



Title: Control of Documents and Records

1.0 Objective

To establish proper flow, handling and control of essential documents and records affecting the quality products/service of the Quality Management System of Laguna State Polytechnic University.

2.0 Scope

This procedure covers all documents that will be subjected for initiation, review, approval, issuance, revision, control and maintenance such as quality manual, procedure manuals, work instructions, standard operating procedures (SOPs) technical specifications, syllabus, operations manual, applicable statutory and regulatory requirements, international standards and applicable records.

3.0 Reference Documents

ISO 9001:2008 : Quality Management System Requirements
LSPU-QM : Quality Manual
LSPU-PM-02 : Internal Quality Audit
LSPU-PM-03 : Control of Non Conformity, Corrective and Preventive Action
RA 9470 : NAP General Circular No.1, Jan. 20, 2009; National Archives of the Phil. Act of 2007

All Work Instructions, Standard Operating Procedures (SOPs) and records as required by the international standards

4.0 Procedure

4.1 Identification and Control of Documents and Records

Each document shall have a unique document identification title, control number and revision number such as:

Quality Manual, LSPU - QM
University Name - Quality Manual

Procedure Manual, LSPU - PM - XX
University Name - Procedure Manual - Control #

Work Instruction, LSPU - YYYY - WI - XXX
University Name - Dept./Sect - Work Instruction - Control #

For forms: LSPU - YYYY - SF - XXX
University Name - Dept./Sect - System Forms - Control #

Revision, Rev. 0, 1, 2, 3...

4.2 Review, Approval and Issuance

Upon initiation of a new procedure and form, the originating department shall prepare the document and conduct review for adequacy and suitability.

For Quality Manual, the QMR shall conduct final review and shall be approved by the University President.

For Procedure Manual to wit:



Title: Control of Documents and Records

Control of Documents and Records, the VPs shall conduct final review and shall be approved by the QMR.

- Internal Audit, the CIDQA/VPs shall conduct final review and shall be approved by the QMR.
- Control of Non-Conformity, Corrective and Preventive Action, the CIDQA/VPs shall conduct final review and shall be approved by the QMR.

For quality objectives, it should be reviewed by CIDQA director and approved by the University President. For work instructions, it should be reviewed by CIDQA director and approved by the concerned Campus Director. For forms, it should be reviewed by originating unit and approved by Deans/Directors. Approval of new forms shall be reflected on the “Review and Approval Form” (Form. No. LSPU-DCO-04).

Approved new document (including form) shall be endorsed to the Documents Controller and stamped “MASTER COPY” on each page (except for Reference/Equipment manuals/books which shall be stamped on the first page only) and stamped “RECEIVED” (first page only) with the affixed date of receipt.

Document controller or the originating department shall determine the necessary distribution that will be indicated in the distribution list. The document shall be reviewed against the Document Masterlist by the Document Controller to check any affected document/s. For new documents which are not yet in the masterlist, shall be temporarily noted and be reflected in the next issue.

Updating of the Document Masterlist shall be done every six (6) months. All documents current revision status shall be identified in the masterlist and shall be used as a guide to prevent unintended use of obsolete document.

The Document Controller shall reproduce and issue the document as indicated in the distribution list.

All distributed copies shall be stamped with “CONTROLLED” on all pages except for Reference/Equipment manuals/books which shall be stamped on the first page only and stamped “ISSUED” (first page only) with affixed date of issue of the Controller.

All controlled (new and revised) documents shall be affixed with a “Document Revision Record” (Form no.: LSPU-DCO-02) for its revision description history.

4.3 Document Review, Revision and Re-approval

- 4.3.1 Controlled documents shall be reviewed regularly every internal audit for adequacy and suitability. Results of review will be carried over on the audit report.
- 4.3.2 In case of any change/s in the content of the controlled document or form, the originating department should request for “Document Change Notice” (Form no.: LSPU-DCO-01) for review and re-approval by the same persons who performed original review and approval, unless otherwise specifically designated in the Document Change Notice form.

4.4 Filing, Availability, Retrieval and Storage

- 4.4.1 Every department is responsible in filing and properly storing their documents and records.
- 4.4.2 All documents/records shall be available at anytime at point of use and shall be filed accordingly in binders/ folders with proper labels for easy retrieval and to prevent damage, deterioration and loss.



