

ETA-NAC001

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Control, Close-out and Storage of Documentation

Prepared by

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TABLE OF CONTENTS

| | | |
|------------|---|----------|
| 1.0 | Objectives | 3 |
| 2.0 | Purpose | 3 |
| 3.0 | Documentation | 3 |
| 4.0 | Initial Conditions and Prerequisites | 4 |
| 5.0 | Activity Requirements | |
| 5.1 | Temporary Storage | 5 |
| 5.2 | Permanent Storage | 5 |
| 6.0 | Supplemental Activity Requirements | |
| 6.1 | Distribution | 7 |
| 6.2 | Destruction | 7 |
| 7.0 | Glossary | 8 |

Appendices

| | |
|--|-----------|
| Appendix A - Document Close-out/Retention Rider | 10 |
|--|-----------|

1.0 Objective

The objective of this procedure is to identify proper methods for the control of records during and subsequent to testing activities. These methods are not meant to supersede those of any testing facility, nor of any regulatory agency who may have or exercise control over the covered activities.

2.0 Purpose

This procedure identifies acceptable methods for the development, use, completion and retention of documents prepared in support of performance testing of vehicles provided to Electric Transportation Applications for testing to the technical requirements of NEV America.

3.0 Documentation

Documentation addressed by this procedure shall be consistent, easy to understand, easy to read, and readily reproducible. This documentation shall contain enough information to “stand alone;” that is, be self-contained to the extent that all individuals qualified to review it could be reasonably expected to reach a common conclusion, without the need to review additional documentation.

4.0 Initial Conditions and Prerequisites

- 4.1 All documentation required to complete the testing identified in the contract/proposal/technical guidelines shall be completed, approved and issued prior to commencing the testing it addresses.
- 4.2 A system for storage of records during testing activities shall be identified and completed prior to starting testing.
- 4.3 A system for the permanent storage of records, if different than those presently in place, shall be identified and completed prior to the need becoming evident.
- 4.4 Personnel who have cognizance over this system shall be familiar with the system prior to it becoming "operational."
- 4.5 A Program Manager or Test Manager shall be assigned overall responsibility for retention of any documents that will be retained pursuant to this procedure.

5.0 Activity Requirements

5.1 Temporary Storage

Temporary storage is defined as safekeeping or storage of records that are still active, either because they are in process and not yet complete, or because the process they are associated with has been suspended. If the suspension period is greater than thirty (30) days, the record shall be considered closed, the document completed and forwarded for permanent storage per section 5.2 of this procedure.

5.2 Permanent Storage

Permanent storage is defined as retention of records for one (1) year beyond their final signature date or the end of the test program, whichever is later. All formal documents generated as a result of testing will be permanently retained according to this procedure, unless otherwise controlled.

All documents which fall under this procedure shall be handled according to the following requirements:

5.2.1 Following completion of a document, it shall be forwarded to the Document Administrator for processing and close-out.

5.2.2 The Document Administrator shall review the document for the following:

5.2.2.1 All blanks and spaces requiring an input are filled out. Where no entry is required, an "N/A" shall be inserted.

5.2.2.2 All corrections have been effected by single strike-through, initialing and dating, and there are no erasures or whiteouts.

5.2.2.3 All signatures have been affixed.

5.2.2.4 All entries are legible, and dark enough to support reproduction.

5.2.3 Any submitted document that does not meet these requirements shall be returned to the submitter for correction, prior to being either reproduced or placed into permanent storage.

- 5.2.4 Document retention may be in any of several formats, including, but not limited to:
 - 5.2.4.1 Original document hard copy.
 - 5.2.4.2 Microfiche copy of the original document.
 - 5.2.4.3 Microfilm copy of the original document.
 - 5.2.4.4 Computer disc of the original data, as long as the original signatures associated with the are retained in hard copy or film format.

