The Inspection Technology and
Quality Assurance National Institute

# CONTROL OF DOCUMENTED INFORMATION

## ITQAN-MP-08

**According to ISO 9001:2015 ISO 14001:2015 and ISO 45001:2018 requirement**

## ITQAN Institute

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# CONTROL OF DOCUMENTED INFORMATION

## 1. PURPOSE:

The primary objective of this document control procedure is to establish a robust framework for managing and controlling Quality, Environment, and Safety Management System (QESMS) documents and records within the Inspection Technology and Quality Assurance National Institute (ITQAN).

## 2. SCOPE:

This procedure includes the entirety of document control activities at ITQAN, including but not limited to general correspondence, within the context of the QESMS. It applies across all ITQAN units, ensuring that all required documents and records are meticulously managed to align with the stipulated Quality, Environment, and Safety Management System mandates.

## 3. RESPONSIBILITIES:

To ensure the successful execution of this document control procedure, specific responsibilities are assigned as follows:

- **Quality and Compliance Manager:** Responsible for overseeing the implementation and maintenance of the document control procedure, ensuring that it remains up-to-date and in compliance with relevant standards.
- **Department/Unit Heads:** Responsible for identifying and maintaining department-specific documents and records, guaranteeing accuracy and relevance.
- **Document Controllers:** Tasked with managing the day-to-day activities related to document creation, review, approval, distribution, and archiving. They will ensure the accuracy and integrity of documents and records throughout their lifecycle.

## 4. PROCEDURE:

The document control procedure follows a structured approach to ensure the effective management of QESMS documents and records:

### 4.1. Document Identification and Creation:

- Document types are classified and identified, such as policies, procedures, work instructions, forms, and templates.
- New documents are created with clear titles, unique identifiers, and assigned owners.
- Document content is developed collaboratively, involving relevant stakeholders for accuracy and comprehensiveness.

### 4.2. Document Review and Approval:

- Documents undergo a review process involving subject matter experts to ensure correctness, clarity, and compliance.
- Approval from designated personnel, typically department/unit heads or senior management, is obtained before documents are finalized.

### 4.3. Document Distribution and Accessibility:

- Approved documents are securely stored in a centralized document management system.
- Access permissions are defined based on roles and responsibilities to control document availability.
- Distributed documents are retrievable by authorized personnel as required for their functions.

### 4.4. Document Revision and Control:

- When updates are necessary, document controllers initiate a revision process, clearly indicating the changes made.
- Previous versions are archived, and only the most recent version is accessible to avoid confusion.

### 4.5. Document Training and Awareness:

- Relevant employees are notified of new or revised documents through appropriate channels.
- Training is provided to ensure employees understand how to use and adhere to the documented processes.

### 4.6. Document Obsolescence and Archival:

- Documents that are no longer applicable are identified and marked as obsolete.
- Obsolete documents are retained for a defined period before being archived or disposed of following the institute's retention policies.

## 5. CONTROLLED, UNCONTROLLED, AND OBSOLETE DOCUMENTS

### 5.1. Controlled Documents:

A Controlled Document is a vital component of the Quality, Environment, and Safety Management System, used as a reference across the institute to fulfill documentation requirements. These documents are carefully prepared, reviewed, and approved to ensure accuracy, compliance, and adherence to the highest standards.

**Hierarchy of Control:**

- Level 1 & 2 Documents: Prepared by the Management Representative, reviewed by the QHSE Management Representative, and approved by the Managing Director.
- Level 3 & 4 Documents: Reviewed and approved by the respective Department/Unit Head prior to issuance.

**Marking and Reproduction:**

- All Controlled Documents bear a prominent "CONTROLLED COPY" stamp to signify their official status.
- Unauthorized reproduction is strictly prohibited, except with explicit permission from the Managing Director.

**Accessibility and Format:**

- Controlled Documents are accessible via a system-shared network in PDF format, ensuring ease of access and backup capabilities.

**Master List and Monitoring:**

- A comprehensive Master List of Controlled Documents (ITQAN/MR/01) is diligently maintained. This list serves as a tracking mechanism for both current and obsolete documents.

