
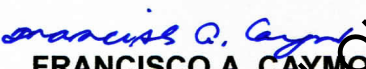
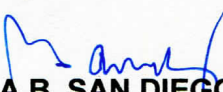
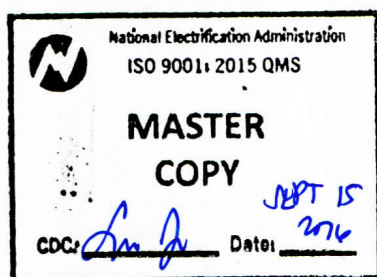

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	<b>Document Title:</b> <b>CONTROL OF RECORDS</b>	<b>Rev. No.</b> <b>02</b>	<b>Effective:</b> <b>Sept. 15, 2016</b>

Title : Control of Records  
 Document Code : NEA-QMS-SP-1.02  
 Document Type : System Procedures Manual  
 Effective Date : September 15, 2016  
 Review Frequency : 1 year  
 Distribution : Printed, LAN, Web

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Review / Revision History			
Revision No.	Date	Description	Approved By
0	Sept. 1, 2014	Start of Effectivity Date of NEA-QMS-SP-1.02 Control of Records	AESB
1	Dec. 1, 2014	Inclusion of "Disposal of Records" in NEA-QMS-QP-1.02 F1 Masterlist of Records	AESB
2	Sept. 15, 2016	Revision of Reference Documents from ISO 9001:2008 Clause 4.2.4 Control of Records into ISO 9001:2015 Clause 7.5 Documented Information	SBSD



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## 1.0 OBJECTIVE

To ensure that all quality records are properly controlled in terms of identification, storage, maintenance, protection, retrieval, retention and disposal.

## 2.0 SCOPE

This procedure applies to all quality records generated during the implementation of the procedures. It also applies to all personnel who use, handle or maintain quality records.

## 3.0 TOTAL/MAXIMUM DURATION OF PROCESS

Not applicable

## 4.0 DEFINITION OF TERMS


Archiving	- retention of records for a defined period
Active filing	- keeping of records within easily accessible place within the current period
Quality Records	- these are records created during the process of implementing the activities within the different procedures of the Quality Management System
Record	- type of document stating results achieved or providing evidence of activities performed
Record Generator	- appropriate person specified in the procedure

### Guidelines:

#### 1. Responsibility and Authority for Records Control

Record generators shall be responsible of controlling records while in active file.

- Name and label the records accordingly
- File properly, either in folders and cabinets, or in electronic folders
- Maintain accessibility for users while in active file
- Define retention period after active file period

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- Prevent unauthorized use, alteration, or deletion of data. In case of changes, indicate who authorized the changes in data.

- While at archive file observing the retention period, records control shall be the responsibility of Document Controller.
- In case of personnel replacement, ensure proper turnover of records to new process owner.
- Ensure all records should be properly secured, stored in a convenient place easily retrieved when needed

## 2. Control of Electronic Records

- Confidential or classified records shall be segregated and protected with passwords, as appropriate. Only authorized personnel shall be given access to such documents.
- Back up copy shall be maintained in a separate computer hard disk or other appropriate media (compact disc or hard drive). Back up copying shall be done at least every month.


## 3. Records Retention and Disposition

- Retention of records shall be in accordance with NEA's Records Policy termed as "Records Disposition Schedule" by virtue of RA 9470 otherwise known as the "National Archives Act of the Philippines of 2007".
- All papers/ records with confidential information must be sorted-out and shredded before disposal.
- Those without confidential information may be re-used as scratch paper or for other purposes. If used as scratch paper, cross out the used side.
- Disposed records may be sold to paper recyclers.

## 5.0 REFERENCE DOCUMENTS

ISO 9001:2015 Clause 4.4 Quality Management System and Its Processes  
Clause 7.5 Documented Information

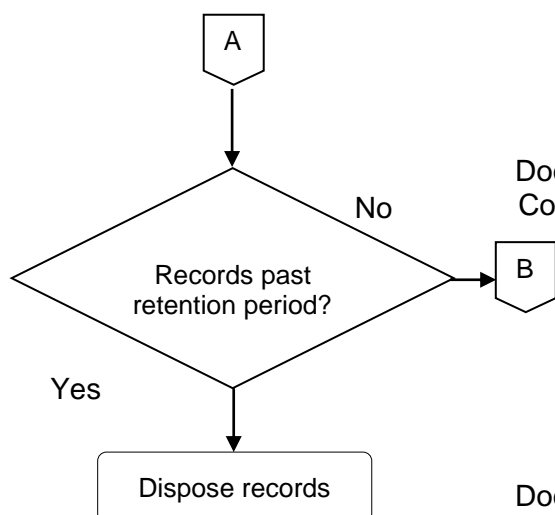


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## ACTIVITY

## RESPONSIBILITY

## NOTES/REFERENCES



Document  
Controller

7. The Document Controller shall monitor whether there are records which are past their active retention period.

Document  
Controller

8. Dispose records appropriately. Confidential records must be sorted out and shredded before disposal. Papers without confidential information may be re-used as scratch paper or for other purposes. If used as a scratch paper, cross out the used side.

## 7.0 ATTACHMENTS

None

## 8.0 RECORDS

NEA-QMS-SP-1.02F1 Masterlist of Records  
NEA-QMS-SP-1.02F2 Records for Archiving