
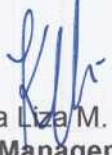
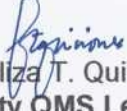

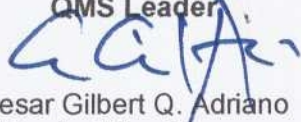




**NATIONAL LIBRARY OF THE  
PHILIPPINES**

**QMS  
PROCEDURES**  
**Control of Document Procedure**

	<b>NATIONAL LIBRARY OF THE PHILIPPINES</b>	Document Code: <b>NLP.QMS.QP.003</b>	
		Rev.: <b>4</b>	Issue Date: <b>July 15, 2022</b>
Subject: <b>Control of Documents Procedure</b>			
Prepared by:   Kathrina Liza M. Maño <b>Knowledge Management Team</b>	Reviewed by:   Flordeliza T. Quiñones <b>Deputy QMS Leader</b>	Approved by:   Edgardo B. Quiros <b>QMS Leader</b>  Cesar Gilbert Q. Adriano <b>Head of the Agency</b>	

### 1. PURPOSE

This procedure intends to define the controls needed to ensure that documents necessary for effective operation of NLP's processes are available and suitable for use, where and when it is needed.

### 2. EXPECTED OUTPUTS

By implementing the controls defined in this procedure, the following specific outputs are expected:

- 2.1. Appropriate versions of documents are available at points of use;
- 2.2. Issued documents with suitable identification of revision status;
- 2.3. Obsolete documents are prevented from unintended use.

### 3. SCOPE

The controls specified in this procedure apply to documented references, manuals, procedures, instructions and their associated forms generated from internal and external origin in any type of media.

This procedure covers the activities from document creation, approval, registration, distribution and retrieval.

### 4. DEFINITION

Controlled Copy	Reproduced copy of the original document (i.e., Master Copy), latest issued document; indicated by blue "Controlled Copy" stamp and signed in blue ink by the Document Controller
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Check the Master Document Register. Verify that this is the current version before use.	Documents that do not bear the NLP's official document stamps are considered "Uncontrolled"
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**Control of Documents Procedure**

Copyholder	Authorized recipient of official copies of NLP' quality management system related documents.
Document Controller (DC)	The person in-charge of the control and management of documents as mentioned in the scope.
Document Review and Approval Request (DRAR) stamp	This stamp indicates the evidence of review and approval of the reviewing authority including the list of copyholders to where the Controlled Copies of the document are to be distributed.
Master Document Register (MDR)	An electronic database that holds the Master Copies of the quality management system documents, which is maintained by the DC.
Master Copy	Finalized/approved electronic versions that are uploaded and registered on the MDR, which are maintained by the DC.
Originator	Person who authored an official document or initiated changes on official documents. Originators include the office/division heads. As the presumed process owner, the Originator is required to analyze risks and opportunities and the actions to address them prior to creation and/or revision of their respective documents.
Risks / Opportunities Analysis and Actions Planning (ROAAP)	A risk-based thinking tool for planning NLP' QMS processes with the intention to determine appropriate actions/controls that address risks and opportunities to ensure: <ul style="list-style-type: none"> <li>● Achievement of the planned results or expected outputs;</li> <li>● Enhancement of desirable effects;</li> <li>● Prevention or reduction of undesirable effects;</li> </ul>

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	<ul style="list-style-type: none"> <li>• Achievement of improvement.</li> </ul>
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## 5. RESPONSIBILITIES

Quality Management System Leader (QMS Leader)	Shall ensure that the established documented procedures are consistent with the requirements of NLP' quality management system and are effectively implemented. They are also responsible for the review and approval of this procedure.
DC	Shall ensure that the established documented procedures are properly identified, available at all essential locations and current for use. The DC is also responsible for the preparation and implementation of this procedure.
Copyholder	Ensures that all activities performed are based on the appropriate versions of the quality management system documents.

## 6. PROCEDURE OUTLINE

Responsible	Activity	Documents
Originator / DC	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Document Creation  (See Section 7.1) </div> <div style="text-align: center;">↓</div>	Draft documents Risk/Opportunity Assessment & Action Planning (ROAAP) "Draft" stamp DRAR stamp Document Coding System
Originator Deputy QMS Leader Office Heads	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Review and Approval  (See Section 7.2) </div> <div style="text-align: center;">↓</div>	Draft documents DRAR stamp

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DC Originator	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">           Registration of Documents (See Section 7.3)         </div> <div style="text-align: center; margin: 5px 0;">↓</div>	Draft documents and its softcopy (Master Copy) MDR
DC Copyholder	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">           Issuance of Documents (See Section 7.4)         </div>	"Controlled" stamp DRAR stamp "Obsolete" stamp
DC	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">           Control of Documents of External Origin (See Section 7.5)         </div>	MDR

