	LBP LEASING AND FINANCE CORPORATION		DOCUMENT CODE: LLC-QMS-FR-001.01	
	DOCUMENT CREATION, ADDITION, REVISION REQUEST FORM (DCARRF)		REVISION NO.: 1	EFFECTIVITY DATE: 06/01/2022
			PAGE NO.:	Page 1 of 2

I. DOCUMENT DETAILS SECTION

Document Title	Control of Documented Information		
Date of Submission	6 November 2023	Effectivity Date	31 October 2023
Revision Number	0	Document Type	Procedures & Guidelines
Nature of Request	Creation		

II. REVISION HISTORY SECTION

Revision Number	Revision Date	Process Owner	Document Code
N/A	N/A	N/A	N/A


Use a separate sheet for Revision History, if needed.

III. SUMMARY OF REVISION SECTION

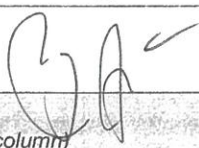
Revision Number	Changes/Updates/Revision

Use a separate for Summary of Revision, if needed.

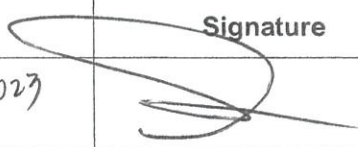
IV. PROCESS OWNER DETAILS SECTION

Name	Ianthe LI. Ramo	Signature	
Position	MS Specialist II/Document Controller	Group/Unit	Management Services Unit

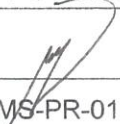
V. REVIEWING PARTY SECTION

Reviewed by	Recommendation	Date	Signature
Raizza L. Gonzales	<input checked="" type="checkbox"/> Endorsed	11/06/23	
	<input type="checkbox"/> Disapproved		

VI. APPROVAL/ DISAPPROVAL SECTION
(if BOD/BOD Committee approved, please indicate the Resolution No. in the signature column)


Action	Name & Position of Approver	Date	Signature
<input checked="" type="checkbox"/> Approved	Michael P. Arañas (President/CEO)	11/06/2023	
<input type="checkbox"/> Disapproved			

VII. DOCUMENT REGISTRATION SECTION (to be filled up by the DC)

Date Received	NOV 06 2023	Date Released	NOV 06 2023
Reviewed by	Ianthe LI. Ramo	Signature	
Position	Documents Controller	Document Code	LLC-QMS-PR-010.00

DC: _____
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DC: _____
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VIII. DISTRIBUTION/ RETRIEVAL LIST SECTION

CONTROLLED COPIES

Group/ Unit	Distribution			Retrieval		
	Name	Initial	Date	Name	Initial	Date


UNCONTROLLED COPIES

Group/ Unit	Name of Recipient	Signature	Date	Remarks

Note: Please print in back-to-back format

DC: _____
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DC: _____
MASTER FILE

	LBP LEASING AND FINANCE CORPORATION	DOCUMENT CODE: LLC-QMS-PR-010.00	
	QMS PROCEDURES	REVISION NO.: 0	EFFECTIVITY DATE: 10/31/2023
	CONTROL OF DOCUMENTED INFORMATION	Page No.	1 of 15

PURPOSE:

The procedure aims to define the system in controlling internally generated and externally sourced documents used in the implementation of Quality Management System (QMS) prescribed under ISO 9001:2015 and to ensure that all records generated by the QMS are properly maintained and are readily available for use by those who need them and are authorized to have access to it.


SCOPE:

This procedure covers the following:

- Creation, Generation, Review, Approval, Registration, Distribution, Retrieval, Retention, Maintenance, Protection, Deletion and Disposition of Internally Generated and Externally Sourced Documents.
- Identification, storage, protection, retrieval, retention and disposal of records

DEFINITION OF TERMS, ACRONYMS:

