CALAMBA WATER DISTRICT

TITLE: CONTROL OF DOCUMENTED INFORMATION

DOCUMENT NO. CWD-DCC-001	REVISION NO. 00	EFFECTIVE DATE: December 28, 2016	Page 1 of 11

	NAME	SIGNATURE
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Form No.

DOCUMENT HISTORY RECORD

DCN	REV. NO.	DATE REVISED	AUTHOR	REASON FOR REVISION
2016-12-002	00	N/A	Ethel O. Paderes	Initial Issue

Revision Locator

Page #	1	2	3	4	5	6	7	8
Rev No.	00	00	00	00	00	00	00	00
Page #	9	10	11					
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1.0 PURPOSE

1.1 The purpose of document control is to allow appropriate and accurate documents to be issued, amended and withdrawn. To ensure the integrity, accessibility and disposal of records in a manner that maintains confidentiality.

2.0 SCOPE

2.1 This applies to CWD's QMS documented information that shall include:
- 2.1.1 documented information required by the International Standard;
- 2.1.2 documented information determined by CWD as being necessary for the effectiveness of the QMS;
  - a. Management Review Meeting and other meeting minutes
  - b. Training Records (Administrative and Technical)
  - c. Certification Records
  - d. Contract Review Records
  - e. Audit Report
  - f. Corrective Action Request
  - g. Equipment Calibration and Equipment Maintenance Records
  - h. Inspection and Test Records
  - i. Non-conformance Reports
  - j. Risk Register
  - k. Supplier Assessment Record
  - l. Subcontractor Supplied Records
  - m. Project Implementation Reports
  - n. Legal Compliance Records
  - o. Documented Information such as Controlled Copy of Policy, Manual, Work Instructions, and Records
  - p. Engineering/Shop Drawings

Note: The extent of documented information for a QMS can differ due to:
- the size of CWD and its type of activities, processes, products and services;
- the complexity of processes and their interactions
- the competence of persons

3.0 RESPONSIBILITY

3.1 The Document Control Center ensures that this document control and procedure is established, implemented and maintained. The DCC is responsible for following this procedure entirely.

3.2 All documents, internal and external are controlled by Document Control method to ensure:
- 3.2.1 Identification and description (title, date, author, or reference number);
- 3.2.2 Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- 3.2.3 Review and approval for suitability and adequacy;
- 3.2.4 It is available and suitable for use, where and when it is needed;
- 3.2.5 It is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity);
- 3.2.6 Distribution, access, retrieval and use
- 3.2.7 Storage and preservation, including preservation of legibility;
- 3.2.8 Control of changes (e.g. version control);
- 3.2.9 Retention and disposition;
- 3.2.10 Documented information of external origin determined by CWD to be necessary for the planning and operation of the QMS shall be identified as appropriate, and be controlled;
- 3.2.11 Documented information retained as evidence of conformity shall be protected from unintended alterations

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3.3 Data Author – is the creator of an internal document or revises document first and file for document control before the use and implementation of any rule in any policy or documented information before the application to actual work activities.

3.4 Document Originator – is the one who received documents such as Engineering Drawings and other documents originated from outside the company.

3.5 Reviewer – participates in the review cycle of documents. They annotate the documents and route them back to the data author/document originator. Annotations can be made using comment portion of DCN Form and Microsoft Word's change tracking capability such as "call outs" if reviewed in softcopy.

3.6 Approver – promote the documents to the next level of review of final status and approve documents, depending on the rules of the review cycle.

3.7 General Manager – review proposed new and revised document that could affect the implementation of the established QMS for effectiveness and maintenance of good practices; as well as to suggest improvements to further improve the system's processes.

3.8 Section/Department – shall be responsible in reading the received documents and made them known/disseminated to all concerned thru the method of awareness before the implementation to their job functions. Records of the awareness conducted regarding the documented changes shall be maintained.

4.0 DEFINITION OF TERMS

4.1 **Master Copy** –this refers to an active original document; with single stamped of **"Master Copy"** in **Green** fresh ink. This is a document that has to be always controlled and filed at the Document Control Center only. These documents shall not be taken out of the DCC unless otherwise in urgent situation but shall be recorded by DCC. Writing or any form of erasure in this document and/or any changes on this copy is strictly not allowed.

