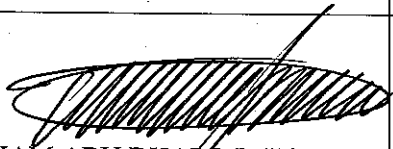
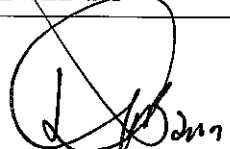


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REVISION HISTORY

Rev No.	Change Description	DCF No.	Effectivity Date	Originator
00	Initial Release	-	January 13, 2017	Jam Abu Dharr P. Usman

PREPARED BY	REVIEWED BY	APPROVED BY
 JAM ABU DHARR P. USMAN HEAD, OPERATIONS 01/13/2017 <hr/> Date	 DIR LILIA G. BAUN Officer-in-Charge 01/13/2017 <hr/> Date	AAIIBP BOARD PER RESOLUTION NO. <u>015-2017</u> Dated 01/13/2017

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1.0 OBJECTIVE

This document aims to provide and standardize controls needed on the use of documented information and maintaining records within AAIIBP.

2.0 SCOPE

This procedure applies to documents required by the Amanah Bank Quality Management System (QMS) as indicated in the Document Master List.

3.0 PROCEDURE FLOW

3.1 Internal Documents

3.1.1 Maintenance and Control of Bank Manuals of Approving Authority

3.1.1.1 Manual of Operating Procedures (MOP) and Manual of Approving (MAA)

DOER	Activities	Attachments
Business Unit	1. Submit Accomplished Request For Manual Creation/Revision/Deletion form, including the proposed manual draft (for update/revision) and other relevant/supporting documents. (e.g. Circular, Resolutions, etc)	Request for Manual Creation/Revision/Deletion form; Proposed Manual draft
Concerned Sector	2. Receives request including relevant documents.	Manual Acceptance/Approval sheet/
	3. Reviews/evaluates request and coordinates with the requesting business unit and other units (if any) for clarification/validation consistent with existing internal/external Bank policies, process and procedures.	
	4. Routes the proposed manuals draft to affected unit(s) for comment and acceptance	Draft Manual
MEO Secretariat	5. Sends recommendation to MANCOM thru the secretariat for approval and endorsement to the Board	Draft of Manual and Endorsement Memo to MANCOM
	6. Includes in the MANCOM Agenda and forwards the same to MANCOM	
MANCOM	7. Discusses the recommendation and issues a resolution on the approval or disapproval of the	

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	manual.	
	8. If approved at MANCOM level, signs on the resolution for and endorse the same to the Board for approval	Draft of Manual and Endorsement Memo to MANCOM/ Resolution
BOARD	9. Board of Directors discusses the recommendation and issues a resolution on the approval or disapproval of the manual	Draft of Manual and Endorsement Memo to MANCOM/ Resolution
Business Sector	10. Finalizes the duly approved manual update/revision /deletion 11. Issue memo and transmit to respective Business Units	Updated Manual/ Memo

3.1.2 Quality Manual

DOER	Activities	Attachments
Quality Management Representative-Operation	1. Prepares the Proposed manual update/revision (draft) consistent with existing related QMS on Quality Policies, its supporting documents and accomplishes Request for Manual Creation/Revision/Deletion form.	Request for Manual Creation/Revision/
	2. Submits documents to MANCOM	
MANCOM	3. If approved at MANCOM level, signs on the resolution for and endorse the same to the Board for approval	Draft of Manual and Endorsement Memo to MANCOM/ Resolution
BOARD	4. Board of Directors discusses the recommendation and issues a resolution on the approval or disapproval of the manual	Draft of Manual and Endorsement Memo to MANCOM/ Resolution
Operations	5. Forwarding copy of the manual to all concerned units	

3.1.2.1 Control of Bank Forms

3.1.2.1.1 Control of Bank Forms Business Units as Process Owner, shall register the forms used to carry out or support its internal operations/ processes. List

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of internal forms used by Business Units are essential in their respective Desk Manuals under Administrative Matters- List of Documents.

3.1.2.1.2 Likewise, Business Units/Process Owner shall identify/ distinguish their internal forms that are no longer relevant to their process and procedures and recommended for deletion/retirement.

3.1.2.1.3 Forms user shall only use controlled current version of the Bank Forms

3.1.2.1.4 Processing of transactions using obsolete forms shall be suspended by the handling/processing business unit pending submission/use of controlled form by the transacting Bank Unit.

