CONTROL OF QUALITY RECORDS

1.0 PURPOSE

To define the method for the identification, collection, indexing, filing, access, storage, maintenance and disposition of quality records.

2.0 SCOPE

Records used to demonstrate conformance to specified requirements and the effective operation of the quality system. This includes both records generated by Eaton and suppliers as applicable.

3.0 APPLICABLE DOCUMENTS

Eaton Record Retention Policy Manual

4.0 GENERAL

4.1 Specific requirements for the generation of quality records are defined in the applicable procedures (e.g. Quality Control Procedure (QCP) and Standard Operating Practice (SOP) etc.).

4.2 All records must be legible, permanent, and non-erasable.

4.3 Records shall be maintained in a manner that they are readily retrievable and contained in a suitable environment to prevent damage or deterioration.

4.4 Where contractually required, records are made available for evaluation by the customer or the customer's representative for the required period.

5.0 SHORT TERM RETENTION

5.1 User areas at Eaton have a need to maintain recent records in their area to ensure they are readily retrievable. This retention of records is considered short term and is generally the current year's and the previous year's records.

The user areas are responsible for the generating and maintaining of records prior to the records being sent to long term retention.

5.1.1 Short term retention may include storage in the identified record retention staging area.

5.1.2 The user areas are responsible for retaining records in a manner to ensure they are readily retrievable and are protected from damage and deterioration.

5.1.3 The user areas are responsible for ensuring that records in short term retention are protected from loss or improper removal by limiting access to the records to personnel with a legitimate need, as

determined by the user area.

5.2 Repair Station – Short term Customer Build Records, (records less than two years old) will be kept in the Maintenance Repair and Overhaul (MRO) Record Storage Area (a secured location in the Repair Station).

6.0 LONG TERM RETENTION

6.1 The procedure for entering records into long term retention and the control of long term record retention are described in the Eaton Record Retention Policy Manual.

6.2 Retention times for specific records are defined in Table 1, unless otherwise specified quality records shall be retained for 10 years. In no case shall the retention time be less than seven years after final payment on the associated contract. In no case shall the retention time be less than the life of the engine type certificate plus two years.

6.3 Repair Station – Long-term Customer Build Records (records greater than two years old) will be kept in the secured long-term storage area (Y2 – Basement).

ϕ 7.0 RECORD MANAGEMENT PLAN

Table 1 indicates types of quality records generated and/or maintained by Eaton. Table 1 also identifies the function responsible for the short term storage and maintenance of the record, minimum retention period, and the indexing method utilized.

TABLE 1

TYPE OF RECORD	SHORT TERM RETENTION AREA/FUNCTION	MINIMUM RETENTION PERIOD	INDEXING METHOD
Management Reviews	Quality Files	15 Yrs.	Chronological
Contract Reviews	Program Coordinator	Active + 15 Yrs.	Customer Purchase Order
Design Reviews	Engineering Dept. Files	15 Yrs.	Model Number
Approved Supplier and Special Processors List	Supplier Quality	Permanent	Alphabetical by Supplier
Supplier Audits	Supplier Quality	Permanent	Alphabetical by Supplier
Purchase Orders	Purchasing Dept.	Active + 15 Yrs.	Part Number
Customer Supplied Material	Customer Service	15 Yrs.	Part Number/ Serial Number/ Work Order

Government Supplied Material	Lists-Property Administrator Unsuitable Property Correspondence Audits-Manufacturing Eng.	Lists- 15 Yrs. Audits- 15 Yrs.	Lists- Program/Contract No. Audits-Part Number
Customer Build Records	MRO Record Storage Area	15 Yrs	By Ship Date / Serial No.
Product Servicing	Customer Service	15 Yrs.	Part No./Serial No./ Work Order
Machining Equipment Approvals	SPC Engineers	Life of Equipment	Equipment Identification
Solder Personal Qualification	Solder Examiner's Files	15 Yrs.	Employee Name
Solder Equipment Calibration	Instrument Calibration	15 Yrs.	Instrument Identification Number
NDT Personal Qualification	NDT Examiner's File	15 Yrs.	Employee Name
NDT Equipment Calibration	Instrument Calibration	15 Yrs.	Instrument Identification Number
NDT Material Qualification	NDT Examiner's Files	15 Yrs.	Chronological
NDT Systems Evaluations	NDT Department Files	15 Yrs.	Chronological
Plating Personal Qualification	Human Resources	Active Employment or 15 Yrs.	Employee Name
Plating Oven Qualification	Manufacturing Eng.	Life of Equipment	Equipment Number
Plating Materials Qualification	Materials Laboratories	15 Yrs.	Chronological/ S.C. Number
Heat Treat Personal Qualification	Human Resources	Active Employment or 15 Yrs.	Employee Name
Personnel Training	Human Resources	15 Yrs.	Employee Name
Heat Treat Equipment Qualification	Manufacturing Eng.	Life of Equipment	Equipment Number
Risk Releases	Receiving Inspection	15 Yrs.	Part Number with Receiver
Characteristic Inspection Reports	Applicable Cell Files	15 Yrs.	Part Number

