



CITY OF SAN FERNANDO
WATER DISTRICT

CITY OF SAN FERNANDO WATER DISTRICT QUALITY MANAGEMENT SYSTEM

Title : Records Control

Effective: December 31, 2016

Revision No. 0

RECORDS CONTROL

OBJECTIVE : To ensure that all controlled records used under the Quality Management System are effectively maintained and managed in compliance to the requirements of ISO: 9001-2008.

SCOPE : The procedure defines the role and responsibilities of the Document Control Officer and the Document Control Assistant (s) in the control of quality records from their identification up to its maintenance and filing.

DEFINITION OF TERMS:

Document - reference for action, information or requirements under a Quality Management System

Quality Record - objective evidence that requirements under a Quality Management System are implemented a document used to record or log activities implemented and their results.

DCO - Document Control Officer, overall in charge in the facilitation and maintenance of document and records control measures CSFWD.

DC Assistant - Document Control Assistant acts as deputy of the DCO: designated AUTHORIZED PERSONNEL under each respective division who facilitates document control and activities, therefore, manages and maintains the controlled records of the division.



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PROCEDURE SUMMARY :

RESPONSIBLE PERSON	ACTIVITY	INTERFACES
DCO DC Assistant	Identify and Classify Record (Note 1) ↓	Quality Records
DCO DC Assistant	Register/Update Master List of Controlled Records (Note 2) ↓	Quality Records
DCO DC Assistant	Submit/File Copy of Master List (Note 3) ↓	Master List of Controlled Records
DC Assistant	File & Label Controlled Record (Note 4) ↓	
CSFWD/Division Personnel	Retrieve & Use Controlled Record (Note 5) ↓	Quality control
DCO DC Assistant	Maintain Controlled Records & Dispose when Obsolete (Note 6)	

PROCEDURE DETAILS:

1. DCO and DC Assistant identify all records to be controlled
 - DCO focuses on quality records used under Review and Improvement purposes
 - DCO Assistant identifies records maintained or internal to their own division.

2. DCO and DC Assistant register all identified quality records in the Master List of Controlled Records. Both ensure information on the following:
 - Title and Code Quality Record
 - Effectivity Date
 - Responsible Division/Unit
 - Retention Period (each Division determines retention period of their quality record based on need/purpose)



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3. DC Assistant submits a copy of the their division’s updated Master List of Controlled Records to the DCO. DCO integrates and files all submitted master lists from all DC Assistants.
4. DCO and DC Assistant label and file all quality records under jurisdiction
 - All quality records are filed in folders and binders depending on the category and bulk.
 - Storage areas are property identified to facilitate access, retrieval and use.
 - Folders/Binders – indicate title of quality records and year of effectivity/period of use
 - Shelves/Drawers/Filing Cabinets - type/category/series
5. Division/Unit personnel retrieve quality record from location/designated storage area upon need.
All quality records are returned and filed properly after use.
6. Division/Unit personnel accomplish all records, as required, and ensure its veracity, efficiency and completeness of information provided. All records shall be written legibly in ink, in approved format bearing the identification of record, filed in designated folders/binders and kept in safe yet accessible storage areas. All controlled records internal to the division are filed in blue folders for easy identification. Personnel in-charge in consolidating records determines the legibility of all submitted reports. Illegible records are returned to originators to be re-written.
7. DCO and DC Assistant monitors retention period and the quality of records annually, or as required with references to the Master List of Controlled Records. Regularly checks storage areas and placement of all controlled records to ensure security and protection.

The DCA shall prepare a Disposal of Records listing all records to disposed. Obsolete records are disposed of according to its classification and the manner specified – either by shredding or recycling (for re-usable paper). For recycled records, a slash mark (/) is placed on the used side to indicate their obsolescence. DCO and DC Assistant ensure all obsolete records are retrieved from circulation.



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Records, also known as record documents or quality records, indicate results achieved or provide evidence of activities performed under the Quality Management System (QMS). CSFWD shall ensure that it establishes and controls records as evidence of conformity to the requirements of the International Standard on ISO 9001: 2008 and as evidence of its effective implementation of the QMS. Records shall regularly serve as the data source for monitoring, evaluation and analysis, action planning, and continual improvement purposes.

The General Manager/Quality Management Representative (GM/QMR) shall communicate the importance of records at all levels of the organization. The Division Managers (DMs) shall ensure that all quality output of functional activities performed by the divisions are completely documented. All records shall be made legible, readily identifiable, and reasonable.

The Document Control Assistants (DCAs) shall assist their DMs in monitoring the completion and submission of records at the appointed time frame. They shall maintain the division's records file according to the standards established by the organization on records management.

