[Organization logo]

[Organization name]

Commented [16A1]: All fields in this document marked by square brackets [ ] must be filled in.

PROCEDURE FOR DOCUMENT AND RECORD CONTROL

Commented [16A2]: If you want to find out more about control of documents, see:

New approach to document and record control in ISO 9001:2015 http://advisera.com/9001academy/blog/2015/06/30/new-approach-to-document-and-record-control-in-iso-90012015/

Code:	
Version:	0.1
Created by:	
Approved by:	
Date of version:	
Signature:	

Commented [16A3]: Adapt to the existing practice in organization.

Distribution list

Commented [16A4]: This is only necessary if document is in paper form; otherwise, this table should be deleted.

Copy No.	Distributed to	Date	Signature	Returned	
				Date	Signature

Change history

Date	Version	Created by	Description of change
	0.1	16949Academy	Basic document outline

Table of contents

1. Purpose, scope, and users

The purpose of this procedure is to ensure control over the creation, approval, distribution, usage, updates, retention, and disposition of documents and records (also called: documented information) used in the Quality Management System (QMS).

This procedure is applied to all documents and records related to the QMS, regardless of whether the documents and records were created inside [organization name] or whether they are of external origin. This procedure encompasses all documents and records, stored in any possible medium – paper, audio, video, etc.

This procedure doesn't apply to documents and records regarding [describe the parts of organization that this procedure doesn't apply to].

Users of this document are all employees of [organization name] inside the scope of the QMS.

2. Reference documents

- IATF 16949:2016, clause 7.5
- Quality Manual
- Scope of Quality Management System
- [other documents and regulations specifying document control]

3. Control of documents and records

Internal documents are all documents created inside the organization, e.g., policies, working instructions, records etc., and are listed on the List of Types of Records.

3.1. Creation and identification of documents

All documents are identified by name, code, date of version, version number, and copy number.

[illegible]

- Procedures are coded in the following way: [describe the organization's standard practice].
- [illegible]

The documents within the scope of the QMS are formatted in the same way as this document.

3.2. Document approval

All documents, regardless of whether they are new documents or new versions of existing [illegible]

Commented [16A5]: E.g. Finance, accounting, general and legal affairs.

Commented [16A6]: If you want to find out more about document and record control, see:

New approach to document and record control in ISO 9001:2015 https://advisera.com/9001academy/blog/2015/06/30/new-approach-to-document-and-record-control-in-iso-90012015/

Commented [16A7]: Procedures are coded with four alphanumeric characters: PR.XX

[illegible]

Commented [16A8]: For example:

Records are coded with five alphanumeric characters: PR.XX.Y

[illegible]

Commented [16A9]: In case there are several document levels, for example policies - procedures - instructions, which must be approved by different management levels, such requirements should all be specified.

[illegible]

Commented [16A10]: Alternatively, if using electronic documents, you can define that the document is approved by email, or by changing its status in the document management system.

3.3. Publishing, distributing, and accessing documents

After approving a draft or a new version of a document, [job title] keeps the original version and [job title] distributes the numbered copy to the place of use. Persons named in the distribution list verify receipt of the document.

The Quality Policy is the only document available to the public. The rest of the documents can be delivered to external parties only with written approval of [job title], and they are labeled as "Uncontrolled copy," which guarantees the adequacy of the document only at the moment of issuance.

3.4. Withdrawal of outdated documents

The new version of a document is immediately distributed to the place of use upon creation and approval (as explained in the previous clause), accompanied by withdrawal of the outdated document. After replacing, the outdated document is destroyed, or labeled "Replaced by version no. __" if it is intended to be archived as a reference.

[Job title] decides whether the outdated document should be archived or destroyed and the method of destroying the document.

Persons named on the distribution list verify the receipt of a new version of the document, and [job title] verifies the receipt of the outdated document.

3.5. Document updates and changes

The person listed as document owner has the responsibility for updating and changing the document. Updates and review are performed in line with the frequency defined in the List of Internal Documents.

All changes to the document must be made using "Track Changes," making visible only the revisions to the previous version, and must be briefly described in the "Change History" table. If the Track Changes option is unavailable, or if the changes are too numerous, then the Track Changes option is not used.

Each document should preferably have a "Change History" table used to record every change made to the document.

