



## TITLE: CONTROL OF DOCUMENTS AND RECORDS

### 1.0 Objective

To establish proper flow, handling and control of essential documents and records affecting the products/service quality of the quality management system of Camarines Norte State College.

### 2.0 Scope

This procedure covers all documents that will be subject for initiation, review, approval, issuance, revision, control and maintenance such as quality manual, procedure manuals, work instructions, applicable statutory, regulatory, international standards and applicable records.

### 3.0 Reference Documents

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

All Work Instructions, Syllabus, and Records as required by the international standards.

### 4.0 Procedure

#### 4.1 Identification and Control of Documents and Records

4.1.1 Each document shall have a document identification title, control number, and revision number such as e.g.

Quality Manual: CNSC - QM  
Co. Name - Quality Manual

Procedure Manual: CNSC - PM - XX  
Co. Name - Procedure Manual - Control #

Work Instruction: CNSC - WI - YY - XX  
Co. Name - Work Instruction - Department/Section - Control #

For forms: CNSC - F - YY - XX  
Co. Name - Forms - Department/Section - Control #

For logbooks: CNSC - LB - YY - XX  
Co. Name - Logbooks - Department/Section - Control #

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

#### 4.2 Review, Approval and Issuance

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

4.2.2 For Quality Manual and Procedure Manual, the QMR shall conduct final review and shall be approved by the President. For work instructions and forms, it should be reviewed by the originating department immediate superior and approved by the department head and/or QMR whichever is applicable. This shall be reflected on the "Review and Approval Form" (Form No. CNSC-F-DC-04).



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- 4.2.3 Approved new document (including form) shall be endorsed by originator 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.
- 4.2.4 Document controller or the originating department shall determine the necessary distribution that will be indicated in the Distribution and Retrieval Form (Form No. CNSC-F-DC-05). The document shall be reviewed against the Document Masterlist by the Document Controller to check any affected document/s. New documents which are not yet in the masterlist, shall be temporarily noted and be reflected in the next issue.
- 4.2.5 Updating of the Document Masterlist shall be done annually. 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.
- 4.2.6 The Document Controller shall reproduce and issue the document as indicated in the Distribution and Retrieval Form (CNSC-F-DC-05).
- 4.2.7 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.
- 4.2.8 All controlled (new and revised) documents shall be affixed with a "Document Revision Record" (Form no.: CNSC-F-DC-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.: CNSC-F-DC-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.
  - 4.3.3 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.
  - 4.3.4 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.
- 4.4 Filing, Availability, Retrieval and Storage
  - 4.4.1 Every department is responsible in filing and properly storing their documents and records.
- 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 or fax paper.
  - 4.5.3 The use of correction fluid or pencil is not allowed.
  - 4.5.4 To correct error in the documents, the appropriate personnel should draw a straight line across the entire word/s, number or alphanumeric series, initial and signature as well as the date you made the correction.



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### 4.6 External Documents

- 4.6.1 External Documents are documents coming from external source 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 "Document Review and Approval" (Form no.: CNSC-F-DC-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.: CNSC-F-DC-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 Masterlist.
- 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 and Retrieval Form" (CNSC-F-DC-05).
- 4.6.8 The Document Controller is not required to maintain a copy of any external document in book or manual form unless an extra copy is provided.

### 4.7 Obsolete 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 provisions of Republic Act 9470 otherwise known as National Archives of the Philippines (NAP).
- 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.

### 4.8 Retention

Please see attached List of Documents/Records Retention.



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**4.9 Disposition**

4.9.1 All records/documents intended for disposition shall be done in accordance with the provisions of the National Archives of the Philippines (NAP) General Circular No. 1 specifically Rule 7 on Records Disposition specifically

*7.3 "Agency's Records Disposition Schedule (RDS). Each agency shall establish a Records Disposition Schedule to be accomplished in the prescribed form (NAP Form 2) covering its substantive records and those records not included in the General Records Schedule to serve as guide in the disposition of record, subject to the approval of the National Archives of the Philippines (NAP). Any revision or change in the Schedule shall likewise be submitted for approval to the Executive Director as the need arise.*

