



PHILIPPINE MINING DEVELOPMENT CORPORATION

Control No:	PMDC-QP-01-03
Revision No.:	5
Effectivity:	May 29, 2018
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Quality Procedure

Control of Documents

1.0 PURPOSE:

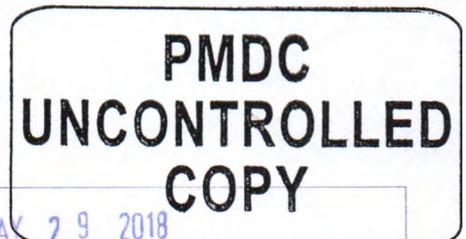
- 1.1 This document aims to define the policies and procedures for controlling and maintaining PMDC documented information, to ensure that appropriate versions are identified and made available at point of use.
- 1.2 This procedure aims to ensure that documents of external origin are identified and their distribution, controlled.

2.0 POLICY

It is the policy of PMDC to ensure that pertinent documented information are properly identified, updated, approved, controlled, and made available at points of use. F, it is the policy of PMDC to ensure that documents of external origin are identified and controlled during distribution.

3.0 DEFINITION OF TERMS:

- 3.1 Controlled Copy – Reproduced copy of the original document, latest issued document; indicated by blue “Controlled Copy” stamp.
- 3.2 Documented Information – as referred to in this procedure, are QMS quality procedures, standard operational instructions, the Quality Manual, and other procedures/ standard/form indicated in the Document Masterlist.
- 3.3 Document Controller/Custodian (DCC) – Individual/s assigned to oversee the implementation of the Document Control procedure and maintain controlled copies of documents.
- 3.4 Document Masterlist – A list of the documents being controlled by the Document Controller/Custodian in terms of creation, approval, revision, distribution, access, and use.
- 3.5 Document Feedback Form (DFF) – A form used to suggest any revision to an existing document or manual.
- 3.6 External Documents – Documents generated from external sources.
- 3.7 Internal Documents – Documents generated from QMS implementation and relevant PMDC operations
- 3.8 Obsolete Copy – Superseded document, indicated by red “Obsolete Copy” stamp
- 3.9 Original Copy – Original document bearing approvals in blue ink, maintained by the DCC and indicated by green “Master Copy” stamp
- 3.10 Initiator – Person who initiated document creation/revision.



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Vice President, Corporate Services

Date: MAY 29 2018



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3.11 Uncontrolled Copy – Reproduced copy of a controlled copy document strictly for reference use. It is a copy issued to non-copy holders or non-Process Owners.

4.0 SCOPE:

- 4.1 This procedure applies to all documents required by the PMDC’s Quality Management System as indicated in the Document Masterlist.
- 4.2 This procedure also covers the monitoring and/or distribution of externally generated documents.

5.0 RESPONSIBILITIES:

- 5.1 Management Representative/s – Reviews the established procedures in line with the requirements of the ISO 9001 Standards and recommends approval for implementation i.e. Vice President for Corporate Services and Vice-President for Operations
- 5.2 Document Controller/Custodian – Ensures that all documents are properly identified, updated, approved and made available at relevant areas for use. The DCC is also responsible for the maintenance and implementation of this procedure on Control of Documents. Ensures that obsolete documents are identified and prevented from unintended use.
- 5.3 Process Owners – Responsible for ensuring that all QMS documents are relevant and up-to-date. Process owners are also responsible for ensuring that feedbacks to their respective documents are promptly evaluated and addressed.

6.0 PROCEDURE DETAILS:

Ref. No.	Key Activities	Responsibilities
6.1	Creation/identification of documents	Initiator
6.2	Review and approval of documents	Supervisor of Initiator, VP for Corporate Services and VP for Operations
6.3	Registration and stamping of documents	Document Controller/Custodian
6.4	Distribution and maintenance of controlled copies	Document Controller/Custodian
6.5	Document modification/revision/update	Concerned Process Owner, Document Controller/Custodian
6.6	Coding system	Document Controller/Custodian
6.7	Uncontrolled copies	Document Controller/Custodian
6.8	Control of externally-generated documents	Document Controller/Custodian
6.9	Electronic copies of documents	Document Controller/Custodian
6.10	Format, timeline, and document review	Concerned process owner, Document Controller/Custodian