3.6. Documents of external origin

Each external document that is necessary for the planning and operation of the QMS must be recorded in the incoming mail register. The incoming mail register must contain the following information: (1) document number, (2) sender, (3) document name, (4) date of receipt, and (5) name of the person to whom the document has been forwarded.

The person who receives mail and courier parcels must forward them to [job title], who must make a record in the incoming mail register. The person who receives electronic mail must forward such a document to [job title], who must also record it in the incoming mail register.

Commented [16A11]: If using electronic documents, you can write something like this: "[job title] must publish the documents [illegible]

Commented [16A12]: If using electronic documents, write something like this "If there is an older version of the document, [job title] must delete it from the valid documents folder and move it to [folder name]".

Commented [16A13]: Delete if you use electronic documents.

Commented [16A14]: Adapt the document name to the organization's existing record maintenance system.

Commented [16A15]: Add additional information if required by the organization's record maintenance system.

3.7. Records control

3.7.1. Record managing and labeling

Each internal document in the QMS must define how records resulting from the use of such a

Reports and analysis that are conducted periodically can be in free form, but they must include the

Records that arise from legal or regulatory requirements or from IT systems are accepted in defined form and they are not subjected to marking described in this procedure.

3.7.2. Record availability and retrieval

Employees of the organization may access stored records only after obtaining permission from the stated in the appropriate internal document in the chapter describing records control.

Access and retrieval rights for records are determined by the owner of individual records. [Job title] is responsible for destroying all records for which the retention time has expired.

Records related to a product (Production Part Approval Process - PPAP, Advanced Product Quality

responsible for applying and verifying the appliance of this rule.

If the records are stored in digital form, they must be backed up at least [describe the usual practice in organization].

3.7.3. Record archiving and destroying

Records with expired retention times are destroyed in a way that prevents their further use, and the date of destruction is entered into the Registry of Records for Detention/Central Archive. The

3.7.4. Control of engineering specifications

[Job title] receives new/updated engineering specifications and distributes them throughout the

Commented [16A16]: If you want to find out more about record control, see:

Some tips to make Control of Records more useful for your QMS http://advisera.com/9001academy/blog/2014/01/28/tips-make-control-records-useful-qms/

Commented [16A17]: More details should be provided if records are stored on various media.

Commented [16A18]: APQP and PPAP records, including "APQP" and "PPAP" terms, are specific to each company and strongly linked to customer procedures; therefore, if necessary, update terms and records specified in brackets with your own.

Commented [16A19]: E.g. once a day.

Commented [16A20]: Defined channels are specific to each company. It can be: local Intranet, email distribution list, etc. Describe here your specific communication channel.

specification change results in change to product design or product realization, the Procedure for Change Management will be applied.

All product and process changes will be recorded in the Product Process Change Log. Retention time of this record is defined in section 4.7.2 of this procedure. Responsibility for this activity belongs to [job title].

4. Managing records kept on the basis of this document

Record name	Code	Storage			Responsibility
		Retention time	Location	Protection	
List of Internal Documents	PR.00.1	Older versions are archived for 3 years	[office of [job title]]	Records are stored in file cabinet [describe name/location]	[job title]
List of External Documents	PR.00.2	Older versions are archived for 3 years	[office of [job title]]	Records are stored in file cabinet [describe name/location]	[job title]
List of Type of Records	PR.00.3	Older versions are archived for 3 years	[office of [job title]]	Records are stored in file cabinet [describe name/location]	[job title]
Registry of Records for Detention/Central Archive	PR.00.4	Older versions are archived for 3 years	[office of [job title]]	Records are stored in file cabinet [describe name/location]	[job title]
Incoming mail register (electronic form – Excel spreadsheet)		3 years	[in the computer of owner of document]	Only [job title] has the right to make entries into and changes to the incoming mail register.	[job title]

Commented [16A22]: Adapt the information in this column to the normal practice in your company.

Commented [16A21]: Adapt the information in this column to the normal practice in your company.

Commented [16A23]: If the record is in electronic form, write the name of the folder on [job title]'s computer.

Commented [16A24]: Adapt to the organization's standard practice.

Only [job title] can grant other employees access to the records.

5. Appendices

- Appendix 1 – List of Internal Documents
- Appendix 2 – List of External Documents
- Appendix 3 – List of Types of Records
- Appendix 4 – Registry of Records for Detention/Central Archive