



SHUR-LOK COMPANY

SPS Fastener Division, a **PCC** Company

QUALITY ASSURANCE INSTRUCTIONS

QAI 1001

DOCUMENT & SPECIFICATION CONTROL

Rev Z

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1.0 PURPOSE:

To define the instructions and responsibilities for generating, revising, and maintaining internal and external specifications, documents and forms used in the manufacturing, testing and inspection of Shur-Lok Company (SLC) products.

2.0 SCOPE:

This QAI applies to the following:

- Internal Procedures
- External Specifications
- External Drawings
- DOES NOT Cover Shur-Lok Drawings

3.0 GENERAL

- 3.1 **Unauthorized Markings:** Controlled documents are not to be altered except through the established procedures. Specifically, no one is to make unauthorized markings on any documents (i.e. shop floor documents) for the purpose of making or accepting product.
- 3.2 **Changes:** No verbal or written instructions by any person at any level in the organization may override an existing approved specification or instruction. There is absolutely no exception to this policy.
- 3.3 **Accessing Documents:** Internal documents can be accessed for viewing through Shur-Lok's Manufacturing Accounting and Production Information control System, XA Power Link. External documents are available in Shur-Lok's shared file folders. Only document control can update the external document files.
- 3.4 **Local Storage:** Copies of documents stored in work areas are considered for reference only and shall not be used for manufacturing or inspection unless the revision has been validated against master files at the time of manufacturing or revision.

4.0 EXTERNAL DOCUMENTS:

- 4.1 **External Documents:** Identified as, but not limited to, customer drawings, customer specifications, industry specifications, etc.
- 4.2 **Removed.**
- 4.3 **Received Documentation:** It is the responsibility of any department receiving externally issued documentation to submit that documentation to Engineering Document Control for review.



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- 4.4 **Department Review:** Review of documents is conducted per 4.6.
- 4.5 **Engineering Document Control:** Engineering Document Control is responsible for the document review coordination to: verify appropriate review; maintain and distribute all Shur-Lok Company controlled externally supplied documentation.
- 4.6 **Document Review:**
- 4.6.1 External drawings are forwarded to the responsible Product Engineer for review. The Product Engineer is responsible for reviewing and updating as required any internal drawings and procedures that are affected by the revision. After review, the Product Engineer updates the cross reference system per PPI9003 as evidence of completion of review.
- 4.6.2 For external documents other than drawings, Document Control will receive the new revision and fill out the top section of Form SL21235. Document Control will then examine what changes were made to the document and determine the other personnel who will need to review the revised document. To ensure compliance, the process owner for this document and a member of the Quality department should be included on all revisions. Additional reviewers can be added as necessary. Document Control will email the new document revision along with Form SL21235 to each required reviewer. Each reviewer should return Form SL21235 to Document Control within 10 working days. Document Control will upload the new revision per Para 4.7 after receiving the completed Form SL21235 from each reviewer. Document Control will also retain copies of the completed Form SL21235.
- 4.7 **Document Location:** A master copy will be filed in the Shur-Lok Company shared files directory (i.e. F:\SPECS).
- 4.8 **Obsolete or Superseded:** When a document or specification becomes obsolete or is superseded by a newer revision, the obsolete or superseded version of that document is then stamped "Obsolete" and moved into its corresponding Old Revs shared file folder. This indicates that the document is either obsolete or superseded.
- 4.9 **Latest Revision:** Prior to the use of an external specification for manufacturing, test or inspection, it is the user's responsibility to verify the latest revision in his or her possession by checking the database on the network.
- 4.10 **Suppliers:** External specifications/documents that are sent to suppliers for processing or testing on Outside Supplier Purchase orders are handled by Quality Control per QAI 4002. External specifications/documents are not issued to suppliers working to an open purchase orders per QAI 4004.
- 4.11 **Overhead Documents:** flowed down from corporate mandates and/or procedures shall be reviewed by the quality department and added/modified to the internal document control system.



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Revisions to the overhead document shall be made congruently with internal changes made per QAI 1001.

5.0 INTERNAL DOCUMENTS:

5.1 **Initiator:** Internally generated documents and forms may be initiated by any individual within the company when there is a need to establish, clarify or revise a policy, procedure, process or inspection method.

5.2 **Custodial Responsibility:** for internal documents is as follows:

<i>DOCUMENT</i>	<i>CUSTODIAL RESPONSIBILITY</i>	<i>ASSIGNMENT OF NUMBERS (Department)</i>	<i>MASTER FILE LOCATION (File)</i>
QAI	Quality Engineering	Quality	I/ SLDOCS/ MASTER
IMS, MPS, CCM, WAI, TSB	Product Engineering	Engineering Document Control	I/ SLDOCS/ MASTER
PPI	Human Resources / Marketing	Engineering Document Control	I/ SLDOCS/ MASTER
QAM	Quality Assurance	Quality	I/ SLDOCS/ MASTER
WSI	Manufacturing Engineering	Engineering Document Control	I/ SLDOCS/ MASTER
Company Forms	Quality Assurance Documentation	Quality	I/ SLDOCS/ MASTER
Process Sheets	Manufacturing Engineering	Manufacturing Engineering	F/ MFG_PLANNING

The group with responsibility coordinates the review and approval cycle of their documents.

5.3 **New or Revised:** All new or revised internal documents and forms are created electronically on the standard format using the company word processing software and shall be written in English. The original and current document is stored electronically in the limited access Master shared file folder. Each document has a revision record page to show the changes that were made to the previous version.

5.4 **Released Document:** The official Released internal document is the electronic version of the document and is located in the company limited access shared files Master folder. Document can be viewed by anyone through XA Power Link or the company intranet link.