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6.11	Maintenance and disposal of obsolete documents	Document Controller/Custodian
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6.1 Creation/Identification of Documents (see also Figure 1 in Annex A)

- 6.1.1 If a need to create a document arises, the Document Feedback Form (DFF) is used.
- 6.1.2 The Initiator prepares the DFF together with the draft of the proposed new document. The draft shall be labeled (watermarked, if possible) with the word "DRAFT" and should not be used in operations unless it is officially approved.
- 6.1.3 The prepared DFF and draft shall then be submitted to the DCC for monitoring and tracking.
- 6.1.4 The DCC shall also reserve a control number to the proposed document based on the established coding system. See 6.6.
- 6.1.5 The DCC shall submit the DFF and proposed document to PMDC's VP for Corporate Services or VP for Operation depending on the procedure being proposed to change for approval.

6.2 Review and Approval of Documents

- 6.2.1 All DFFs shall be initially approved by the initiator's superior
- 6.2.2 The VP for Corporate Services and/or the VP for Operations shall be the approving authorities in the creation and revision of documents. However, the creation and revision of documents may be elevated to the Management Committee if the Vice Presidents decide that the document creation/revision warrants an approval of the Committee. Approved documents bear the signature of approving authorities in blue ink.

6.3 Registration and Stamping of Documents (see also Figure 2 in Annex A)

- 6.3.1 If the DFF was approved by the VPs, the DCC shall:
 - a. For newly created documents,
 - Include the reserved control number on the document (see section 6.6.1)
 - Print a clean copy of the document
 - b. For revised documents,
 - Update revision no. of revised pages OR update version number of documents classified as "Complete Rewrite" (see 6.5.8 and 6.6.2)
 - Print a clean copy of the document

If the DFF was not approved, it shall be returned to the initiator.

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- 6.3.2 The DCC shall submit the newly printed document/pages to the VP for Corporate Services or VP for Operations for signature.
- 6.3.3 The DCC shall revise the Document Masterlist to register the SIGNED newly created/revised document.
- 6.3.4 The DCC shall reproduce the document according to the number of custodians specified on the Distribution List.
- 6.3.5 The DCC shall stamp the “Master Copy” stamp (green ink) on every page (lower left) of the original document. The DCC shall stamp the “Controlled Copy” (blue ink) on every page (lower right) of the controlled copies.
- 6.3.6 The DCC shall also affix his/her initials and date of distribution together with the stamps on the page/s.

6.4 Distribution and Maintenance of Controlled Copies

- 6.4.1 The DCC shall distribute the controlled copies to the specified custodians in the Document Distribution List.
- 6.4.2 Once the controlled copy has been given, the custodian needs to surrender his/her obsolete copy to ensure that only updated copies are under his/her custody. He/she shall also affix his/her signature on the Document Distribution List to signify receipt.
- 6.4.3 Only controlled copies are considered to be the official copies of the original copy. Moreover, only entities indicated in the Distribution List are considered as official bearers of the controlled copies. As documents are frequently revised for continual improvement, their unauthorized reproduction is highly discouraged to avoid the use of outdated references.
- 6.4.4 Employees who wish to be included in the Document Distribution List must write his/her intent through a memorandum signed by his/her supervisor. The memorandum must be addressed to the VPs.

6.5 Document Modification/Revision/Update

- 6.5.1 If there is a need to update, modify, or revise a QMS document, the DFF is used.
- 6.5.2 The initiator shall submit the DFF to the DCC for monitoring and tracking.
- 6.5.3 The DCC shall forward the DFF to the concerned process owner for evaluation of the feedback.
- 6.5.4 If the concerned process owner agrees with the feedback indicated in the DFF, he/she shall take the appropriate action/s to address the feedback and forward the resulting draft together with the DFF to the DCC. If the concerned process owner

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does not agree with the feedback, he/she may indicate his/her opinion on the DFF and return it to the DCC for concurrence of the VP holding the department responsible for the procedure

