



Procedure 14

DOCUMENTED INFORMATION

Date prepared : January 6, 2017
Date approved : January 10, 2017
Effectivity Date : January 11, 2017
Revision No. : 00
Revision Date :
Control No. : **PM14-01**

Reviewed by: Engr. Carlos N. Santos, Jr. - GM

Approved by: Dir. Miguela G. Pleyto – BOD Chairperson

1.0 OBJECTIVES

- 1.1 Ensure that documented information in all processes is approved prior to distribution.
- 1.2 Ensure that all documented information issued for use are sufficient, monitored, controlled and easily recognizable based on its purpose and its proper distribution.
- 1.3 Ensure that all documents/requirements affecting the concessionaires are properly stored and documented and rate treated confidential, if necessary.
- 1.4 Ensure enhanced quality of documented information to aid the management in its fundamental responsibilities
- 1.5 Ensure that external documents that affects the QMS are identifiable and distributed accordingly.
- 1.6 Ensure that all documented information are properly maintained and controlled for the identification, distribution, storage, retention, transfer and disposition in accordance with approved records retention schedules.

2.0 SCOPE

This procedure defines the controls for QMS documented information which are related to:

- 2.1 Approval of documented information for adequacy prior to its subject matter
- 2.2 Review and update, and revision of documented information as necessary
- 2.3 Ensuring that changes and current revision status are identified
- 2.4 Ensuring the availability of relevant versions of documented information at its points of use
- 2.5 Ensuring that documented information remain legible and readily identifiable
- 2.6 Preventing the unintended use of obsolete documented information and the application of suitable identification if they are retained for any purpose
- 2.7 Ensuring that documented information of external origin are identified and their distribution is controlled
- 2.8 Ensure proper storage of documented information for preventing physical damage and deterioration.
- 2.9 Ensure that documented information are protected from threats of tampering, theft, and loss
- 2.10 Ensure that documented information are retrieval when needed



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- 2.11 Ensure the retention and disposal of all documented information

3.0 REFERENCES

- 3.1 ISO 9001:2015 Section 7.5
- 3.2 Procedure for Documented Information
- 3.3 Procedure for Corrective Action
- 3.4 Procedure for Management Review

4.0 RESPONSIBILITIES AND AUTHORITIES

All

5.0 PROCESS FOR SMWD DOCUMENTED INFORMATION


5.1 Preparation of Document

- a) All **SMWD** QMS processes shall be guaranteed by the ISO COORDINATOR and Document Control Officer to ensure that documented process complies with:

- applicable requirements of ISO 9001:2015
- policy and quality objectives of **SMWD**
- all requirements pertaining to water supply and distribution of potable water

All information particularly the latest updates including feedback that could affect **SMWD** QMS must be communicated to the ISO COORDINATOR/DCO.

- b) The ISO COORDINATOR/DCO shall ensure that all documented information and all forms used by **SMWD** are systematically arranged and given specific identification and audit status.

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- c) The ISO COORDINATOR/DCO shall develop, update and keep a copy of all forms to be used.
- d) The ISO COORDINATOR/DCO shall ensure that QMS documented information such as Quality Manual, Procedures and Work Instructions Manual bear the following:
 - Water district's logo – as proof of document's validity and authenticity and that the document is the property of **SMWD**.
 - Revision number - as a policy, initial issue of QMS documented information including forms shall bear revision 0 which shall be numbered in succession for subsequent revisions.
 - Date Prepared – the date of preparation of all documented information for reference purposes.
 - Date Approved – the date of approval of the documented information for reference purposes.
 - Effectivity Date- the date of implementation
 - Control Number- the identifiable number for every procedure.

5.2 Review and Approval of Documented information

- a) The General Manager and the Board of Directors respectively, shall review and approve all new or revised document formats.
- b) All employees who wanted to revise previously approved documented information (Work Instructions Manual) must request from the ISO COORDINATOR/DCO using REQUEST FOR NEW/CHANGE DOCUMENT FORM and must have a proper format and justification, for the review and approval of the ISO COORDINATOR/DCO and General Manager respectively.