4.2 **Controlled Copy** – copy reproduced/provided from the master copy; stamped as "controlled copy" with **Blue** fresh ink; given to authorize personnel listed under the Controlled Distribution List. When there are revisions of QMS documents, automatic issuance is provided to the Personnel concerned and included in the Distribution List of the newly revised document. Writing or any form of erasure in this document copy are not allowed except in urgent cases and for specified documents only and shall be initialed by the Section Head prior to use in any process concerning Quality Management System.

4.3 **Uncontrolled Copy** – stamped with Blue fresh ink; copies of documents given to personnel not included in the Distribution List such as External Service Providers. In cases of revisions, it is not the responsibility of DCC to furnish a revised copy of the document for updating, it is the concerned section/department shall provide updated version of document to concerned supplier if it relates to revision of Shop Drawing and other QMS requirements.

4.4 **Obsolete Copy** – DCC's previous master copy; stamped with fresh **Red** ink; these are documents pertaining to the IMS that have become obsolete due to revisions. Although not in use, master copy of obsolete documents shall be kept for one (1) year for reference purposes. After this period, they can only be disposed of thru shredding with permission from the MR.

4.5 **External Document** – stamped with Blue fresh ink; these are copies issued to CWD personnel for use as their reference as being necessary for the effectiveness of the QMS. Photocopy, handwriting of remarks and/or erasures is not allowed for this copy for this is externally generated documents.

4.6 **DCC** – Document Control Center

4.7 **Date Revised** – is the start date of gradual and/or immediate revision of a document on or before the effective date.

4.8 **Effective Date of the Document** – is the date that document shall take effect; and shall be received and controlled by DCC and disseminated to the copy holder on or before the effective date of the document.

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4.8.1 If an author shall revise a document, the date to appear on the "Date Revised" on the Cover Page is the Effective Date indicated in the header of the superseded document.

4.9 **Date on Uncontrolled/Controlled/Copy** – aside from the initial issuance; it follows the date of subsequent issuance of the document as requested by a section/department needing an additional copy, or a new recipient related to the new or modified changes.

4.10 **QMS** – Integrated Management System (ISO 9001:2015)

4.11 **DCN** – Document Control Notice for new document, Document Change Notice for revised document

4.12 **Identification** - refers to the document's title and revision date. Every QMS document is assigned an "owner" who is responsible for its control. The owner and users identify each document by a name and control number. Documented information can be in hard-copy or softcopy.

4.15 **Collection** - means the orderly and accountable distribution of documents. For each document, the owner and users determine the minimum number of copies needed for effective use and where each copy is to be kept. Only controlled copies are to be used, and copies shall be easily available to users.

4.16 **Indexing** - requires keeping a master list of current documents, each having a revision date, revision number and approval signatory to ensure documented information validity.

4.17 **Disposition** - is the issuance of new or revised documents and the removal of obsolete ones. But the presence of an outdated document at a workstation is nonconformity.

4.18 **Revision** – This describes how changes are identified within the document, how and when current revisions are identified, and the number of revisions before a documented information is reissued.

4.19 **Review** – the process of checking the accuracy of a document to align with the planned change of process (es) or early current practice that could help improve the QMS. Review of document can be done as deemed necessary or at least once a year. This process enables the revision to keep the information up-to-date. Review process can be done by a competent member or directly involved to the process.

4.20 **Active records** – are those controlled documents being received from DCC and are kept in respective areas filing and/or for posting.

4.21 **Inactive records** – are those records superseded by its current state and/or by the past year it was used and requested to be kept in the DCC Archive Room for possible recall.