- 6.5.5 Drafts of proposed changes to documents must be included in DFFs. (see also section 6.9.1.4).
- 6.5.6 The review and approval, registration and stamping, and distribution of controlled copies shall follow the guidelines set under Section 6.2, 6.3, and 6.4.
- 6.5.7 Revision number/s of the revised page/s of a document shall be updated (See Section 6.6).
- 6.5.8 If about 50% or more of the pages is affected by the revision, the revision shall be classified as "Complete Rewrite". In such case, revision number of all pages of the document shall follow the highest revision number of that document.
- 6.5.9 Obsolete pages/documents, upon retrieval (see Section 6.4.2), shall be stamped with the "Obsolete Copy" stamp (red ink).
- 6.5.10 Revisions done on the pages/document shall be recorded on the Revision History form of the document.

6.6 Coding System

6.6.1 The control number issued to documents shall follow the scheme below:

Document Type	Control Number
Quality Manual	PMDC-QM
Quality Procedure	PMDC-QP-xx
Form	PMDC-QP-xx Fnn

Note: xx and nn are series numbers starting with 01

6.6.2 The version and revision numbers shall follow the scheme below:

a. Revision number

Quality Procedures	Forms
<ul style="list-style-type: none"> • applicable to pages of quality procedures; • default revision number is 0; • if a page is revised, ONLY the revision number of that page shall be updated (i.e. The current revision number of all the pages of a quality 	<ul style="list-style-type: none"> • applicable to pages of ACCOMPLISHED/FILLED-UP forms; • changes to information (including typographical errors) contained in the form; • See PMDC-QP-01-03 for procedures on

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<p>procedure is 0. However, page 3 was revised. ONLY page 3 shall have a revision number of 1);</p> <ul style="list-style-type: none"> • shall conform to 6.5.6. 	<p>revising accomplished/filled-up forms.</p>
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b. Version no.

Quality Procedures	Forms
<ul style="list-style-type: none"> • applicable only to the whole document; • indicated in the last two digits of the QP's control number: i.e. PMDC-QP-01-00 – version 1 PMDC-QP-01-01 – version 2 PMDC-QP-01-02 – version 3 Note: though the default number in the control number is 00, the actual version is 1; • version number ONLY changes if the document was classified as "Complete Rewrite" in its recent modification. (See Section 6.5.8) 	<ul style="list-style-type: none"> • applicable to blank forms; • indicates the current/updated format of the form; starts with version number 1; (e.g. PMDC-QP-01 F01 v.2 – this means that the format of form number 1 of QP 01 has undergone a revision, hence, the update from version 1 to version 2).

6.7 Uncontrolled Copies

6.7.1 If an employee requests for a copy other than the controlled copy of a document, he/she needs to write his/her request in the Uncontrolled Copies log of the DCC.

6.7.2 The DCC shall then issue an uncontrolled copy of the document to the requestor and stamp the "Uncontrolled Copy" stamp on every page of the copy.

6.8 Control of Externally-Generated Documents

6.8.1 The External Document Distribution List is used to monitor the receipt and distribution of externally generated documents.

6.8.2 Recording is done immediately upon receipt and turnover of documents to concerned unit and/or individual. The responsibility for the maintenance and updating of the External Document Distribution List is entrusted to the DCC.

6.8.3 Externally generated documents received through email are likewise recorded in the External Document Distribution List.

6.9 Electronic Copies of Documents (see Annex D)

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6.9.1 Electronic copies of documents are not used as reference for implementation since there is no assurance of being the latest version of the document. Electronic files of Original Copies are edited, copied, and printed only by the DCC to protect from unauthorized copy and use.

6.9.2 The documents shall be scanned and uploaded in the shared folder in the intranet, and may be accessed by all employees. However, for security purposes and to protect the integrity of the documents, all documents shall be locked from editing and printing; exempted from this are the forms which may be filled up and printed.

6.10 Format, Timeline, and Document Review

6.10.1 Format

6.10.1.1 All documents shall be written in Times New Roman font, with the font size of 12.

6.10.1.2 All documents shall be printed on A4-sized paper.

6.10.1.3 Initiators may get the format of the document/s (Quality Procedure or Form) they will create/revise from the DCC.

6.10.1.4 Proposed changes of an initiator/process owner on a document should be highlighted in yellow for easy identification.

