

Control of Documents

1.0 Purpose

The purpose of this procedure is to define controls needed for the documents of Quality management system (QMS). *Records are a special type of document and are controlled as per quality system procedure QSP 02.*

1.1 Application

This procedure is applicable to all documents concerned with QMS including documents of external origin such as National / International standards and customer supplied documents.

2.0 Responsibility

Responsibility and Authority for various activities of 'Document control' is described in procedure part.

3.0 Terms and definitions

- a) **Document:** Information and its supporting medium. *A set of documents, for example specifications and records, is frequently called documentation.*
- b) **Information:** Meaningful data
- c) **Specifications:** Document stating requirements
- d) **Form:** Document used to record data required by the quality management system
Note: A Form becomes a record when data is entered.
- e) **Record:** Document stating results achieved or providing evidence of activity performed
- f) **Quality management system:** Management system to direct and control an organization with regard to quality.
- g) **Quality Manual:** Document specifying the quality management system of the organization.
- h) **Procedure:** Specified way to carry out an activity or a process
- i) **Work instructions:** Detailed descriptions of how to perform and record tasks.

Note 1: Work instructions may be documented or not.

Note 2: Work instructions may be, for example, detailed written descriptions, flow charts, templates, models, technical notes incorporated into drawings, specifications, equipment instruction manuals, pictures, videos, checklists, or combination thereof. Work instructions should describe any materials, equipment and documentation to be used. When relevant, work instructions include acceptance criteria.

- j) **Document review:** Activity undertaken to determine the suitability and adequacy of subject matter to achieve established objectives (purpose).

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- k) **Approval** (of document): Formal authorization to release the document for its intended use after review.
- l) **Revision:** Changes (incorporation or deletion) made to a document in order to ensure its continuing suitability; Revision status should be indicated in the document.
- m) **Master copy:** Document originally authorized by the approving authority and is controlled by the issuing authority as MASTER and from which further photocopy is taken for issue as CONTROLLED / UNCONTROLLED COPY as per requirements of its intended user. *In case the documents are authorized in the electronic media through provision of protected fields, documents preserved by the system administrator are treated as MASTER.*
- n) **Controlled copy:** Copy of a document issued to the user and is subject to revision update by the issuing authority.
- o) **Uncontrolled copy:** Copy of a document issued to the user and is not subject to revision update by the issuing authority; usually issued for reference purpose only.
- p) **Obsolete:** A document marked OBSOLETE indicates that it is invalid for usage.
- q) **For Training purpose only:** Copy of a document (for example ISO 9001:2000 standard) issued to individuals for the purpose of giving training on subject document.

4.0 Abbreviations used

4.1 Abbreviations used for various documents of quality management system

QM	=	Quality Manual
QSP	=	Quality System Procedure
WI	=	Work Instruction
CL	=	Checklist
ASL	=	Approved supplier list
ML	=	Master list
F	=	Form
AP	=	Audit plan
QP	=	Quality Plan
PMP	=	Project Management Plan

4.2 Abbreviations used for various functions /processes of quality management system

MGMT	=	Management
EST	=	Establishment

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ADMN =	Administration
HRD =	Human Resource Development
FIN =	Finance
ACC =	Accounts
DES =	Designs
TECH =	Technical
CONT =	Contracts
CONS =	Construction
QA =	Quality Control and Quality Assurance
LAB =	Laboratory (Inspection and Testing)
MNT =	Maintenance
STR =	Stores
PUR =	Purchase
PM =	Project Management
PR =	Public Relations

5.0 Procedures

5.1 Document preparation guide

Where and to the extent possible, guidelines given in the following standards should be adapted:

- 1) ISO/TR 10013:2001 – Guidelines for quality management system documentation
- 2) ISO 10005:1995 – Guidelines for preparation of quality plan

While developing Forms, following issues to be considered as appropriate:

- a) Customer requirements
- b) User requirements
- c) M.I.S requirements
- d) Statutory and regulatory requirements

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5.2 Documentation structure and numbering system

Document description	Numbering system
Level 1 Document Quality Manual	QM XX QM = Quality Manual XX = Serial number assigned to the manual
Level 2 Document Quality system procedures	QSP XX QSP = Quality system procedure XX = Serial number assigned to the procedure
Level 3 and 4 Documents	
Quality objectives (Deployed at functional levels)	QO/2005/01
Work Instruction (WI) Forms (F) Checklist (CL) Approved supplier list (ASL) Master list (ML) Audit plan (AP) Quality Plan (QP)	AA : BB - XX AA = Originating Dept Code BB = Abbreviation of the document XX = Serial number assigned to it

Numbering system for Design documents are described in QSP 13.