4.22 **RLS** – Retention Label Sheet

4.23 **Standard Procedure** – administrative work procedure

4.24 **Records** – anything that produces evidence (test results and reports, raw data logbook, calibration records, complaints and action taken, staff training and competency)

4.25 **Test Method Procedure** – instruction for analytical method

4.26 **Equipment Instruction** – instruction which denotes the correct and safe operation of equipment and analytical instruments

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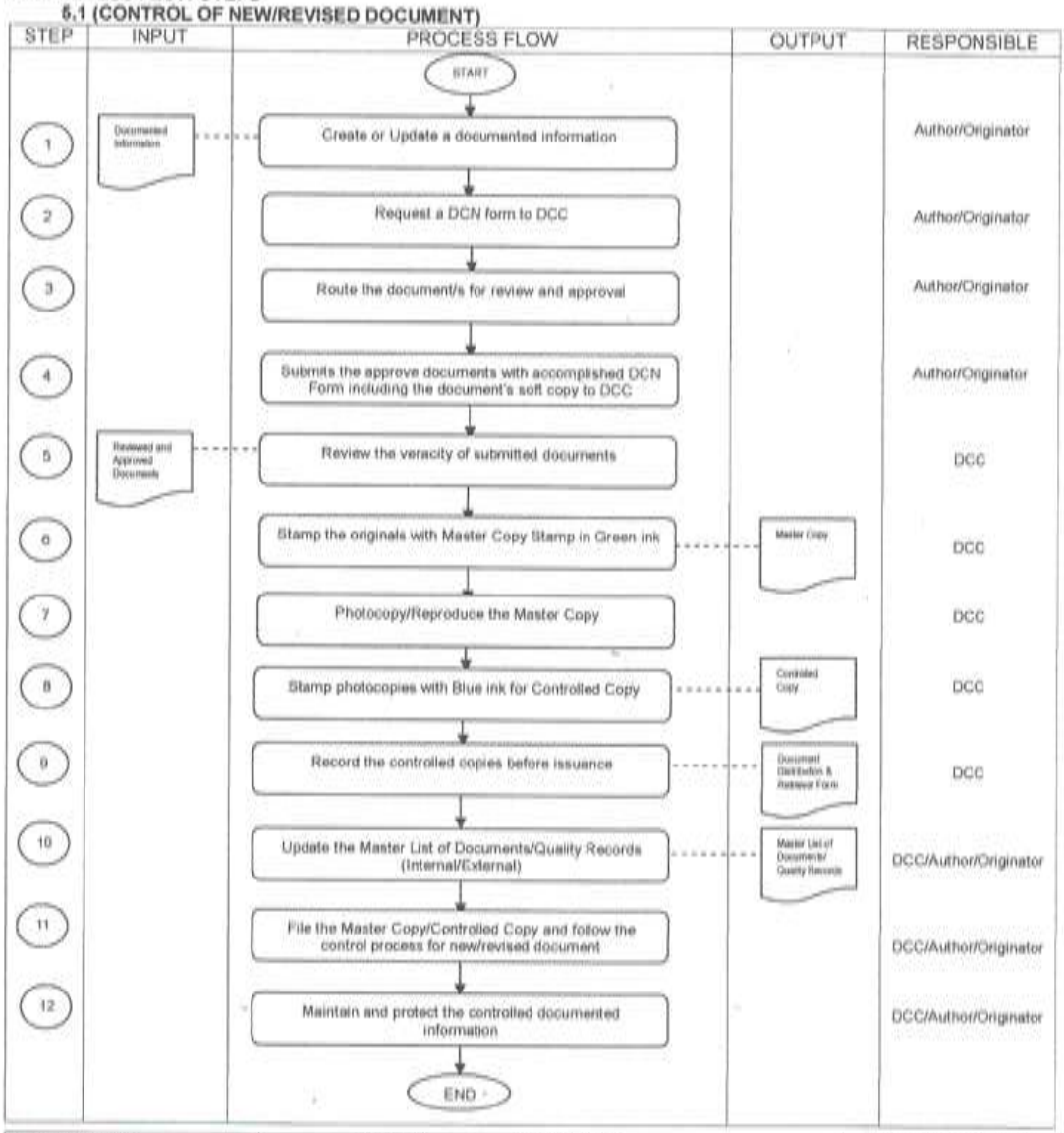
5.0 PROCESS FLOW STEPS

5.1 (CONTROL OF NEW/REVISED DOCUMENT)



