

Alikhan Bokeikhan University		
Level 2 QMS Document	Revision No. 5 dated 02.11.2021 instead of revision 4 of 09.11.2018	STU 141-03-2021
Standard		

DOCUMENTATION OF THE QUALITY MANAGEMENT SYSTEM
Types of documents, content requirements

STU 141-03-2021

Semey
2021

Preface

1 DEVELOPED AND INTRODUCED by the Vice-rector for Educational and Methodological Work.

2 INTRODUCED TO REPLACE revision No. 4

3 WAS DEVELOPED taking into account the requirements of ST RK 1.5-2019 of the RK STR. General requirements for the construction, presentation, design and content of national standards and recommendations for standardization.

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ALIKHAN BOKEIKHAN UNIVERSITY STANDARD
University Standards
Documentation of the quality management system
Types of documents, content requirements

Date of introduction 09.11.2021

1 Scope of application

This standard establishes the types of documents, requirements for the content of university standards being developed and put into effect, instructions, rules, regulations and other documentation, which are assigned symbols and entered into the register of internal regulatory documents of the university.

The standard is applied by all departments of the University involved in the development of this documentation.

2 Regulatory references

This standard has been developed in accordance with the following documents:
ISO 9000:2017 Quality Management Systems – Basic provisions and vocabulary.

ST RK ISO 9001:2016 Quality Management Systems- Requirements.

ST RK 1.5 - 2019 General requirements for the construction, presentation, design and content of national standards and recommendations for standardization.

ST RK 1.12 - 2015 Text documents. Design requirements.

STU 141-04-2018 Normative documents of the University. The order of development, approval, approval, registration.

3 Definitions of terms, designations and abbreviations

The following terms and definitions are used in this standard:

3.1 Concept (K): A document containing a system of views or a basic idea that defines the strategic policy of the university.

3.2 Quality Policy (PC): A document that defines the general intentions and directions of the university's activities in the field of quality, officially formulated by the top management.

3.3 University Standard (STU): A normative document developed on the basis of consent and adopted by an order for the university, which establishes rules, general principles and characteristics concerning various types of university activities or their results, and which is aimed at achieving an optimal degree of ordering in the educational process and its provision.

3.4 Instruction(s): A document containing provisions describing the action to be performed and which defines the procedure for meeting the requirements of university standards and other regulatory documents.

3.5 Rules (Pr): A regulatory document that establishes mandatory methods, sequence, procedures for meeting the requirements of regulatory documents for certain types of activities.

Examples are the Rules of admission to graduate school; internal regulations.

3.6 Recommendations (P): A regulatory document containing voluntary provisions and methods of work performance, as well as recommended rules.

Examples - Recommendations for conducting a written exam; recommendations for conducting practical classes.

3.7 Regulations on the structural unit (collective body, public and other organizations of the University) (P): A document containing the organizational structure, functions and powers.

An example is the Regulations on the faculty.

3.8 Job description (ID): A document establishing a list of functions, responsibilities and powers assigned to full-time positions of the university.

An example is the job description of the head of the educational laboratory.

3.9 The founding document of the university: The document on the basis of which the university is formed and operates as a legal entity.

3.10 The charter of the University: The fundamental constituent document that defines the legal status of the university as a legal entity and an educational institution of higher professional and postgraduate education, defining the structure of the university, types of educational activities and management systems.

3.11 organizational structure: A network of managerial and functional services and units with connections that establish administrative and other relationships that ensure the effectiveness and quality of educational services.

3.12 staffing table: A document defining the structure, number and official composition of university employees and approved by the rector.

3.13 certificate of state registration of the enterprise: A document of the territorial body of justice on the state registration of the Kazakh Humanitarian and Legal Innovation University as a legal entity.

3.14 license: A document certifying the university's right to conduct a certain type of activity, perform works and provide services.

3.15 order: An operational and administrative document signed by the rector and mandatory for execution by all departments of the university or persons specifically specified in it.

3.16 order: An operational and administrative document signed by the rector (vice-rector) and issued on issues related to the organization of the execution of orders, instructions and other documents of the university.

3.17 Internal document: An official document whose validity does not extend beyond the university.

4 General provisions

This university standard is designed to establish the types of documents, requirements for the content of university standards being developed and put into effect, instructions, rules, regulations and other organizational and managerial documentation, which are assigned symbols and entered into the register of internal regulatory documents of the university.

5 Types of documentation

The documentation of the quality management system used in the management activities of the university, in accordance with the hierarchy of QMS documents, is divided into 5 levels.

