	SYSTEM PROCEDURE Control of Quality System Documentation	
REVISION: 10	PROCEDURE NO.: 1	DATE EFFECTIVE: 5/6/21

1. PURPOSE

1.1. The purpose of this document is to provide controls for the creation, review, approval, revision, and distribution of the Tempco Electric Heater Corporation Quality System Documentation & Data necessary to ensure the effective planning, operation, and control of the system processes.

2. SCOPE

2.1. This procedure applies to the control of the Quality System Manual, System Procedures, Functional and/or Work Instructions and Standard Forms, as well as other non-standard documents (electronic or hard copy) utilized in the Tempco Electric Heater Corporation Quality Management System.

3. PROCEDURAL REQUIREMENTS and RESPONSIBILITIES

3.1. General Responsibilities

3.1.1. Chief Financial Officer, Chief Revenue Officer, Director of Engineering/Management Representative, Director of Operations, Sales Operations Manager, Purchasing Manager and any Department Manager or Controls Engineer and Project/Regulatory Engineer are the primary responsible parties for ensuring compliance with this procedure and to ensure the necessary resources for successful implementation are provided.

3.1.2. All personnel involved with the implementation and use of the Quality System Documentation & Data are responsible for compliance with this procedure when creating, reviewing, approving, revising and/or distributing controlled documents and data necessary to effectively plan, operate, and control the system processes.

3.2. Documentation Requirements

3.2.1. All Quality System Documentation generated in the planning, operation, and control of production and system processes will contain the unique identification and control items listed below, and in accordance with this procedure:

3.2.1.1. A title;

3.2.1.2. A control number (When Applicable);

3.2.1.3. A revision level and/or date;

3.2.1.4. A Revision History (When Applicable);

3.2.1.4.1. A change summary does not have to be included in the document. It may be an attachment or controlled document associated with the document and maintained by the function or position responsible for controlling the document.

3.2.1.4.2. Functional and/or Departmental Instructions and/or process documentation may not require a change summary.

3.2.1.5. Indication of Approval (When Applicable).

3.2.1.5.1. Document Approval will be indicated in the Authorization Section of the Procedure or Instruction. Form approval will be indicated on a log, spreadsheet or with a Review & Approval of Standard Form.

3.2.2. Quality System Documents shall be controlled and made available through out the company as needed to ensure that the necessary information is available at its point of use.

3.2.3. Chief Financial Officer, Chief Revenue Officer, Director of Engineering/Management Representative, Director of Operations, Sales Operations Manager, Purchasing Manager and any Department Manager or Supervisor will be responsible for controlling the Quality System Manual, the System Procedures and any Functional and/or Departmental Instructions, as well as any Standard Forms generated in association with the quality management system.

3.2.4. The electronic document control system on the intranet will identify the original authorized documents and corresponding revision level to preclude the use of invalid and/or obsolete documents and/or data.

3.2.4.1.1. Select documents may also be made available for reference through distribution as paper copies. The original authorized documents will be maintained on the Intranet and any paper copies utilized must match the revisions indicated on the Intranet.

3.2.4.1.2. The function and/or position receiving quality system documentation shall be responsible for discarding the previous “obsolete” issues of the documents and data per this procedure.

3.3. Standard Quality System Documentation

3.3.1. The Quality System Manual shall establish the governing policies and system requirements necessary to ensure that products as well as processes conform to the specified requirements.

3.3.1.1. Any changes to the manual shall be reviewed and approved by the President and Director of Engineering/Management Representative.

3.3.2. System Procedures shall be established for the implementation of the policies and system requirements in the Quality System Manual.

3.3.2.1. System Procedures shall define the inter-departmental processes that are necessary to fully implement an effective Quality Management System.

3.3.3. Functional and/or Work Instructions shall be established for those detailed tasks where the absence of such would adversely affect compliance to specified quality system requirements.

