National Power Corporation

REVISION HISTORY

Document Code: **NPC-001**	Effectivity Date: JAN 1 3 2023
Document Title: **Control of Documents and Records**	

Page No.	Brief Description of Revision	Rev. No.
2	Changed 3.1.8 Electronic files to "refer to all soft copies of QMS documented information"	2
3	Deleted item 3.2.10 MOD – Mindanao Operations Department	2
3	Deleted item 3.2.17 SPUG - Small Power Utilities Group	2
6	Details 3.2 changed Note to: Document format and code follow NPC-001.A01, Format and Coding of QMS Documents	2
13	6.2 Receipt of Document/Record Step 1.2 changed Note to: For downloaded references, proceed to step 4	2

Updated by:	Date:
Roel M. Manansala Chairman, Documentation Committee	Jan. 5, 2023
Concurred by:	Date:
Emmanuel A. Umali NPC QMR/CRO	5 Jan 2023

NATIONAL POWER CORPORATION

CORPORATE PROCEDURE

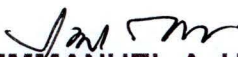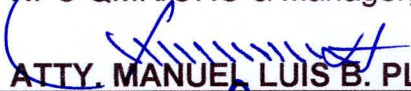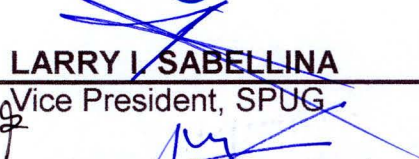## NPC-001
Document Code

CONTROL OF DOCUMENTS AND RECORDS
Document Title

Revision No.: ___2___   Effectivity Date: **JAN 13 2023**

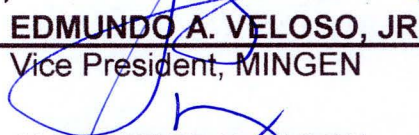Prepared by : **ROEL M. MANANSALA**   12·1·-2022
Chairperson, NPC Doc. Committee &   Date
Manager, CRTDD-GSD
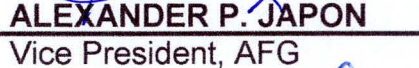
Reviewed by : **EMMANUEL A. UMALI**   12·-1·-2022
NPC QMR/CRO & Manager, WMD-CAG   Date

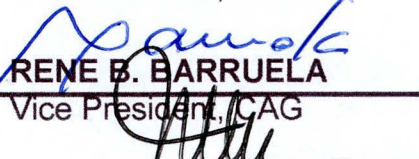**ATTY. MANUEL LUIS B. PLOFINO**   12/15/22
Sr. Dept. Manager, RMS   Date
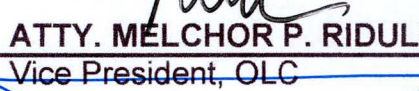
ATTY. ROGEL T. TEVES   12-22-22
Vice President, PES   Date

LARRY I. SABELLINA   12-16-22
Vice President, SPUG   Date

EDMUNDO A. VELOSO, JR.   12-14-22
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ALEXANDER P. JAPON   1/14
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Approved by : **FERNANDO MARTIN Y. ROXAS**   12/28/22
President & CEO   Date

Document Title: CONTROL OF DOCUMENTS AND RECORDS

1.0   PURPOSE

This procedure provides the guidelines to control the NPC QMS documents and records as required by ISO 9001:2015 to ensure that these are:

1.1   properly identified;
1.2   suitable for use;
1.3   adequately stored and protected;
1.4   updated;
1.5   available to all authorized NPC personnel; and
1.6   properly disposed.

2.0   SCOPE

2.1   All internal and external documents (including electronic files) generated and received by NPC.

2.2   All records generated and received (including electronic files) by each functional group as a result of the performance of functions/services.

2.3   All inactive documents and records in NPC.

3.0   DEFINITIONS/ACRONYMS

3.1   Definitions

3.1.1   Central Records - the offices tasked to act as central repository of Administrative Issuances and provide courier services to their area of responsibility.

- Head Office - Central Records and Technical Documents Division, General Services Department
- Mindanao Generation - Records and Communications, General Services & Facilities Management, HRA Division

3.1.2   Controlled Document - document subject to automatic update when a new revision is released. Controlled copies of Quality and Corporate Procedures Manuals are found in the NPC DCC's shared drive.

3.1.3　Document - information and the medium on which it is contained.

3.1.4　Document Control Center Officer - designated personnel responsible for the efficient and effective management/control of NPC documents and records.

