


The Catholic University of Eastern Africa

TITLE	AUTHOR
PROCEDURE FOR CONTROL OF RECORDS (CUEA/VC/DQA/02)	MR
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0. CONTENTS AND RECORD OF CHANGES

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0.2 RECORD OF CHANGES

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0.3 Distribution / Circulation

This quality management procedure is available at relevant functions for authorized users.


1. PURPOSE

This procedure describes the methodology that CUEA shall employ for effective control of CUEA records to ensure easy retrieval, security and confidentiality where applicable.

2. SCOPE

This procedure applies to all CUEA records that are developed to provide evidence of conformity and effectiveness of QMS. These include forms, data sheets, worksheets, workbooks, registers, equipments checklists, minutes, electronic documents and others. The procedure establishes controls that will be applied to ensure records remain legible, readily identifiable and retrievable for each type of service process or activity and that controls for identification, filing, storage, protection, retrieval, retention times and disposition of records are in place.

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3. TERM AND DEFINITIONS

3.1 Definitions of Terms Used:

For the purpose of this procedure the following terms shall apply in addition to those already defined in the CUEA Quality Management Manual and CUEA/VC/DQA/01.

3.1.1 Record:

Records are documents that serve as objective evidence of a process or procedure or work instruction shall be referred to and form part of the appendices to that specific document. The records referred to in this case are forms, datasheets, worksheets, workbooks, registers, equipments checklists, minutes, etc.

3.2 Abbreviations and Acronyms

3.2.1 **HOD** – Head of Department

3.2.2 **HOD** - Head of Department

3.2.3 **MR** - Management Representative

3.2.4 **FMR** - Functional Management Representative

3.2.5 **QMM** - Quality Management Manual

3.2.6 **QMP** - Quality Management Procedure(s)

3.2.7 **QMS** - Quality Management System

4. REFERENCES

This procedure makes reference to the following documents which form part of the QMS documentation:

4.1 **CUEA-QMM, Section 4** (*Sub-clause 4.2.3*)

4.2 **ISO 9000:2005**, Quality Management systems –Fundamentals and vocabulary

4.3 **ISO 9001:2008**, Quality Management systems –Requirements

4.4 **ISO 10013:2001**, Guidelines for Quality Management System Documentation


5. PRINCIPAL RESPONSIBILITIES

5.1 The MR has the overall responsibilities for ensuring that this procedure remains adequate for its intended purpose.

5.2 The Process owner/HOD is responsible for application of this procedure including, document needs identification, development and documentation.

5.3 The Process owner/HOD is responsible for ensuring that staff uses only authorized copies in accordance to this procedure and that relevant documents are available at the points of use.

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5.4 The FMR and/or MR is responsible for the approval of changes/amendments to QMS documents, review and final approval of the documents in liaison with the respective functional areas prior to release for issuance.

6. METHODS

6.1 Establishment of Records

6.1.1 Evidence of conformity to QMS requirements and effective operation shall be established in form of legible, readily identifiable and retrievable records. These records shall be established and maintained in accordance with this procedure and as stated in QMM Section 4 (*Sub-clause 4.2.4*) and CUEA/VC/DQA/01, Clause 6.1.7.

6.2 Forms and Data sheets

6.2.1 Forms and datasheets generated as a result of a process, procedure or work instruction to support the QMS shall be identified and indexed as stated in clause 6.3.4 of CUEA/VC/DQA/01 and Appendix A of this procedure and shall contain the following details:

a) An identifier (Index number)

6.3 Workbooks and Record Books

6.3.1 Workbooks and Records books are counter books and shall be indexed as stated in Appendix A.

6.3.2 All workbooks or record books shall have page numbers on each page.

6.3.3 All Workbooks and/or record books shall be issued by the head of function.


6.3.4 Officers shall be issued with only one workbook at any given time.

6.3.5 Officers shall be responsible for the Workbook issued to them and shall return to the head of function once completed or filled up.

