



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, syllabus, operations manual, applicable statutory and regulatory requirements, international standards and applicable records.

3.0 Reference Documents

ISO 9001:2018 : Quality Management System Requirements
LSPU-QM : Quality Manual
LSPU-PM-02 : Internal Quality Audit
LSPU-PM-03 : Control of Non Conformity, Corrective Action
RA 9470 : NAP General Circular No.1, Jan. 20, 2009; National Archives of the Phil. Act of 2007
RA 10173 : Data Privacy Act 2012

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 #

Forms, LSPU - YYYY - SF - XXX
University Name - Dept./Sect - System Forms - Control #

Log Book, LSPU - YYYY - LB - XXX
University Name - Dept. Sec. Log book - Control #

Memorandum, LSPU-YYYY-MO-XXX
University Name-Dept./Unit- Memorandum- Control #

Request Letter, LSPU- YYYY- RL-XXX
University Name- Dept./Unit- Request Letter-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 heads/associate deans shall prepare the document and the respective Vice-President shall likewise conduct review for adequacy and suitability. Approval is by the University President.

4.2.2 For Quality Manual, all the Vice Presidents shall conduct final review and shall be approved by the University President.

ISSUED

LSPU
Date: *J/c 10/3/19*



For Procedure Manual to wit:

- Control of Documents and Records, the VPs shall conduct final review and shall be approved by the University President.
- Internal Audit, the VPs shall conduct final review and shall be approved by the University President.
- Control of Non-Conformity and Corrective Action, the VPs shall conduct final review and shall be approved by the University President.
- For work instructions of non-teaching processes, it should be prepared by originating department heads signed by the respective director; reviewed by the Vice-President who exercises supervision and control over the process; approved by the University President.
- For ACAD work instructions, a committee of deans and associate deans shall prepare the document, signed by the CIDQA director. It should then be reviewed by the VPAA and then approved by the University President.
- For system forms, it should be reviewed by the concerned VP, and approved by the University President. Academic forms shall be prepared by a committee comprised of deans, associate deans and CIDQA. Approval of new forms shall be reflected on the "Review and Approval Form" (Form. No. LSPU-DCO-SF-004).

Signatories

Documented information	Prepared by	Reviewed by	Approved by
Quality Manual	None	All VP's	University President
PM01	DCO	All VP's	University President
PM02	Lead Auditor	All VP's	University President
PM03	CIDQA/Lead Auditor	All VP's	University President
Work Instructions (non-teaching)	Director	VP in charge	University President
Work Instructions (Academics)	CIDQA Director	VPAA	University President
System Forms (non-teaching)	Director	VP in charge	University President
System Forms (Academics)	Academic Committee	VPAA	University President

- 4.2.3 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.
- 4.2.4 The originating department shall determine the necessary distribution indicated in the distribution list, a copy that shall be given to the DCO. The document shall be reviewed against the Document Masterlist by the DCO 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 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.
- 4.2.6 Issued documents (internal and external) shall be stamped "CONTROLLED" on each page and "ISSUED" (first page only) with affixed date of receipt/signature of Document Control Officer/Coordinator except for reference equipment manuals/books which shall be stamped "CONTROLLED" on the first page only.
- 4.2.7 Once 'CONTROLLED' copies are issued to the originating department by the DCO, the originating department shall reproduce and distribute the documents as indicated in their distribution list. For SYSTEM FORMS distributed, copies that are NOT stamped "CONTROLLED" are to be made available for use.



Sample Template of Distribution List

Distribution List

Document Title	Document Number	Offices to be issued copies
Quality Manual	LSPU-QM	OUP MR VPAA, VPA, VPRDE OCD Process Owners - thru website
An Outcomes Based Learning Program	LSPU-ACAD-SF-015	CAS, CTE, CCS, CBMA, CHMT, CCJE, COE, CONAH, CA, CoF, CFND, CIT
CMO xxx	external	CTE, Registrar, CIDQA, VPAA

- 4.2.8 Document Control Office can set specific date of deadline for the submission of documents to be controlled. Units/ Offices who will not meet the set date of deadline can still submit new/ revised documents but this will be for trial use only. These documents for trial will be controlled in the next updating of masterlist.

4.3 Document Review, Revision and Re-approval

- 4.3.1 Controlled documents shall be reviewed regularly (within 12 months from previous review) for adequacy and suitability. Results of review shall be carried over on the review 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-SF-001) 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 controlled (revised) documents shall be affixed with a "Document Revision Record" (Form no.: LSPU-DCO-SF-002) for its revision description history.

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 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.
- 4.4.3 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, draw a straight line across the entire word/s, number or alphanumeric series and write your name 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, and reference books.



- 4.6.2 All received external documents including soft copies shall be reviewed by the receiving unit/department/office using the Review and Approval Form (Form no.: LSPU-DCO-SF-004) 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-SF-003).
- 4.6.5 Soft copy documents will not be stamped controlled but will be only registered in the Document Master list.
- 4.6.6 The receiving unit/department shall identify the distribution of the received document and shall be reflected on the distribution list of the unit/department.
- 4.6.7 The Document Controller is NOT required to maintain a copy of any external document in book or manual form.

4.7 Obsolete and Retrieval

- 4.7.1 Obsolete documents are the responsibility of the receiving department/unit. Obsolete 'CONTROLLED' documents must be retrieved or recalled upon issuance of the newly revised or updated documents.
- 4.7.2 Master copies of the Document Controller shall be stamped "OBSOLETE".
- 4.7.3 Obsolete original documents must be stored for reference purpose and will be disposed as per 4.9.
- 4.7.4 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.
- 4.7.5 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 Security, Integrity and Confidentiality

- 4.8.1 LSPU adopts the policies on protection of privacy anchored in Data Privacy Act of 2012.
- 4.8.2 Only officials authorized by the University President shall have access to the files to ensure protection and confidentiality of records.
- 4.8.3 Confidential information shall not be released to any unauthorized individual except with the written consent of the employee and approval of the University President/ Campus Director.
- 4.8.4 Use appropriate paper size when printing/ photocopying to ensure completeness and integrity of document/s.

4.9 Retention

Please refer to Records Disposition Schedule.

4.10 Disposition

- 4.10.1 All records/documents intended for disposition as per 4.9 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

Records Disposition Schedule

RA 10173/ Data Privacy Act 2012

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

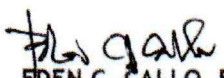
LSPU-DCO-SF-005: Distribution and Retrieval Form


Prepared by:


ARLA A. REDONA
Document Control Officer
Date: *Sept. 23, 2019*


Reviewed by:


CORAZON N. SAN AGUSTIN, Ph.D.
Vice President for Research Development & Extension
Date: *Sept. 25, 2019*


EDEN C. CALLO, Ed.D.
Vice President for Academic Affairs
Date: *Sept. 25, 2019*


ENGR. BELTRAN R. PEDRIGAL
Vice President for Administration
Date: *Sept. 25, 2019*

Approved by:


MARIO R. BRIONES, Ed.D.
University President
Date: *October 2, 2019*