



**MASENO UNIVERSITY**

<b>DOCUMENT TITLE</b>	PROCEDURE FOR CONTROL OF RETAINED INFORMATION(RECORD)		
<b>DOC. NO:</b>	MSU/VC/MR/OP/03	<b>ISSUE NO:</b>	2
<b>DATE OF ISSUE</b>	8 <sup>TH</sup> JUNE, 2018	<b>REV. NO:</b>	1
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<b>SIGNATURE</b>		<b>SIGNATURE</b>	

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## 0.1 DOCUMENT CHANGES

#	Date (dd-mm-yy)	Details of Change		Authorization
		Page	Clause/sub clause	Title
1	08/06/2018	1	Incorporation of author, and title in addition to Change of document number from OP/02 to ...OP/03	VC
2	08/06/2018	2	3.3 Reference to ISO 9001:2015 Standard	VC
3	08/06/2018		Omission of entire clause 6.4 on features of paper copy records hence rearrangement of the subsequent clauses.	VC
4	08/06/2018		Merging of clause 6.7 and 6.8 on retention period/storage and disposal of obsolete records respectively under 6.6.	VC
5	08/06/2018	All	Change of font type and size	VC

## 0.2 DOCUMENT DISTRIBUTION

This quality management procedure is available on the Maseno University Website for authorized users.

### 1. PURPOSE

The purpose of this procedure is to:

- i. Establish a mechanism for controlling the records
- ii. Ensure that records are identified, filed and stored in an environment which prevents damage, deterioration or loss
- iii. Define the approved procedure for controlling records

### 2. SCOPE

The procedure applies to all records held by the University.

### 3. REFERENCES

- 3.1 Maseno University Quality Manual
- 3.2 MSU/VC/MR/OP/01 - Procedure for Control of Documented information
- 3.3 ISO 9001-2015 Quality Management System - requirements

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3.4 ISO 9000:2015, Quality Management systems –Fundamentals and vocabulary

3.5 ISO 10013:2001, Guidelines for Quality Management System Documentation

#### **4. DEFINITIONS OF TERMS/ABBREVIATION**

For the purpose of this procedure the following terms shall apply in addition to those already defined in the MSU Quality Manual and MSU/VC/MR/OP/01.

4.1 Abbreviation and Acronyms

4.2 MSU - Maseno University

4.3 VC – Vice-Chancellor

4.4 MR – Management Representative

4.5 SA – Student Affairs

4.6 DVC – Deputy Vice-Chancellor

4.7 ASA – Academic and Students Affairs

4.8 PRI – Partnership, Research and Innovation

4.9 AFD – Administration, Finance and Development

#### **5. RESPONSIBILITIES**

The Management Representative, Heads of the respective Departments/Sections in the University shall ensure the effective implementation of this procedure.

#### **6. METHOD**

##### **6.1 GENERAL**

6.1.1 Records shall be the results of the individual activities of the Quality Management System and shall also be the objective evidence that the actual practice conforms to the written procedure.

6.1.2 Records shall be maintained in both soft and hard copies.

6.1.3 Records shall be appropriately identified before being stored in suitable locations, which allow normal protection from deterioration or damage and from where they can be easily retrieved.

6.1.4 The Heads of Department/Section are responsible for:-

- 1.Ensuring that records are established and maintained in their respective departments as evidence of effective operation of the QMS.
- 2.Ensuring that records remain legible, readily identifiable and retrievable.
- 3.Records are controlled as per provisions of this procedure.

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## 6.2 CONTENT

Records shall be retained to demonstrate conformity to specified requirements and the effective operation of the Quality Management System.

## 6.3 IDENTIFICATION OF RECORDS

**6.3.1** Paper copy records shall be identified by their title and the associated document reference. The document reference shall define the procedure to which the record form is related, as well as the amendment number and issue date. For full description of document reference see the documented Information control procedure MSU/VC/MR/OP/01

**6.3.2** Paper copy quality records shall generally be held in folders/files that segregate records by type. The records within a given folder/file shall generally be indexed by type and date as appropriate. Where applicable, the location at which records are retained shall generally be identified. The files have been suitably indexed as **MSU/NNN/NN/X** where **NNN** is the department, **NN** section or type and **X** is a sequential number.

**6.3.3** All quality records shall uniquely be identified by a reference number structured in a way that identifies the University, Division, department or function using the record, the form of record and assigned record number and the title of the document. All HODs shall ensure that all records in use in their functions are appropriately identified in the given format.

**6.3.4** Files and folders containing records shall be clearly marked and identified with the records contained in the files and folders. The files and folders shall be marked in such a way that identification is easy. HODs shall ensure that files and folders are clearly marked as per this procedure.

## 6.4 LEGIBILITY AND AMENDMENT OF RECORDS

Quality records shall be legible all the time. The following guidelines shall be applied when retaining quality records to facilitate legibility.

**6.4.1** Records entries shall be filled in indelible ink and the writing shall be unchangeable.

**6.4.2** In the event of a mistake where an entry needs amendment, the alteration shall be done in a way that the original writing is readable.

**6.4.3** The alteration shall be signed and dated by the person authorized to make the amendment.

**6.4.4** Records shall be kept clean and when not in use, stored in the appropriate files, folders or trays.

## 6.5 PROTECTION OF RECORDS

**6.5.1** Quality records shall be protected from mishandling, damage and unauthorized access.

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**6.5.2** Records shall be protected by appropriate method as outlined in this procedure.

**6.5.3** All HODs shall ensure that all records in their respective departments are protected from unauthorized access and removal. Records shall be accessed only by authorized personnel and stored in locations such as offices with controlled access.

**6.5.4** Where lockable cabinets are used, only authorized personnel shall have access to the cabinets.

**6.5.5** Records retained in the computer system shall have backup copies in electronic form and protected from unauthorized access.

## **6.6 RETENTION PERIOD/STORAGE**

All records shall have defined retention period in which they shall be kept for immediate accessibility. The retention period shall be determined by each department taking into consideration government regulations.

The records shall be retained in soft copy and hard copy where it is possible.

Heads of departments shall identify the retention time of their records, depending on nature of the records.