**Updates and Modifications:**

- Controlled Documents undergo updates and modifications as required, reflecting changes in processes, regulations, or institutional needs.

### 5.2. Uncontrolled Documents:

An Uncontrolled Document is a reference that can be reproduced and distributed upon request, often serving external parties such as auditors, clients, or suppliers/contractors.

**Identification and Scope:**

- Uncontrolled Copies are clearly marked as "UNCONTROLLED COPY" to distinguish them from the Controlled Documents.
- These documents fall outside the purview of the Document Control Procedure.

**Issuance by QHSE Management System:**

- In specific cases where QHSE Management System deems it necessary, certain documents categorized as uncontrolled may be issued or posted. Such documents are managed at the discretion of the QHSE Management System.

### 5.3. Obsolete Documents:

Obsolete Documents represent prior iterations of controlled documents that have been revised or updated due to changes.

**Identification and Handling:**

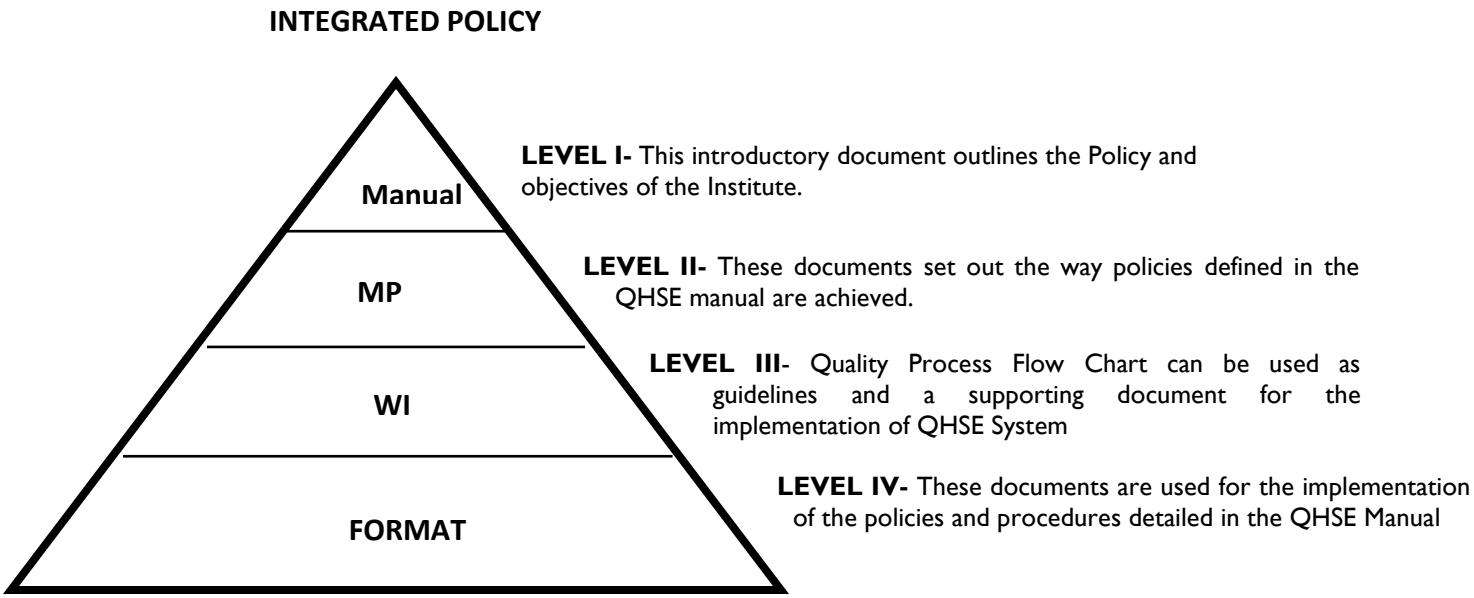
- Obsolete Controlled Copies are marked as "OBSOLETE COPY" and are meticulously removed from their previous locations.
- These copies are responsibly disposed of or destroyed to ensure that only the latest, accurate versions are used.

