

ALIKHAN BOKEIKHAN UNIVERSITY		
Level 2 QMS document	Revision No. 6 of 02.11.2021 instead of the revision No. 5 of 01.10.2018	DP.10.03/2021
Documented procedure		

**Documented procedure**  
**«Quality records management procedure»**  
**DP.10.03/2021**

Semey  
2021

## CONTENTS

1	Purpose and scope of application	3
2	Regulatory references	3
3	Documents related to the procedure	3
4	Definitions of terms, designations and abbreviations	3
4.1	Terms and definitions	3
4.2	Abbreviations	4
5	Responsibility	4
6	Description of the process	5
6.1	General regulations	5
6.2	The order of keeping records on quality in the division	5
6.3	Formation of case folders	5
6.4	Registration of case folders	7
6.5	Identification of records on quality	9
6.6	Collecting records on quality	9
6.7	The procedure for storing and maintaining an archive of documents containing quality records	9
6.8	Procedure for granting access to documents containing quality data	10
7	Documentation and archiving	10
8	Incoming and outgoing information	11
8.1	Incoming information	11
8.2	Outgoing information	11
9	Annexes	12
10	Change Registration Sheet	15

## 1 PURPOSE AND SCOPE OF APPLICATION

1.1 This documented procedure of the quality management system has been developed in accordance with the requirements of Section 4.2.4 of the ST RK ISO 9001:2016 and regulates the procedure for managing quality records in the divisions of Alikhan Bokeikhan University.

1.2 The requirements of this documented procedure apply to all divisions of the university.

## 2 REGULATORY REFERENCES

The following regulatory documents were used in the development of this documented procedure:

ISO 9000:2017 Quality Management Systems - Basic provisions and vocabulary.

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

DP.10.02/2021 Documentation management procedure.

## 3 DOCUMENTS RELATED TO THE PROCEDURE

F 01-DP.10.03/2021 - Nomenclature of the division's cases XX for 20\_\_ year.

Form F 02-DP.10.03/2021 - Example of the design of the label and/or cover of the Case Folder

## 4 DEFINITIONS OF TERMS, DESIGNATIONS AND ABBREVIATIONS

### 4.1 Terms and definitions

The terms and definitions from ISO 9000:2017 are used in this documented procedure, as well as the following:

**Procedure** – an established way of carrying out an activity or process.

**Documenting** – recording information on various media according to the established rules.

**Document** - information recorded on a material carrier with details that allow it to be identified.

**Regulatory documentation** – documentation containing rules, general principles, characteristics related to certain types of activities or their results. Regulatory documentation may be of external or internal origin.

**Quality records** – a document containing the results achieved or evidence of the activities carried out. Quality records arise when performing work on a process and serve to prove the performance of these works and the effectiveness of the process as a whole.

*Note:* Records can be used, for example, to document the traceability of actions performed and evidence of verification of the effectiveness of corrective and preventive actions.

**Products** - the result of the process. The product category also includes services.

**Process identification** - assigning an identifier to a process that allows to distinguish this process from other processes in the organization (object recognition by criteria, attributes);

**Traceability** – the opportunity to trace the history of the application or the location of what is being considered.

**Internal audit (inspection)** – the most important of all audits, it provides the company's management with information about the effectiveness and efficiency of its system.

**Monitoring and measurement of products** – performing analysis and forecasting by studying data and measuring product (service) characteristics in order to verify compliance with product (service) requirements.

**Non-compliant products** – products that do not meet the requirements of regulatory documents (products that have deviations or produced in conditions that do not comply with the standards specified in the regulatory documentation).

**Corrective actions** – an action taken to eliminate the cause of the detected discrepancy or other undesirable situation.

**Preventive actions** – an action taken to eliminate the cause of a potential discrepancy or other potential situation.

**Release** - permission to proceed to the next stage of the process.

## 4.2 Abbreviations

QMS - quality management system;

ST RK – state standard of the Republic of Kazakhstan

RD - regulatory documentation;

MI - measuring instruments;

BNE is an abbreviation "before the need expires", denotes the storage period of the document until the need for it disappears..

## 5 RESPONSIBILITY

The authorized representative for quality - the Vice–rector for Educational and Methodological Work, is responsible for the implementation of this documented procedure.

The responsible persons for each process are responsible for maintaining quality records.

## 6 PROCESS DESCRIPTION

### 6.1 General regulations

Quality record keeping procedure:

- developed in accordance with the requirements of ST RK ISO 9001:2016;
- designed to manage all quality records that document the traceability of actions performed;

- establishes the procedure for identification, collection, registration, storage, protection, restoration, maintenance and provision of quality records;
- guarantees the completeness and availability of quality records to obtain evidence of product compliance with the established requirements and the effectiveness of the quality management system at all stages of the life cycle of the organization's products.