3.1.5　Document Control Officer - designated personnel from each functional group responsible for the efficient and effective management/control of their respective documents and records.

3.1.6　Documented Information - information (document or record) required to be controlled and maintained by an organization and the medium on which it is contained.

3.1.7　Document Writer - author of NPC QMS documents/manuals/ procedures/work instructions.

3.1.8　Electronic files - refer to all soft copies of QMS documented information.

3.1.9　External Document - document generated by parties outside NPC that is being used or is relevant in the effective implementation of the NPC QMS (i.e. Standards, References, Laws, Regulations).

3.1.10　Inactive Records - refer to records no longer needed in the day-to-day operations of the originating office or those where required actions have already been completed.

3.1.11　Internal Document - QMS document generated by NPC.

3.1.12　Procedure - specified way to carry out an activity or a process.

3.1.13　Record - document stating results achieved or providing evidence of activities performed.

3.1.14　Masterlist - identified list of documents and processed records by the DCCO/DCO/RO.

3.1.15　Records Officer - designated personnel from each department/ division responsible for the efficient and effective management/ control of their respective documents.

3.1.16　Uncontrolled Document - internal or external document which when issued to group/s other than the authorized recipients would not be subject to re-issuance when revisions are made.

3.2 Acronyms

3.2.1 CEO   -   Chief Executive Officer

3.2.2 CRO   -   Chief Risk Officer

3.2.3 DCC   -   Document Control Center

3.2.4 DCCO   -   Document Control Center Officer

3.2.5 DCO   -   Document Control Officer

3.2.6 FG   -   Functional Group

3.2.7 HRA   -   Human Resources Administration

3.2.8 ICG/RDS -   Index Classification Guide/Records Disposition Schedule

3.2.9 ISO   -   International Organization for Standardization

3.2.10 NPC   -   National Power Corporation

3.2.11 PDF   -   Portable Document Format

3.2.12 QMR   -   Quality Management Representative

3.2.13 QMS   -   Quality Management System

3.2.14 PB/s -   Peerless Box/Peerless Boxes

3.2.15 RO   -   Records Officer

4.0 REFERENCES

4.1 Philippine National Standard - ISO 9000:2015 Quality Management Systems, Fundamentals and Vocabulary

4.2 Philippine National Standard - ISO 9001:2015 Quality Management Systems, Requirements

4.3 Circular No. 2001-02 - Document, Information and Communication Security

4.4 NPC Index Classification Guide/Records Disposition Schedule - ICG/ RDS

4.5 Republic Act No. 9470, National Archives of the Phils. Act of 2007

5.0 APPENDICES
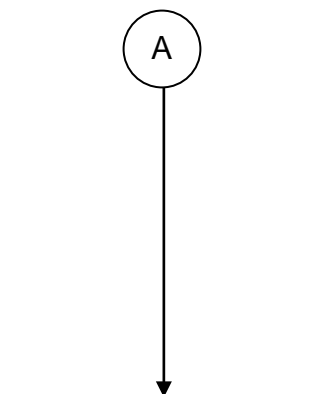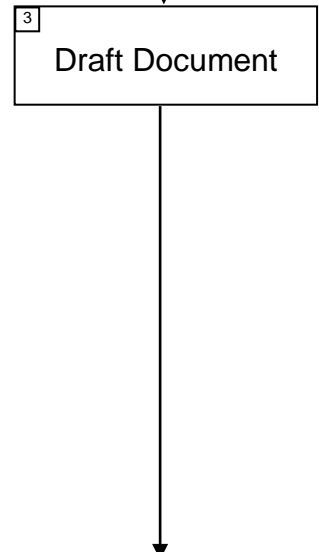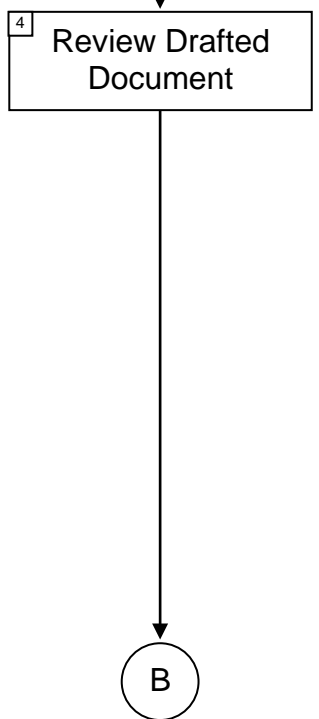
5.1 NPC-001.F01, Document Initialization/Review