5.3 Approved Documented information



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- a) All approved document formats shall contain the dates of approval to distinguish the current revised file.
- b) A memo from the ISO COORDINATOR/DCO shall be issued upon approval of all the forms and revised documented information prior to its use.
- c) All incoming external documented information shall be coordinated to the Office of the General Manager except for BAC/Procurement documents, Invoices/Receipts.
- d) A master list of all external documented information is provided for retrieval and references.
- e) The ISO COORDINATOR/DCO shall ensure that the Procedures and Work Instructions Manual contain the following framework:
 - objectives
 - scope
 - references
 - responsibility and authority
 - process
 - documented information

Forms, reports and other documented information that provide evidence of conformity to requirements shall contain the following as appropriate:

- company name and logo
- document number/title
- revision number and date
- coding e.g. division/section code as documented information keeper



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- f) The ISO COORDINATOR/DCO prepares/maintains document in soft and hard copy form. In cases where there are discrepancies, the master copy of latest approved document in hard copy form maintained by the ISO COORDINATOR/DCO will be considered the valid and official one.
- g) The ISO COORDINATOR/DCO shall submit the completed documentation for review and approval of the General Manager and Board of Directors, respectively.
- h) Once the QMS documented information have been approved, it will be disseminated and shall take its effectivity after approval.

5.4 Distribution and Control of Approved Document

- a) Once the Board of Director has approved the document, the ISO COORDINATOR/DCO shall identify distribution of the documented information and assign control copy number using Document and Controlled Copy List. No QMS document shall be reproduced in any form without the authorization of the BOD through the General Manager.
- b) Once the General Manager has signed the Document and Controlled Copy List, the ISO COORDINATOR/DCO shall facilitate reproduction of the documented information to be issued ensuring clarity and completeness of pages.

The Quality Manual, Procedures and Work Instructions Manual shall be stamped “controlled copy” where all including relevant forms shall be distributed at points of use ensuring easy identification and traceability.

- c) The ISO COORDINATOR/DCO shall ensure that prior issuance of latest approved documented information; obsolete documented information are collected for disposal. Only master copy of obsolete documented information will be retained for reference under the custody of ISO COORDINATOR/DCO ensuring it is stamped “SUPERSEDED”.



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5.5 Internal Communication


- a) The ISO COORDINATOR/DCO shall ensure that communication takes place regarding the latest approved document to ensure its effective implementation.
- b) An Acknowledgment Form shall be utilized to provide evidence that internal communication referred to above took place.

5.6 Revision of QMS Document

- a) All existing QMS documented information are subject to change in consideration of the following:
 - Request for New/Change Document– initiated by process owner if existing documented process is no longer adequate and suitable. This Request for Document Change is subject for evaluation of the ISO COORDINATOR/DCO and approval of the BOD in coordination with the General Manager and respective Division Manager.
 - Audit Results – if the audit findings require revision of any document in place in order to improve the ability to comply with requirements. See Procedure for Corrective Action.
 - Management Review Result – if the Management Review output includes identified need for revising a documented process in order to enhance the ability to comply with requirements

5.7 Control and Distribution of Documented information from External Origin


- a) All documented information received from external origin shall be stamped “RECEIVED” when practical and acknowledged in writing when deemed necessary.

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- b) The Office of the General Manager determine the need for routing/distribution of the document to affected division for reference or action ensuring documented information of routing/distribution is made available.
- c) All documented information received from external origin with proof of routing/distribution (as appropriate) shall be maintained in accordance with the SMWD's Retention Records Table.

5.8 General Requirements

- a) All personnel shall strictly and consistently utilize controlled forms issued for use to provide evidence of compliance with specified QMS requirement.
- b) No personnel shall make unauthorized adjustments/revisions to controlled forms. Request for New/Change Document Form shall be filled out if existing forms are no longer suitable for intended use.
- c) All latest forms and other references from external origin that affects the QMS shall be furnished to ISO COORDINATOR/DCO.
- d) All personnel shall completely fill out forms by recording all requested information and affixing required signatures. In cases when requested information is found unsuitable, "N.A." shall be marked.
- e) Should there be discrepancies between documented information in soft and hard copy form, the hard copy on file will be considered the valid and official ones.