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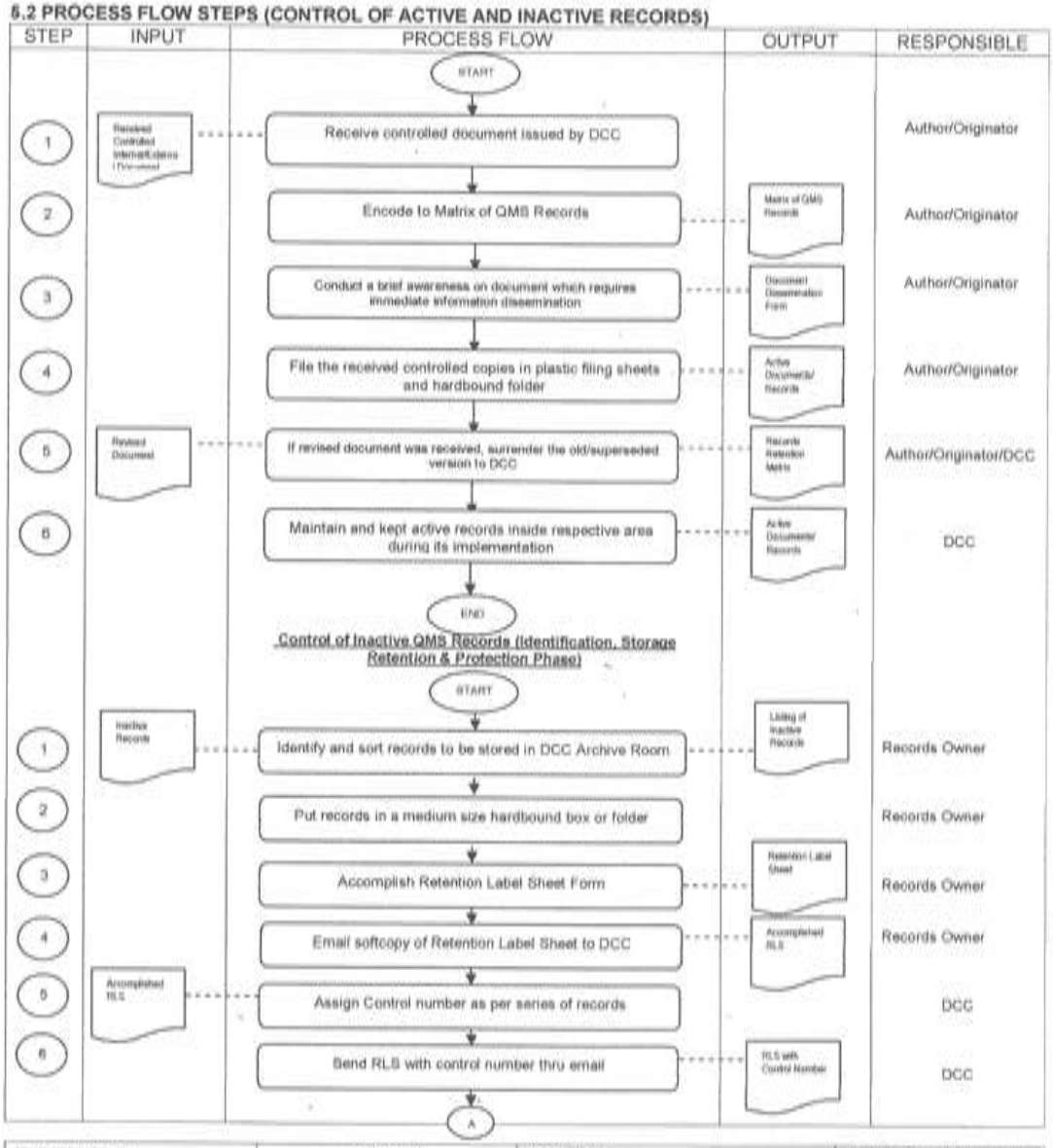
6.2 PROCESS FLOW STEPS (CONTROL OF ACTIVE AND INACTIVE RECORDS)