## **6.2 The order of keeping records on quality in the division**

6.2.1 The list of quality records is established when filling out the form "Nomenclature of the division's cases for 20\_\_year." for each process (form F 01-DP.10.03/2021).

When keeping quality records, along with the paper version, there is an electronic version of the document. Moreover, the original can be both paper and electronic media.

Each structural division determines for itself a network of processes for effective work during the implementation of the QMS and the type of record certifying the performance of work in the field of quality. For all processes, quality records are indicated, confirming the fulfillment of the established requirements for products, for the management system, and records confirming that, if necessary, it is possible to restore the entire background of the creation of a process, resource or document.

The quality records also include the nomenclature of the division's cases, which is a list of numbered folders-cases where documents are stored.

The head of the division for the quality performance of work at all workplaces, taking into account the specialization of the division, forms a list of regulatory documentation that employees are required to follow when performing their duties, and approves this list.

The nomenclature of cases is drawn up in the form F 02-DP.10.03/2021. The numbering of the case folders is as follows: XX/00, where XX is the index of the division, 00 is the sequential number of the folder.

## **6.3 Formation of cases**

6.3.1 Control over the formation of cases is carried out by the Office of the University.

6.3.2 When forming cases, the following general requirements are met:

- 1) only executed, properly processed documents are placed in cases in accordance with the headings of cases by nomenclature;
- 2) all documents related to the solution of one issue are placed together.

Annexes to documents, regardless of the date of their approval or compilation, are attached to the documents to which they relate.

Annexes with a volume of over 180 sheets make up a separate volume, about which a note is made in the document.

3) the versions of the document in the state, Russian and other languages are grouped together;

4) documents of the same calendar year are grouped into cases; exceptions are: passing cases; personal files that are formed during the entire period of study or work

of this person in the organization; documents of educational institutions that are formed during the academic year;

5) documents of permanent and temporary storage periods are grouped separately into cases;

6) documents to be returned, drafts and extra copies should not be placed in the case;

7) the volume of the case should not exceed 180 sheets;

8) if there are several volumes (parts) in the case, the number (index) and the title of the case are affixed to each volume with the addition of the numbering of volumes (parts), the word "last" ("last") is added to the last volume (part);

9) the documents are arranged in accordance with the sequence of resolving the issue (chronological order on the issues being resolved) or an initiative document is placed at the beginning of the case, then a document with the final solution of the issue, then other documents covering the progress of the issue resolution;

10) all documents of a reporting and informational nature on the execution of acts and orders of higher-level organizations in which the organization was the main performer are filed in separate cases on their execution. In other instances, these documents are filed in the correspondence file for the current year;

11) administrative documents are grouped into cases by type and chronology with related annexes. Instructions, rules, regulations, charters approved by administrative documents are annexes to them and are grouped together with these documents. If they are approved as an independent document, then they are grouped into separate cases;

12) orders (instructions) on the main activity, orders (instructions) on personnel are formed into separate cases;

13) the protocols in the case are arranged in chronological order by numbers along with the documents to them;

14) the correspondence is grouped for the record-keeping year and systematized in chronological order, while the response document is placed behind the request document. When resuming correspondence on a certain issue that began in the previous year, the documents are included in the case of the current year, indicating the index of the case of the previous year.

15) documents in personal files are arranged in chronological order according to their receipt.

16) personal payroll accounts are formed into separate cases and are arranged in them in alphabetical order of the surnames of employees.

17) employment contracts are formed as part of personal files or separately in alphabetical order of the surnames of employees.

18) lists of individuals and documents confirming the transfer of mandatory pension contributions to accumulative pension funds are formed into one case.

Lists of individuals and documents confirming the transfer of social contributions are formed in one case.

19) plans, reports, estimates, limits and staffing tables are formed in the relevant cases of the year for which or on which they are drawn up, regardless of the date of their compilation, approval or receipt.

20) appeals of individuals and legal entities are formed in cases on issues, areas of activity of the organization or by administrative-territorial units. With insignificant volumes of appeals, it is allowed to form cases by the surnames of the authors of appeals in alphabetical order.

#### **6.4 Registration of case folders**

6.4.1 The university's cases are subject to registration at their institution and at the end of the year. Registration of the case is preparation of the case for storage.

