



Procedure 5

Document Control

1 Purpose

1.1 To describe the FISH procedure for document control.

2 Scope

2.1 The development, handling and disposition of documents and records associated with the FISH Standard for Crew certification scheme including: normative scheme documents; guidance scheme documents; tools, templates and worksheets; internal documents; and records.

3 Procedure

3.1 Approval

3.1.1 All scheme documents are approved for adequacy before release. The authority and process for document approval is determined by the category of controlled document as shown in Table 1.

Table 1. Category of controlled document and approval process.

Category	Examples	Approval
1. Scheme Normative	Standard Certification Framework Accreditation Framework	SOC reviews. Board approves.
2. Scheme Guidance	Auditor Guidance Manual Guidance to CBs	SOC reviews. Board approves.
3. Scheme Supporting Materials	Auditor tools (worksheets, forms, etc.) Audit report templates Guidance for CHs	ED approves. Note that the ED may ask the Board and/or the SOC for review
4. Internal documents	Procedures and Manuals Memorandum of Understanding (MoU) Terms of Reference (ToR)	ED approves. Note that the ED may seek input from an attorney for legal documents.
5. Records	Meeting Minutes, Records from Complaints & Appeals, Stakeholder consultations	n/a – archiving only

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- 3.1.2 Normative scheme documents receive technical review by the SOC before they are submitted to the Board for approval.
 - 3.1.3 Scheme guidance documents which are not normative but may nonetheless impact on standard implementation - particularly guidance to auditors and guidance to certification bodies - also undergo technical review by the SOC before being submitted to the Board for review and approval.
 - 3.1.3.1 With respect to categorizing non-normative documents, the SOC and Board are kept informed of the development, content, and release of non-normative scheme documents which may have the potential to impact upon standard implementation.
 - 3.1.4 Other non-normative scheme documents such as templates, worksheets, instructional aids, training material, etc., are approved directly by the ED who may choose to consult with the SOC and/or Board before approval.
 - 3.1.5 Internal documents are approved by the ED who may choose to consult with an attorney in the event the documents address legal matters (e.g., agreements, TORs, MOUs).

3.2 Version Control

- 3.2.1 Scheme documents are created and/or updated in accordance with identified needs of the FISH Standard for Crew scheme. Such needs may become known through, for example, scheduled standard review activities or via processes to monitor and evaluate scheme effectiveness.
- 3.2.2 Draft documents are clearly marked “draft” in both the filename and body of the document.
- 3.2.3 Approved documents are given a version number, a release date (= date of approval), and a designation as either being internal or for public distribution.
 - 3.2.3.1 Note: all of FISH’s normative scheme documents are designated for public distribution and are made available on the FISH website.
- 3.2.4 Newly developed scheme documents are designated version 1.0 upon approval.
- 3.2.5 A major revision to a scheme document causes the document to be given a new version integer number (e.g., version 1 → version 2; version 2 → version 3; etc.) upon approval.
- 3.2.6 A minor revision or update to a scheme document causes an increase to decimal number of the version (e.g., version 1.0 → version 1.1; version 2.1 → version 2.2; etc.).
- 3.2.7 Copyright statements are to appear on the front page of all normative scheme documents.

3.2.8 FISH may translate its normative scheme documents into other languages and make them publicly available. If so, the English version shall remain the authoritative version.

3.2.9 Electronic copies of superseded versions are archived.

3.3 Release

3.3.1 All normative scheme documents specify the document's date of release and give the required timeline for implementation.

3.3.2 Normative scheme documents contain an amendment record (table) summarizing the major changes since the previous version.

3.3.3 Upon release of a new version of a normative scheme document, the pdf file is circulated by email to approved and applicant Certification Bodies, Accreditation Bodies, Certificate Holders, and other identified stakeholders, and the pdf file is made available on the FISH website.

3.3.3.1 Explanatory material may accompany new or revised scheme documents.

3.3.4 Release of non-normative scheme documents may be circulated by email to CBs, ABs, CHs and/or other identified stakeholders as appropriate, and it may be published on the FISH website depending on whether the document has been designated internal or public.

3.4 Archive System

3.4.1 Superseded versions of scheme documents are archived and retained for a period of at least ten (10) years.

3.4.1.1 The computer on which documents are retained is a secure, password protected system which safeguards confidentiality and maintains a formal and structured remote backup (e.g., Apple Cloud, Carbonite or other commercially available system).

3.4.2 The scope of record-keeping should be sufficient to demonstrate ongoing compliance of FISH with relevant international standards or benchmarks.