6.10.2 Timeline

6.10.2.1 Timelines considered in this procedure are based on PMDC's Policy on Turnaround Time Standards.

6.10.2.2 Initial processing of a DFF by the DCC shall not exceed two (2) working days from the receipt of the DFF. However, the accumulated working days for the overall processing of the DFF by the DCC shall not exceed five (5) working days. This includes processes stated in section 6.1.3, 6.1.4, 6.1.5, 6.3.1, 6.3.3, 6.3.4, 6.3.5, 6.3.6, 6.4.1, 6.4.2, 6.5.2, and 6.5.3.

6.10.2.3 The concerned process owner's evaluation of feedback indicated in the DFF and submission of draft as a result of action required by the DFF shall not exceed five (5) working days upon his/her receipt.

6.10.2.4 The effectivity date of a newly created/revise document shall be one (1) week from its approval to allow all employees to study and adapt to the new provisions.

6.10.3 Document Review

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- 6.10.3.1 To ensure that all documents used in PDMC's QMS is updated and relevant, process owners are required to review their respective Quality Procedures annually.
- 6.10.3.2 The process owners shall document their reviews and submit and discuss them in Management Reviews scheduled near the beginning or the end of the year, whichever is closer to year-end.
- 6.10.3.3 Reference period of process owners for their document reviews shall be the past 12 months from the date of the Management Review.
- 6.10.3.4 Process owners may review their respective documents ahead of the schedule indicated in section 6.10.3.2 and as frequent as they deem necessary. However, they will still be required to conform to the provisions stated in sections 6.10.3.2 and 6.10.3.3.
- 6.10.3.5 Process owners are encouraged to review their respective documents as frequently as possible to ensure the documents' relevance.

6.11 Maintenance and disposal of obsolete documents

- 6.11.1 Obsolete documents that were once stamped as a Master Copy shall be stored and maintained by the DCC indefinitely.
- 6.11.2 Obsolete documents that were once stamped as a Controlled Copy shall be disposed of in a secure manner by the DCC.

7.0 REFERENCES:

- 7.1 PMDC-QP-02 - Control of Records
- 7.2 PMDC-QP-01 F01 - Document Feedback Form
- 7.3 PMDC-QP-01 F02 - External Document Distribution List
- 7.4 PMDC-QP-01 F03 - Document Distribution List
- 7.5 PMDC-QP-01 F04 - Document Master List
- 7.6 PMDC-QP-01 F05 - Revision History Page

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ANNEX A – Flowcharts of Procedures