The Document Control Officer (DCO) shall be responsible for maintaining the records resulting from the general procedures, i.e. review and improvement aspect, under the law.

All records shall be made secure and protected for long- term use. A documented procedure shall be established for guidance on proper identification, storage protection, retrieval, retention, and disposition of records.

Identification, Filing and Storage

All records resulting from the QMS implementation including those electronically created, generated, processed or stored by electronic means shall be identified and registered under the Master List of Controlled Records. The DCAs shall identify and list records produced by their divisions,



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including those used for interfacing with other divisions. The listings shall be submitted to the DCO for integration into the final Master List of Controlled Documents.

All controlled records shall be identified through their assigned title/ description (based on category or type of data presented), coded whenever applicable, and traceable to the user and the date of effectivity.

The coding system applied for document control purposes shall also apply for records control purposes. Controlled records issued to CSFWD by facsimile machine shall be photocopied and filed for long term use.

Data entries on hard copy documents shall be written on ink.

The DQMR, DCO and DCAs shall establish a standard for filing and records management. Guidelines shall be established to ensure proper orientation of all concerned. The Management Information System (MIS) Division, in coordination with the DQMR, shall establish system of managing and maintaining CSFWD's electronic records.

The General Manager shall ensure that adequate provisions or facilities be given for storage of both active or inactive (archive) files.

Storage of controlled records shall be at designated areas within the CSFWD's office premises on the bases of confidentiality and use. Each division shall be responsible for the security and protection of their own record files.

Retention and Disposition of Obsolete Records

A retention period shall be established for controlled records. The divisions shall be responsible for defining the length of their records' usability. The retention period for each type of record shall be indicated on the Master List of Controlled Records. Copies of controlled records from other divisions shall be maintained for at least a year but not to exceed the retention period assigned by the originating division. The DCAs shall check their master list periodically to ensure the timely disposition of their obsolete records. The DCO shall monitor if disposition is done as scheduled.

Disposition through shredding or other applicable means shall be undertaken. The manner and/or proper way shall be clearly defined in the Disposal of Records prepared annually by the DCAs.



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Revision or Correction of Data Entries

Complete and legible data shall always be entered on each controlled record. Lapses shall indicate non-performance or non-measurement of a requirement or activity. However, in case of erroneous data entries, corrections shall be allowed to ensure the right information is supplied. Errors shall be crossed out, initialed by its proponent, with the correct data written on the appropriate or available space.

Records maintained by electronic means shall be corrected by using the same document format where status of revision shall be indicated.

Electronic Records Management

Records maintained through electronic means shall be provided with the required back-up materials. Control measures shall be observed to ensure protection and to prevent unauthorized access. Electronic records shall be managed and controlled to maintain trustworthiness of records and reliability and authenticity of information, and ensure durability of records throughout its retention period. Electronic records shall compose but not limited to electronic mails sent and received via company email, digital images, website content and databases. Only work- related emails sent and received via the company shall be classified as record. Digital images captured through the Document Imaging System shall also be maintained and controlled. MIS Division Manager shall be responsible for maintaining CSFWD website. A Master list of Controlled Electronic Records shall be established and maintained by the MIS Division.

The Human Resources and Procurement Division shall undertake a semi-annual assessment of the suppliers' performance. A performance evaluation form shall be jointly accomplished by the end-user and the Procurement Assistant. The result of this evaluation shall be the basis for retaining a supplier in CSFWD's List of Qualified Suppliers. Those who did not meet the required evaluation rating are excluded from the list. However, they shall be informed and be given (1) one year to undertake necessary improvements that would provide them the opportunity to re-qualify or reactivate their status.



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Control of Customer Property

Generally the District furnishes all the necessary pipes, fittings, and materials necessary for water service connection and shall be paid for by concessionaire. The Pipelines and Appurtenances Division, through its assigned connection team/s, shall ensure proper handling of materials during the installation of service components and/or construction activity or in case of contract amendment, if any. Any remaining materials shall be well accounted for through appropriate documentation and shall be given to the concessionaire. Proper acknowledgement of turn-over shall be duly recorded.

However, in permanent disconnection of water connection and/or temporary dismounting of water meter, any recovered and/or salvaged brass fittings found to be suitable for use, shall remain customer property and shall be recorded in the customer ledger. Proper inventory management shall be applied. Whenever the concessionaire decides for reconnection of his water service, the District shall replace fittings at no cost.

The District shall also protect and safeguard concessionaire's pertinent information as provided for in the processing of aforementioned service application.