**Reference and Retention:**

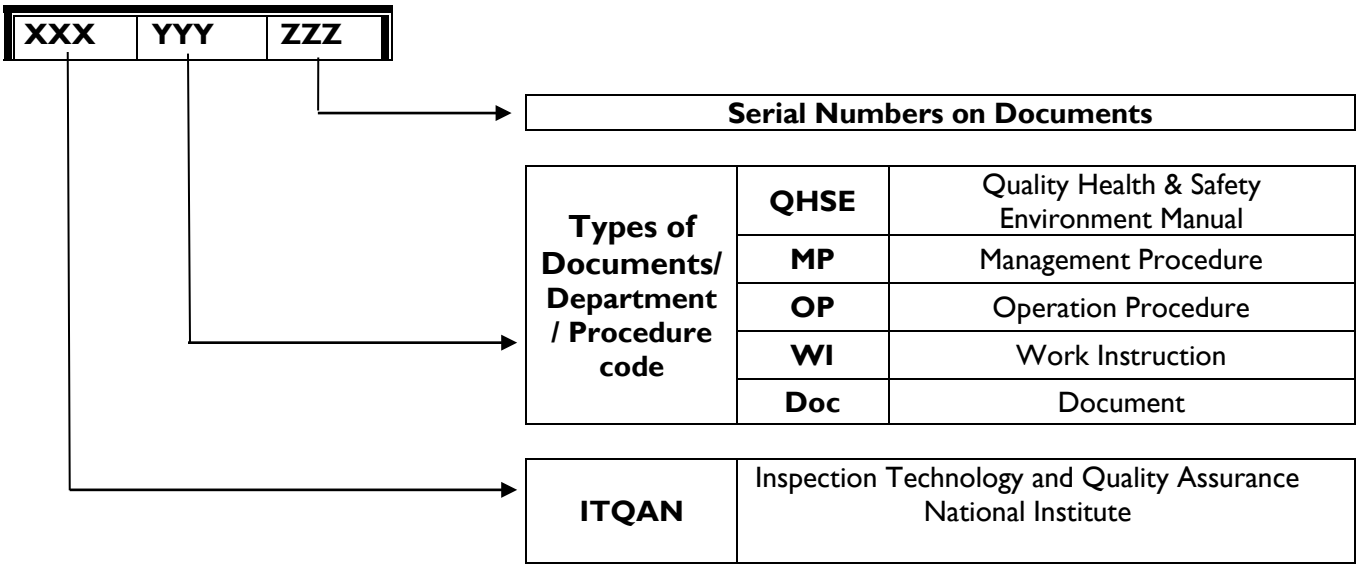
- Obsolete copies are retained for reference purposes only.
- The Management Representative and/or the respective department/unit is responsible for maintaining proper filing of these copies.

