



KIBABII UNIVERSITY COLLEGE

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

Document Control and Coding

A presentation at the training of Implementers on ISO 9001 2008 based Quality Management Systems

held at KIBUCO School of Graduate Studies Boardroom on 11th, 14th -17th September 2015

By

Mr. Moses Isutsa(MKLA)

Documentalist

Directorate of Performance Contracting and Quality Assurance

- **Document** → Recorded information or object which can be treated as a unit
- **Record**
- Information created, received and maintained as evidence and information pursuant to legal obligations or in the transaction of business



Records management

- The efficient and systematic control of the
 - creation,
 - receipt,
 - maintenance,
 - use and
 - disposition of records used in business and transactions
- **Tracking (e.g use of delivery books, registers etc)**
- creating, (memos etc)
- capturing and
- maintaining information, movement and use of records

DN01057

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Sr	Item Code	Description	Qty	UoM
1	ZZ-0042	Draftsman chair	5,000	PCS
2	ZZ-009	Boardroom table 1 (20-seater)	1,000	PCS
3	ZZ-009	Boardroom table 2 (10-seater)	1,000	PCS
4	ZZ-00102	office desk double pedestal	10,000	PCS
5	ZZ-0045-1.5	office desk single pedestal	20,000	Nos
6	YC2224-20	executive desk with side return	10,000	PCS
7	NF-3126H CR	high back office chairs	10,000	PCS
8	UT-C283M	low back office chairs	20,000	PCS
9	ZZ-0027	berkeley chairs	30,000	PCS
10	YD-D4A-1	metallic cabinet with 4-drawers	30,000	PCS

Recipient Name, Signature & Stamp:
 Moses Kibabi *[Signature]*
 for

KIBABII UNIVERSITY COLLEGE
PROCUREMENT DEPT.
Date: 25/02/14 Sup:

NB: One Executive Table is not complete. (The Pedestal is not there and has to be replaced)

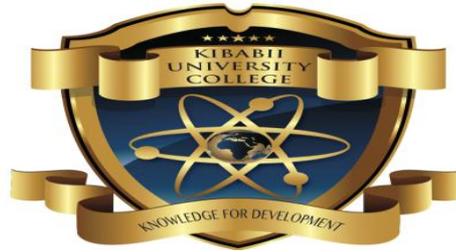
Benefits of records management

- Governs both the creators and users
- Revolves around
 - Setting policies and standards (ISO standard, Quality policy)
 - Assigning responsibilities and authorities (appointment letters, TORs)
 - Establishing and promulgating procedures and guidelines (QMS)
 - Designing , implementing and administering specialized systems for managing records (Procedure manual)
 - Integrating records management into business systems and processes
- Enable organisations
 - Conduct business in an orderly, efficient and accountable manner
 - Support and document policy formation and managerial decision making
 - Provide consistency , continuity, equity and productivity in management, delivery of service and administration
 - Facilitate the effective performance of activities throughout an organisation

Benefits of records management – conti.

- Provide **continuity** in the event of a disaster (*backups, mirrors, cloud*)
- Meet **legislative** and **regulatory** requirements including repository , audit and oversight activities (*Constitution, procurement regul.*)
- Provide **protection** and **support** in **litigation** including the management of **risks** associated with the existence of or lack of **evidence** of organisation activity (*title deeds*)
- Protect the **interests** of an organisation and the **rights** of an employee , clients and present and future stakeholders (*Statutes, CBAs, MOUs*)
- Support and **document historical, current, future research** and development activities, **developments** and **achievements**.(repository)
- Provide **evidence** of establishment of business, personal and cultural activities and **identity**
- Maintain **corporate** , personal or **collective memory**

Requirements of QMS Clause 4.2.1 Documented statements of a **quality policy**



KIBABII UNIVERSITY COLLEGE

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

QUALITY POLICY STATEMENT

Kibabii University College is committed to providing high quality teaching, research and extension services to our students and create value to our stakeholders through:

- a) Consistently providing efficient and reliable services to ensure that all segments of our society enjoy their basic rights of education as envisaged by the relevant United Nations protocols, statutory and regulatory requirements.
- b) Providing an environment that fosters excellence, safety, motivation, collegiality, teamwork, enthusiasm and empathy among our employees.

The University College shall comply with all applicable requirements and continually improve the Quality Management System based on ISO 9001:2008.

The University College's Top Management shall ensure annual review of this Policy and established Quality Objectives for continuing suitability.

