

1.0 Purpose

The purpose of this procedure is to ensure that processes are in place to undertake effective control of NCPL's Integrated Management System (IMS) documents and data with the following objectives:

- Ensure that valid documents are available at all relevant locations.
- Changes to documents are reviewed and approved by authorized personnel.
- Obsolete documents are promptly and reliably removed.
- Hard copies or print outs taken for personal use are marked as uncontrolled.

2.0 Responsibility

The Heads of Departments are responsible for ensuring that document and data controls are effectively carried out in accordance with the procedures below.

Individual Department Heads are document owners and are responsible for ensuring that their controlled department manuals and documents, if any are maintained in accordance with these procedures.

3.0 Procedures

All document and data reviews will be coordinated by the Heads of Departments and the CEO. Reviews may be held at the same time as BSR Management Reviews.

The NCPL's Master List of Controlled Documents identifies those documents which have been given controlled status, as deemed appropriate by the Head of Department. The Master List identifies the current revision status and distribution of each document.

The proper handling of all documents is undertaken to ensure that obsolete or invalid documents are promptly removed from points of issue or use and ensure that obsolete documents are retained as records and/or for reference are suitably identified.

The document and data control of NCPL's IMS as a minimum ensures that:

- Pertinent issues of appropriate documents/ data are available at all relevant locations.

- Invalid and/or obsolete documents / data are promptly removed from all points of issue or use, or otherwise assured against unintended use by marking “uncontrolled document”.
- Changes to documents and data shall be reviewed and approved by the same function that performed the original review and approval.
- Up-to-date documents are available as necessary to meet requirements.
- Documents of external origin are identified, and their distribution controlled.
- Documents remain legible and identifiable.
- Documents are adequately protected from improper use and loss of confidentiality or loss of integrity.
- Documents are retained for required periods and disposed of appropriately.
- Access to relevant documents includes access by workers and where they exist workers representatives.
- Mandatory documented information is retained or maintained.

Review and Approval of New and Amended Documents:

All requests for new and/or amendments to existing controlled documents shall be made verbally during office management meetings or in writing where appropriate, and may include:

- Reasons for the changes or the need for new documents.
- New wording / content in draft form.
- Reference to the existing documentation that is to be amended, if approved.

The request shall be reviewed by the Department Heads, and other key personnel as appropriate, to establish that:

- The need for the changes / additions is valid.
- The content / wording is compatible with NCPL policy, and is clear, unambiguous, and suitable for inclusion in the IMS.
- The format is in accordance with IMS documentation requirements.
- Input from all personnel has been obtained, where appropriate.

The key points of the request shall be forwarded to the CEO or in his/her absence to the Deputy for review and approval.

- If the request is approved by the CEO, the Heads of Departments shall ensure that the appropriate section(s) is/are updated and circulated to all designated document holders (owners), and the appropriate Department Head shall ensure that the Master Controlled Document List is updated.
- The review shall be documented and filed, where appropriate.
- Notification of rejected requests shall be given to the originator with the reason for rejection.

Amendments to existing IMS documents:

- All changes to IMS documents are recorded on a corrections log or to the Index as applicable. When appropriate, a completely new edition shall be issued.
- Affected page(s) and the corrections log are re-issued and carry an updated revision to make changes obvious and for ease of reference.
- Text changes shall be indicated, where practicable, by a vertical line in the right- hand side of the margin, adjacent to the revision.
- It is acceptable for small changes, e.g., telephone numbers, to be temporarily entered by hand until the section is officially amended.
- Minor changes can be made by hand.

Control of Documents of External Origin

- NCPL has no control over changes or amendments to documents of external (third party) origin but shall ensure that when they are made by the publishers or distributors, they are to be obtained and distributed without delay.

- The CEO or his appointed deputy is responsible for ensuring that all documents of external origin, such as regulations, codes, rules, guidelines, and technical publications, are received and distributed and obsolete documents are handled as per the above guidelines.
- All third-party documentation in use which shows no indication of cancellation shall, therefore, be deemed to be current.
- Manufacturer's instruction manuals are not updated unless a technical amendment notice is issued. Such notices shall be incorporated in a similar manner to other amendments.

Quality Records

- NCPL records which are essential to the IMS shall be stored so that they are readily identifiable, accessible, and easily retrieved. They are protected from loss, damage, or deterioration by those charged with their safekeeping.
- Customer communication and Employee evaluation forms are identified and are maintained by each Division\ Department. The records are maintained at the respective locations or when impractical are kept at locations from where they could be easily accessed.
- Personnel training records such as prior learning experience; previous experience and qualifications; personal details; qualifications and courses attended are maintained by the Human Resources Department and made accessible to authorized personnel only.
- All guidance documents from External Regulatory Bodies will be maintained as a part of the Quality Records Systems.
- All such records should be made available to all process owners.
- All quality records will be retained according to the retention schedule.

4.0 Records

- Master List of Controlled Documents.
- IMS Manuals.
- Applicable Records as per Index of Company Forms.

NCPL-IMSP-004
DOCUMENT CONTROL PROCESS MAP