6.3.6 The head of function shall maintain a list of workbooks in use in the function area including those issued to Officers. The list shall include the following:

Name of Officer
Date issued
Workbook identifier (as given in Appendix B)
Volume Number
Signed for Issue (By Officer)
Signed for Returned (By Officer)
Date returned

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The list could be in the form of a register or filed loose sheets.

6.3.7 Workbooks shall be kept for a period of 7 years.

6.4 Keeping of Records files

Files for keeping of records (forms and data sheets) shall be identified according to the already established CUEA files identifier system.

6.5 Records retrieval, Retention and Storage

6.5.1 Each functional area shall develop a records maintenance/retention schedule. The schedule shall state the period of maintaining the records within the function area indicating responsibility, after which time they shall be archived.

6.5.2 Records shall be maintained in defined systems including identification of files and folders that ensure ease of retrieval.

6.5.3 CUEA registry is responsible for categorizing and maintaining a listing of records maintained and the location (i.e. by wall unit and shelf row number).

6.5.4 Function area shall document their types of records and responsibilities for maintenance.

6.5.5 QMS records such as internal quality audits and management reviews are under the system improvement department and shall be addressed at this function.

6.6 Archiving and Purging of Records


6.6.1 Two to three months after each year, function area responsible for records maintenance shall notify the Head of function by a memo the records that are due to exceed the holding period.

6.6.2 Archived records shall be maintained in a secure storage area of a building and under control of the CUEA registry.

6.6.3 Archived files at the registry shall be stored as appropriate and labeled on the front with the contents, dates covered, and destruction date if applicable

6.6.4 Three to six months after each year-end the Head of Function shall notify the CUEA registry by a memorandum for destruction of all files that have exceeded their identified holding period.

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6.6.5 A listing of the file categories to be destroyed will be circulated to the owners of the document prior to destruction for review and comment. The actual listing of records destroyed will be maintained permanently for future reference.

6.6.6 Records will be destroyed in a manner that confidentiality is maintained, (for example by supervised shredding)

6.7 Protection and Confidentiality of records

6.7.1 Function areas shall determine and document methods for protection of records from physical damage and ensuring that confidential records are accessible to authorized personnel.

6.7.2 Electronic records shall be managed by the relevant functions.

7. APPENDICES


FLOW CHART (OPTIONAL)
Not applicable

7.1 Appendix A: Index of records

8. ASSOCIATED DOCUMENTS

8.1 CUEA/VC/DQA/01, Quality Management Procedure for Control of Document

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Appendix A

INDEX OF RECORDS

A1.1 Forms and Datasheets

A1.2 These shall be appendixes to the QMS process document such as manual, procedure, work instruction and the numbering of forms shall be generated from the applicable/appropriate document followed by the letter F.

A1.3 Examples:

A1.4 QMP-01 - Document Change/Amendment Request Form shall be indexed as **CUEA/VC/DQA/ 01/fm1** or from a functional area procedure such as Finance Department Procedure 04 shall be indexed as **CUEA/DVC FIN/FIN/SOP/04/fm01**

A1.5 The numbering of registers shall be generated from the applicable/appropriate document followed by R.

A1.6 Example:

A sample register generated from QMP-04 shall be indexed **CUEA/VC/DQA/04/R1** or from a functional area procedure such as Finance Department Procedure 04 shall be indexed as **CUEA/DVC FIN/FIN/04/R1**

A2.1 Workbooks

A2.1.1 Workbooks shall be indexed where applicable as follows:

-Name of User or Title of Use

Identifier/Short Form for functional area e.g. FIN if Finance Department

WB - Workbook

WW - Serial Number 01, 02, 03...

YYYY - Year of Issue

V - Volume Number

These are therefore combined as:

FIN/WB/WW/YYYY/V

Example: - 1.

Officer Workbook in Finance Department

Name of Officer – FIN/WB/01/2008/2

A3.1 Equipment Record book

This shall have equipment numbers as identifiers and volume numbers only.

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