6.0 Supplemental Activity Requirements

6.1 Distribution

- 6.1.1 Distribution of the original documents or copies of the documents should be controlled to ensure that only appropriate individuals receive them.
- 6.1.2 Individuals not associated with the NEV America Project, either directly or indirectly (such as by contract or sub-contract), shall not have access to incomplete documents.
- 6.1.3 Manufacturer's representatives shall not be provided with or given access to incomplete documents, regardless of the vehicle's manufacturer.
- 6.1.4 Subsequent to a document's completion (including signatures, as required), the document may be released to non-involved parties if agreed to by all parties so contractually bound.

6.2 Destruction

Destruction of original documents is not permitted. The Program Manager will be solely responsible for authorizing exceptions, as stipulated by this procedure. Exceptions will not be granted unless: specific approval has been given, the documents have been completed, and the following conditions also exist:

- 6.2.1 The original documents have been successfully copied into another medium, and the original signature pages are being retained; OR
- 6.2.2 One year has passed since the contract expired (section 5.2); AND
- 6.2.3 One year has passed since the completion of the document (section 5.2).

In addition, it shall be noted by the Administrator that the record was no longer needed, and that destruction of the original was justified. Any time a question exists as to the need to retain a document, an exception WILL NOT be granted.

7.0 Glossary

- 7.1 Correction - The act of changing a datum or data. The only approved method to change an entry or notation is to strike through the entry with a single horizontal line, and write the initials of the person making the correction, along with the date the correction was made. The correct information shall be placed immediately adjacent to the entry which was struck through.
- 7.2 Distribution - The presentation of any document to individuals or groups other than those directly involved in the document's generation and completion.
- 7.3 Document Administrator - The individual tasked with the maintenance and storage of records as stipulated by this procedure. This individual may be a member of a sub-contractors staff, or may be a member of Electric Transportation Applications assigned this function as a primary or collateral duty.
- 7.4 Permanent Storage - Any record that has been deemed to be complete and less than one (1) year has passed since either the end of its' governing contract, or the affixing of its' final completion signature.
- 7.5 Program Manager - As used in this procedure, the individual within Electric Transportation Applications responsible assigned overall responsibility for completion of NEV America Performance Testing. [Subcontract organizations may have similarly titled individuals; however, they are not bound by this procedure, except for documents and as otherwise specifically noted.]
- 7.6 Shall - Items which require adherence without deviation. Shall statements identify binding requirements. A go, no-go criterion.
- 7.7 Should - Items which require adherence if at all possible. Should statements identify preferred conditions.
- 7.8 Temporary Storage - Safekeeping or storage of records that are still active (not completed), either because they are still in process and not yet complete, or because the process they are associated with has been suspended for less than thirty days.
- 7.9 Test Director - The individual within Electric Transportation Applications responsible for all testing activities associated with the NEV America Performance Test Program.

7.0 Glossary (continued)

- 7.10 Test Engineer - The individual(s) assigned responsibility for the conduct of any given test. [Each contractor/subcontractor should have at least one individual filling this position. If so, they shall be responsible for adhering to the requirements of this procedure.]
- 7.11 Test Manager - The individual within Electric Transportation Applications responsible for the implementation of the test program for any given vehicle(s) being evaluated to the requirements of the NEV America Performance Test Program. [Subcontract organizations may have similarly titled individuals, but they are not addressed by this procedure.]
- 7.12 Whiteout - The use of a whitening or correction fluid, or correction tape, to change a previous notation, entry, signature, date, etc. These are not permitted. See the definition for Correction.

APPENDIX-A

Electric Transportation Applications

DOCUMENT CLOSE-OUT/RETENTION RIDER

Document Name/Title:

Document Number:

Receipt Date:

Y Y M M D D

Original Attached: Yes No

Original Destroyed: Yes No

Retention Format:

| | | |
|----------------------|------------------------------|-----------------------------|
| Hard Copy | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Computer Disk | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Microfilm | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Close-out Date:

Y Y M M D D

Close-out Performed By:

(Printed Name)

(Signature)

Comments: _____