3.3.3.1. Functional and/or Work Instructions shall identify the ("How To") manner in which functional and/or Work responsibilities are performed.

3.3.3.2. Functional and/or Work Instructions may further define the skills and training necessary to meet the functional and/or Work responsibilities.

3.3.4. Standard Forms may be established to provide a standard format for collecting and documenting objective evidence that demonstrates compliance with the specified requirements.

3.4. Numbering System for Standard Documents

3.4.1. System Procedures shall be given a control number representative of the system requirements in the Quality System Manual that is being established and implemented by the procedure.

3.4.2. Instructions will be given a unique control number and revision level.

3.4.3. Forms may be given a control number in the following format: FXX.YY

F - Indication of a Form
XX - Serial number of document
YY - Revision Level (00, 01, 02...)

3.5. Formats

3.5.1. System Procedures typically contain the following elements in establishing the interdepartmental requirements:

3.5.1.1. PURPOSE: Establishes the objective of the procedure. Usually identifies a requirement established in the Quality System Manual.

3.5.1.2. SCOPE: Establishes the limits or boundaries of the procedure. Usually identifies the areas, processes, or functions covered by the procedure.

3.5.1.3. PROCEDURAL REQUIREMENTS and RESPONSIBILITIES:

Procedural Responsibilities - Establishes the functions or positions that have primary and supporting responsibilities for implementation of the procedure.

Procedural Requirements - Establishes the process criteria for ensuring the system requirements are identified and the function or party responsible for its implementation and/or execution.

3.5.1.4. PROCESS FLOW(s) (when utilized): Defines the sequence of the steps necessary to complete the procedure. This typically is in script format

identifying the interactions between the various functions and/or departments determined necessary to successfully implement the quality system requirements. Usually identifying 'who' does 'what' and 'when.'

3.5.1.5. PROCESS FLOW CHART(s) (when generated): Gives the graphical representation of the Process Flow(s) showing the interactions of 'who' does 'what' and 'when.' Typically shows when decisions are to be made and the possible results from the decision. When utilized the flow shall complement the procedural requirements.

3.5.1.6. RECORDS: Lists the Quality Records generated as a result of implementing the procedure.

3.5.1.7. REVISION HISTORY: Identifies the changes made to the document, in summary format, and includes the revision level and date. A continuous history is not required. When space does not allow for a continuous history, the previous revision summary is all that is necessary to be present with the current revision summary.

3.5.1.8. AUTHORIZATION: Identifies the functions or positions with signature authority for authorization of the procedure (and any revisions), the names of the personnel holding the function or position at the time of the review and approval.

3.5.2. Functional and/or Work Instruction Format

3.5.2.1. Instructions may use any format best determined for establishing and conveying the "How To" requirements for the specific function or operation.

3.5.2.2. The format may follow that of a System Procedure.

3.5.2.3. The instruction must include the applicable control items established in 3.2.1.

3.5.2.4. Key Process Equipment Preventive Maintenance Procedures will be maintained and controlled within the Maintenance Department and will include the applicable control items established in 3.2.1 with the Plant Engineer or those under his direction providing the indication of approval. This system will be maintained within the Maintenance Department and will be autonomous of the controls established in paragraph 3.6.

3.5.3. Standard Form Format

3.5.3.1. The function responsible for generating a Standard Form may use any format best determined for meeting its purpose (see 3.3.4).

3.5.3.2. The form must include the control items in 3.2.1.

3.6. The Creation, Review, and Approval Process for Standard Documents

3.6.1. Any Department Manager or Supervisor may develop, document and modify System Procedures, Instructions, or Forms (including any revisions) pertaining to their processes and areas of responsibility. They are responsible to ensure that these documents are coordinated and reviewed with any affected function or department. Upon completion of the document they will indicate approval of the document in the "Prepared By" block of the Authorization Section of the Procedure or Instruction. Form approval will be indicated on a log, spreadsheet or with a Review & Approval of Standard Form document. The document(s) are subsequently submitted for a Senior Manager's and the Management Representative's approval.