Quality manual shall indicate Issue status of the document and specific sections shall indicate their revision status and date of revision.

Level 2 and 3 documents shall indicate the revision status and date of revision.

Level 4 documents (Forms) shall indicate the revision status in the footer.

5.3 Preparation, approval, revision and re-approval of documents

Document description	Responsibility for Preparation and incorporation of revisions	Responsibility for Review	Authority for approval and Re-approval (of revisions)

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Quality Manual	Chief Coordinator- QMS/MR	Top Management	CMD
Quality System procedures	Functional Head	Top Management	CMD
Level 3 & Level 4 Documents	Designated Employee /CC	Concerned Functional Head/MR	Concerned functional Head

5.4 Control of document changes (Revisions)**5.4.1 Quality Manual (Level 1 document)**

The Management representative shall identify the need for changes in the quality manual based on inputs such as audit findings, changes in the organization structure, change in organisation's business, changes in work practices due to adoption of technical advances, changes in responsibilities and authorities of personnel etc.,

Whenever revisions are made to quality manual, such revisions shall be recorded in the revision record by giving a brief note on revisions made. The CMD shall authorize these revisions in the revision record. Revision status given in the Footer of each section of the quality manual is as applicable under specific issue number. Issue number is incremented by ONE if a section undergoes more than 9 revisions or if more than 10 sections are revised at a time. Issue date is that date when the document is first issued. Revised date is for the revision number indicated in the footer for that specific section.

5.4.2 Quality System Procedures (Level 2 documents)

The originating function's head shall determine the need for revisions based on inputs such as, audit findings, suggestions received for improvement, changes in work practices due to adoption of technical advances, changes in responsibilities and authorities of personnel etc., The functional head shall incorporate changes in the procedure and it shall be reviewed by the top management and approved by the CMD.

Whenever quality system procedures are revised, brief note of revisions shall be provided at the end of the document.

5.4.3 Level 3 documents

The originating functional head or his designated employee shall determine the need for revisions based on inputs such as, audit findings, suggestions received for improvement, changes in work practices due to adoption of technical advances, etc., The designated

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employee shall incorporate changes in the document and it shall be reviewed and re-approved by the functional head.

Whenever Level 3 documents are revised, functional head shall ensure that

- a) Copy of the revised document is given to Chief Coordinator - QMS in order to update the master list of documents.
- b) Previous revision document is identified as "OBSOLETE",
- c) Old issues are retrieved Form all users and disposed off suitably,
- d) Documents of pertinent revision only are made available with the users.

Functional Head's designated employee shall retain the documents of previous revisions (up to 5 previous revisions) highlighting the changed portions or attaching a separate note of changes made along with the obsolete document.

Whenever a document is revised, whole document shall be issued under next revision number.

5.4.4 Level 4 documents

Need for revision of level 4 document may arise because of changes in system and operational procedures (work instructions). Whenever Level 4 documents are revised, functional head shall ensure that

- e) Copy of the revised document is given to Chief Coordinator - QMS in order to update the master list of documents.
- f) Previous revision document is identified as "OBSOLETE",
- g) Old issues are retrieved Form all users and disposed off suitably,
- h) Documents of pertinent revision only are made available with the users.

Functional Head's designated employee shall retain the documents of previous revisions (up to 5 previous revisions) highlighting the changed portions or attaching a separate note of changes made along with the obsolete document.

Whenever a document is revised, whole document shall be issued under next revision number.

Whenever Level 4 documents are revised, Issue & control authority shall retain the previous revision (up to 5 previous revisions) high-lighting the changed portions or a separate note of changes made along with the obsolete document.

6.0 Issue and control of documents

6.1 General

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Chief Coordinator-QMS shall maintain Master list of QMS documents to indicate the latest revision status. For this purpose, he shall coordinate with all functional heads and obtain information on revision status of level 3 and level 4 documents.

Chief Coordinator-QMS shall maintain list of controlled copyholders of documents issued and controlled by him.