Documented Information	Refers to documents and records required to be maintained and retained by the Corporation regardless of the medium (electronic or hard copy) on which it is contained related to the implementation of the Corporation's Management System, including processes.
Externally Sourced Documents/External Document	Documents from external sources that the Corporation uses as guide/reference for its procedures, policy formulations and operations.
Maintained Documented Information	Refers to the information of procedures and guidelines, formulated policies and programs, and forms used by the corporation that are in the custody of the Documents Controller or Alternate Documents Controller that are used as guide/reference for its procedures, policy formulation and operations.
Retained Documented Information/Records	Denotes a record regardless of physical format received by the Corporation in connection with the transaction of services that is required as evidence of conformity to the process or to the requirement.
Document Creation, Addition and Revision Request Form (DCARRF)	A form used to document creation of new documents as well as additions and revisions in existing maintained documented information.
Master File	The Official version of any documents controlled/maintained by the Document Controller as identified in the Master List. This can either be electronic or non-electronic (signed printed copy).
Controlled Copy	Refers to a duplicate copy from the Master File, distributed by the Document Controller, which cannot be reproduced and/or changed without approved registration with the DC. Controlled copies are subject for updating whenever necessary.
Uncontrolled Copy	Refers to a duplicate copy from the Master File, distributed by the DC to the requesting interested parties strictly for reference,

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	and is no longer subject for retrieval and updating when the Master File has been revised/amended.
Obsolete Copy	Refers to any documents that is no longer valid.
Master List of Maintained Documented Information	A registry maintained by the DC used as monitoring of all registered Controlled Internal Documents.
Master List of External Documents	A registry of Externally Sourced documents issued by various regulatory agencies and utilized by different groups/units as reference in their operations.
Permanent Records	Records which usefulness are worthy of preservation for administrative and/or legal significance.
Archival/Inactive Records	Records which are no longer valid but are still retained for specific purpose.
Records Disposition Schedule	<p>A listing of record series by Corporation showing, for each record series the period of time it is to remain in the work or storage area and its preservation and destruction.</p> <p>Refers to the matrix of records containing retention period and disposition as required by the National Archives of the Philippines (NAP)</p>
Retention Period	Refers to maximum period for retaining records prior to disposal
Retrieval	Refers to methods on how records are indexed or otherwise organized to facilitate easy access
Storage	Refers to method of storing hardcopy and electronic records for safekeeping

RESPONSIBILITIES

Document Controller (DC)/ Alternate Document Controller (ADC)	Refers to assigned/appointed personnel who shall be responsible for the monitoring and implementation of controls for all Maintained Documented Information of the Corporation.
Copy Holder	Refers to an officer and/or staff assigned to maintain controlled copies of Maintained Documented Information for reference purposes of their concerned Groups/Units.
Originator/Process Owner/Recipient	<p>Concerned personnel who created/generated and has the authority to revise an Internal Document as well as those that receive externally sourced information.</p> <p>Identifies and classifies records needed by his function or process; recommends retention periods for these records. Maintains active files needed by his function or process; turns over inactive records for archiving, as needed; recommends disposal of obsolete records in his area.</p>
Compliance Coordinator	<p>Maintain Master List for External Documents and log all externally sourced documents.</p> <p>Ensure that all externally sourced documents are forwarded to the appropriate recipient and/or end user who shall use it as reference.</p>

DC: _____
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Reviewing Authority	Reviews maintained documented information and endorses it for approval
Approving Authority	Approves maintained documented information
Group/Unit Head	Ensures availability and completeness of retained documented information within their respective Group/Unit. Reviews and approves the Records Master List and Disposition
Group/Unit Records Controllers	Maintains the Consolidated List of Group/Unit's Records and facilitates monitoring of records retention and disposition.


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	QMS PROCEDURES	REVISION NO.: 0	EFFECTIVITY DATE: 10/31/2023
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PROCEDURE DETAILS:


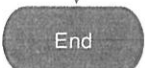
A. HANDLING OF MAINTAINED DOCUMENTED INFORMATION

ACTIVITY	RESPONSIBILITY	DETAILS	C	REFERENCES
				
	Originator/Process Owner/Recipient	A. Prepares new/revised document and forwards it to Reviewing Authority for review B. Accomplishes DCARRF and forwards the same together with the final document for approval to Reviewing Authority for signature		New or Revised Document/s DCARRF
	Reviewing Authority	C. Receives and reviews new/revised document and DCARRF D. Signs DCARRF and forwards it together with the final document to Approving Authority	C	New or Revised Document/s DCARRF
	Approving Authority	E. Receives and acts on the DCARRF and the final document F. Forwards DCARRF and the final document to the Document Controller for Registration of the Document	C	New or Revised Document/s DCARRF
	Document Controller	G. Receives and accomplishes section in DCARFF for DC H. Assigns Document Code/No. in the DCARFF I. Encodes document in the Master List of Maintained Documented Information J. Prepares Controlled or Uncontrolled Copies K. Stamps and signs Original File as "Master File"		DCARRF New or Revised Document/s Master List of Maintained Documented Information

