

ALIKHAN BOKEIKHAN UNIVERSITY		
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Documented procedure
«Documentation management procedure»
DP.10.02/2021

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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 sections 4.4.2 and 7.5.1 of the ST RK ISO 9001:2016 and regulates the procedure for managing regulatory documentation in university divisions.

1.2 The procedure for managing organizational, administrative and information and reference documents is regulated by UST 141-02-2018.

1.3 The requirements of this documented procedure apply to all structural 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.

ST RK 1037-2001 Record keeping and archiving. Terms and definitions.

UST 141-04-2021 Normative documents of the university. The procedure for developing, agreeing, approving registration and updating.

UST 141-02-2021 University Standard "Document Support".

3 DOCUMENTS RELATED TO THE PROCEDURE

F 01- DP.10.02/2021 The main tasks, functions, rights and obligations of the person responsible for maintaining documentation in the division.

F 02- DP.10.02/2021 Journal of registration of internal regulatory documents of the University.

F 03- DP.10.02/2021 Journal of registration of recorded copies.

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

Document – information and the medium on which it is contained

Documented information - information that requires it to be managed and maintained in working order.

Record - a document containing the results achieved or providing evidence of completed tasks.

Confirmation of compliance - confirmation by obtaining objective evidence that the specified requirements have been met.

Policy - the intentions and direction of the organization's development, officially formulated by the senior management.

Quality Policy - policy on quality.

Quality Manual - a specification for an organization's quality management system.

Record - a document containing the results achieved or providing evidence of completed tasks

Forms - annexes to procedures (instructions), which, when filled out, provide proof of their execution (quality records).

Document modification – any correction, deletion or addition of any data to this document.

Order - of a legal nature, as well as operational, organizational, personnel (admission, relocation, combination, transfer, dismissal, certification, advanced training, assignment of titles, change of surnames, encouragement, awards, imposition of disciplinary penalties, remuneration, various payments, all types of employee vacations, duty on the profile of the main activity, business trips.)

Control - deadlines for the execution of documents, for the terms of consideration of appeals of individuals and legal entities. All registered documents requiring execution are subject to control, including documents from previous years that, for various reasons, were not executed and their execution was postponed to the current year.

Protocol - it is compiled on the basis of recordings made during the meeting, submitted abstracts of reports and speeches, references, draft decisions and other materials.

4.2 Abbreviations

The following abbreviations are used in this documented procedure:

QMS - quality management system;

EMC – educational and methodological council;

GOST - interstate standard;

ST RK – state standard of the Republic of Kazakhstan;

RMD - responsible for maintaining documentation;

RD - regulatory documentation;

NC - notification of changes;

R - regulations on the division;

JD - job description;

AD - organizational and administrative documentation;

UQM - University Quality Management.

5 RESPONSIBILITY

University management and an authorized representative of the quality management are responsible for the development and release of new documents of the

Quality System, for the approval of changes and their introduction into the documents of the Quality System.

Assessment of the reasonableness and coordination of the development of new and changes to existing Quality System documents in terms of compliance with ISO 9001-2016 requirements and improving the efficiency of the university, as well as methodological guidance and coordination of actions for the development and documentation of the Quality System is carried out by an authorized representative of the quality management - the Vice-rector for Educational and Methodological Work.

The approval of the QMS documentation is carried out by the Senior management of the university.

Control over the distribution of Quality System documentation is carried out by the head of the Office.

The Vice-rector for Educational and Methodological Work is responsible for the implementation of this documented procedure.

Only the Educational and Methodological department and the HR department have the right to issue orders and instructions.

6 PROCESS DESCRIPTION

6.1 Determination of responsibility for maintaining documentation in divisions.

The head of the division appoints a person responsible for maintaining documentation by order.

The main tasks, functions, rights and obligations of the person responsible for maintaining documentation in the division are issued in the form F 01-DP.10.02/2021.

Note: Depending on the level and specialization of the division, the head of the division may appoint several people responsible for the documentation in the division, dividing the functions.

6.2 Organization of documentation management

The organization of documentation management includes: compilation and maintenance of the nomenclature of cases, the procedure for recording and registration, distribution, familiarization of employees with documentation at the workplace; the procedure for the withdrawal of invalid documents, recording, storage and archiving of documentation, maintaining a register of recorded documentation and quality records, making changes to the recorded documentation.