5.2 NPC-001.F02, Revision History

5.3 NPC-001.F03, Procedure (Corporate/FG/Departmental)

5.4 NPC-001.F04, Work Instruction

5.5 NPC-001.F05, Document Transmittal

5.6 NPC-001.F06, Document Control Log

5.7 NPC-001.F07, Document and Records Retrieval

5.8 NPC-001.F08, Document Masterlist

5.9 NPC-001.F09, Records Masterlist

5.10 NPC-001.F10, Records Turn-over/Inventory List Form

5.11 NPC-001.A01, Format and Coding of QMS Documents

6.0 PROCEDURE

6.1 Control of Internal Document

6.1.1 Creating New Document

<u>Flowchart</u>	<u>Responsibility</u>	<u>Details</u>

Start

1 Identify Activities for Documentation

	Personnel Concerned	1.1 Identify need for documentation of existing/ new activities by filling-out **NPC-001.F01, Document Initialization/Review**.
		1.2 Evaluate proposed document and resolve any comment.
	Corp. Doc. Committee	a. Corporate Procedure
	FG Doc. Committee	b. FG Procedure
	Div. Manager	c. Departmental Procedure/ Work Instruction
		1.3 Approve **NPC-001.F01, Document Initialization/ Review.**
	QMR/CRO	a. Corporate Procedure
	FG Head	b. FG Procedure
	Dept. Manager	c. Departmental Procedure/ Work Instruction

2 Assign Document Writer

2.1 Assign document writer who is knowledgeable or directly involved in the activity or process to be documented.

A

Flowchart	**Responsibility**	**Details**

A

	QMR/CRO	a. Corporate Procedure
	FG Head	b. FG Procedure
	Dept. Manager	c. Departmental Procedure/ Work Instruction

3 Draft Document

| | Document Writer | 3.1 Gather references needed in writing the document. |

3.2 Draft the document using ***NPC-001.F03, Procedure*** and/or ***NPC-001.F04, Work Instruction,*** whichever is applicable.

Note:
Document format and code follow ***NPC-001.A01, Format and Coding of QMS Documents***.

4 Review Drafted Document

4.1 Review the drafted document.

	QMR/CRO/ FG Heads	a. Corporate Procedure
	Dept. Managers	b. FG Procedure
	Div. Manager	c. Departmental Procedure/ Work Instruction

Note:
In case of any comments to the drafted document, return to the document writer for resolution.
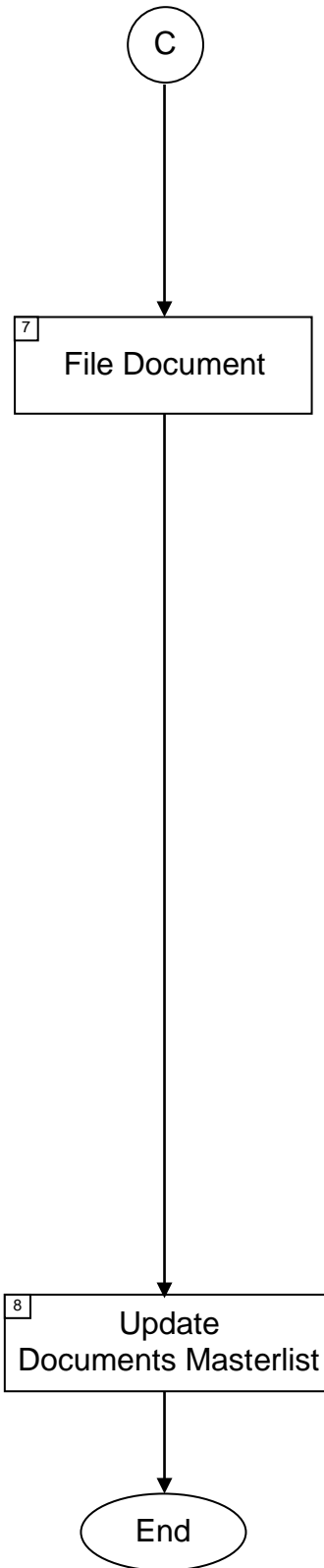
B

Flowchart	**Responsibility**	**Details**

B

5 Approve Document

5.1 Approve the document.

Pres. & CEO → a. Corporate Procedure

FG Head → b. FG Procedure

Dept. Manager → c. Departmental Procedures/ Work Instructions

Note:
New QMS documents take effect ten (10) working days after approval.