6.4.2 The details affixed to the cover of the case are drawn up as follows (F 02 - DP.10.03/2021):

1) the name of the organization in accordance with the founding documents is indicated in full, in the nominative case, indicating the officially accepted abbreviated name, which is indicated in brackets after the full name;

2) the name of the structural division - the name of the structural division is recorded in accordance with the approved structure; the case number - a digital designation (index) of the case is affixed according to the nomenclature of the organization's cases;

3) the title of the case is transferred from the nomenclature of cases; the date of the case is indicated by the year(s) of its opening and the end of the case in the office.

The dates of cases containing administrative documentation, as well as for cases consisting of several volumes (parts), are the latest dates of the case documents, i.e. the dates (date, month, year) of registration (compilation) of the earliest and latest documents included in the case. The date of the annex to the case, formed into a separate volume, is the date of registration of the main document, the annex to which is placed in this volume. Herewith, the date and year are indicated by Arabic numerals, the name of the month is written in full words.

6.4.3 In order to ensure the safety and consolidation of the order of the documents included in the case of permanent storage only, all its sheets, including resolutions drawn up on a separate sheet, except for the sheet of the certifier and the internal inventory, are numbered. The sheets are numbered with a black, soft, graphite pencil, the numbers are put in the upper right corner of the sheet.

6.4.4 The order of numbering of the case sheets:

1) a sheet larger than A4, filed with one edge, is numbered as one sheet in the upper right corner;

2) documents with their own numbering of sheets, including printed publications, can be numbered in the general order or keep their own numbering if it corresponds to the order of the sheets in the case.

3) case sheets consisting of several volumes or parts are numbered separately for each volume or part;

4) the envelopes with attachments filed in the case are numbered: first the envelope, and then the next number of each attachment in the envelope;

5) the annexes to the case, received in a binding, are issued as an independent volume and numbered separately;

6) in cases of detection of a large number of errors in the numbering of the sheets of the case, their renumbering is carried out. When the sheets are renumbered, the old numbers are crossed out and a new sheet number is placed next to it, at the end of the case, a new certifier sheet is compiled, while the old certifier sheet is crossed out, but remains in the case;

7) if there are individual errors in the numbering of sheets, the use of letter numbers of sheets is allowed.

6.4.5 The details on the "storage period of the case" is transferred to the cover of the case from the corresponding nomenclature of cases after checking it with the storage period specified in the lists of documents, indicating the storage periods.

6.4.6 On permanent storage cases it is written: "Store permanently".

6.4.8 At the end of the year, clarifications are made to the inscriptions on the covers of permanent and temporary (over 10 years) storage cases: if the title of the cases on the cover does not match the content of the filed documents, changes and additions are made to the title of the case.

6.4.10 For the record of documents of certain categories of permanent and temporary periods (over 10 years) of storage, the record of which is caused by the specifics of this documentation (especially valuable, personal files, regulatory documents and others), an internal inventory of documents of the case is compiled according to the form F03-DP.10.03./2021.

The internal inventory of the case documents is also compiled for permanent and temporary (over 10 years) storage cases, if they are formed according to the types of documents whose headers do not disclose the specific content of the documents.

## **6.5 Identification of records on quality**

6.5.1 Identification of documents containing quality data is carried out using identifiers placed in the nomenclature of cases, providing quick and unambiguous identification of documents, with systematic storage, search and management.

## **6.6 Collecting records on quality**

6.6.1 The forms of documents containing quality records, the procedure for filling them out and the responsibility for filling them out should be established in the documented procedure "Description of the process ...", "Instructions ...", "Regulations ...".

6.6.2 The recording of quality data in the forms of documents is made legible, in the corresponding columns of the forms, records should not allow ambiguous reading.

6.6.3 The authenticity and reliability of all quality data is certified by a signature with a transcript of the name of the person responsible for entering quality data



into the forms, in accordance with the requirements set out in the "Process Descriptions ...", "Instructions ...", "Regulations ...".

6.6.4 Correction of errors in documents containing quality records is made by the person responsible for data collection.

Each correction is certified by the date and signature of the person who carried it out and the head of the division where this data is collected.

## **6.7 The procedure for storing and maintaining an archive of documents containing quality records**

6.7.1 After filling out the forms of documents and processing the data, including their generalization, they are transferred to the nomenclature of the division's cases.

Quality records are stored in the structural division in the form of documents.

6.7.2 The procedure for storing documents containing quality records, the storage period and the person responsible for storage should be defined in the corresponding "Process Descriptions ...", "Instructions ...", "Regulations ...". Documents containing quality records are entered in the "Nomenclature of the division's cases" in accordance with 6.2.1 of this documented procedure.