DC: _____
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DC: _____
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ACTIVITY	RESPONSIBILITY	DETAILS	C	REFERENCES
		L. Stamps copies made and distributes it to Copyholder and/or requesting party M. For document revision, retrieves existing "Controlled Copy" from Copyholder prior to issuance of revised copy		Document Reproduction Request Form
	Copy Holder	N. Receives and Returns, if applicable, copies of maintained internal documents O. Signs Distribution and Retrieval Section of DCARRF		DCARRF
	Document Controller	P. Stores, updates and maintains Master Files and Master Lists of Maintained Documented Information Q. Stamps retrieved copies of revised document as "Obsolete Copy" for disposition R. Conducts Annual Inventory of Controlled Documents	C	Master List of Maintained Documented Information
				

DC: _____
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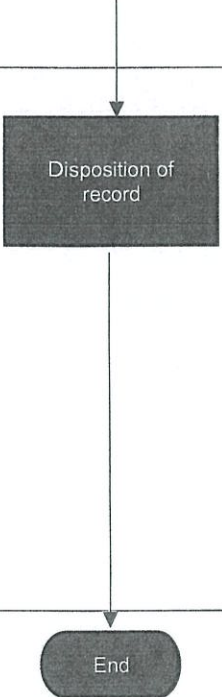
C. HANDLING OF RETAINED DOCUMENTED INFORMATION

ACTIVITY	RESPONSIBILITY	DETAILS	C	REFERENCES
<div style="border: 1px solid black; border-radius: 10px; padding: 5px; text-align: center;">Start</div>				
<div style="border: 1px solid black; background-color: #cccccc; padding: 5px; text-align: center;"> Identification and Classification of Records </div>	Process Owner	A. Identifies records generated from the process, appropriate filing system and storage location B. Prepares Master List of Retained Documented Information C. Determines retention period for the records included in the Master List of Retained Documented Information D. Submits the Master List of Retained Documented Information to Group/Unit Head for review and approval		Master List of Retained Documented Information
	Group/Unit Head	E. Receives and reviews Master List of Retained Documented Information F. Approves and returns Master List of Retained Documented Information to Process Owner	C	
<div style="border: 1px solid black; background-color: #cccccc; padding: 5px; text-align: center;"> Safekeeping and Maintenance of records </div>	Process Owner	G. Receives Master List of Retained Documented Information and forwards a copy to the Group/Unit Records Controller H. Files and stores records as defined in the approved Master List of Retained Documented Information I. Retains all records generated J. Upon end of active period, prepares and endorses records for archiving		

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ACTIVITY	RESPONSIBILITY	DETAILS	C	REFERENCES
		K. Updates Group/Unit Records Controller for new records created or movements in the Master List of Retained Documented Information, if any		
	Group/Unit Records Controller	L. Receives copy of Master List of Retained Documented Information from Process Owner and prepares a consolidated Master List of Retained Documented Information for the Group/Unit M. Updates consolidated Master List of Retained Documented Information and NAP Records Disposition Schedule of the Group/Unit, as needed	C	
	Process Owner/ Records Controller	N. Accomplishes the NAP Request for Authority to Dispose Records form and forwards it to Group/Unit Head for review and approval		
	Group/Unit Head	O. Receives, reviews and approves Request for Authority to Dispose Records for submission to NAP.		
	Group/Unit Records Controller	P. Facilitates disposal of records upon receipt of issuance of Authority to Dispose by the Executive Director of NAP.		