6 Indoctrinate Document

6.1 Inform the concerned group/ individual on the approved document to facilitate indoctrination.

Corp. Doc. Committee → a. Corporate Procedure - Communications & Training Committee

FG Doc. Committee → b. FG Procedure - FG Training Committee

Doc. Writer → c. Departmental Procedures/ Work Instructions - Div. Manager

6.2 Facilitate indoctrination of the approved document.

Communications & Training Committee → a. Corporate Procedure

FG Training Committee → b. FG Procedure

Div. Manager → c. Departmental Procedures/ Work Instructions

C

Flowchart	Responsibility	Details

Flowchart column:

(C)

| 7 |
| File Document |

Update
Documents Masterlist

(End)

Details column:

Note:
The indoctrination shall be conducted by the most knowledgeable person of the new document.

7.1 Transmit approved document using ***NPC-001.F05, Document Transmittal*** for filing.

Responsibility	Details
Corp. Doc. Committee	a. Corporate Procedure - DCCO
FG Doc. Committee	b. FG Procedure - DCO
Doc. Writer	c. Departmental Procedures/ Work Instructions - RO

DCCO/DCO/RO 7.2 Scan the approved document to PDF format.
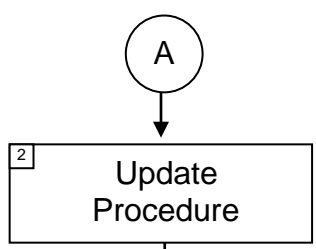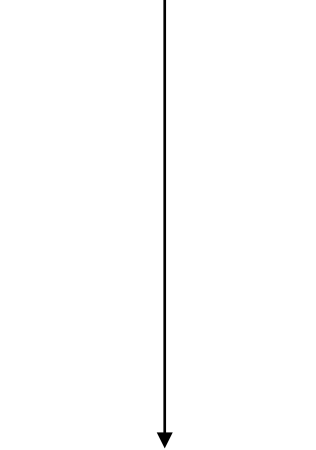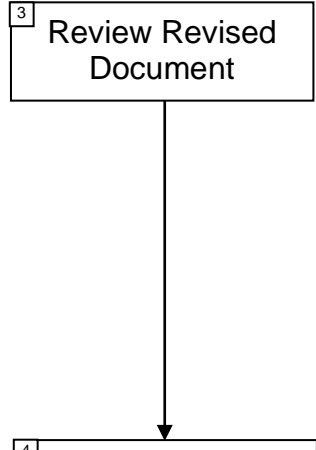
7.3 File the approved document.
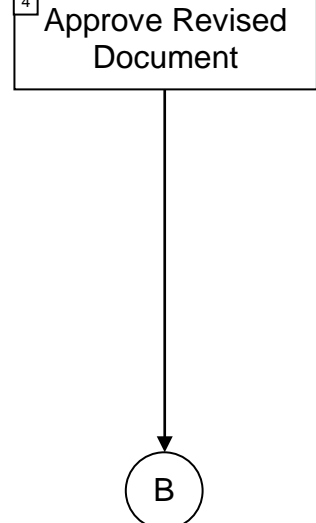
Note:
The document in PDF is stored in a designated repository protected with password and the original copy in a designated cabinet.

DCCO/DCO/RO 8.1 Update ***NPC-001.F08, Documents Masterlist*** to include the new document.

6.1.2 Updating of Document
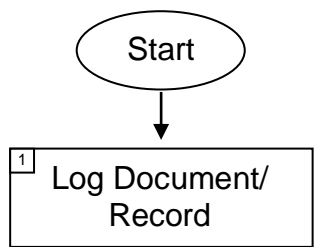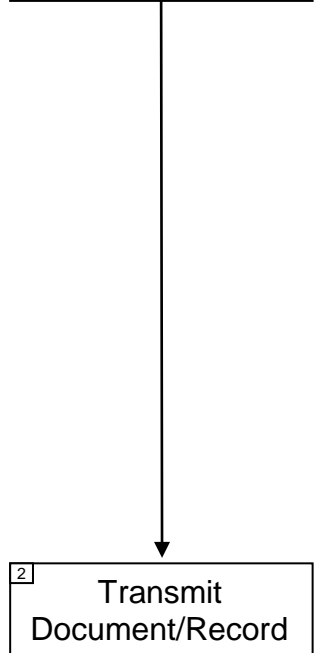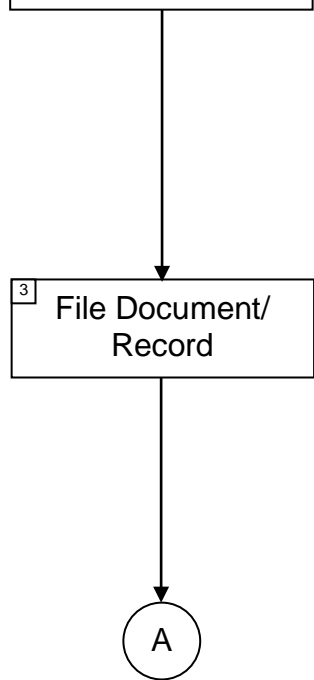
Flowchart	Responsibility	Details