3.6.2. The Senior Management representative responsible as the primary process owner upon review and approval of the subject document will indicate approval in the Authorization Section of the Procedure or Instruction. Form approval will be indicated on a log, spreadsheet or with a Review & Approval of Standard Form document. A Senior Management representative is defined as any one of the following positions: Chief Financial Officer, Chief Revenue Officer, Director of Engineering, Director of Operations and Purchasing Manager. The Senior Management representative is responsible to:

3.6.2.1. Ensure the document accurately establishes the responsibilities and/or activity to be performed by Tempco Electric Heater Corporation personnel.

3.6.2.2. Ensure the critical steps and effective controls for the process and/or document(s) are established.

3.6.3. The Management Representative will also review and approve the subject document to ensure it meets the intent of the ISO 9001 Standard and will indicate approval in the Authorization Section of the Procedure or Instruction. Form approval will be indicated on a log, spreadsheet or with a Review & Approval of Standard Form document.

3.6.4. Upon approval by the "Prepared By", Senior Management Representative and Management Representative, the Marketing/Media Department will convert the word document into a PDF document and upload it to the TIC (Tempco Information Center). The previous version of the PDF document will be archived by moving it from the TIC to Network Drive Location K\ISO9001\Obsolete_ISO_Docs and placed in the folder designated by its revision number and whether it is a Procedure or Work Instruction.

3.6.5. The Marketing/Media Department will be in charge of maintaining all current Procedures and Work Instructions on the TIC and the archiving of all obsolete documents. Current ISO word documents are stored in \\engr-1\iso 9001 and are only accessible by users who have the necessary permissions. People with permission are Senior Management, Marketing/Media Department and the HR Generalist who maintains the Spanish documents. When a change is made to a document an email will be sent to notify personnel.

3.6.6. All Tempco personnel will have access to pertinent ISO 9001 documentation and procedures via the Intranet.

3.6.7. The "Prepared By", Senior Management Representative and Management Representative indicated on each procedure will have write and edit controls for their Word documents. All procedure/document changes will indicate the revision history and effective date and follow the process defined in 3.6.1 to 3.6.6 above.

3.6.8. The functional management having responsibilities established by the document shall be responsible for ensuring that the affected personnel are aware of the procedural requirements that affect their assigned responsibilities.

3.6.9. Correcting Quality Records

3.6.9.1. Correcting information gathered on Quality Records requires the originator to correct the error by lining out the error, provide the correction and then initial the change.

3.6.10. Changing Standard Forms

3.6.10.1. Prior to releasing standard forms that have been revised, the disposition of the obsolete forms must be determined.

3.6.10.1.1. This may include discarding (i.e., throw away) existing supplies or using up the remaining supply.

3.7. Tempco Electric Heater Corporation Design Drawings/Specification Sheets

3.7.1. The Drawings/Specification Sheets are reviewed by the responsible Product Engineer and approval is indicated by the initials of the Product Engineer on the Drawing/Specification Sheet. Drawing/Specification Sheets are only accessible by users who have the necessary permissions.

3.7.2. The original Drawing/Specification Sheet is maintained and controlled in a Master Control Program by Engineering and copies are distributed to the shop floor with each Manufacturing Order. All Drawing/Specification Sheet controlled copies are identified as controlled with the Tempco part number. All obsolete Drawing/Specification Sheets are identified with a Tempco part number. Obsolete Drawing/ Specification Sheets are maintained in the Master Control Program.

3.7.3. The Drawing/Specification Sheet shop copy of the drawings may be marked-up on the shop floor to incorporate any corrections and/or deviations that may be necessary. Authorized personnel will authorize any changes and will incorporate mark-ups into the Tempco Electric Heater Corporation Drawing/Specification Sheet.