## 6. DOCUMENT CODING / IDENTIFICATION :

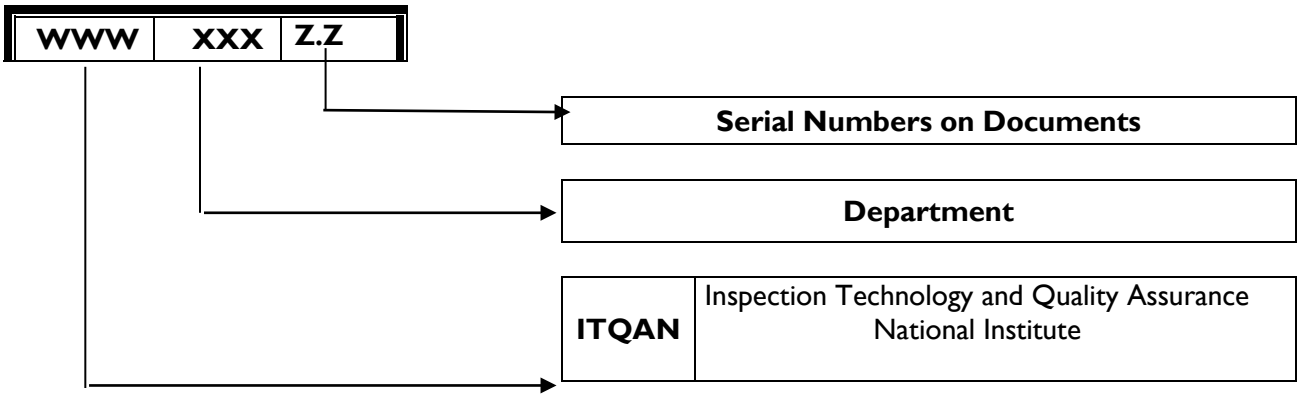
### 6.1. Structure of Documentation



### 6.2. Quality Environment and Safety Management System Documents –




### 6.3. Quality Environment and Safety Management System Forms




## 7. CONTINUOUS IMPROVEMENT:

Periodic assessment of the document control procedure is conducted to identify opportunities for improvement. Feedback from stakeholders and audits contribute to refining the process for better efficiency, accuracy, and compliance.

### 7.1. Document Issue & Update:

The process of issuing and updating documents within ITQAN Institute is vital for ensuring accuracy, relevance, and effective communication across departments. This process is designed to facilitate seamless collaboration, approval, and distribution of documents. Here's an enhanced description of the process:

**Document Identification and Need Assessment:**

- The Management Representative and respective Department Heads collectively assess institute needs and identify potential areas requiring new documents or updates to existing ones.

**Drafting Relevant Documents**:

- Based on identified needs, relevant documents such as procedures or forms are drafted, ensuring clarity, accuracy, and alignment with interdepartmental requirements.

**Collaboration and Resolution:**

- A collaborative effort occurs, with draft documents circulated among concerned/affected departments. Feedback is sought, and any discrepancies or disagreements are resolved with the involvement of the Management Representative and concerned departments.

**Finalization and Approval:**

- Once resolved, the documents are finalized by the Management Representative or reviewed and approved by the Managing Director, ensuring their compliance, accuracy, and adherence to standards.

**Document Change Request Form:**

- To formalize the change or update process, the Management Representative prepares the Document Change Request Form (*ITQAN/MR/03*), which is attached to the finalized document. This form captures essential details related to the change, ensuring transparency and accountability.

**Document Reproduction and Marking:**

- The finalized documents are accurately reproduced and marked with a distinct "CONTROLLED COPY" stamp. This marking signifies their official status and adherence to the established document control procedure.

**Incorporation into Document Master List:**

- Controlled Documents are systematically incorporated into the Document Master List (*ITQAN/MR/01*). This master list acts as a centralized reference point for tracking the latest versions of documents.

**Filing and Distribution:**

- The originally signed Controlled Document is meticulously filed in the Master File, ensuring a reliable archive for historical reference.
- Reproduced Controlled Copies are distributed to the respective concern departments, enabling easy access to the latest versions of documents by authorized personnel.

### 7.2. Document & Form Approval Authority:

To ensure the accuracy, consistency, and compliance of Controlled Documents, a well-defined hierarchy of preparation, review, and approval authority is imperative. This structured approach guarantees that only competent individuals with the appropriate expertise and institutional stature contribute to the creation and validation of documents. A diverse range of document types demands specific expertise for their creation, review, and approval. Clear roles and responsibilities are outlined for each document type to ensure that the appropriate individuals are involved.

| Document Type | Prepared by | Reviewed By | Approved By |
|---|---|---|---|
| QHSE Policy | Management Representative | ITQAN Management | Managing Director |
| QHSE Objectives | | | |
| QHSE Integrated Management System Manual | | | |
| Management or Operation Procedure | Department Head | Department Head | |
| Format | | | |

## 8. DOCUMENT IDENTIFICATION / DISTRIBUTION CONTROL:

### 8.1. Document Identification:

The meticulous identification and control of documents are critical for maintaining the integrity and accuracy of the Quality and Environment Management System. This process is essential for aligning all stakeholders with up-to-date information and ensuring that the latest versions of documents are consistently used.

### 8.2. Responsibility for Document Identification:

The Management Representative takes on the responsibility of identifying Quality and Environment Management System Documents, ensuring that each document is relevant, accurate, and aligns with the institute's objectives.