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GUIDELINES:

1. CREATION, REVISION, REVIEW AND APPROVAL OF MAINTAINED DOCUMENTED INFORMATION

- 1.1. The classification of Maintained Documented Information shall be made consistent with the latest approved Guidelines on Classification, Handling, Access, and Disclosure of Information Assets.
- 1.2. Originator should incorporate Document Code/No. provided by the Document Controller (DC) in the document to be created or revised. Document Code/No. shall be placed on the upper right-side portion of the Document.
- 1.3. In creating/revising a Maintained Documented Information, the Originator shall accomplish the following sections of Document Creation, Addition, Revision Request Form (DCARRF) to ensure the unique traceability:
 - 1.3.1. Process Owner Details
 - 1.3.2. Document Details
 - 1.3.3. Revision History
 - 1.3.4. Summary of Revisions
- 1.4. Once the Maintained Documented Information and DCARRF is ready for review and approval, these are forwarded to the Reviewing and Approving Authorities following the Review and Approval Matrix below:


PROCESS/DOCUMENT	ORIGINATOR	REVIEWING AUTHORITY	APPROVING AUTHORITY
Quality Management System Documents and Procedures	ISO Core Team	QMS Head	President/CEO
Policies and Manuals	Concerned Group/Unit	ManCom or BOD Committees	Board Of Directors
Procedures and Guidelines	Process Owner	ManCom	President/CEO
Forms, Templates and Checklists	Process Owner	Group Head or QMS Head	President/CEO
IT Applications	Process Owner	Group/Unit Head	President/CEO

1.5. Recommended Document Format

- 1.5.1. The header used for this procedure shall be the official template to be used for the quality documents, procedures, and operations manuals.

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The header shall bear the official logo of LLFC located at the upper left corner. It shall contain the document title, subtitle, effectivity date, revision number, and a document code.

1.5.2. The official paper size is A4.

1.5.3. Recommended Document Writing Style

- Single Line Spacing
- Font Style – Arial
- Font Size – 11
- Margin – Top, Right, Left and Bottom: 1 inch

2. REGISTRATION OF MAINTAINED DOCUMENTED INFORMATION


- 2.1. New Maintained Documented Information as well as revisions to existing Maintained Documented Information shall be registered to ensure proper control.
- 2.2. Once approved, the Originator shall endorse the approved new/revised Maintained Documented Information to the Document Controller.
- 2.3. The Document Controller shall accomplish the Document Controller Approval Section of the DCARRF.
- 2.4. Document Reference Codes for internal documents shall have the following format:

Format: AAA-BBB-CC-DDD.EE

- Where:
- | | | | | |
|-----|---|-------------------|---|-----------------------------------|
| AAA | = | Agency Code | = | LLC |
| BBB | = | Unit Code: | | |
| | | OTP | = | Office of the President/CEO |
| | | AMG | = | Account Management Group |
| | | ASG | = | Account Servicing Group |
| | | CSG | = | Corporate Services Group |
| | | MSU | = | Management Services Unit |
| | | TSU | = | Treasury Unit |
| | | LSU | = | Legal Services Unit |
| | | RAM | = | Remedial Accounts Management Unit |
| | | IAO | = | Internal Audit Office |
| | | COO | = | Compliance Office |
| | | RMO | = | Risk Management Office |
| | | QMS | = | Quality Management System |
| CC | = | Document Type: | | |
| | | PP | = | Plans and Programs |
| | | PM | = | Policies and Manuals |
| | | PR | = | Procedures and Guidelines |
| | | FR | = | Forms, Templates and Checklists |
| | | APP | = | IT Applications |
| DDD | = | Sequential Number | | |

DC: **CONTROLLED COPY**

DC: **MASTER FILE**

	<p>LBP LEASING AND FINANCE CORPORATION</p>	<p>DOCUMENT CODE: LLC-QMS-PR-010.00</p>	
	<p>QMS PROCEDURES</p>	<p>REVISION NO.: 0</p>	<p>EFFECTIVITY DATE: 10/31/2023</p>
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EE = Version Number

