

## Document Management System

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### 1. Purpose and scope

- 1.1 This system defines the requirements for the identification, storage, protection, retrieval, retention and review of SEG Management System Documents.
- 1.2 'SEG Management System Documents' are those records which define and provide evidence of how the Sustainable Eel Group (SEG), is governed. The system is designed to be compliant with the [ISEAL Codes of Good Practice](#) and, in particular Clause 5.1.14 of the Assurance Code.
- 1.3 The SEG Standard System is a specific part of the SEG Management System. It describes the documents relevant to the SEG Standard and associated Assurance and Monitoring, Evaluation and Learning systems.
- 1.4 The full listing of records affected by this system is maintained in the document '000 SEG Documents and Record List', and published on our website at: <https://www.sustainableeelgroup.org/the-seg-standard-system/>.
- 1.5 Records outside of this scope do not require control but may be controlled at the discretion of the SEG Board.

### 2. Creation of Documents, naming and version control

- 2.1 SEG maintains records that are needed to provide evidence of conformity to requirements and of the effective operation of the management system.
- 2.2 Documents shall be created by an appropriate subject matter expert as electronic files (MS Word®, Excel, pdf, etc.). Files of a similar type shall follow the format of other documents in that type. pdfs shall usually be used to condense or lock final versions of files ready for publication.
- 2.3 Document naming shall be in the format '**nnn Name**', where nnn is the document number in the Management System, as listed in 000 SEG Documents and Record List, and Name is the shortest and clearest name for the document. The document name and version number shall also appear in the body of the document, for example the footer or header.
- 2.4 Version numbering shall take the format, V.x.y, dz, where: V means Version, x means main version number (starting at 1), y means minor version number, d means draft and z is the next draft number.
- 2.5 Draft versions shall be sent for approval by the SEG Board. When approved, the document shall lose the 'dz' element of the file name and shall be published in the Document Management System.

- 2.6 Normative documents (where a requirement is placed upon SEG, a CAB, auditor, client or other organisation) shall have a section soon after the title page to describe their version control and approval as follows:

Version	Date	Nature of Changes	Approved By
V1.0	15/03/2023	Original issue	Andrew Kerr, Chairman

### 3. Storage and access

- 3.1 Electronic copy records and data are stored on the SEG 'P:/ Cloud' drive, a third party provided service which is subject to back-up. The folder is P:/SEG/Management System Documents/.
- 3.2 All SEG personnel shall have access to the SEG P:/ Cloud drive.
- 3.3 Some other contacts, e.g. consultants assisting with documentation, may be provided with access to limited folders and files.
- 3.4 Temporary working records are maintained on SEG staff laptops, which (1) are subject to password security to prevent access by others and (2) have automated synchronization between the respective folders on each laptop and the P:/ Cloud folder: SEG/Management System Documents/.

### 4. Approval

- 4.1 Management System documents shall only be approved by the Chair of the SEG Board. Where documents are significant or contentious, they shall be subject to consultation with members of, or the full SEG Board for agreement there.
- 4.2 Draft files shall be sent to the approver via email.
- 4.3 Once approved, the approved document shall be published by the document author and the document 000 SEG Documents and Record List updated.
- 4.4 Any previous versions shall moved to a separate folder identified for obsolete documents which shall kept for historical and file retention purposes, according to Section 6. below

### 5. Protection

- 5.1 The listed 'controller' shown in document 000 SEG Documents and Record List shall ensure that their assigned records remain legible, readily identifiable and retrievable.
- 5.2 To ensure protection of records, electronic records shall be maintained on a third party cloud based service, which is backed up and available only to SEG personnel with access to the account.
- 5.3 Records and data stored on individuals' computers shall have automatic synchronisation with the P:/ drive, so that all Management System files are backed up and the same files are available to all SEG personnel.

- 5.4 It is the responsibility of individual SEG personnel to ensure that any other working data and files on their laptops are backed up to individual Cloud back-up services, and that the relevant security is applied.
- 5.5 Any files that are of a sensitive or confidential nature shall be password protected before they are shared by email, and the password sent via a different medium in a secure messaging service.

## 6. Retention, Retrieval & Disposition

- 6.1 Records shall be maintained for a minimum of five years, i.e. even after a document has been updated and replaced, the previous version shall be retained for at least five years.
- 6.2 Training records and other records pertaining to any employees shall be retained for at least one year beyond that employee's end of employment.
- 6.3 Records that are discarded after the five year retention period shall be permanently destroyed.
- 6.4 As required by customer contract or regulatory requirements, records shall be made readily available for review by the requesting authority. Such review is limited to those records applicable to the customer or regulatory authority and shall not allow for the accidental or intentional release of confidential information to an unauthorized party.

## 7. Review

- 7.1 Documents shall be reviewed by the original author, another subject matter expert or SEG Board member at least every three years.
- 7.2 The SEG Management System Manager, designated by the SEG Board, shall have responsibility for identifying when a document is due for review, and ensuring that the SEG Board is aware, and for identifying a document reviewer.
- 7.3 The document reviewer shall ensure that the review is conducted and that documents are updated if required. The SEG Management System Manager shall ensure that master document list: 000 SEG Documents and Record List is maintained with an up to date record of document revisions.
- 7.4 If a document is determined to require updating, the changes shall be made and a new version approve and published as per the procedures described here..
- 7.5 If a document is determined not to require updating, no action on the document is necessary, except to record that a review of the document was conducted and re-issued without update.

## 8. External documents

- 8.1 For external documents such as standards or third party specifications which are referenced for example in a contract, these documents may be maintained without control, provided that the revision of the document on file matches the revision indicated by the client.