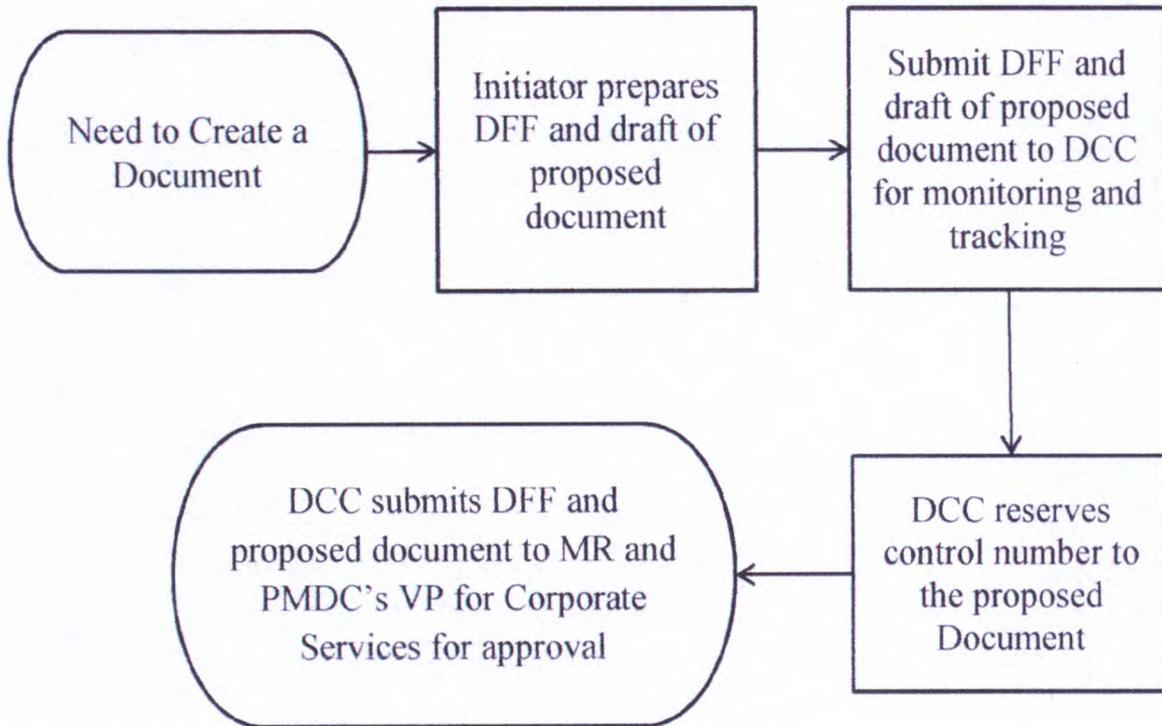


Figure 1. Creation/Identification of Documents (see also section 6.1)

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Vice President, Corporate Services

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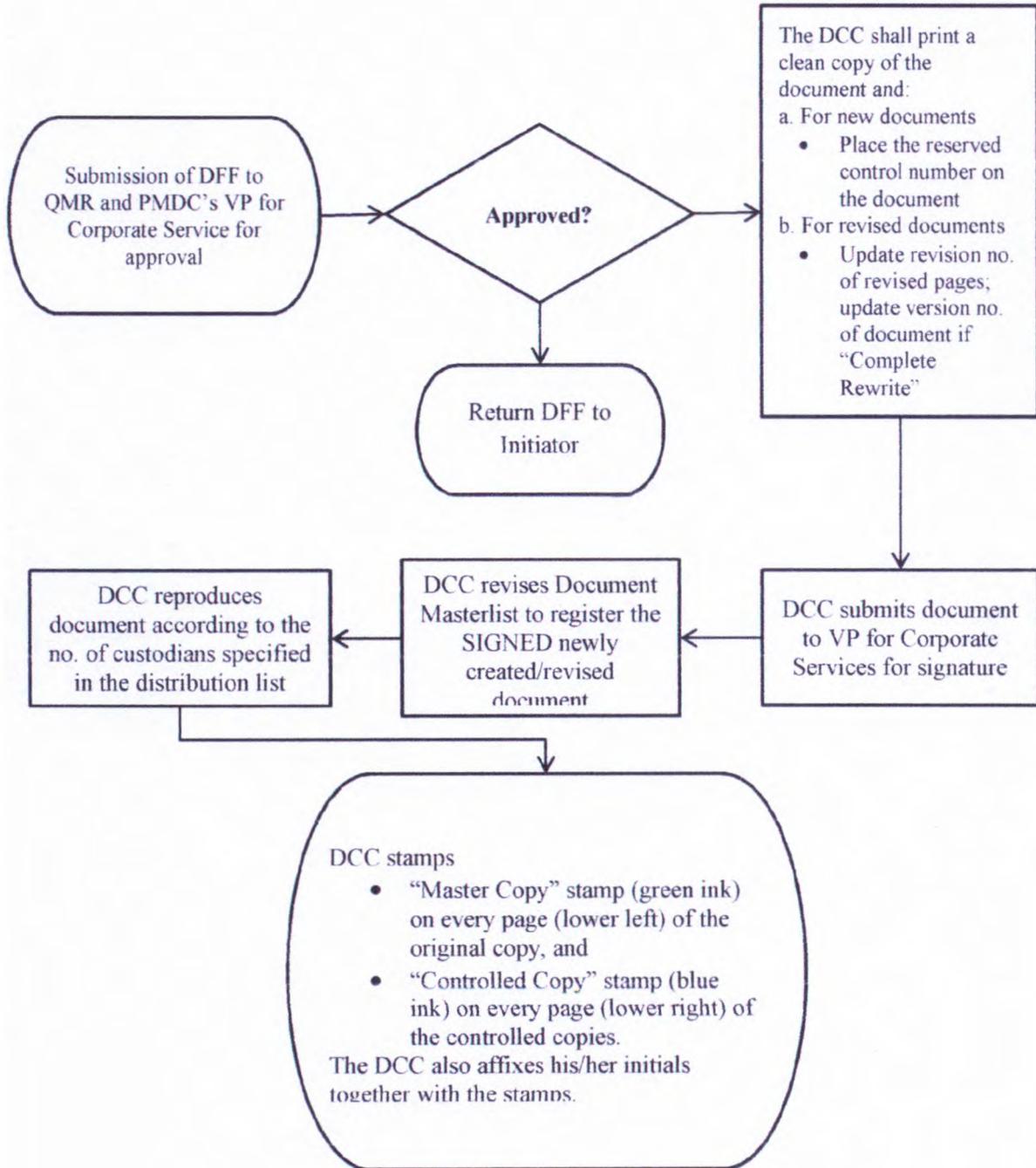