Certified Operator Log Sheets	Applicable Cell Files	15 Yrs.	Part Number
NDT Inspection Logs	Housing Cell Files	15 Yrs.	Month/Part Number
Acceptance Test Data and Assembly Build Record	Assembly Cell files	Permanent	Model / Pump Serial Number
Test Stand Qualification	Test Building- Test Stand History File	15 Yrs.	Test Stand Number
Calibration Master List	Gages -TMS Instruments-FOCUS	Current	Gage/ Instrument Number
Gage Calibration	TMS System	15 Yrs.	Gage Number
Instrument Calibration	Instrument Calibration	15 Yrs.	Instrument Number
Inspection/Test Stamp Log	Manufacturing Quality	15 Yrs.	Function/ Stamp Number/ Employee
Inspection Status/ Manufacturing Records	WDS Mainframe	15 Yrs.	Work Order Number
Rework / Salvage Logs	Applicable Cell Files	15 Yrs.	Part Number
Nonconformance Reports	Manufacturing Quality	15 Yrs.	Year / Part Number
Supplier Material Review Board	Supplier Quality	15 Yrs.	Year / Supplier / MRBA Number
Corrective/ Preventive Action	Cell CAB Library	15 Yrs.	Corrective Action Notice Number
Product Investigation Reports	Reliability Engineer's Files	15 Yrs.	P.I.R. Number
Shipping Records	Ship Bench	15 Yrs.	Program/ Model No./ Serial No.
Internal Audit Schedule	Quality Office	Current Year & Rev.	Year/ Latest Revision
Internal Audits	Quality Office	15 Yrs.	Year / Audit Number
Qualification / Training	Human Resources	Active Employment or 15 Yrs.	Employee Name
Servicing	Customer Service	15 Yrs.	Part Number/ Serial Number/ Work Order
Engineering Orders (E.O.'s)	Engineering	15 Yrs.	Part Number/Revision Level

Manufacturing Drawing Approvals	Manufacturing Engineering Print Room	6 Months	Part Number/Revision Level
Manufacturing Traveler	With Product (While in Production)	Discard At Completion	N/A
Customer Concessions	Quality Planning	Permanent	Customer/ Chronological
Plating Logs/Records	Plating Department	15 Yrs.	Chronological
Weekly Oven Probe Checks	Posted on Ovens	15 Yr.	Chronological
Furnace Logs/Charts	Gear / Shaft Cell	15 Yrs.	Chronological
Quality Cost Reports (MR-5)	Quality Files	15 Yrs.	Chronological
Engineering Design Records	Engineering Department	Permanent	Program
Alternative Part Marking Authorization Form	Initiating Cell	Discarded when incorporated in drawing	With part number drawing
Quality Plans	Quality Files	15 Years	Model Number
Quality Records Generated By Supplier	Supplier Facility	10 Years	Part/Work Order Number
Six Sigma Records	Six Sigma Steering Team Files	10 Years	Chronological
Preventive Action Forms	Quality Files	15 Years	Chronological
Customer Surveys and KAPI Reports	Quality Files	10 Years	Chronological
Supplier Engineering Design Records	Supplier Facility	Life of engine type certificate plus two years	Part / Model Number
Engineering Test Lab Pump Test Data	Engineering Test Lab files	Permanent	Model Number / Pump S/N #
First Article Inspection Records	Quality Auditor/FAI Coordinator files	Permanent	Part Number
RR Airworthiness Certificates	Quality Office / DMIR	Permanent	Chronological
FAA 8130-3 Airworthiness Approval Tag	Quality Office / DMIR ϕ	5 Years	Chronological

TABLE 1

TYPE OF RECORD	SHORT TERM RETENTION AREA/FUNCTION	MINIMUM RETENTION PERIOD	INDEXING METHOD
Software Retention	User Area	10 Years	Part Number/ Revision Level
Source Change/Work Transfers	Quality Files	15 years	Part Number
Servicing	Inglewood MRO	Two Years	Part Number/Serial Number/Work Order
Visual Acuity	Human Resources	15 Years	Employee Name

Note: For electronic records transferred from computer file, the storage media shall be capable of maintaining data integrity for the full retention period.