Authorized by: Prof. Isaac Ipara Odeo Principal	Sign: 	Date: 23/12/2014
Issued by: Prof. Shem Aywa Management Representative	Sign: 	Date: 23/12/2014

quality objectives

NO	Objective	Who will be responsible?	What will be done?	What resources will be required?	When will it be completed?	How will the results be evaluated?
1.	To maintain and continuously improve the quality management system by holding at least two management review meetings annually	Director PC&QA	QMS auditing Develop a customer feedback form Develop a tool for analyzing customer feedback	Personnel (Skills auditing) Time Money	January 2015 June 2016	Analyzing customer feedback forms Quarterly reviews of customer feedback with management
2.	To ensure agreed corrective and preventive actions through scheduled follow ups are undertaken within 30 days from the date of audit	Director PC&QA MR All departmental heads	QMS auditing	Auditors Time Money	30 days from the date of audit	Feedback reports

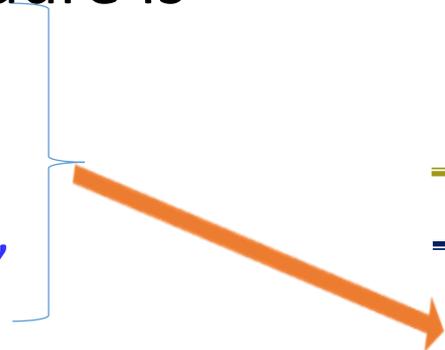


KIBABII UNIVERSITY COLLEGE

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

MANDATORY PROCEDURE MANUAL

KIBU/MR/WP/2.4



- Where “documented procedure” appears within the Standard, this means that the procedure is
 - established,
 - documented,
 - implemented,
 - maintained.
- A single document may address the requirements for one or more procedures.
- A requirement for a documented procedure may be covered by more than one document.

Authorized by: Prof. Isaac Ipara Odeo Principal	Sign: 	Date: 23/12/2014
Issued by: Prof. Shem Aywa Management Representative	Sign: 	Date: 23/12/2014

A quality manual
Documented procedures
and records required by
ISO 9001 2008

- Documents and records determined by the organization to be necessary for the effective planning, operation, and control of its processes



KIBABII UNIVERSITY

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

QUALITY MANUAL

KIBU/MR/WP/2.4

Authorized by: Prof. Isaac Ipara Odeo Principal	Sign: 	Date: 23/12/2014
Issued by: Prof. Shem Aywa Management Representative	Sign: 	Date: 23/12/2014

4.2.2 Quality Manual

- Establish and maintain a quality manual with:
- **Scope** of the quality management system
- **Details and justification for any exclusions**
- Procedures or references to the procedures
- Description of interaction between processes



KIBABII UNIVERSITY

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

QUALITY MANUAL

KIBU/MR/WP/2.4

Authorized by: Prof. Isaac Ipara Odeo
Principal

Sign:

Date: 23/12/2014

Issued by: Prof. Shem Aywa
Management Representative

Sign:

Date: 23/12/2014

4.2.3 Control of Documents

Control the documents
Required by the quality
management system

Record is a special type
of document and must
be controlled as
required by clause
4.2.4

4.2.3. Control of documents

The University shall put mechanisms in place to ensure documents for the QMS are controlled. The control mechanism shall include controls for approval, review, revision, legibility, identification and availability. *A documented procedure on Control of Documents number 1 in the Mandatory Procedure Manual has been developed to establish controls to be exercised with respect to all QMS documents.*

4.2.4 Control of records

University records shall be established and maintained to provide evidence of conformity to requirements. The control of records shall ensure that they are legible, readily identifiable and retrievable. *A documented procedure on Control of Records number 2 in the Mandatory Procedure Manual has been established to guide on control of records.*

4.2.4 Control of Records

- Establish and **control records** as evidence of conformity to requirements and to demonstrate
- the effective operation of the quality management system.
- Establish a **documented procedure** to define the controls needed for record:
 - Identification
 - Storage
 - Protection
 - Retrieval
 - Retention
 - Disposition
- Keep records legible, readily identifiable, and retrievable

DOCUMENT CONTROL

Clause 2.1 Document generation and approval prior to use

1. Process Owners shall ensure that QMS documents relevant to their units are developed.
2. Upon development, the Process Owners shall submit the documents to the MR for review and facilitation for approval and issuance.
3. The MR shall present the QMS documents to University College Management Board for consideration and approval.
4. Upon authorization, the MR shall submit the authorized documents to the Principal for approval.
5. The Principal shall approve the use of the documents by signing in the space provided in the document.

2.2 DOCUMENT Identification (CODING/INDEXING)

- The MR shall ensure all QMS documents are indexed as follows:

- a) The first part shall be **KIBU** denoting Kibabii University followed by a slash (/),
- b) The second part shall be initials of the **Department/Unit** from which the document originates followed by a slash (/),
- c) The third part shall be assigned **initials of the document** followed by a slash (/),
- d) The fourth part shall be assigned a **serial number** depending on the document being controlled starting with **001**.