Figure 2. Creation/Identification of Documents (see also section 6.1)

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ANNEX B – Elements of QP Header and Footer

1. QP Header

Default control number is PMDC-QP-01-00. Hence, the current control number means that the current version of the document is **2**. This also indicates that the document has undergone two complete rewrites. (see section 6.6)

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Effectivity date must be set at least five (5) working days from the approval of the document. (see section 6.10.2.4)

Default revision number of documents is **0**. Hence, the current revision number means that the page may have been revised once or the document may have undergone a complete rewrite. (see sections 6.5.8 and 6.6.2)

2. QP Footer

Approved by:	<u>Jaime T. De Veyra</u> Vice President, Corporate Services	Date:	FEB. 4, 2015
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PMDC's VP for Corporate Services is the approving authority of Corporate Services-related QMS documents

Date the document was approved.

Approved by:
Jaime T. De Veyra
Vice President, Corporate Services

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Approved by: <u>Lucas R. Vidad</u> Vice President Operations	Date FEB 4 2018
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PMDC's VP for Operations is the approving authority of Operations and project management-related QMS documents

Date the document was approved.

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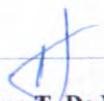
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ANNEX C – Stamps used to control documents

Stamps

1. Master Copy
2. Controlled Copy
3. Obsolete Copy
4. Uncontrolled Copy

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Date:

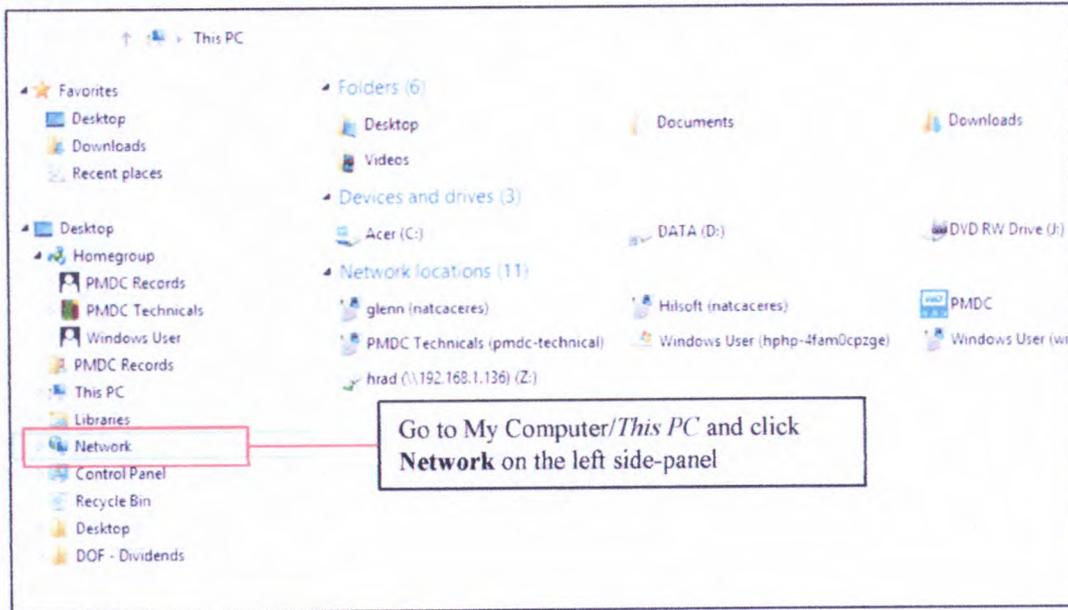
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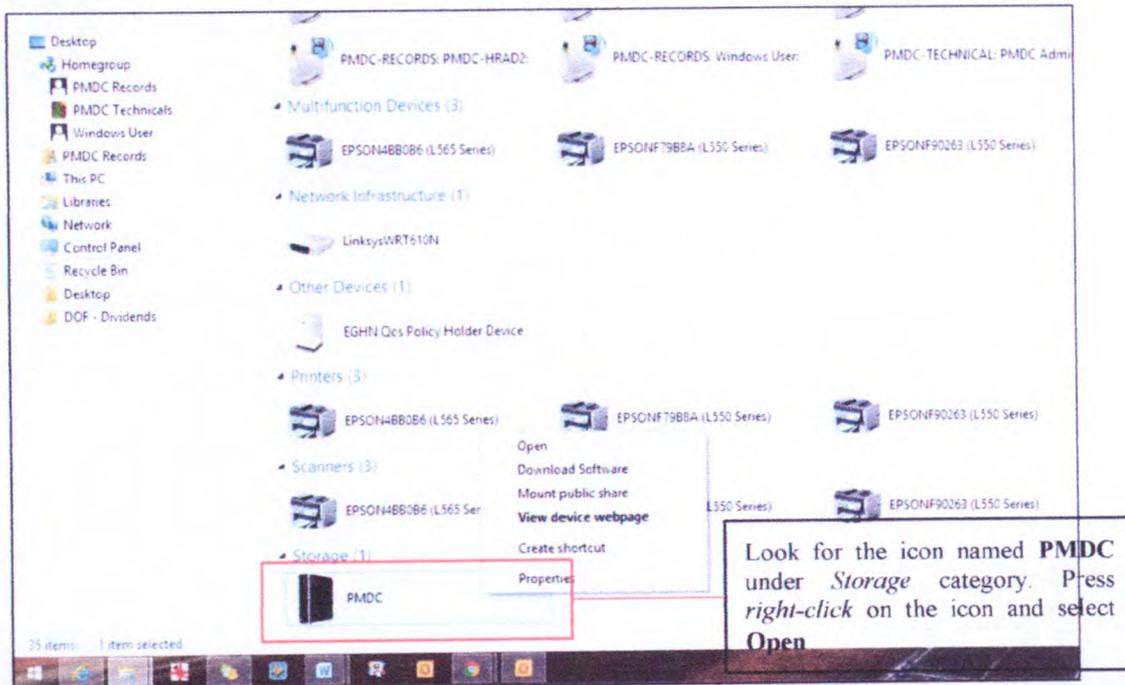


ANNEX D – Accessing electronic copies of documents

STEP 1



STEP 2



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STEP 3

Select all
Select none
Invert selection

hrad hrad_private
Procurement Public
TimeMachine TimeMachineBackup

QualityManagementSystems

Double-click on the QualityManagementSystems folder

STEP 4

Copy to Delete Rename New folder Properties Edit History Select all Select none Invert selection

8.1.136 > QualityManagementSystems >

Name	Date modified	Type	Size
Forms	10/6/2015 10:52 AM	File folder	
ISO Standards	11/6/2014 6:11 PM	File folder	
PMDC Quality Manual	6/25/2015 3:34 PM	File folder	
PMDC Quality Procedures	11/2/2015 10:25 AM	File folder	
Templates	9/15/2015 10:46 AM	File folder	
__IOM_DEVLIB___.ATTRIBUTES_	4/15/2015 7:12 PM	__ATTRIBUTES_ F...	1 KB
Document Masterlist_10November2015.p...	11/9/2015 11:04 AM	PDFPlus Document	3,263 KB
Document Revision History.xlsx	3/25/2015 9:11 AM	Microsoft Excel W...	16 KB
QMS_06Nov2015.rar	11/5/2015 10:33 AM	WinRAR archive	115,399 KB

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