Start

1 Identify Need for Document Revision

Personnel Concerned	

1.1 Identify need for revision of approved document by filling out ***NPC-001.F01, Document Initialization/Review***.

Note:
QMS documents shall be reviewed, updated and re-approved every two (2) years or as needed.

1.2 Evaluate proposed revision and resolve any comments.

Doc. Writer/ Corp. Doc. Committee — a. Corporate Procedure

Doc. Writer/ FG Doc. Committee — b. FG Procedure

Doc. Writer/ Div. Manager — c. Departmental Procedures/ Work Instructions

1.3 Approve ***NPC-001.F01, Document Initialization/ Review.***

QMR/CRO — a. Corporate Procedure

FG Head — b. FG Procedure

Dept. Manager — c. Departmental Procedure/ Work Instruction

A

Flowchart	**Responsibility**	**Details**

A

2 Update Procedure

Doc. Writer

2.1 Update procedure by including proposed revisions.

Note:

a. Revisions on Attachments/ Forms will not affect the revision number of their respective procedure.

b. Revision number starts from "0" and is incremented by 1 after each revision.

3 Review Revised Document

3.1 Review the revised document.

QMR/CRO/ FG Heads

a. Corporate Procedure

Dept. Managers

b. FG Procedure

Div. Manager

c. Departmental Procedures/ Work Instructions

4 Approve Revised Document

4.1 Approve the revised document.

Pres. & CEO

a. Corporate Procedure

FG Head

b. FG Procedure

Dept. Manager

c. Departmental Procedures/ Work Instructions

Note:
Revised QMS documents take effect ten (10) working days after approval.

B

Flowchart	**Responsibility**	**Details**

B

5 Document changes

Doc. Writer — 5.1 Document approved changes on the document using ***NPC-001.F02, Revision History***.

5.2 Concur the revisions reflected in ***NPC-001.F02, Revision History.***

QMR/CRO — a. Corporate Procedure

FG Head — b. FG Procedure

Dept. Manager — c. Departmental Procedures/ Work Instructions

6 Disseminate Revisions

6.1 Disseminate the revisions made on the document.

Corp. Doc. Committee — a. Corporate Procedure

FG Doc. Committee — b. FG Procedure

Doc. Writer — c. Departmental Procedures/ Work Instructions

Note:
Dissemination can be made through memo, email or meetings.

7 Transmit Revised Document

7.1 Transmit revised document using ***NPC-001.F05, Document Transmittal*** for filing.

Corp. Doc. Committee — a. Corporate Procedure - DCCO

C

NPC-001.F03
Rev. No. 1

C

FG Doc.
Committee

b. FG Procedure - DCO

Doc. Writer

c. Departmental Procedures/
Work Instructions – RO

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8 File Approved
Document

DCCO/DCO/RO

8.1 Scan the revised document to PDF format.

8.2 File the approved document.

Note:
The document in PDF is stored in a designated repository protected with password and the original copy in a designated cabinet.

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9 Update
Documents Masterlist

DCCO/DCO/RO

9.1 Update **NPC-001.F08, Documents Masterlist** to reflect the revised document.

End

6.2 Receipt of Document/Record

Flowchart	Responsibility	Details
Start		
1. Log Document/Record	DCCO/DCO/RO	1.1 Acknowledge receipt of document/record. 1.2 Register document/record in **NPC-001.F06, Document Control Log** except for downloaded references from the internet. **Note:** For downloaded references, proceed to step 4. 1.3 Scan document/record to PDF for electronic filing.
2. Transmit Document/Record	DCCO/DCO/RO	2.1 Transmit document/record to the addressee for disposition. **Note:** For transmitting document/record to other FGs, use **NPC-001.F05, Document Transmittal**.
3. File Document/Record	DCCO/DCO/RO	3.1 File document/record. **Note:** a. The PDF copy of document/record shall be stored in a designated repository protected with password and the original copy in a binder/folder with appropriate index code per NPC ICG-RDS.
A		

A

b. Do not store document/ record loosely, piled in tables or in any other loose manner except during actual processing.

