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|  | Document Ref.: CU/GOP/CR/02 | Issue Date: 15th January, 2018 |
| | Issue No.: 05 | Revision No.: 00 |
| Document Title: CONTROL OF RECORDS (RETAINED DOCUMENTED INFORMATION) | | |

CHUKA UNIVERSITY


GENERAL OPERATING PROCEDURE

FOR

CONTROL OF RECORDS (Retained Documented Information) CU/GOP/CR/02

DOCUMENT REVIEW SHEET

| | Name | Position | Date |
|-------------|--------------------|---------------------------|-----------|
| Prepared By | | ISO Core Team | 15.1.2018 |
| Reviewed By | Prof. D. K. Isutsa | Management Representative | 15.1.2018 |
| Approved By | Prof. E. N. Njoka | Vice-Chancellor | 15.1.2018 |

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1. AMENDMENT RECORD

This Control of Records procedure is reviewed regularly to ensure relevance to its functions. A record of contextual additions and/or deletions is given below:

Amendment Record Sheet

| Amendment Date | ISSUE NO. | REVISION NO. | PAGE NO. | SUBJECT OF REVIEW /MODIFICATION | REVISED BY | APPROVED BY |
|----------------|-----------|--------------|----------|---------------------------------|------------|-------------|
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2. GENERAL

2.1 Purpose

The purpose of this procedure is to define the controls that are needed for the identification, storage, protection, retrieval, retention time and disposition of records.

2.2 Scope

This procedure applies to all the records (including electronic) that are required by this International Standard (See 4.2.4), and those established and maintained by CU to provide evidence of conformity to requirements and of the effective operation of the QMS in the CU (Appendix 1).

2.3 References

- (1) ISO 9001:2015 Clause 4.2.4, 7.5
- (2) Quality Manual
- (3) Registry filing scheme
- (4) CU Records Management Policy & Guidelines

2.4 Definitions and Abbreviations

In addition to the relevant common definitions of terms given in ISO 9000:2005, the following specific definitions shall apply:

Records: These are “descriptive” documents established and retained to provide evidence of conformity to requirements and of the effective operation of the Quality Management Systems. Specific records required by ISO 9001:2015 International Standard and others maintained by CU are documented in the Master List of Records.


AMR: Assistant Management Representative

MR: Management Representative

QMS: Quality Management Systems

2.5 Responsibility

The MR is responsible for ensuring that this procedure is effectively implemented. Heads of Departments are responsible for ensuring that applicable records are established, identified, maintained and controlled within their areas.

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3. PROCEDURES

3.1 General

- 3.1.1 Records are established and maintained to provide evidence of conformity to International Standard requirements and of the effective operation of the QMS. The MR/Process owners have established and maintain the Master List of Internal Records (**Ref: CU/MR/FORM/06**) (**Appendix 1**).
- 3.1.2 The MR ensures that the Master List of Internal Records is updated arising from the evolution and development of the QMS, as a result of initial audits and Management Review processes.
- 3.1.3 The HODs ensure that records remain legible, readily identifiable and retrievable.

3.2 Records Identification

- 3.2.1. All records are identified by having as a minimum a title and a reference number. See Registry Filing Scheme (**CU/MR/FORM/16**).
- 3.2.2. Particulars of all the records are maintained by respective Heads of Departments/Sections and controlled through the Master List of Records in Departments/Sections.

3.3 Records Storage

All records required by this International Standard and by CU are stored in the storage areas identified by CU to include cabinets, safes and shelves.
Refer to the Master List of Internal Records (CU/MR/FORM/06) and Master List of Records in Departments/Sections.

3.4 Records Protection

- 3.4.1 All records are protected from damage by agents such as light, fire etc by storing in filing cabinets, safes, or laminating, among others.
- 3.4.2 Electronic records are protected using passwords and storage in fireproof cabinets to prevent unauthorized changes.

3.5 Records Retrieval

- 3.5.1 Records are stored in an orderly manner for ease of retrieval. Methods, which include filing and/or storage in chronological, alphabetical or numerical arrangements, are used.
- 3.5.2 Records of filing indexes are maintained at the normal storage areas identified for the various records.


3.6 Records Retention and Disposition

- 3.6.1 Records disposition and retention is as given on the Master List of Records and in the Records Management Policy.

Refer to CU Records Management Policy

4. RECORDS


- 4.1 Master List of Internal Records (*Ref: CU/MR/FORM/06*)
5. **APPENDIX 1 (Separate list of Ref: CU/MR/FORM/06)**

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FILING & REFERENCING INDEX USED IN CHUKA UNIVERSITY (CU/MR/FORM/16)