Title: Control of Documents and Records

- 4.4.3 Documents Controller should randomly check documents every six (6) months to ensure its availability at point of use. Results of checking shall be registered in a logbook.
- 4.5 Legibility
 - 4.5.1 All documents and records shall be ensured of its legibility.
 - 4.5.2 Controlled documents and records of any form should not use thermal paper or fax.
 - 4.5.3 The use of correction fluid or pencil is not permitted.
 - 4.5.4 To correct documents, should draw a straight line across the entire word/s, number or alphanumeric series and write your name, initial and signature as well as the date you made the correction.
- 4.6 External Documents
 - 4.6.1 External Documents are documents coming from external sources such as international standards, statutory and regulatory requirements, specifications, drawings, equipment manuals, reference books, etc.
 - 4.6.2 All received external documents including soft copies shall be reviewed by the receiving department/office using the Review and Approval Form (Form no.: LSPU-DCO-04) prior to submission to Documents Control Center except for statutory and regulatory requirements since these are already reviewed by governing agencies prior to implementation.
 - 4.6.3 All external documents received by the Documents Controller shall be stamped "CONTROLLED" on each page and "RECEIVED" (first page only) with affixed date of receipt/signature of the recipient except for reference equipment manuals/books which shall be stamped "CONTROLLED" on the first page only.
 - 4.6.4 Document Controller shall register the external document received in the Document Masterlist (Form no.: LSPU-DCO-03).
 - 4.6.5 Distributed documents shall be stamped "CONTROLLED" on each page and "ISSUED" (first page only) with affixed date of receipt/signature of the recipient except for reference equipment manuals/books which shall be stamped "CONTROLLED" on the first page only.
 - 4.6.6 Soft copy documents will not be stamped controlled but will be only registered in the Document Master list.
 - 4.6.7 The receiving department or the Document Controller shall identify the distribution of the received document and shall be reflected on the distribution list.
 - 4.6.8 The Document Controller is NOT required to maintain a copy of any external document in book or manual form unless needed.
 - 4.6.9 The "NO RETRIEVAL, NO DISTRIBUTION" Policy will be implemented.
- 4.7 Obsoleting and Retrieval
 - 4.7.1 All obsolete documents must be retrieved or recalled by the document controller upon issuance of the newly revised or updated documents and will be stamped "OBSOLETE".
 - 4.7.2 Obsolete original documents must be stored for reference purpose and will be disposed as per 4.9.
 - 4.7.3 Records for archive shall be endorsed to Document Controller or Records Committee by the department owner for processing as per National Archives of the Philippines.
 - 4.7.4 Documents and records must be properly labelled such as name of records, date covered (month and year) and are placed in the cabinets to ensure easy retrieval and to protect it from damage, deterioration and loss.
A log sheet is provided for the control of all documents and records being archived.



PROCEDURE MANUAL

Laguna State Polytechnic University

LSPU-PM-01

Title: Control of Documents and Records

4.8 Retention

Please see attached List of Documents/Records Retention.

4.9 Disposition

4.9.1 All records/documents intended for disposition as per 4.8 shall be recycled, shred or sold.

5.0 Records

Records are filed and maintained as per 4.5 to 4.8.

6.0 Responsibility

It is the responsibility of the document controller that the above procedure is properly implemented.

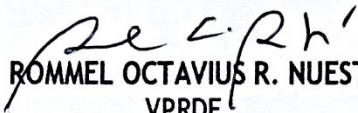
7.0 References

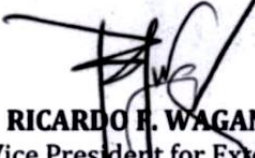
List of Documents/Records Retention
LSPU-DCO-SF-001: Document Change Notice
LSPU-DCO-SF-002: Document Revision Record
LSPU-DCO-SF-003: Document Masterlist
LSPU-DCO-SF-004: Review and Approval Form
LSPU-DCO-SF-005: Distribution and Retrieval Form

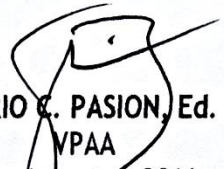
Prepared by:


JOCELYN M. FRANCISCO
Document Control Officer
Date:


Reviewed by:


ROMMEL OCTAVIUS R. NUESTRO
VPRDE
Date: August 4, 2016


RICARDO F. WAGAN III, Ed.D.
Vice President for External Affairs
Date: August 4, 2016


MARIO C. PASION, Ed. D.
VPAA
Date: August 4, 2016

Approved by:


NESTOR T. MENDOZA
Quality Management Representative
Date: August 5, 2016



PROCEDURE MANUAL

Laguna State Polytechnic University

LSPU-PM-01

Title: Control of Documents and Records