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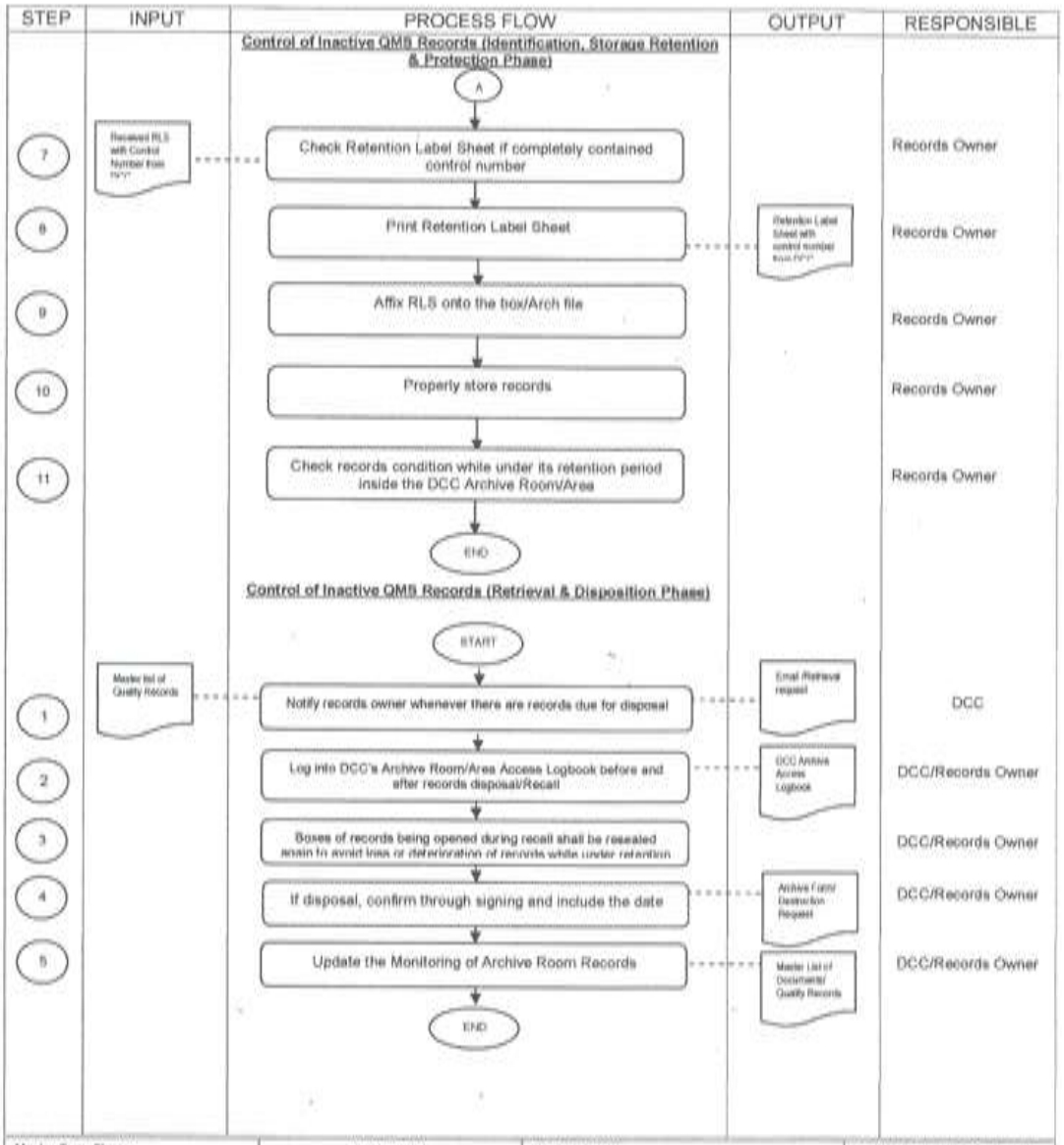

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6.0 PROCESS DETAILS

6.1 Creating and updating

6.1.1 When creating and updating documented information, **CWD** shall ensure appropriate:

6.1.1.1 Identification and description (e.g. a title, date, author, or reference number);

Document Number Coding

XXXX-XXX-XXX → Document series number ex. 001

Company initials — Department/Area

6.1.1.2 Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);