### 8.3. Document Reference and Revision Numbers:

To facilitate quick identification and tracking, each document is assigned a unique reference number, coupled with a Current Revision number. This practice aids in determining the most recent version of a document.

### 8.4. Master Document List:

The Management Representative meticulously manages and controls a Master Document List (ITQAN/MR/01). This master list serves as a centralized repository, containing all documents integral to the Quality and Environment Management System.

### 8.5. Distribution Control:

The controlled distribution of documents is a pivotal aspect of ensuring that the right individuals have access to accurate information. This prevents outdated or incorrect versions from being used, thereby enhancing institutional efficiency, and minimizing errors.

### 8.6. Document Distribution List:

A comprehensive Document Distribution List is established, which forms Section C of the QHSE Manual. This list details the recipients or individuals who are authorized to access specific documents, ensuring controlled and targeted distribution.

### 8.7. Enhancement and Integration:

The Document Identification and Distribution Control processes contribute significantly to maintaining a well-functioning Quality and Environment Management System. Integrating these practices enhances overall document management and ensures the dissemination of accurate information.

By incorporating the following points within the existing framework:

1. **Document Identification:**
   - Management Representative's responsibility in identifying documents.
   - Utilization of unique reference numbers and current revision indicators.

2. **Master Document List:**
   - The role of the Master Document List (ITQAN/MR/01) in centralizing document management.

3. **Distribution Control:**
   - The concept of a Document Distribution List within Section C of the QHSE Manual.

## 9. DOCUMENT AMENDMENTS /REVISION CONTROL:

Efficient management of document amendments and revisions is vital for maintaining accuracy and compliance throughout the institute's processes. The process can be further enhanced as follows:

**Document Change Request and Control:**

- Each change or revision in documents/forms necessitates a Document Change Request (ITQAN/MR/03). This formalizes the process and ensures accountability for any modifications made.

**Revised Document Distribution and Retrieval:**

- After revision, the Management Representative will distribute the revised documents/forms to relevant departments. Additionally, retrieving and replacing obsolete documents at the point of use ensures that only the latest versions are accessible.

**Obsolete Document Handling:**

- Obsolete documents must be appropriately marked as "OBSOLETE COPY" and stored in a designated Obsolete Document File for reference. Ensuring proper disposal prevents their accidental usage.

**Whole Document Re-issue for Changes:**

- Whenever changes occur in any portion of a document, the entire document is reissued. This maintains consistency and avoids confusion among users.

**Master List Update:**

- The Management Representative must update the Master List of Document (ITQAN/MR/01) or Master List of Record (ITQAN/MR/02) to reflect any changes in documents or records.

## 10. CONTROL OF EXTERNAL ORIGIN DOCUMENT:

Control of documents from external sources is essential to maintain information accuracy and reliability:

**Master List Inclusion:**

- External documents, including customer and third-party documents, should be listed in the Master List of Documents (ITQAN/MR/01) before being distributed to relevant departments.

**Distribution and Record Keeping:**

- Distributing external origin documents is limited to concerned departments only. The Management Representative and Department Heads should maintain a record of document issuance in the Document Issue Register (ITQAN/MR/05).

## 11. CONTROL OF RECORDS:

Effective control of records is crucial for preserving essential information and ensuring compliance:

**Responsibility and Safekeeping:**

- Department Heads should be accountable for the safekeeping of records under their purview.

**Indexing and Filing:**

- Records should be organized using appropriate labels and indexes, facilitating easy retrieval.

**Storage Conditions:**

- Proper storage conditions should be ensured to prevent damage or deterioration of records.

**Retention Period and Disposal:**

- Each record should have a designated retention period, specified in the Master List of Record (ITQAN/MR/02). Records that have reached the end of their retention period must be properly destroyed using methods like shredding.

## 12. ASSOCIATED DOCUMENTS:

- Master List of Document (*ITQAN/MR/01*)
- Master List of Record (*ITQAN/MR/02*)
- Document Change Request (*ITQAN/MR/03*)
- Amendment Record Sheet (*ITQAN/MR/04*)
- Document Issue Register (*ITQAN/MR/05*)