The first level includes the Quality Policy. The second level includes documented QMS procedures, university standards, and the procedure for describing QMS processes. To the third level - documentation on planning, implementation and management of processes – organizational and managerial documentation (job descriptions, regulations on structural divisions of the university, internal regulatory documents, planning documents). To the fourth level - quality records.

The fifth basic level includes:

- external documentation of state authorities and management: decrees, laws, resolutions, orders, legal acts of local self-government bodies, instructional and informational letters, documentation of the Ministry of Education and Science of the Republic of Kazakhstan: orders, orders, regulations, instructional and informational letters, etc., including the educational and methodological association;

- constituent documents: the decision of the founder on the formation of the university, the charter, the agreement on the delimitation of powers, the certificate of state registration of the enterprise, the license for the right to conduct educational activities and others.

5.1 The procedure for the formation of the main types of QMS documentation.

5.1.1 The QUALITY POLICY is developed in accordance with the ST RK ISO 9001-2016.

The quality policy is developed and approved by the Top Management, who is responsible for this. The Top Management decides on the formation of a Quality Policy and the definition of its goals. The quality policy is documented in the form of a special document signed by the Top Management.

When developing a Quality Policy, top management should take into account:

- long-term goals of the university;
- the nature of future improvements necessary for the success of the university;
- the degree of customer satisfaction of the university;
- needs and expectations of stakeholders;
- resources needed to implement the Policy.

5.1.2 The REGULATIONS on the SUBDIVISION are developed in accordance with the requirements of the University standard STU 141-01-2021 "Regulations on structural divisions. General requirements".

5.1.3 THE DOCUMENTED PROCEDURE required by the standard ST RK ISO 9001-2016.

The composition of the documented procedure by sections:

0. TITLE PAGE (form F 01-STU 141 – 03-2021).

0. CONTENTS

1. PURPOSE AND SCOPE OF APPLICATION.

2. REGULATORY REFERENCES. This section specifies the regulatory documents that are referenced in this document.

3. DOCUMENTS RELATED TO THE PROCEDURE

4. DEFINITIONS OF TERMS, DESIGNATIONS AND ABBREVIATIONS.

5. RESPONSIBILITY (section is introduced if necessary)

6. DESCRIPTION OF THE PROCESS. When describing the process, it is allowed to use a graphical representation of the process with the works included in it in the form of a flowchart, flowchart, etc.

7. METHODOLOGY. The main stages of the work on the procedure (the section is introduced if necessary)

8. DOCUMENTATION AND ARCHIVING. This section specifies the storage location of the control copy of the document during its validity.

9. **INCOMING AND OUTGOING INFORMATION.** This section specifies the information on the basis of which the work of this documented procedure begins, and the information obtained as a result of the work of this documented procedure.

10. **EVALUATION OF THE EFFECTIVENESS OF THE EXECUTION OF THE PROCESS.** This section describes the indicators for evaluating the effectiveness of the procedure (a section is introduced if necessary).

11. **APPLICATIONS.** The appendix usually contains the forms of quality records that arise during this process.

12. **CHANGE REGISTRATION SHEET.** (Form F 03 – STU 141-04-2021).

5.1.4 JOB DESCRIPTIONS (DIS) are developed in accordance with the requirements of Instruction I.10.02/2021 "General requirements for the development of job descriptions".

Job descriptions are mandatory for all managers, specialists and employees working in the organization.

Job descriptions are used in daily activities, during training, internship and hiring of employees, as well as in planning and evaluating the results of their work.

The input data for the development of the DI are:

- legal and legal norms of the Republic of Kazakhstan;
- qualification characteristics of employees' positions;
- regulations on the division;
- orders and orders of the rector;
- the company's quality policy;
- responsibility allocation matrices;
- staffing table;
- production plan of the division;
- unit targets;
- regulatory documentation for the work performed by the department.

5.1.5 UNIVERSAL STANDARDS are developed in accordance with the requirements of this standard.

The composition of the standard by sections:

0. **TITLE PAGE** (form F 04-STU 141 – 03-2021).

0. **PREFACE**

0. **CONTENT**

1 **SCOPE OF APPLICATION.**

2 **NORMATIVE REFERENCES.** This section specifies the regulatory documents that are referenced in this document.