6.1.1.2.1 Document standard format: Each document shall contain, as a minimum

a) Company Name and Logo
b) title
b) The document identification
c) Name of the Author
d) An amendment Version History Record

6.1.1.2.2 The body of the documented process showing the following headings and content;

1.0 Purpose: description of the function of the document.
2.0 Scope: description of any limitations in the area to be covered by the document.
3.0 Responsibility description of the personnel involved for the effective implementation of a process
4.0 Definition of Terms: explanation of any words, terms etc. which are either not in general usage or require special clarification to avoid possible misunderstanding.
5.0 Process flow steps: a flowchart to briefly describe the flow of a process
6.0 Process Details: A fixed, step-by-step sequence of activities or course of action with definite start and end points that must be followed in the same order to correctly perform a task or method.
7.0 Records retention: describes the retention period for hardcopy and/or softcopy
8.0 References: identification of any documents used as input or output compliance criteria.
9.0 Attachments: the listing of forms generated under a specific documented process that requires recording of implementations.
10.0 Distribution List: the listing of relevant copy holder for a specific documented information.

6.1.1.3 Review and approval for suitability and adequacy.

6.1.1.3.1 Document Registration

a. The originator prior creation or revision of existing documents must request a DCN form to DCC.
b. Acquires document code from the DCC before document process.
c. The originator shall route the document/s for review and approval.
d. The review and approval of documents must be the concerned department head.
e. The originator submits the approve documents, including soft copy to DCC for distribution.
f. DCC shall be responsible review the veracity of submitted documents with the right signature of approving personnel.
g. If the documents have been reviewed and approved, DCC shall stamp the originals with Master Copy stamp using **Green ink** with date of effectivity and DCC's signature, then photocopy.
h. The photocopies from Master documents shall be stamped with a **Blue ink** for Controlled Copy distribution purposes.

i. DCC and the Copy Holders shall be responsible in the maintenance, filing, storage, safety, issuance and integrity of all original documents, including documentations in electronic media.

6.2 Control of documented information

6.2.1 Documented information required by the QMS and by the International Standard shall be controlled to ensure:

6.2.1.1 It is available and suitable for use, where and when it is needed;

6.2.1.2 Maintenance of Documents

6.2.1.2.1 All controlled documented information must be kept neat. Any changes to controlled documented information shall be made through the DCN system.

6.2.1.2.2 Documents kept in the binder and electronic files shall not be removed unless with the express authorization from the department concerned.

6.2.1.3 It is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

6.2.2 For the control of documented information, **CWD** shall address the following activities as applicable:

6.2.2.1 Distribution;

6.2.2.1.1 The DCC shall release the controlled copies of documents. All documents must have distribution evidence and received by the assigned department document controller.

6.2.2.1.2 DCC shall release controlled copies of new creation or revised documents to concerned department within five (5) working days after the approval of documents.

6.2.2.1.3 For issuance of documents to other interested parties (e.g., auditing bodies, customers and suppliers and other external service provider), a document request form shall be accomplished by the company representative to ensure that only the latest revision of documents are given.

6.2.2.2 Access

Note: Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

6.2.2.2.1 Only the President/and or any member of the Top Management, and the DCC shall have the accessibility at Document Control Center.

6.2.2.2.2 Electronic file of all obsolete internally generated documents shall be maintained, for reference purposes. Only the Document Controller, Author/Process Owner and President shall have the access to view and change the electronic master copy of documented information(s).

6.2.2.2.3 Only the Document Controller, Author/Process Owner and President shall have the access to view and change the electronic master copy of documented information(s).

6.2.2.3 Retrieval

6.2.2.3.1 The department document controller shall be responsible to submit obsolete copies of documents to DCC upon receipt of updated documents.

6.2.2.4 Use

6.2.2.4.1 The master lists of all documents shall be maintained and updated.

6.2.2.4.2 Discussion and Dissemination of new released documents. The department head shall discuss the new released documents to concerned personnel.