3.1.2.1.5 Business Units/Bank personnel using obsolete of unregistered forms may be subjected to audit observations

3.1.2.1.5.1 Registration/Revision/Retirement of Bank Forms

DOER	Activities	Attachments
Business Unit (Form Owner)	1. Submit an accomplished Request for Form Creation/Revision/Deletion form including the existing/ current and proposed Bank Form/s (draft) and its supporting documents such as circulars , EO's etc.	Request form/Creation /Revision/Del etion form; Proposed and Existing Bank Form/s
Business Sector	2. Receives request including relevant documents.	Official Bank Forms; Updated Master List of registered Bank Forms
	3. Reviews/evaluates request and coordinate with the requesting Business Units and other affected units for clarification/validation consistent with existing/internal Bank process, procedures and policies.	
	4. Note: For proposed new form. Guideline on how to fill-up the forms shall be required .	
	5. Sends the duly evaluated form via email to Business Unit (Form Owner)	
Business Unit (Form Owner)	6. Reviews the proposed form(s) . If fillable, the forms shall be tested based on its operability.	
	7. If the form is good and acceptable, Business Units sends and email of acceptance.	
	8. Sends the final proposed form (hard copy) together with the "recommending approval " portion of the the request form creation /Revision/Deletion for business Unit's approval	
	9. Reviews and signed in the "accepted/approved by"	

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	portion for Form Creation/Revision/Deletions.	
	10. Forward the same to Document Controller	
Document Controller	11. Update the master list of Bank Forms by uploading the newly created/revised or removing the subject form's deletion.	
	12. Finalizes the duly approved Bank forms and issues memo to all bank units.	
	13. Issues annually or as need arises Advisory –reminder to form owners to register the form used in their operation.	Advisory Reminder

3.1.3 Usage/Management of Bank Forms

DOER	Activities	Attachments
Business Unit (Form Owner or Form User)	1. Prior to use of Bank Forms, check if forms to be used are registered in the Master List of Registered Bank Forms and is the latest available version.	Bank Form
Business Unit (Form User)	2. If the Bank Form is not the latest available version of the Form a. Disposes said Form and Forms available on stocks appropriately b. For Stock Forms, request from Makati Executive Office needed forms.	
Form Property Custodian MEO	3. Replenish stocks based on latest version of the form found in the Master List of data base	
Business Unit (Form User)	4. If the Bank form is not registered on the Master List of Registered Forms and/or has no document control number /revision/ number, coordinates with the Form Owner /concerned Business Unit and Process Management for appropriate action.	
Business Unit (Form Owner) and Document Controller	5. Acts on request of Business Unit/For User regarding Form Control and Registration, consistent with Procedures under 3.2.1.5.1 Registration of Bank Forms	Bank Form

3.1.4 Control of the use of Obsolete/Unregistered Bank Forms

DOER	Activities	Attachments
Bank	Immediately call the attention of the Bank Unit that	

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Unit/Form Owner that received Obsolete/Unregistered Bank Form	<p>sent/submitted the obsolete or unregistered Bank Form</p> <p>Informs the sending/submitting Bank Unit to accomplish and submit the latest form as basis to act on request made or process the required transaction.</p> <p>Note: Inability of the concerned Bank Unit to use the registered Bank Form as medium of requested transaction may trigger delay in processing or inaction on the part of the receiving Bank Unit.</p>	
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3.2 Externally Generated Documents

3.2.1 Issuance of New Regulations for Compliance

DOER	Activities	Attachments
Compliance Office	1. Monitors daily thru internet/websites of regulatory bodies, the issuance of new banking regulations which may contain significant changes to existing regulations and subsequently require new reports for submission.	New Regulations from Regulatory Bodies
	2. Prepares and transmit endorsement/memo to the concerned business unit for appropriate action.	
Concerned Business Unit	3. Receives a and complies with the new regulation	Evidence of compliance
Compliance Office	4. Readily assists concerned Business Unit once the pose queries or comments.	Updated Compliance Program Manual
	5. Monitors compliance of responsibility center. Once complied, fir the same according to regulatory agency. If Not, follow up compliance.	
	6. Evaluates if the newly issued regulatory directives/regulations needed for the updating of Compliance Program Manual . If the affirmative, update the Compliance Program Manual and if not, file the same according to regulatory agency for future reference.	

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