**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 Appendices**

List of Documents/Records Retention

Form # CNSC-F-DC-01: Document Change Notice

Form # CNSC-F-DC-02: Document Revision Record

Form # CNSC-F-DC-03: Document Masterlist

Form # CNSC-F-DC-04: Review and Approval Form

Form # CNSC-F-DC-05: Distribution and Retrieval Form

Form # CNSC-F-DC-06: List of Documents/Records Retention

RA 9470: National Archive of the Philippines

NAP Form 2: Records Disposition Schedule

Prepared by:

Reviewed by:

**ELOISA R. LUKBAN**  
Document Controller  
Date: February 16, 2017


**ERLINDA J. PORCINCULA, Ph. D.**  
Quality Management Representative  
Date: \_\_\_\_\_

Approved:

**RUSTY G. ABANTO, Ph. D.**  
College President  
Date: \_\_\_\_\_



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	<b>CAMARINES NORTE STATE COLLEGE</b>	F. Pimentel Ave., Daet, Camarines Norte	
	<b>DOCUMENTS CONTROL OFFICE</b>		
<b>DOCUMENT CHANGE NOTICE</b>			
Document No: _____			
Title: _____			
Detailed Description of Change:			
From:			
To:			
Justification of Change:			
Originator/Signature: _____			
Department/Date: _____			
Reviewed by: _____			
Date: _____			
<i>Approvals:</i> Position	Names	Signature	Date



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**CAMARINES NORTE STATE COLLEGE**  
**DOCUMENTS CONTROL OFFICE**


F. Pimentel Ave., Daet, Camarines Norte

**DOCUMENT REVISION RECORD**

Rev. No.	DCN #	Brief Description of Changes	Doc. No:	
			Effectivity Date	Originator



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**CAMARINES NORTE STATE COLLEGE**  
**DOCUMENTS CONTROL**

F. Pimentel Ave., Daet, Camarines Norte

**DOCUMENT MASTERLISTS**

[Page \_\_\_ of \_\_\_]

Internal Documents  External Documents  Forms  Logbooks

Doc. No.	Rev. No.	Document Title	Effectivity Date	Originator	No. of pages

CNSC-F-DC-03 Rev. 0 February 23, 2017



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**>> DOCUMENT MASTERLISTS** [Page \_\_ of \_\_]

Internal Documents    External Documents    Forms    Logbooks

Doc. No.	Rev. No.	Document Title	Effectivity Date	Originator	No. of pages

Updated by: **ELOISA R. LUKBAN**  
Documents Control Team Chairperson  
Date: \_\_\_\_\_

Reviewed by: **ERLINDA J. PORCINCULA, Ph. D.**  
Quality Management Representative  
Date: \_\_\_\_\_

Approved by: **RUSTY G. ABANTO, Ph. D.**  
College President  
Date: \_\_\_\_\_

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CNSC-F-DC-03 Rev. 0 February 23, 2017





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	<b>CAMARINES NORTE STATE COLLEGE</b>	F. Pimentel Ave., Daet, Camarines Norte
	<b>DOCUMENTS CONTROL OFFICE</b>	
<b>DOCUMENT REVIEW AND APPROVAL</b>		
<input type="checkbox"/> Internal Documents <input type="checkbox"/> External Documents <input type="checkbox"/> Forms <input type="checkbox"/> Logbooks		
Document No: _____ Title: _____ _____		
Proponent of the Document: _____ Purpose of the Document: _____ _____ _____		
Reviewed by:  <div style="text-align: center;">_____</div> Head of the Office/Delivery Unit/Division Head  Approved by:  <div style="text-align: center;">_____</div> Quality Management Representative/College President		
<b><i>For Quality and Procedural Manual</i></b> Reviewed by:  <div style="text-align: center;">_____</div> Quality Management Representative  Approved by:  <div style="text-align: center;">_____</div> College President		







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NAP Form No. 2  
 2008

<b>NATIONAL ARCHIVES OF THE PHILIPPINES</b> <i>Pambansang Sinupan ng Pilipinas</i> <b>RECORDS DISPOSITION SCHEDULE</b>		1. AGENCY NAME:			
		2. ADDRESS:			
3. SCHEDULE NO.:		4. DATE PREPARED:			
5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	

**IMPORTANT:** Pursuant to Section 18, Article III, RA 9470 s. 2007, "No government department, bureau, agency and instrumentality shall dispose of, destroy or authorize the disposal or destruction of any public records, which are in the custody or under its control except with the prior written authority of the executive director."



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NAP Form No. 2  
2008

5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	