



**JARAMOGI OGINGA ODINGA UNIVERSITY
OF SCIENCE AND TECHNOLOGY**

DOCUMENT: PROCEDURE FOR CONTROL OF RECORDS

DOC. NO: JOOUST/OP / 02

AUTHORIZED BY: VICE-CHANCELLOR

SIGNATURE:

**ISSUED BY: MANAGEMENT
REPRESENTATIVE**

SIGNATURE:

0.1 DOCUMENT DISTRIBUTION

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0.2 DOCUMENT CHANGES

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1.0 Purpose

To ensure that documented information is retained, available and suitable for use and adequately protected (from damage, unintended alteration, loss of confidentiality, improper use or loss of integrity) as evidence of conformity that processes are carried out as planned.

2.0 Scope

This procedure covers the management of all retained documented information determined as necessary for the planning and operation of QMS.

3.0 References:

- i. ISO 9001:2015 Standard
- ii. JOOUST/OP/01 - Procedure for Control of Documents
- iii. JOOUST Quality Manual

4.0 Abbreviations, Acronyms and Definitions:

- i. DVC (RIO): Deputy Vice-Chancellor (Research, Innovation and Outreach)
- ii. DVC(AA): Deputy Vice-Chancellor (Academic Affairs)
- iii. DVC(PAF): Deputy Vice-Chancellor (Planning, Administration and Finance)
- iv. FHs: Functional Heads (DVCs, Deans, Directors, Registrars, Heads of
- v. Functions: Operative units within the University such as
Divisions, Directorates, Schools/Departments and Sections
- vi. JOOUST: Jaramogi Oginga Odinga University of Science and Technology
- vii. QMR: Quality Management Representative
- viii. QMS: Quality Management System
Sections/Units, Chairpersons of Departments)
- ix. VC: Vice-Chancellor

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5.0 Responsibilities:

5.1 Principal Responsibility:

The Quality Management Representative shall oversee the implementation and effective supervision of this procedure.

5.2 Other Responsibilities:

Heads of the respective functional areas in the University shall be responsible for the implementation and effective supervision of this procedure.

6.1 Method

6.1.1 Records shall be the results of activities of the University and shall also be the objective evidence that the actual practice was performed in conformity with stated requirements.

6.1.3 University records shall be maintained appropriately according to approved rules and regulations and shall follow the format of this procedure.

6.1.4 Records shall be appropriately labeled for ease of identification. See clause 6.3.6 below.

6.1.5 Records shall be stored in suitable locations protected from deterioration or damage and from where they can be easily retrieved.

6.1.6 Functional Heads shall be responsible for ensuring that:-

6.1.6.1 Records are established and maintained in their respective departments as evidence of effective operation of the QMS.

6.1.6.2 Records remain legible, readily identifiable and retrievable

6.1.6.3 Records are controlled as per provisions of this procedure.

6.2 Content

6.2.1 Records shall be retained to demonstrate conformity to specified requirements and the effective operation of QMS.

6.2.2 Records shall be protected from unintended alterations, erasures and obliterations.

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6.2 Identification of Records

- 6.3.1 Hard copy records shall be identified by their titles and the associated document reference.
- 6.3.2 The QMS document reference shall define the procedure to which the record form is related, as well as the amendment number and issue date. For full descriptions of document reference see 6.3.6
- 6.3.3 The document files and the documents shall be identified by index, date and titles.
- 6.3.4 Records shall be held in folders/files segregated by subject.
- 6.3.5 The records within a given folder/file shall be given folio numbers as appropriate.
- 6.3.6 Where applicable, the location at which records are retained shall be identified. The files/records shall be indexed as JOOUST /NNN/XX/YY/Z where NNN is the division, XX School/Directorate/Department/Section and YY is the issue or subject matter and Z is a sequential number and appropriate volumes shall be suitably identified.

All HODs shall ensure that all records in use in their functional areas are appropriately identified in the format above.

- 6.3.7 Files and folders containing records shall be clearly marked and identified with the records contained therein.
- 6.3.8 The files and folders shall be marked in such a way that they are easily identifiable.
- 6.3.9 Records shall be in three categories namely,
 - i. Pre-printed forms on which data shall be manually inscribed
 - ii. Approved procedures, reports, briefs and minutes of meetings.
 - iii. Communication letters and faxes

6.4 Features of Hard Copy Records

Hard copies of QMS records shall be appropriately completed in the spaces provided including the portions provided for authorization/approval. They shall then be filed and kept in accessible locations.

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6.5 Legibility and amendment of records

QMS records shall be maintained legible and understandable at all times. The following guidelines shall apply when maintaining quality records to facilitate legibility:

- 6.5.1 Records entries shall be filled in indelible ink and the writing shall be unchangeable.
- 6.5.2 In the event of a mistake where an entry needs amendment, the alteration shall be done in a way that the original writing is legible.
- 6.5.3 The alteration shall be signed and dated by the person authorized to make the amendment.
- 6.5.4 The use of whiteout or correction ink **SHALL NOT** be allowed.
- 6.5.5 Records shall be kept clean and when not in use, stored in the appropriate files, folders or trays.

6.6 Protection and Storage of Records

- 6.6.1 QMS records shall be protected from mishandling, damage and unauthorized access.
- 6.6.2 QMS records shall be protected by appropriate methods as outlined in this procedure.
- 6.6.3 All FHs shall ensure that all records in their respective departments are stored and protected from unauthorized access and removal.
- 6.6.4 Confidential records i.e Human Resource and Personnel files shall be accessed only by authorized officers and stored in locations such as offices with controlled access.
- 6.6.5 Where lockable cabinets are used, only authorized personnel shall have access to the cabinets.

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6.6.6 QMS records maintained in the computer system shall have backup as hard copies or in external electronic devices e.g. hard drives, discs, chips etc, and shall be protected from unauthorized access by use of passwords.

6.7 Retention Period

6.7.1 All records shall have defined retention period in which they shall be kept for immediate accessibility.

6.7.2 The retention period shall be determined by relevant committees taking into consideration government regulations. This shall depend on the type of documents but at least the minimum period shall be 12 months.

6.7.3 The records shall be retained in soft copy and hard copy where necessary.

6.8 Closed Records

6.8.1 Where records have exceeded their retention period, they shall be appropriately filed, labeled and identified as “**CLOSED FILES**” and shall be stored in identified places.

6.8.2 The Functional Heads or other nominees shall:

- i. Index these records by type, month and year
- ii. Electronically backup these records.

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