue will be retained in either electronic or hard copy form by ASMI, under the direction of the Sustainability Director. Where documents are signed these shall be held as hard copy.

Program Standards and Scoring Documents will be identified by issue number and/or date.

3.2 Issue Notification

The Sustainability Director shall also be responsible for ensuring that Certification Bodies and Accreditation Bodies are informed and directed to the ASMI website for the current issue of relevant Quality Management System Procedures and any guidance notes relative to the Program.

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3. Method (continued)

3.3 Review and Update

Policy and Control

As part of an annual Quality Management System Review, the above documents will be reviewed at least once per year, but may be changed under authority of the ASMI Board at any time, to reflect current best practice.

As part of the annual review the ASMI Sustainability Director will engage an expert party to review the operation of the Quality Management System according to documented procedure. This may lead to suggested amendments.

The Sustainability Director and RFM Team are responsible on a daily basis for the maintenance of the Quality Management System.

Proposed changes to the Policy, Procedures and RFM Standards can only be made under the authorization of the relevant party listed above for each key document.

Program Standards and Scoring Documents

Where applicable, (minimum five years), the Sustainability Director shall ensure that RFM Program Standards are reviewed by the RFM Conformance Criteria Committee and associated Scoring documents are updated accordingly, in accordance with Standards Development and Review or following change to relevant Regulatory/Legislative requirements.

Following approval by the ASMI Board, the Sustainability Director shall reissue amended documents in accordance with the Register of Controlled Documents.

Translation

As an international marketing organization, ASMI retains the services of translation experts who can translate the RFM Standards on request.

Any request will be forwarded to the Sustainability Director. The Sustainability Director will engage a contract translator to translate the required document into the requested language.

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The draft translated document will be checked internally by ASMI Overseas Marketing Representatives (OMRs) to ensure accuracy with the original document. Once the OMR confirms the accuracy of the document translation, the Sustainability Director will issue the document and post the document on the ASMI website.

The Sustainability Director will be responsible for ensuring that any updated Standards are re-translated and issued accordingly.

Forms

ASMI directs the approved Certification Bodies to create their own RFM Forms. To assist with consistency ASMI may provide on request form templates.

The need for and content of Form templates will vary and as such the ASMI Sustainability Director will be responsible for overseeing the development of suitable forms.

Where a form is to be used to collect information relative to the certification process (e.g. template Application forms, assessment report forms etc.) then a listing of such forms shall be maintained in an RFM Program Specific Forms Folder.

The list shall identify the form name and number, along with the current issue number and date.

The ASMI Sustainability Director shall be responsible for ensuring that only the current issue of a form template is available for use.

The Annual Review will check the effectiveness of Certification Body and ASMI Recording forms.

Change Identification within the Quality Management System

Policy Component

Changes to the QMS may be made identified either as:

- a) a complete re-issue of the Component which will result in an Issue Number change

-or-

- b) Amendment to individual sections, which will result in a Revision Number change to that manual.

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An amendment record indicating the changes made will also be included at the back of the Manual.

RFM Program Standards

Small changes relative to grammar and specificity to the Program Standards will result in a revision change of the Standard which will require a Revision Number Changed

Major changes to the Program Standards may result as a complete re-issue of the Standard, which will require an Issue Number change.

An amendment record indicating the changes made shall also be included at the back of the document.

Scoring and Rules

Changes to the RFM Scoring and Rules and Regulations will require an Issue Number change.

An amendment record indicating the changes made to Regulations will also be included in the Policy and Procedures Manual folder.

Forms and Checklists

Changes to forms shall be identified by issue number and date.

4. Record Management

The Sustainability Director shall be responsible for ensuring a master file of all documents is maintained and document control will be verified through an annual review. Records will be maintained by ASMI, either on a shared drive, or hard copy.

Key Records include:

Committee Management Records

- a) Signed Terms of Reference (TOR)
 - o ASMI Board
 - o RFM Committee and Sub-Committees
 - o RFM Conformance Criteria Committee
 - o ASMI Technical Committee
 - o TOR Amendment Records

- b) Minutes of Meetings

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- c) Schedule of Work
- d) Committee Review Reports

Quality Management System

- a) Current QMS
- b) Internal Review Reports
- c) Superseded QMS
- d) Change Agreements
- e) Current Procedures
- f) Superseded Procedures
- g) Internal Review Reports
- h) Change Agreements
- i) Complaint Management records

RM Standards Management

- a) Current issue of Standards and Scoring
- b) Superseded issue of Standards and Scoring
- c) Current Program of Work
- d) Superseded Program of Work
- e) Public comments and responses
- f) Complaints

Certification Body Management

- a) CB Approval Agreements
- b) CB Quality Management Systems
- c) CB Templates
- d) CB Review Reports
- e) CB Assessors

Accreditation Body Approval

- a) AB Approval Agreements and/or MOUs
- b) AB Review reports

Certified Clients

- a) List of Certified Clients / Fishery and related CB
- b) List of Certified Clients / Chain of Custody and related CB
- c) List of RFM Seal Use and Approvals
- d) Seal Monitoring Reports