Purpose: Use these filing codes in the third and fourth levels of coding after the institutional and departmental codes e.g. CU/VC/ACAA/1. **ACAA** refers to the Academic Affairs subject being coded. The fourth level (1) refers to the serial/folio number. This list is not exhaustive. **Create new codes and submit to the M.R. once the ones below are exhausted.** *The first and third levels are fixed. The second level changes with Department. E.g. CU/EXTT/BPGS = Meaning a file in CU belonging to EXAMINATIONS & TIMETABLING directorate for **Filing** or **Referencing Correspondence** from EXTT to BPGS. Each Department to open its own box files or folders or spring files, as guided by the codes listed below and then be filing in documents. **Note:** All official correspondence **MUST** be referenced as such below the letterhead!*

| SN | CODE | NAME OF SUBJECT MATTER OR DEPARTMENT & EQUIVALENTS |
|----|------|---|
| 1 | ACAA | Academic Affairs |
| 2 | ACAB | Academic Board |
| 3 | ACCD | Accommodation Department |
| 4 | ACCT | Accounts |
| 5 | ADMN | Administration |
| 6 | ATTA | Attachment |
| 7 | BPSR | Board of Postgraduate Studies & Research |
| 8 | BUSF | Board of Undergraduate Studies & Field Attachment |
| 9 | CASU | Casual |
| 10 | CATD | Catering Department |
| 11 | CATS | Continuous Assessment Tests |
| 12 | CERT | Certificate |
| 13 | CUED | Commission for University Education |
| 14 | CNCL | Council |
| 15 | COMM | Communication |
| 16 | COMY | Community |
| 17 | CTEE | Committee |
| 18 | CU | Chuka University |
| 19 | CURR | Curriculum |
| 20 | CUSA | Chuka University Student Association |
| 21 | DACA | Division of Academic, Research and Student Affairs |
| 22 | DAFP | Division of Administration, Finance, Planning & Development |
| 23 | DAGS | Department of Agricultural Sciences |
| 24 | DAHU | Department of Arts & Humanities |
| 25 | DAAE | Department of Agricultural Economics, Agribusiness and Agricultural Education |
| 26 | DANS | Department of Animal Sciences |
| 27 | DBAD | Department of Business Administration |
| 28 | DBSC | Department of Basic Sciences |
| 29 | DBIO | Department of Biological Sciences |
| 30 | DCOM | Department of Computer Science |
| 31 | DOHS | Department of Health Sciences |

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| | | |
|----|--------|--|
| 32 | DEFE | Defer |
| 33 | DERD | Department of Environment Studies & Resources Development |
| 34 | DEDU | Department of Education |
| 35 | DNUR | Department of Nursing |
| 36 | DEMS | Department of Management Science |
| 37 | DEHU | Department of Humanities |
| 38 | DESS | Department of Social Sciences |
| 39 | DPHS | Department of Physical Sciences |
| 40 | DPLS | Department of Plant Sciences |
| 41 | DVCA | Deputy Vice-Chancellor (Academic, Research & Student Affairs) |
| 42 | DVCF | Deputy Vice-Chancellor (Administration, Finance, Planning & Development) |
| 43 | EMPL | Employment |
| 44 | ESTD | Estates Department |
| 45 | EXAM | Examinations |
| 46 | EXTE | Extension |
| 47 | EXTT | Examinations & Timetabling |
| 48 | FAES | Faculty of Agriculture & Environmental Studies |
| 49 | FAHU | Faculty of Arts and Humanities |
| 50 | FHSS | Faculty of Humanities and Social Sciences |
| 51 | FARM | Farms Department |
| 52 | FBST | Faculty of Business Studies |
| 53 | FERD | Faculty of Education & Resources Development |
| 54 | FOHS | Faculty of Health Sciences |
| 55 | FIND | Finance Department |
| 56 | FLAW | Faculty of Law |
| 57 | FSET | Faculty of Science, Engineering & Technology |
| 58 | FTSE | Full-Time Staff Equivalent |
| 59 | GASD | Games & Sports Department |
| 60 | GRAD | Graduation |
| 61 | GSSP | Government-Sponsored Students' Programme |
| 62 | HEAL | Health |
| 63 | HELB | Higher Education Loans Board |
| 64 | HRMD | Human Resource Management Department |
| 65 | IAUD | Internal Audit |
| 66 | JABO | Joint Admissions Board |
| 67 | KUCCPS | Kenya Universities and Colleges Central Placement Service |
| 68 | LABS | Laboratory |
| 69 | LECT | Lecturers |
| 70 | LIBD | Library Department |
| 71 | LINK | Linkages |
| 72 | MANB | Management Board |

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| | | |
|----|------------|---|
| 73 | MEDD | Medical Department |
| 74 | MEST | Ministry of Education, Science and Technology |
| 75 | PGME | Programme |
| 76 | PLEC | Part-Time Lecturers |
| 77 | PRAC | Practical |
| 78 | PRIN | Principal |
| 79 | PRNO | Pay Roll Number |
| 80 | PROD | Procurement Department |
| 81 | QAPC | Quality Assurance & Performance Contracting |
| 82 | RACA | Registrar, Academic Affairs |
| 83 | RADP | Registrar, Administration & Planning |
| 84 | REGI | Registry |
| 85 | RESE | Research |
| 86 | SENA | Senate |
| 87 | SESD | Security Services Department |
| 88 | SSSP | Self-Sponsored Students' Programme(s) |
| 89 | STAF | Staff |
| 90 | STDS | Students |
| 91 | STWD | Students' Welfare Department |
| 92 | TEAP | Teaching Practice |
| 93 | TRAD | Transport Department |
| 94 | TRAF | Transfer |
| 95 | TRAG | Training |
| 96 | TRAN | Transcript |
| 97 | VC or VICH | Vice-Chancellor |

ETC