5.5 **Forms:** Forms are identified by a form number and a date on the bottom of the form. There is no formal revision record for forms. If a form is still in draft mode, it shall still be assigned a form number prior to use with the annotation “(DRAFT)” after the form number. Upon finalization of the form design, the annotation shall be removed.

5.6 **Uncontrolled:** All printed copies of documents are considered Uncontrolled unless issued to a specific shop order.



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- 5.7 **Notification:** Engineering Document Control issues an e-mail memo to the e-mail group "SLC-Documentation Notification" notifying everyone that a document has been created or has been revised. Users of those documents can then evaluate the extent to which the new document or revision affects them.
- The creation or revision of a form does not require e-mail notification.
- 5.8 **Latest Revision:** Unless otherwise specified on the SLC or customer drawing, or on the customer contract, any external specification or document that is referenced in an internal document is considered the latest revision. (See 3.3 for accessing documents.)
- 5.8.1 The date in which the latest revision becomes active is the day it becomes available electronically when uploaded into XA Powerlink or added to the external document directory. This date shall be noted in the applicable field in XA Powerlink. Documents subject to this requirement are those revised on or after the release of QAI 1001 Revision U.
- 5.9 **Obsolete or Superseded:** When a document or specification becomes obsolete, the Powerlink document directory listing is revised to show "OBSOLETE" in the status column and the linked PDF document is stamped "OBSOLETE". If a document is superseded, the Powerlink directory listing is updated and linked to the new revision. Old revision are moved to a limited access file for reference only.
- 5.10 Obsolete and/or revised forms are eliminated from the area of use by the individual in that area that requested the new or revised form. The removed forms are discarded in the recycle area.
- 5.11 **Document Review & Approval:** When a document has been created or revised, the revision page may contain at a minimum, one or two other individuals besides the originator of the document to review and approve the document. These people will have experience in the area the procedure is related. The reviewer must verify that the document is as complete as possible and contains no grammatical or typographical errors. Their signature on the revision page will be written.
- 5.11.1 When applicable per section 5.2 and when listed on the revision page, the Process Engineer and/or Director of Quality shall review the document to ensure compliance to all applicable customer requirements and Nadcap requirements. Subjective requirements will be identified and quantified internally as necessary to ensure a determined criteria for compliance. Any changes required to be notified to the customer from these changes shall be made after the review of the new or revised document is completed and signed.
- 5.11.2 When applicable per section 5.2 and when listed on the revision page, the Director of Engineering and/or the Product Engineer shall review any drawings and specifications, when applicable, that may be affected by the new or revised procedure before signing the document.



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- 5.11.3 **Outside Source Approval:** When a document requires the approval of an outside source – either a representative from a company or a contract personnel such as the NDT Level III – electronic approval via email will be considered the approval and signature of such an individual and will be treated the same as obtaining a written signature on the document.
- 5.11.4 **Grammatical or Typographical Errors:** If a grammatical or typographical error is found in a released internal document or form, it will be the Custodian of that document to determine whether a new revision of the document must be created and released or if the error(s) will be corrected and the current revision of the document is re-released.
- 5.11.5 **Periodic Review:** All active internal documents are reviewed at least every three years for continued use. Any document that is no longer in use will be identified per 5.9. A master list of documents will be used for this review. The master list will be updated when there is a new document or revision, or when a document has become obsolete. The master list will include, at a minimum, the document number, the document name, the document revision, revision date, and document status (active/obsolete).
- 5.12 **Web Access Point Documents:** Certain internal documents are made available to outside users via posting to the Shur-Lok website, www.shur-lok.com. When such a document is to be provided through this website, the signature page shall contain the following note box:

NOTE: This is a web access point document. Any revisions require uploading per QAI1001

When the Web Access document is revised, the signed pdf version is attached to a web help desk request to upload the document and replace the existing document. When the help desk ticket is closed confirming that the document has been uploaded, the internal files are updated and the revised document is released.

6.0 DOCUMENT STORAGE AND PROTECTION:

- 6.1 **Reference Documents:** CCM 3001 Document Release Procedure – Customer Document Review, CAD Document Control, and Computer Revision Entry.
- 6.2 **Document Storage:** All documents shall be stored in a secure limited access shared network file folders that can only be accessed by authorized personnel. Hard copy versions of original documents are stored in the Engineering Vault.



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7.0 ACCESS TO DOCUMENT FILES:

7.1 **Access to Hard Copy Document Files:** limited to authorized personnel as designated by the Director of Engineering.

The following personnel have been authorized by the Director of Engineering:

- Manufacturing Engineers
- Operations Director
- Sales Manager
- Director of Quality Assurance
- Quality Assurance Supervisor
- Quality Assurance Engineers
- Engineering Staff
- Additional individuals may be authorized at the discretion of the Director of Engineering.

7.2 **Access to Shur-Lok Company History Files:** limited to Engineering and Document Control staff.



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REVISION RECORD:

Rev	Date	Change
V	10/31/2016	Para. 4.6: Removed Document Review Stamp. Para. 4.6: Updated Document Review procedures. Para. 5.11.5: Added Periodic Review. Para. 5.12: Added Web Access Point Documents. Para. 8.0: Removed Document Request Procedure
W	03/23/2017	Add section 4.6.3 to clearly state to meet customer requirement.
X	4-OCT-2019	5.11.1 Nadcap Requirements Review Added.
Y	22-APR-2022	Para 4.6.2: Revised process to include use of Form SL21235 to assist in document review process. Para 4.6.3: Removed, consolidated with revised 4.6.2 Para 5.11.5: Added master document list
Z	07/28/2023	Para 5.3: Added requirement that documents shall be written in English.

Approvals:

Sr. Quality Engineer Michael Mohorich	Quality Manager Samuel Beck	Director of Quality Peter Billante
7/28/2023	7/28/2023	07/28/23