6.2.2.4.3 All department heads are responsible for ensuring that official documents used in their respective areas of jurisdiction are in correct revision level and must check regularly for the correctness of revision level of the said documents.

6.2.2.5 Storage and preservation, including preservation of legibility

6.2.2.5.1 Storage

a. Electronic file of all obsolete internally generated documents shall be maintained, for reference purposes.

6.2.2.6 Preservation

6.2.2.6.1 Preservation of Legibility - all internal generated documents controlled by DCC shall be reviewed at least once annually by the original functions, which issued such documents.

6.2.2.7 Control of changes (e.g. version control)

6.2.2.7.1 The review may be delegated to other function if approved by the department head. The purpose of the periodic review is to ensure that all internally generated documents are kept updated.

6.2.2.8 Retention

6.2.2.8.1 Active Retention – indefinite retention period for current or active documents for both electronic and hardcopy Master Copy.

6.2.2.8.2 Inactive/Archival Retention – shall be kept for active three (3) years or may request for an extension as deemed necessary (hardcopy); for electronic/soft file; it shall be kept in a separate folder named "Obsolete Master Copy/Original".

6.2.2.9 Disposition

6.2.2.9.1 The hardcopy of obsolete Master Copy shall be destroyed thru shredding/tearing or reuse.

6.2.2.9.2 If Controlled Copy documents are to be reused, it shall be marked with "X" as an identification and control from unintended use.

6.2.2.9.3 Disposal of confidential hardcopy documents shall have an approval of President/GM, and recycling is not allowed; only the disposal method shall be through shredding.

6.2.3 Documented information of external origin determined by **CWD** to be necessary for the planning and operation of the QMS shall be identified as appropriate, and be controlled.

6.2.3.1 Maintenance of external documents - It includes ISO standard, statutory and regulatory requirements, customers, and supplier's specifications.

6.2.3.2 No control number shall be assigned to external documents since **CWD** is not the owner of the said Document.

6.2.3.3 Document controller notifies the users when external documents are revised through dissemination of revised external documents.

6.2.3.4 Maintenance of External Documents

6.2.3.4.1 DCC shall check the source, clarity and completeness of received external documents.

6.2.3.4.2 Update master list of external documents.

6.2.3.4.3 Stamp the old version/s of external documents with "Obsolete" and subject for approval of concerned department head prior disposal.

6.2.4 Documented information retained as evidence of conformity shall be protected from unintended alterations.

6.2.4.1 In cases were justifiable alteration could not be avoided, alteration shall be done in this manner: E.g. alteration (sign & date)

7.0 RECORDS RETENTION

7.1 Active Retention – indefinite retention period for current or active documents for both electronic and hardcopy Master Copy.

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7.2 Inactive/Archival Retention – shall be kept for active three (3) years or may request for an extension as deemed necessary (hardcopy); for electronic/soft file; it shall be kept in a separate folder named "Obsolete Master Copy/Original".

8.0 REFERENCES

8.1 ISO 9001:2015 Standard
8.2 Quality Manual
8.3 ISO 17025: 2005 General Requirements for the Competence of Testing and Calibration Laboratories

9.0 ATTACHMENTS

9.1 Master List of documents (Internal/External)
9.2 Document Change/Control/Deletion Notice
9.3. Document Request Form
9.4 Document /Dissemination Form
9.5 Document Distribution/Retrieval Form
9.6 Record Retention Matrix
9.7 Records Retention Label Sheet
9.8 Records Retrieval Request
9.9 Records Destruction Request
9.10 Archive Form

ANNEX

SP002_Annex 1 Record Data Management

10.0 DISTRIBUTON LIST

Note 1: Select Relevant Recipient to Appear in below List.

COPY HOLDER NO.	DEPT/SEC./COPY HOLDER
1a	Office of the Board
1b	General Manager
2	IQA
3	Commercial
4	Engineering
5	ADM Purchasing
6	ADM Warehouse
7	ADM Motorpool
8	Laboratory (Quality Control Division)
9	ADM HR
10	Finance
11	Production

Note 2: Master Copy is in the custody of the Document Control Center.

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