	Document Ref.: CU/GOP/CRDI/02	Issue Date: 20th August, 2019
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Document Title: CONTROL OF RETAINED DOCUMENTED INFORMATION		

CHUKA UNIVERSITY


GENERAL OPERATING PROCEDURE

FOR

CONTROL OF RETAINED DOCUMENTED INFORMATION) CU/GOP/CRDI/02

DOCUMENT REVIEW SHEET

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1. AMENDMENT RECORD

This Control of Retained Documented Information 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
20/8/2019	06	00	ALL	Changed title from Control of Records (Retained Documented Information) to “Control of Retained Documented Information” to be in line with the ISO 9001:2015 nomenclature; and changed code to CU/GOP/CRDI/02	ISO M.R.	VC

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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 retained document information (previously also known as records).

2.2 Scope

This procedure applies to all the retained document information (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 CU QMS (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:

Retained Document Information: 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 RDI required by ISO 9001:2015 International Standard and others maintained by CU are documented in the Master List of RDI.


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 RDI are established, identified, maintained and controlled within their areas.

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3. PROCEDURES

3.1 General

- 3.1.1 **Retained Document Information** 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 RDI (**Ref: CU/MR/FORM/06**) (**Appendix 1**).
- 3.1.2 The MR ensures that the Master List of Internal RDI 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 RDI remain legible, readily identifiable and retrievable.

3.2 Retained Document Information Identification

- 3.2.1. All RDI 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 RDI are maintained by respective Heads of Departments/Sections and controlled through the Master List of RDI in Departments/Sections.

3.3 Retained Document Information Identification Storage

All RDI 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 RDI (CU/MR/FORM/06) and Master List of RDI in Departments/Sections.

3.4 Retained Document Information Identification Protection

- 3.4.1 All RDI 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 RDI are protected using passwords and storage in fireproof cabinets to prevent unauthorized changes.

3.5 Retained Document Information Identification Retrieval

- 3.5.1 RDI 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 RDI of filing indexes are maintained at the normal storage areas identified for the various RDIs.

3.6 Retained Document Information Identification Retention and Disposition


- 3.6.1 RDIs disposition and retention is as given on the Master List of RDIs 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	FNPH	Faculty of Nursing and Public Health
55	FIND	Finance Department
56	FLAW	Faculty of Law
57	FSET	Faculty of Science, Engineering & Technology
58	FTSE	Full-Time Staff Equivalent
59	FNPH	Faculty of Nursing and Public Health
60	GASD	Games & Sports Department
61	GRAD	Graduation
62	GSSP	Government-Sponsored Students' Programme
63	HEAL	Health
64	HELB	Higher Education Loans Board
65	HRMD	Human Resource Management Department
66	IAUD	Internal Audit
67	JABO	Joint Admissions Board
68	KUCCPS	Kenya Universities and Colleges Central Placement Service
69	LABS	Laboratory
70	LECT	Lecturers
71	LIBD	Library Department
72	LINK	Linkages



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

ETC