6.3 The procedure for compiling the nomenclature of the division's case folders and making changes

All documentation that is maintained in the division (for example: "Regulations on the division", "Staffing table", "Job descriptions", etc.) must be placed in the case folders according to the nomenclature of the division's cases.

The main condition: the contents of the folder must strictly correspond to the name of the folder.

The nomenclature of the division's cases is a list of numbered folders-cases in which documents are stored.

The procedure for compiling and maintaining the nomenclature of the division's cases must comply with the documented procedure of DP.10.03/2021 "Quality records management procedure".

6.4 Procedure for accounting and registration of documentation

The originals of regulatory documents are transferred to the Department of Academic Affairs of the University. The leading specialist of the educational and methodological department registers documents of internal origin in the journal of registration of internal regulatory documents (F 02-DP.10.02/2021).

Documents of internal origin, after registration in the educational and methodological department and assignment of the registration number, are subject to distribution by divisions. To do this, the required number of copies of the document is issued. The distribution is carried out by a leading specialist of the educational and methodological department under the signature of the person responsible for maintaining documentation in the division in the journal of documentation distribution.

In each division, the person responsible for maintaining documentation receives documentation from the educational and methodological department, signs in the journal of registration of recorded copies (F 03 - DP. 10.02/2021), checks the completeness and compliance with the requirements regarding the volume and content of the document.

The documents received by the division, after familiarization of employees with this document, are filed in the case folders by affiliation and at the direction of the head to whom they were addressed.

The sheets and documents withdrawn from circulation, taking into account the period of storage of documents, are transferred according to the act to the archive of the university or are subject to cancellation and further destruction.

The head of the division is administratively responsible for the use of non-updated documentation.

6.5 The procedure for distributing and familiarizing employees with the required documentation at the workplace

The head of the division determines the circle of performers and employees who should be familiar with the documentation and its changes.

6.6 The procedure for the withdrawal of documents that have become invalid

The person responsible for maintaining the documentation annually reviews the documentation used in the division for the expiration date or the approach of the revision period, informs the head of the division in a timely manner, keeps records of temporarily valid documents (instructions, extracts), and withdraws them at the prescribed time.

All copies of the cancelled documentation are subject to withdrawal. In cases of special need, the division may store cancelled documentation for reference (informational) purposes. At the same time, the storage and recording of canceled documentation is kept separately from the current one. The cancelled documentation must

be identified with the inscription "Cancelled, for information only" to prevent the unintentional use of documents that are no longer in use.

6.7 The procedure for storing and archiving documentation

The documentation is stored in specially designated places (premises) that ensure their safety.

In order to protect documents from exposure to light, documents should be stored in folders, in cabinets and on shelves.

The terms and place of storage of the division's documentation are indicated in the nomenclature of the division's cases.

The terms and place of storage of documentation in the division are established based on the following criteria:

- the validity period and/or frequency of revision are specified in the document itself;
- the period of validity and/or storage is established by the head of the division upon receipt of the document;
- the period of validity and/or storage is determined by the company's warranty obligations to consumers or is indicated on the cover of the case.

6.8 The order of keeping records on quality in the division

The management of documents classified in the Nomenclature of Cases as quality records is carried out in accordance with the requirements of the documented procedure DP.10.03/2021 "Quality records management".

6.9 Making changes to the recorded documentation

Changes to the documentation are made by the person responsible for maintaining the documentation on the basis of the notice of change (NC) (form F 05 - UST 141-04-2021).

The person responsible for maintaining the documentation informs the head of the division about the contents of the notice (about the change or withdrawal of the current documentation or the introduction of a new one). Upon receipt of a notification of a change, the person responsible for maintaining documentation makes changes to all recorded copies of documentation, indicates the date of the change, registers the changes made with the date and signature in the journal of documentation recording, familiarizes employees with the changes in the documentation against the signature. The changes made are identified by a vertical line in the right field with the change number (includes the date of receipt, the registration index of the document with additions or changes).

7 DOCUMENTATION AND ARCHIVING

7.1 The original of the documented procedure is subject to cancellation after the expiration date.

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

№	Document name	Storage location
1	The nomenclature of the division 's cases	Archive of the division
3	Inventory of regulatory documents contained in the case	Archive of the division
4	Information about the change(s) of documentation	Archive of the division

7.3 Quality records are maintained in accordance with the requirements of the documented procedure "Quality Records Management" DP.10.03/2021.