Sample: LLC-CSG-PR-001.00

- 2.5. For new registered documents, the DC will indicate the Document Code/No. in the DCARRF.
 - 2.6. Every page of the approved original Maintained Documented Information shall be stamped with a "MASTER FILE" stamp and initialed by the DC.
 - 2.7. Stamp every page of the issued Controlled Copy of Maintained Documented Information with "CONTROLLED COPY" for the designated Copy Holder/s.
 - 2.8. Stamp every page of the issued Uncontrolled Copy of Maintained Documented Information with "UNCONTROLLED COPY" to a requesting party other than the designated Copy Holder/s.
 - 2.9. The IT Applications are registered and assigned Document Reference Codes for monitoring purposes only.
 - 2.10. All registered Maintained Documented Information is considered final and approved for distribution and use.
- 3. DISTRIBUTION AND RETRIEVAL OF MAINTAINED DOCUMENTED INFORMATION**
- 3.1. Once registered, information dissemination is conducted through any of the following:
 - 3.1.1. Issuance of Office Circular by the President informing all employees on the implementation of the approved new/revised Documented Information;
 - 3.1.2. Orientations/cascading sessions to inform all concerned employees;
 - 3.1.3. Notification through email or LLFC Team's; and
 - 3.1.4. Posting on common repository for easy access of all employees.
 - 3.2. Copy Holder/s shall acknowledge the receipt of the "Controlled Copy" of the Maintained Documented Information by signing on the Distribution and Retrieval Section of the DCARRF.
 - 3.3. Requests for uncontrolled copies of documents must be made in writing using the Document Reproduction Request Form which should be approved by the concerned Group/Unit Head. Requesting Parties shall acknowledge receipt of the "UNCONTROLLED COPY" of the Maintained Documented Information by signing on the Distribution and Retrieval Section of the DCARRF.
 - 3.4. Copy Holder/s shall acknowledge the retrieval of the "CONTROLLED COPY" of the Maintained Documented Information by signing on the "Retrieval" portion of the Distribution and Retrieval Section of the DCARRF. Retrieval shall be done by the DC.

DC: _____
CONTROLLED COPY

DC: _____
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4. REVISION OF MAINTAINED DOCUMENTED INFORMATION

- 4.1. If there is a need to update, modify, or revise in the Maintained Documented Information, a DCARRF shall be prepared for the revision and submitted to the DC for registration. All changes/updates made for every revision should be reflected in the Summary of Revision Section of the DCARRF.
- 4.2. An annual review of all Maintained Documented Information shall be observed for evaluation of its effectiveness, relevance and applicability to the existing operating procedures of the Corporation.

5. RETENTION, MAINTENANCE & PROTECTION OF MAINTAINED DOCUMENTED INFORMATION


- 5.1. The DC will maintain/update the Master List of Maintained Documented Information.
- 5.2. Electronic files of original copies of any maintained documented information shall be uploaded, edited, and updated only by the designated Document Controller/Alternate Document Controller to protect from unauthorized copy and use. Anybody attempts to alter any document shall be dealt with accordingly.
- 5.3. Access to electronic files of all Controlled Copies of maintained documented information shall be made available to the assigned Copy Holders of the Corporation and may be circulated to other users.
- 5.4. All registered maintained documented information once uploaded in the depository file, shall be considered current, hence, applicable for adoption.
- 5.5. Master file of Maintained Documented Information should be filed properly with label and should be kept in appropriate storage locations to minimize physical deterioration, damage, and loss.
- 5.6. Annual Inventory of Master file of Maintained Documented Information shall be done to ensure completeness and good physical condition.

6. DELETION AND DISPOSITION OF MAINTAINED DOCUMENTED INFORMATION

- 6.1. The Process Owner shall accomplish the "Document Obsolescence Request Form (DORF)" and the same shall be submitted to DC together with the Controlled Copy of the document.
- 6.2. DC shall retrieve copies of Obsolete Controlled Documented Information be stamped "OBSOLETE". The DC shall update Master List of Obsolete Documents.
- 6.3. Non-confidential retrieved copies of Maintained Documented Information stamped obsolete may be re-used for printing of draft documents or other purposes, while copies of Maintained Documented Information with confidential contents shall be shredded before disposal.

DC: _____
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6.4. Disposal of Obsolete Documented Information should be in accordance with the latest approved *Guidelines on the Implementation of the LLFC Records Disposition Schedule*.

7. CONTROL OF EXTERNAL DOCUMENTS

7.1. Externally sourced documents shall be registered in the Master List of External Documents. The Master List for External Documents will include the following pertinent information among others:

- 7.1.1. External Document Reference Code
- 7.1.2. Date Registered
- 7.1.3. Document Title
- 7.1.4. Issuing Party
- 7.1.5. End User

7.2. The designated Compliance Coordinator shall maintain Master List for External Documents and log all externally sourced documents as forwarded by LBP-Compliance Management Group and/or by concerned LLFC Group/Unit, as applicable. The Compliance Coordinator shall use an External Document Reference Code in the registration with the following format:

Format: LLC-EXT-YYYY-AAA

Where:

LLC	=	Agency Code
EXT	=	External Document
YYYY	=	Year of Registration
AAA	=	Sequential Number

Sample: LLC-EXT-2019-001

7.3. The Compliance Coordinator should ensure that all externally sourced document are forwarded to the appropriate recipient and/or end user who shall use it as reference.