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f) In case of SMWD's approval of the SRS under the district's computer system, it is automatically approved thus manual signature of the authorized personnel is no longer required.

g) Each unit shall have one central filing area.

5.9 Identification of Documented information

a) All documented information made or received by the organization that demonstrate compliance with any of the following shall be maintained:

- ISO 9001:2015 QMS requirements
- Requirements specified in QMS manuals (Quality Manual, Procedures and Work Instructions)
- LWUA requirements
- Industry rules and regulations governing clean and safe water.

b) Other documented information made or received by personnel in the organization that provide evidence of transactions processed, actions taken, agreements and exchanges of communication/information with concessionaires/customers and suppliers will be maintained as documented information.

c) For purposes of identifying what other documented information can be maintained , the following may be taken into consideration:

- Does the document require any action?
- Is it recent enough to be useful?
- Would it be difficult to get the document again?
- Are there any tax or legal implications?
- Could you identify a specific use for the document?
- What is the most possible scenario if you dispose the document?



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HARD COPY FILES

5.10 Storage of Documented information


- a) All documented information in hard copy form shall be maintained in a manner that it is easily identifiable and traceable.
- b) As a policy, all hard copy files per division are kept in arch file binder folders, while personnel 201 files in individual envelope/folder maintained under the custody of Administrative, Finance and Commercial Manager. Other hard copy files for reference use are maintained per folder.

5.11 Protection of Documented information

- a) Documented information in hard copy form shall be maintained in a manner that it is protected from loss or possibility of theft, damage, tampering or deterioration.

5.12 Retrieval of Documented information

- a) Documented information in hard copy form is open for access by any personnel in the organization with proper coordination to personnel having direct responsibility for them. In cases where documented information is to be maintained in a secured cabinet, a duplicate key shall be provided to the Division Managers.
- b) Confidential documented information shall be made accessible as authorized by the General Manager.

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5.13 Retention of Documented information

- a) All documented information in hard copy form is to be retained for the current year or when deemed necessary and as declared in the Retention Records Table.

5.14 Disposal of Documented information

- a) All documented information in hard copy form upon reaching its retention period shall be disposed accordingly as declared in the Retention Records Table.

SOFT COPY FILES/ELECTRONIC FILES

5.15 Storage of Documented information

- a) All documented information in soft copy form shall be maintained in a manner that it is easily identifiable and traceable.
- b) SMWD has a computer-based system which stores information related to the concessionaires billing and account that are accessible to the Admin, Finance and Commercial Division

5.16 Protection of Documented information

- a) All documented information in soft copy form shall be protected from unauthorized adjustment, loss or damage. Personnel with direct responsibility when deemed necessary shall back up own documented information in soft copy form on a regular basis using any available medium.



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5.17 Retrieval of Documented information

- a) Documented information in soft copy form shall be retrievable to ensure uninterrupted operations in case of personnel absences. In this case, all password-enabled soft copy documented information shall be made known to Office of the General Manager and Division Managers.

5.18 Retention of Documented information

- a) All documented information in soft copy form shall to be retained for the current year or when deemed necessary.

5.19 Disposal of Documented information

- a) All documented information in soft copy form, upon reaching its retention period, shall be disposed or transferred to back-up hard drive or any available medium when deemed necessary.

6.0 DOCUMENTED INFORMATION

- 6.1 Document and Controlled Copy List
- 6.2 Acknowledgment
- 6.3 Request for Document Change
- 6.4 Revision History
- 6.5 Document and Controlled Copy List for External Origin Documents
- 6.6 Acknowledgment
- 6.7 Request for Document Change
- 6.8 Revision History
- 6.9 Documented information from external origin
- 6.10 Log of incoming/outgoing communication