8 INCOMING AND OUTGOING INFORMATION

8.1 Incoming information

№	Document name	Responsible for drafting	Term of provision	Note
1.	Proposal to change the documentation of the Quality System (based on the results of standard control, internal and external audits)	Authorized representative of the quality management, or auditors (for internal and external audits)	After the standard control or internal and external audits	
2.	Application for documents of external origin (DEO)	University divisions	As required	

8.2 Outgoing information

№	Document name	Responsible for providing	Term of provision	Note
1.	Distribution list of the draft document for review	Developer Division	During the development of QMS documentation	
2.	Feedback on the draft of the QMS documents	The person to whom the draft of the document was submitted for review	During the development of QMS documentation	
3.	Notification of change	Initiator Division	When new regulatory documents or changes to	

			them are put into effect, as well as according to user suggestions based on accumulated experience.	
4.	Change Registration Sheet	Leading specialist of the educational and methodological department, responsible for maintaining documentation in the division	As changes are made	
5.	Distribution list of Quality System documentation changes	Initiator Division	When distributing changes to QMS documents	
6.	Documentation registration journal	Leading specialist of the educational and methodological department, responsible persons for maintaining documentation in the divisions	As received	

9 EVALUATION OF THE EFFECTIVENESS OF THE EXECUTION OF THE PROCESS

Evaluation indicator	Results registration form
The presence of processed case folders in each division in accordance with the nomenclature of the division's cases	The nomenclature of the division 's cases Form F 01-DP.10.03/2021

10 ANNEXES

Form F 01- DP.10.02/2021

The main tasks, functions, rights and obligations of the person responsible for maintaining documentation in the department

The main task is the documentary support of the division's activities in order to organize actions in accordance with regulatory documents and the quality management system of the division.

1. Main functions:

Maintaining documentation in the division, namely:

- receipt, registration, distribution of documentation in the division;
- providing and familiarizing employees with documentation at the workplace;
- withdrawal of expired documents;
- recording, storage and archiving of documentation and data;
- maintaining the nomenclature of cases and quality records;
- making changes to the recorded documentation in force in the division.

2. Responsibilities:

Documents received by the organization on paper or by e-mail undergo initial processing, preliminary examination, registration and review by the management and are delivered to the performers.

- to monitor the receipt of new (or modified) documentation, systematically provide information on the status of the documentation in force in the division;
- to keep records, register the documentation operating in the division, maintain the list of documentation operating in the division in working order;
- to control the collection and keep records on quality; promptly inform the head of the division and responsible executors about the introduction, modification, correction, withdrawal of documentation, about new receipts (information lists);
- to control the execution of documents including the statement of the document for control, regulation of the course of execution.
- at the direction of the head of the division, to familiarize employees with the received documentation against signature;
- to ensure the availability of the necessary documentation at all workplaces in the division;
- to withdraw invalid documents from circulation, prepare documents for destruction and, if necessary, separate storage of canceled documents;
- to make timely changes to the registered copies of the documentation in force in the division, to issue extracts from the technical documentation for use in the workplace in accordance with the established procedure;
- to maintain the nomenclature of cases on documentation, store QMS documentation in accordance with the established requirements, prepare cases and store them in the archive of the division in accordance with the established procedure.

3. The person responsible for maintaining documentation in the division has the right:

- to request materials and documentation from other divisions on the application or memo;
- to receive methodological assistance on issues related to the maintenance of documentation in the division;
- to interact with the employees of the division on the issues of checking the availability of documents at the workplace, removing copies of documents for making changes and removing outdated documents in order to prevent their unintentional use;
- to be provided with the necessary resources and technical means for the organization of documentation in the division in accordance with the established requirements.

F 02-DP.10.02/2021

Journal of registration of internal regulatory documents of the university

№	Document name	Document index	Revision of the document
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Form F 03 – DP. 10.02/2021
Journal of registration of recorded copies

(name of the document)

Recorded copy	Structural division	Signature

Note: The number of the recorded copy is assigned by a specialist of the educational and methodological department

11 CHANGE REGISTRATION SHEET

Sequence number of the change	Section, paragraph of the document	Type of change (replace, cancel, add)	Number and date of notification	The change was made	
				Date	Surname and initials, signature, position