7.4. An annual review of all external documented information shall be observed for evaluation of its effectiveness, relevance and applicability to the existing operating procedures of the Corporation.


8. GENERAL PROVISIONS FOR MAINTENANCE OF RETAINED DOCUMENTED INFORMATION

8.1. Retained Documented Information should be legible, identifiable and easily retrievable.

8.2. Pencil markings are considered unofficial. The use of correction fluid is strictly prohibited.

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- 8.3. Retained Documented Information can be in the form of any type of media such as hard copy or electronic file.
- 8.4. If necessary, records are reviewed and/or approved prior to issue.

9. IDENTIFICATION AND CLASSIFICATION OF RETAINED DOCUMENTED INFORMATION


- 9.1. Retained Documented Information should be identifiable through its title or any but not limited to the following information:
- 9.1.1. Record Type
 - 9.1.2. Date (s)
 - 9.1.3. Originator Name
 - 9.1.4. Subject
- 9.2. Retained Documented Information are stored by the concerned Process Owner.
- 9.3. Retained Documented Information shall be reviewed. The reviewer ensures the said records are legible and contain sufficient information as the basis for its endorsement or approval.
- 9.4. Retained Documented Information which include both hard copy and electronic copy should be classified consistent with the latest approved Guidelines on Classification, Handling, Access, and Disclosure of Information Assets.
- 9.5. There are specific Retained Documented Information that require the signature of authorized individuals. For records of this nature, the absence of authorized signatures will deem these as "UNOFFICIAL".
- 9.6. Where applicable, in case of correction, the error shall be stricken out by using a horizontal line. The correct information shall be placed beside the error and shall bear the initials of the person who corrected it as well as the date on which it was corrected.
- 9.7. Filing System will depend on the need of the particular Group/Unit and one that will facilitate easy retrieval of records.

10. SAFEKEEPING AND MAINTENANCE OF RETAINED DOCUMENTED INFORMATION

- 10.1. Retained Documented Information are kept in appropriate locations to minimize physical deterioration, damage and loss. Retained Documented Information are filed in a way that enhances accessibility. As such, records may be protected in accordance with any of the following:
- 10.1.1.1. Use of expanded folders, protective sheets, and/or ring binders;
 - 10.1.1.2. Regular back-up of e-files; and/or
 - 10.1.1.3. Access restriction, through password (this pertains only to soft copy and other security measures) to prevent from unauthorized use
- 10.2. To ensure easy retrieval, filing cabinets, shelves, boxes, folders, and envelopes are labeled according to the established filing system.

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- 10.3. Retained Documented Information borrowed by other Group/Unit are traced using log books.
- 10.4. Retained Documented Information for archiving should be placed in a box with proper label and should indicate the records placed inside the box. Boxes containing records for archiving should be stored in the designated archiving location.
- 10.5. Annual inventory of Master List of Retained Documented Information shall be done to ensure completeness, good physical conditions and credibility of records.

11. DISPOSITION OF RETAINED DOCUMENTED INFORMATION

- 11.1. Retained Documented Information shall be retained for a period specified in the Records Disposition Schedule (RDS) as prescribed by the National Archives of the Philippines (NAP) and other applicable and regulatory requirements. Records shall not be disposed earlier than the period indicated in the existing schedule. However, records may be retained for a longer period if there is a need to do so as determined by the records owner.
- 11.2. A certificate of disposal shall be obtained from NAP prior to any disposal.

FORMS/ATTACHMENTS/REFERENCES:

1. Document Creation, Addition, Revision Request Form (DCARRF)
2. Master List of Maintained Documented Information
3. Master List of External Documented Information
4. Document Reproduction Request Form
5. Document Obsolescence Form
6. Guidelines on Classification, Handling, Access and Disclosure of Information Assets
7. Guidelines on the Implementation of LLFC Records Disposition Schedule
8. Master List of Retained Documented Information
9. NAP Records Inventory and Appraisal Template
10. NAP Records Disposition Schedule Template
11. NAP Request for Authority to Dispose Records Template

DC: _____
CONTROLLED COPY

DC: _____
MASTER FILE