**7. PROCEDURE DETAILS**

**7.1. Document creation.**

- 7.1.1. When creating new or revising an existing document, draft documents must be printed and show the word "DRAFT" watermark diagonally in red font in all pages. They are not official and must not be used for current work purposes. Changes to the document should be highlighted or underlined to aid the review process.
- 7.1.2. To ensure document readability, the originator shall use the following font format: Palatino Linotype with a font size of eleven (11), single line spacing, and justified alignment.
- 7.1.3. Draft documented procedures necessitate prior analysis of the associated risks and opportunities. The purpose of which is to determine appropriate actions to address the identified risks and opportunities. Actions to address risks and opportunities must be integrated into the documented procedures. Hence, all draft documented procedures shall be required to have its corresponding Risks/Opportunities Assessment and Actions Planning document. The ROAAP shall be submitted to the DC together with the draft documented procedure.
- 7.1.4. The originator shall forward the draft, corresponding attachment, and the DRAR to the DC who will then assign a document code. (See Annex A)

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7.1.5. The Document Coding System format is as follows:

**NLP.AAA.B.XX**

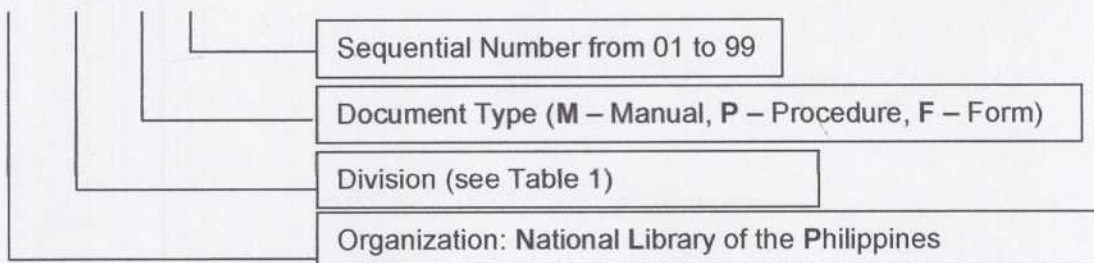


Table 1. NLP Divisions

AAA	Division
OTD	Office of the Director
ADO	Office of the Assistant Director
QMS	Quality Management System
BSD	Bibliographic Services Division
CAT	Catalog Division
CDD	Collection Development Division
FIL	Filipiniana Division
FAD	Finance and Administrative Division
REF	Reference Division
RPD	Research and Publications Division
PLD	Public Libraries Division

7.1.6. Document Code


B	Document
F	Forms
M	Manual
P	Procedure
QMS	Quality Management Systems
QP	Quality Procedure

7.1.7. DRAR

DOCUMENT REVIEW AND APPROVAL REQUEST (DRAR)	
Requested by: <i>(Originator)</i>	Office: <i>(Name of the Division / Section / Committee)</i>

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Document Code: <i>(To be assigned by DC)</i>		Rev. No. <i>(Current Revision No.)</i>	Date Requested: <i>(Date of submission to DC)</i>
Reason for request: <i>(State reason/s for changes)</i>			
Reviewed By: <i>(Name and Signature of Reviewer)</i>		Date: <i>(Date Reviewed)</i>	
Comments: <i>(Reviewer's comments on the documents)</i>			
Approved By: <i>(Name and Signature of QMS Leader or Head of the Agency)</i>		Date: <i>(Date Approved)</i>	
Comments: <i>(Approver's comments on the documents)</i>			
Date Registered: <i>(To be filled out by DC Date of Approval)</i>		Date Issued: <i>(To be filled out by DC Date of Dissemination)</i>	
Copyholder:	No. of Copies	New version issued to:	Old version retrieved from:

Where:

- a. Requested by- Name of the originator of document;
- b. Office- Office of the originator of document;
- c. Document Code and Revision Number- Codes of the document based on the Document Coding System. It will be provided by the DC;
- d. Reason for request- Reason for the originator for requesting changes in the document;
- e. Reviewed by- Name of Reviewer of the document;
- f. Date-Date reviewed by the reviewer;
- g. Comments-Comments of the Deputy QMS Leader on the document;
- h. Approved by-Approver of the document reviewed by the reviewer;
- i. Comments- Comments of the Approver of the Document;
- j. Date Registered- Date the document is approved by the approver;
- k. Date Issued- Date of distribution of the controlled document;

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- l. Copyholder- Names of copyholder of controlled documents for efficient retrieval of the document;
- m. No. of copies- Number of copies issued to the copyholders;
- n. New version issued to- Signature of the copyholder of the new version of the document; and
- o. Old version retrieved from-Signature of the copyholder to whom obsolete document was retrieved


