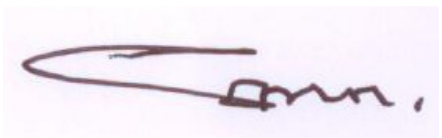



The Catholic University of Eastern Africa

TITLE	AUTHOR
PROCEDURE FOR CONTROL OF DOCUMENTED INFORMATION TO BE RETAIN (RECORDS) (CUEA/VC/MR/02)	MANAGEMENT REPRESENTATIVE
	NO. OF APPENDICES:
	Three (3) 7.1 -7.3
AUTHORIZATION This Standard Operating Procedure is issued under the authority of:	
TITLE	VICE CHANCELLOR
SIGNATURE	
DATE	9 January 2019
ISSUE DATE	9 January 2019
STAMP CONTROLLED / UNCONTROLLED	CONTROLLED
NOTE: 1. Write amendments on the page provided (Clause 0.2) 2. Controlled copies of this document will be in the Office of the Vice Chancellor and the Directorate for Quality Assurance.	

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0. CONTENTS AND RECORD OF CHANGES


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0.2 Record of Changes

No.	Date	Details of Changes		Authorization
	<i>(dd-mm-yy)</i>	<i>Page</i>	<i>Clause/subclause</i>	<i>Title</i>
1.	09-01-2019	1 - 10	Review of Procedure to meet ISO 9001:2015 Requirements	MR

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0.3 Distribution / Circulation

This Quality Management Procedure (QMP) is available at relevant functions for authorized users.

1.0 PURPOSE

This procedure describes the methodology that CUEA shall employ for effective Control of documented information to be retained (here on to be referred to as records) to ensure easy retrieval, security and confidentiality where applicable.

2.0 SCOPE

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

3.0 REFERENCES

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


- 3.1 CUEA-QMM: Quality Management Manual
- 3.2 ISO 9000:2015: Quality Management Systems – Fundamentals and Vocabulary
- 3.3 ISO 9001:2015: Quality Management Systems – Requirements
- 3.4 ISO 10013: Guidelines for Quality Management Systems Documentation

4.0 DEFINITION OF TERMS

4.1 Definition of Terms Used:

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/MR/01.

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Record: These are documented information to be retained that service as objective evidence of a process or procedure or work instruction to 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.


4.2 Abbreviations and Acronyms

- 4.2.1 CMR - Campus Management Representative
- 4.2.2 DVC - Deputy Vice Chancellor
- 4.2.3 HOD - Head of Department
- 4.2.4 HOF - Head of Function
- 4.2.5 MR - Management Representative
- 4.2.6 QMM - Quality Management Manual
- 4.2.7 QMP - Quality Management Procedures
- 4.2.8 QMS - Quality Management System
- 4.2.9 VC - Vice Chancellor

5.0 PRINCIPAL RESPONSIBILITIES

- 5.1 The MR has the overall responsibilities for ensuring that this procedure remains adequate for its intended purpose.
- 5.2 The HOD / HOF or the Process Owner is responsible for application of this procedure including document needs identification, development and documentation.
- 5.3 The HOD / HOF or the Process Owner 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.
- 5.4 The MR is responsible for the approval of changes / amendments to QMS documents, review and final approval of the comments in liaison with the respective functional areas prior to the release for issuance.

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6.0 METHOD

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 retained in accordance with the procedure and as stated in QMM section 4 *sub-clause* 4.4.2.4 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 works instruction to support the QMS shall be identified and indexed as stated in clause 6.3.4 of CUEA/VC/DQA/01 and Appendix 7.3.1 of this procedure and shall contain an identifier (index number).

6.3 Workbooks and Record Books

6.3.1 Workbooks and Record books are counter books and shall be indexed as stated in Appendix 7.3.1.

6.3.2 All Workbooks or records books shall have page numbers on each page.

6.3.3 All Workbooks and / or record books shall be issued by the HOF.


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 them and shall return it to the HOF once completed or filled up.

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

- (a) Name of Officer
- (b) Date issued
- (c) Workbook identifier (as given in Appendix B)
- (d) Signed for issue (by Officer)
- (e) Signed for return (by Officer)
- (f) 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 Record Files

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

6.5 Records Retrieval, Retention and Storage

6.5.1 Each functional area shall develop a record 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 HOF 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.

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

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.

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7.0 APPENDICES

7.1 CONTEXT


7.1.1 External / Internal Factors

(a)	External Factors	Identified Risk / Opportunity
(i)	Legal	Changes in regulations regard record management
(ii)		
(iii)		
(b)	Internal Factors	Identified Risk / Opportunity
(i)	Records integrity	Loss of records due to natural calamities
(ii)		Loss of automated records
(iii)		

7.1.2 Relevant Interested Parties

	Party	Needs and Expectations
(i)	Students	Accessibility to their records when necessary Accurate records
(ii)	Parents, guardians and sponsors	Accurate records Quick access to the records
(iii)	Governance and Management	Accurate records


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7.2 RISK ANALYSIS AND CONTROL

No	Risk	Cause	Risk Assessment			Risk Level	Control / Treatment
			Likelihood	Impact	Likelihood / Impact		
1.	Loss of record integrity	Changes in regulatory regard record management	1	1	1	Low	Keep abreast with regulatory changes and put measures
2.	Loss of record integrity	Loss of records due to natural calamities	2	3	6	Medium	Secure records from fire, rain and other calamities
3.	Loss of record integrity	Loss of automated records	2	3	6	Medium	Ensure regular and proper back ups

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7.3 REQUIRED ORGANIZATIONAL KNOWLEDGE

7.3.1 Index of Records

A1.1 Forms and Datasheets

A1.2 These shall be appendices 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: 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 ADM/SOP/04/fm01.

A1.4 The numbering of registers shall be generated from the applicable / appropriate document followed by R.

A1.5 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 ADM/04/R1

A2.1 Workbooks shall be indexed where applicable as follows:

- Name of users 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

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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