In case of loss of the paper version of the document, the restoration of quality records is made from an electronic database, if available, or by restoring a backup copy stored on a central server.

6.7.3 When storing electronic documents, the following requirements must be met:

- the information contained in electronic documents should be available for further use.

- it is necessary to provide backup in the division, i.e. it must be possible to restore the document in the format in which the document was created or received.

- if there is a document, information must be stored that makes it possible to establish the origin and purpose of the electronic document, as well as the date and time of its sending and receiving

6.7.4 The storage period of quality records in the division should not exceed 3 years, unless another period is specified. After this period, documents with quality data are disposed of, unless otherwise specified in the regulatory document.

6.7.5 The conditions for storing documents in the division must ensure their safety, the absence of damage and the prevention of damage during the entire storage period.

## **6.8 Procedure for granting access to documents containing quality data**

6.6.1 Access to archival documents containing quality records is made with the permission of the head of the division responsible for their storage.

6.6.2 Provision of access of consumers and suppliers to documents containing quality records is made in accordance with the requirements of the contract (agreement) for the provision of services.

## 7 DOCUMENTATION AND ARCHIVING

7.1 The original of the documented procedure after expiration, cancellation or replacement is stored in the Department of Academic Affairs.

7.2 The quality records generated in the course of work under this documented procedure include:

№	Document name	Form	Storage location	Storage period
1	Nomenclature of the division 's cases	F 01 - DP.10.03/2021	archive of the division	3 years
2	Other types of quality records established in the documentation describing the process and the work of the process			

## 8 INCOMING AND OUTGOING INFORMATION

### 8.1 Incoming information

№	Document name	Responsible for drafting	Term of provision	Note
1.	The order of the process description	process owner	as the need arises	
2.	List of quality records	process owner	as the need arises	

### 8.2 Outgoing information

№	Document name	Responsible for drafting	Term of provision	Note
1.	Nomenclature of the division 's cases	responsible for maintaining documentation in the division	after familiarization with this documented procedure	

2.	Types of quality records established in the documentation describing the process and the work of the process	process owner	as the need arises	
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**9 ANNEXES**

**Form F 01-DP.10.03/2021**  
**Alikhan Bokeikhan University**

**Nomenclature of cases**

\_\_\_\_\_ № \_\_\_\_\_  
 (Date) (Index)

Division \_\_\_\_\_  
**For \_\_\_\_\_ year**

Approved  
**Rector of the University**

\_\_\_\_\_  
 (Date) (Signature)  
 «\_\_\_\_\_» \_\_\_\_\_

№	Case Index	Case title (volumes, parts)	Number of cases (volumes, parts)	Storage period	Note
1	2	3		4	5

**Head of the Documentation Support  
 Department**

«\_\_\_\_\_» \_\_\_\_\_

Agreed  
 Protocol (ЭК)  
 of the university  
 (date and number of the protocol)

Agreed  
 Protocol ЭПК  
 of the state archival institution  
 (date and number of the protocol)

**Form F 02 – DP. 10.03/2021**

Example of the design of the label and/or cover of the Case Folder

IC № XX/ 00

Storage \_\_\_\_ year.

Department \_\_\_\_\_  
Incoming documents

20 \_\_\_\_

БМ « Alikhan Bokeikhan University»  
EI « Alikhan Bokeikhan University»№ \_\_\_\_\_  
(ic қағазының нөмірі) (бөлімнің атауы)№ \_\_\_\_\_  
(case number) (department name)IC ҚАЗАҒЫ № XX/00  
CASE № XX/00

(папканың атауы)

( folder name )

beginning \_\_\_\_\_ 20 \_\_\_\_

ending \_\_\_\_\_ 20 \_\_\_\_

Сақталуы: \_\_\_\_\_

Storage: \_\_\_\_\_

Semey 20 \_\_\_\_

**Form F 03 – DP. 10.03/2021****INTERNAL INVENTORY**

of case documents № \_\_\_\_

№	Document management index	Document date	Document title	Note
1	2	3	4	5

In total \_\_\_\_\_ sheets of documents  
(in numbers and in words)

Number of sheets of the internal inventory \_\_\_\_\_  
(in numbers and in words)

**The name of the position of the person  
who filled out the internal inventory  
of the case documents**

\_\_\_\_\_  
(personal signature)  
Date

Decryption  
of the signature

**10 CHANGE REGISTRATION SHEET**

(Form of the document change registration sheet and its copies)

Se- quence number of the change	Section, para- graph of the doc- ument	Type of change (replace, cancel, add)	Number and date of noti- fication	The change was made	
				Date	Surname and initials, signa- ture, position