7.2. Review and approval of documents will be as follows:

Type of Document	Prepared by:	Recommended/re viewed by:	Approved by:
Division Procedural Manual	Originator	Division Chief	Head of the Agency
Quality Management System Documents	Originator	Deputy QMS Leader	QMS Leader / Head of the Agency
Forms	Originator	Deputy QMS Leader	QMS Leader / Head of the Agency

- 7.2.1. Once the document has the DRAR and assigned with the corresponding document code, the originator shall submit the draft document to the concerned reviewing and approving authority.
- 7.2.2. The originator shall be responsible to ascertain the key persons/positions who will receive official copies of the "DRAFT" document. The identity of such persons/positions shall be indicated on the Copyholder section of the DRAR.
- 7.2.3. The reviewer will review the information contained within the draft document, with regard to its suitability. In the case of documents with a technical content or will affect various processes, the reviewer will arrange for the document to be additionally reviewed by suitable person(s) (i.e. other Division Heads).
- 7.2.4. Any alterations shall be coordinated with the originator. However, if the reviewer decides that the document is acceptable, they will endorse the document for the approval of the QMS Leader / Head of the Agency.
- 7.2.5. Review and approval evidence shall be documented using the DRAR of the draft document.

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7.3. Registration of documents.

- 7.3.1. After the draft document and DRAR is reviewed and approved, the draft shall be forwarded to the DC together with the final version with wet signatures.
- 7.3.2. The DC shall enter the details of the document into the Master Document Register and will place the scanned / finalized soft copy into the computer system.
- 7.3.3. In the case of new documents, the word "INITIAL ISSUE" will be recorded in the Master Document Register, while documents with previous revisions, the DC will update the Master Document Register and record the current revision level and the nature of changes made to the document.




7.4. Issuance of documents.

- 7.4.1. DC shall stamp the original final copy with "Master Copy" in green.
- 7.4.2. The DC will arrange for sufficient copies of the Master Copy to be reproduced and will stamp the word "CONTROLLED" in blue at the bottom of every page of each copy of the document. See Figure 2.
- 7.4.3. The DC will then issue the new version to the authorized copyholder, who will sign on the list of copyholders specified on the DRAR of the draft document to indicate receipt.
- 7.4.4. The DC shall ensure that all previously issued controlled copies are retrieved from the users. Copyholders of retrieved documents must countersign on the DRAR of the superseded document to indicate retrieval. However, it is the responsibility of all employees to surrender to the DC all obsolete documents found in their work areas.
- 7.4.5. Any obsolete document must be clearly stamped in red as "OBSOLETE". See Figure 2.

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7.4.6. Figure 2. Official NLP Document stamps.


Specimen:	Description
	Color: Green Stamp Area: Lower-leftmost part of every page
	Color: Blue Stamp Area: Lower-rightmost part of every page
	Color: Red Stamp Area: Center part of every page
NOTE: Documents that do not bear the NLP' official document stamps are considered "Uncontrolled"	

7.5. Control of documents of external origin.

7.5.1. Documents of external origin such as manuals, books, guidelines, standards, regulatory communiqués, etc., which are necessary for the effective planning and operation of NLP' quality management system shall be registered.

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7.5.2. A list of relevant externally generated documents is maintained, showing the title, date registered, author/publisher, publication date, and identity of areas to where they are located.

7.5.3. The list is held by the DC together with the Master Document Register. The list is maintained on a "rolling list" basis. (i.e. new documents are written into the end of the list and obsolete documents are struck through)

## 8. CONTROL OF NONCONFORMING OUTPUTS

When the expected outputs are not achieved, the following measures are to be implemented:

Nonconforming Output	Reactive Measures
Reference documents of internal origin without the approval of reviewing and approving authorities	<ol style="list-style-type: none"> <li>1. Submit the unofficial document to the reviewing and approving authority for approval.</li> <li>2. Once approved with the accomplished DRAR, forward the draft document to the DC for registration.</li> <li>3. Issue the Controlled Copy to Copyholders</li> </ol>
Unsuitably identified obsolete documents are still in the custody of the Copyholder.	<ol style="list-style-type: none"> <li>1. DC will retrieve the obsolete document from the Copyholder.</li> <li>2. Affix the Obsolete stamp and archive by the DC.</li> <li>3. Issue the revised document to the Copyholder to replace the obsolete copy.</li> </ol>

## 9. INTERFACES

### 9.1. Control of Records Procedure

## 10. REVISION HISTORY

Rev. No.	Nature of Change	Issue Date	Prepared by	Reviewed by	Approved by
00	• Initial issue	11-XX-2019	Name	Name	Name

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