3. **DEFINITIONS OF TERMS, ABBREVIATIONS**

4. **GENERAL PROVISIONS (DESCRIPTION OF THE PROCESS)**

5. APPLICATIONS. The appendix usually contains the forms of quality records that arise during this process.

6. CHANGE REGISTRATION SHEET (Form F 03 – STU 141-04-2021)

5.1.6 REGULATIONS, INSTRUCTIONS, RULES

The composition of the regulations by sections:

0. TITLE PAGE (form F 05-STU 141 – 03-2021).

0. PREFACE

0. CONTENT

1. SCOPE OF APPLICATION.

2. REGULATORY REFERENCES. This section specifies the regulatory documents to which there are references in this document, if necessary.

3. GENERAL PROVISIONS

4. DESCRIPTION

5. APPLICATIONS. The appendix usually contains the forms of quality records that arise during this process.

6 General content requirements

6.1 When developing documents, it is recommended to build them in accordance with the list of issues set out in Table 6.1.

Table 6.1

The list of questions to be answered by the document	Document						
	managerial				organizational		
	К	СТУ	И	Пр	Р	П	ИД
Which way?	V	<input type="checkbox"/>					
What to do?		V	<input type="checkbox"/>	<input type="checkbox"/>		V	V
How to do?		<input type="checkbox"/>	V	V	<input type="checkbox"/>		
Who should do it?		<input type="checkbox"/>	<input type="checkbox"/>			V	<input type="checkbox"/>
Mandatory character		V	V	V		V	V
Recommendation character		<input type="checkbox"/>	<input type="checkbox"/>		V		<input type="checkbox"/>
Note – V – the main content of the document <input type="checkbox"/> – additional content of the document							

6.2 All documents are approved by the Rector of the University.

Recommendations are approved by the Educational and Methodological Council of the University, the educational and methodological department, the research sector and other departments.

6.3 Requirements for classification, designation, registration of documents of internal origin are set out in I.10.01/2018 "Instructions for the documentation of the quality management system".

7 Applications

Form F 01-STU 141-03-2021
Title page of the documented procedure

ALIKHAN BOKEIKHAN UNIVERSITY

QMS Level 2 Document

Revision No. ___ from _____

DP

Documented procedure

I APPROVE

Rector _____ Sh.A. Kurmanbayeva

" ___ " _____ 20__

Documented procedure

« _____ »

(name of the documented procedure)

(index of the documented procedure)

Developed Agreed

The position of the person who developed

The Position of the approving person
document

_____ Full name

_____ Full name

" ___ " _____ 20__

" ___ " _____ 20__

The position of the approving person

_____ Full name.

Agreed

Position of the approving person

" ___ " _____ 20__ g

_____ Full name
" ____ " _____ 20__ G.

Semey
20__

Form F 02-STU 141-03-2021
Incoming and outgoing information

№	Name of the document	Responsible for drafting	The deadline for submission	Note

Form F 03-STU 141-03-2021
Evaluation of the effectiveness of the execution of the process

Evaluation indicator	Results registration form

Form F 04-STU 141-03-2021**The title page and the order of registration of the standard**

ALIKHAN BOKEIKHAN UNIVERSITY		
QMS Level 2 Document	Revision No. ___from ____	STU _____
Standard		
<p>_____</p> <p>(name of the standard)</p> <p>_____</p> <p>(standard index)</p>		

Semey
20_____

Preface

1 DEVELOPED AND INTRODUCED

2 WAS INTRODUCED INSTEAD OF THE REVISION NO. ____.

3 DESIGNED to meet the requirements

4 AGREED (if necessary)

5 APPROVED

Rector of the University _____
(signature) (Full name)

Content

1 Scope of application

2 Regulatory references

3 Definitions of terms, designations and abbreviations

4 General provisions

5 Application

6 Change Registration Sheet

ALIKHAN BOKEIKHAN UNIVERSITY STANDARD

University Standards

(name of the standard)

Date of introduction _____

TEXT OF THE STANDARD

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Form F 05-STU 141-03-2021
**The title page and the order of execution of regulations,
instructions, rules**

ALIKHAN BOKEIKHAN UNIVERSITY		
Level 3 QMS document	Editorial no. ___ from ___	_____ (document index)
Document status		

(name of the document)

(document index)

Semey

20____

Preface

1 DEVELOPED

2 AGREED (if necessary)

3 RECOMMENDED (if necessary)

4 APPROVED

Rector of the University _____

(signature)

(Full name)

INTRODUCED for the first time or instead

Content

- 1 Scope of application
- 2 Regulatory references
- 4 General provisions
- 5 Description
- Applications

8 Change Registration Sheet

Sequence number of the change	Section, item of the document	Type of change (replace, delete, add)	Number and date of notification	The change has been made	
				Date	Surname and initials, signature, position

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