3.7.4. Subsequent revision changes will be indicated on the Drawing/Specification Sheet and reviewed and approved with initials on the Drawing/Specification Sheet and/or on an Engineering Change Request/Order form.

3.7.5. All personnel utilizing drawings to perform work affecting product quality must use the controlled drawings identified above.

3.8. Customer Drawing Control

3.8.1. All Customer Drawings received and Approval Drawings will be maintained in Engineering by Customer and/or Part Number.

3.9. Tempco Product Catalog/Control Manuals

3.9.1. Tempco Product Catalog and Control Manuals are maintained by revision and date and controlled on the K Drive catalog pages. The Marketing/Media Department are the only authorized personnel to maintain and revise these documents and are the designated users who have the necessary permissions based on the principal of least privilege.

3.10. Documents of External Origin

3.10.1. Brainchild Technical Manual is maintained and used in the TEC area. The Controls Systems Engineer and Controls Systems Technician each maintains a copy of this document. The Brainchild Technical Manual is periodically verified to ensure the latest revision is maintained on file (i.e. annually).

3.10.2. Quality Management Standards - The management representative maintains the ISO 9001 Quality Management System Standard.

3.10.3. Regulatory Standards – The Project Engineer or Regulatory Engineer shall maintain copies of regulatory compliance standards such as UL, CSA, IEC or ASTM. These documents shall be periodically verified to ensure the latest revision is maintained on file (i.e. annually).

4. PROCESS FLOW(s)

4.1 (See 3.6 for the Review and Approval Process)

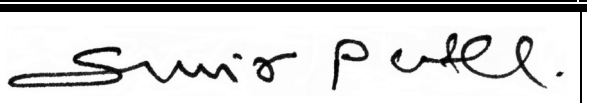
5. RECORDS

5.1. Review & Approval of Standard Forms

6. REVISION HISTORY

REVISION LEVEL	DATE OF REVISION	SECTIONS	DESCRIPTION OF CHANGE
00	04/15/09	All	Initial release
01	6/12/09	3.5.2.4 3.10.1	Clarified the controls associated with Preventive Maintenance Instructions. Added Brainchild Technical Manual as a document of external origin.
02	6/7/13	3.5.2.4	Deleted following text from end of first sentence: with the Maintenance Supervisor providing the indication of approval
03	5/30/14	3.5.2.4	Add authorized approval to maintenance procedures
04	6/2/15	3.6.4, 3.6.5, 3.6.7 and 3.9.1	Procedure and Work Instruction Document control updated
05	6/23/15	3.1.1 and 3.10.3	Added references to regulatory compliance documents and responsible parties
06	6/2/16	3.6.6	Changed “all” to “pertinent”
07	6/2/17	3.8.1	Rewrote first line and deleted second line referencing Master Control Program
08	6/23/17	3.6.5	Added email notification when changes are made to an ISO document
09	1/4/18	3.7.1 3.9.1 3.7.2 3.7.3 3.10.2	Was Procedure 4.2.3. Updated paragraph 3.7.1 relating to Drawings and 3.9.1 pertaining to external documents in order revise the procedure to clarify that these documents are only accessible by users with the necessary permissions based on the principal of least privilege. Removed in obsolete file in 3.7.2 Replaced changes to deviation and removed last sentence in 3.7.3 Changed ISO 9001:2008 to ISO 9001 in 3.10.2
10	5/6/21	3.1.1, 3.2.3, 3.3.1.1, 3.6.2, 3.6.4, 3.6.5, 3.7.3, 3.9.1 3.4.3 3.6.4	Added, Revised, and/or replaced Job Titles and responsible parties Changed Form No. template F.XX.YY to FXX.YY Revised wording to reflect current procedure

7. AUTHORIZATION

POSITION	HELD BY	AUTHORIZATION SIGNATURE OR INITIALS
Prepared By: Director of Engineering	Samir Patel	
Senior Management Representative: Chief Financial Officer	Paul Wickland	
Management Representative:	Samir Patel