4 | Update Documents/ Records Masterlist
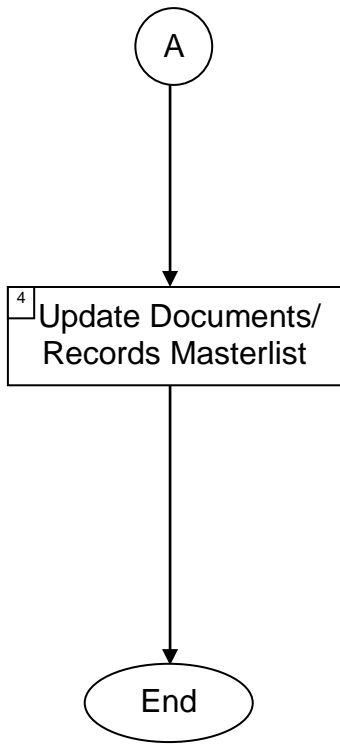
DCCO/DCO/RO 4.1 Update **NPC-001.F08, Documents Masterlist** or **NPC-001.F09, Records Masterlist** as applicable.

Note:
External Documents (i.e. Reference Materials, Laws, Regulations) used as inputs in the delivery of NPC services or activities must be of latest version and properly identified.

End

6.3   Retrieval and Issuance of Document/Record

<u>Flowchart</u>	<u>Responsibility</u>		<u>Details</u>
Start			
1 Request for Document/Record Retrieval	Requisitioner	1.1	Fill out **NPC-001.F07, Documents and Records Retrieval**.
	Concerned Dept./Div. Manager	1.2	Approve/authorize request for retrieval. **Note:** For external parties requesting for a copy of QMS related documents, President & CEO or the QMR/CRO shall approve the release of the document/s.
	Requisitioner	1.3	Forward approved request to DCCO/DCO/RO.
2 Retrieve Document/Record	DCCO/DCO/RO	2.1	Search for document/record in the **Documents Masterlist** or **Records Masterlist** for retrieval, whichever is applicable.
3 Reproduce Document/Record	DCCO/DCO/RO	3.1	Reproduce copy of the requested document/record. **Note:** For printed copy, stamp "Certified Photocopy" or "Certified Copy of the Original" for authentication.
4 Issue Document/Record	DCCO/DCO/RO	4.1	Issue the requested document/record.
A			

Flowchart	**Responsibility**	**Details**
(A)	Requisitioner	4.2 Acknowledge receipt of requested document/record in the ***NPC-001.F07, Documents and Records Retrieval.***
5 — File Request	DCCO/DCO/RO	5.1 File completed ***NPC-001.F07, Documents and Records Retrieval***.
(End)		

6.4 Turnover of Documents/Records

Flowchart	**Responsibility**	**Details**

```
        ( Start )
            |
            v
  +-------------------+
1 | Inventory of      |
  | Records           |
  +-------------------+
            |
            v
  +-------------------+
2 | Turn-Over of      |
  | Records           |
  +-------------------+
            |
            v
  +-------------------+
3 | Receive           |
  | RTO/ILF copy      |
  +-------------------+
            |
            v
  +-------------------+
4 | Update Records    |
  | Masterlist        |
  +-------------------+
            |
            v
        ( End )
```

DCCO/DCO/RO — Inventory of Records

1.1 Perform annual inventory to determine records with expired retention periods based on *Records Masterlist.*

1.2 Place expired records in peerless boxes for turn-over.

DCCO/DCO/RO — Turn-Over of Records

2.1 Fill-out *NPC-001.F10, Records Turn-Over/Inventory List Form.*

2.2 Turnover peerless boxes to Central Records.

Note:
Turn-over superseded documents together with expired records after annual inventory to Central Records for proper disposal.

DCCO/DCO/RO — Receive RTO/ILF copy

3.1 Receive copy of the acknowledged *NPC-001.F10, Records Turn-Over/Inventory List Form*.

DCCO/DCO/RO — Update Records Masterlist

4.1 Update *NPC-001.F09, Records Masterlist.*