Designated employee of concerned functional heads shall maintain list of controlled copyholders of documents issued and controlled by them. They shall also maintain a list of documents controlled by them to indicate the latest revision status.

Personnel responsible for issue and control of documents shall maintain a Document issue register in order to ensure timely issue of documents to all concerned.

Issuer and user, both are responsible for ensuring availability of pertinent issue of documents at all points of use.

6.2 Issue and control of Quality Manual and QSP (Level 1 and 2)

Chief Coordinator-QMS shall maintain the Master copy (Original) of Quality Manual and all Quality system procedures. These documents shall be identified as **MASTER COPY** on the rear side of the documents.

Chief Coordinator-QMS shall issue and control these documents through "Document issue register". Documents issued under this methodology shall bear the seal **CONTROLLED COPY** on front face of document at an appropriate place.

Superseded document shall be identified with **OBSOLETE COPY** seal. Obsolete documents shall be disposed-off after minimum retention period as per QSP 02 – procedure for control of records.

6.3 Issue and control of Level 3 documents

Designated employee of concerned functional head shall maintain the Master copy (Original) of level 3 documents. These documents shall be identified as **MASTER COPY** on the rear side of the documents.

Designated employee of concerned functional head shall issue and control these documents through "Document issue register". Documents issued under this methodology shall bear the seal **CONTROLLED COPY** on front face of document at an appropriate place.

6.4 Issue and control of Level 4 documents

Generally printed Forms are used for recording purposes. A copy of this (Blank copy) is treated as a document. Designated employee of concerned functional head shall maintain

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the Master copy (Blank Form) of level 4 documents. These documents shall be identified as **MASTER COPY** on the rear side of the documents.

Originator of records (A Form in which data are filled) may issue the records to the relevant functions for identified purposes.

7.0 Control of documents and data of external origin

7.1 Standards related to quality management system

Chief Coordinator-QMS shall be responsible for control and updating of applicable National / International Standards pertaining to Quality Management Systems. Updating of standards can be done either by subscribing with the originating agency or their authorized distributors or, by periodically verifying the status in respective website of the originating organizations. Master list of documents shall include this to reflect the latest revision status of these documents.

7.2 Standards related to product and processes (construction related)

AEE – QC shall be responsible for control and updating of applicable National / International Standards related to construction materials and their testing, construction processes. Updating of standards can be done either by subscribing with the originating agency or their authorized distributors or, by periodically verifying the status in respective website of the originating organizations.

7.3 Standards related to product design

AEE – Designs shall be responsible for control and updating of applicable National / International Standards and reference books related to product design. Updating of standards can be done either by subscribing with the originating agency or their authorized distributors or, by periodically verifying the status in respective website of the originating organizations.

Note: Documents provided by the client organization is treated as customer property and are handled in accordance with the requirements of ISO 9001:2000 Clause number 7.5.4

8.0 Control of documents in electronic media

Originator of documents shall ensure that necessary checks and controls have been established to approve, incorporate change and re-approve by provisioning of password protection for the specific fields.

Originator shall ensure that back up of data is taken on any update made to preserve and protect the data.

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9.0 Records

Sl. No	Name of the Record	Authorizing Personnel	Custodian of record	Retention Time
1	Issue details of Level 1 and 2 documents	Chief Coordinator-QMS	Chief Coordinator-QMS	Till the issue of next revised documents
2	Issue details of Level 3 and 4 documents	Designated employee of concerned functional head	Designated employee of concerned functional head	Till the issue of next revised documents

10.0 Reference

- a) ISO 9001: 2000 Clause Number 4.2.3
- b) Quality Manual Clause Number 4.2.3

11.0 Associated Documents

- a) Procedure for control of records QSP 02
- b) Procedure for information security management QSP 03*

*** Comes into effect from 1st January, 2006**

12.0 Revision details

Revision "0" – First issue.

Revision "1" - Second issue – Clause 5.2 revised to indicate the numbering system for Level 3 and 4 documents.

13.0 Distribution of procedure

Chief Coordinator-QMS shall issue this procedure to all the functional heads.

* Approved by	Top Management Committee
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* Board of Directors of KSPHC in its 107th meeting held on 04-12-2004 vide resolution No. 2004 / 047 has constituted a Top Management Committee consisting of CMD, ED, CE and FA with MR and CC as co-opted members. Further the Board has authorised CMD to approve and issue the QSPs after review by the Top Management Committee.