KIBU/DQA/POL/001

KIBU/DQA/POL/001

- **KIBU-** Kibabii University College
- **DQA-** Directorate of Quality Assurance
- **POL-** Policy of Internal origin
- **001-** Serial number 001

2.6 Identification and control of documents of external origin

2.6.1 All documents of **external origin** deemed to be necessary for the effective operation of the QMS shall be uniquely identified through indexing as follows;

- a) The first part shall be an **abbreviation of place of origin**.
- b) The second part shall be code of **division, department and number of office/room receiving**
- c) The third part will be the **type and serial number** of the document.

MMU/DQA/POE/001

- **MMU-** Masinde Muliro University
- **DQA-** Directorate of Quality Assurance
- **POE-** Policy of External origin
- **001-** Serial Number 001

RECORDS CONTROL

- 2.2 Identification of records
- 2.2.1 Identification of Registers
- Registers within KIBUCO shall be identified by the title and indexed as follows;
- a) The first part shall be **KIBU** denoting the University College followed by a dash (-)
- b) The second part shall be **REG** to denote Register followed by a dash (-)
- c) The **third** part shall be allocated initials of the generating department/unit or section followed by a dash (-)
- d) The **fourth** part shall be assigned according to the number of registers established in the department/section.

KIBU-REG-DQA-001

- KIBU- KIBABII UNIVERSITY COLLEGE
- REG- REGISTER
- DQA- DIRECTORATE OF QUALITY ASSURANCE
- 001- SERIAL NUMBER 001

2.2.2 Identification of Forms

- Forms within the University College shall be identified by a title and indexing as follows;
- a) The **first** part shall be **KIBU** denoting the University College followed by a dash (-)
- b) The second part shall be **F** to denote form followed by a dash (-)
- c) The **third** part shall be allocated initials of the generating department or section followed by a dash (-)
- d) The **fourth** part shall be assigned according to the number of forms established in the department/section starting from **001**.
- 2.2.3 The **HoD** where the form/register originates shall be the **custodian** of the **forms and registers**.

KIBU-F-DQA-001

- **KIBU-** **KIBABII UNIVERSITY COLLEGE**
- **F-** **FORM**
- **DQA-** **DIRECTORATE OF QUALITY ASSURANCE**
- **001-** **SERIAL NUMBER 001**

2.3 Filing and Storage

2.3.1 **Records** shall be filed as per the records management procedure in the **Administration Procedure Manual**.

2.3.2 **Soft records** shall be maintained in computer folders and back-up of the same maintained as per the Backup procedure number 3 in the ICT Procedure Manual.

2.3.3 Files containing **hard copy** records shall be stored in **cabinets, filing racks** or **safes**.

2.4 Protection

2.4.1 All soft copy records shall be protected from potential hazards through the use of passwords, firewalls, encryptions, anti-viruses, site back-ups, off-site backups among others as per the University College's policies.

2.4.2 All hard copy records shall be securely stored from hazards.

2.5 Retrieval

2.5.1 Soft records shall be maintained in clearly **labelled folders** for ease of retrieval and shall be **availed within a day of request.**

2.5.2 Hard copy records shall be stored in clearly **labelled storage facilities** and shall be **availed within a day of request.**

2.6 Records retention and disposal

2.6.1 The **retention period** for records shall be as per the provisions of the University College's records retention and disposal schedule.

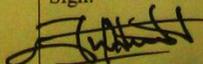
2.6.2 **Annually**, all records owners shall ensure that their **records are appraised** and those **due for disposal disposed** as the provisions of the University College's records retention and disposal schedule.

Sample of approved document

KIBABII UNIVERSITY COLLEGE – ISO 9001: 2008 QUALITY MANAGEMENT SYSTEM		
ISSUED FOR ON:	FORMS	KIBU-F-CAT-001-022

FORMS

1	YIELD REPORTS	KIBU-F-CAT-001
2	KIBABII STUDENTS CAFETERIA ISSUE NOTE REPORT	KIBU-F-CAT-002
3	PREPAID DAILY BALANCE FORMS STUDENTS CATERING SERVICES DAILY SALES SUMMARY	KIBU-F-CAT-003
4	SHEETKIBU-F-CAT-004	KIBU-F-CAT-004
5	MEAL BOOKING FORM	KIBU-F-CAT-005
6	BORROWING FORM	KIBU-F-CAT-006
7	PREPAID NOMINAL ROLE	KIBU-F-CAT-007
8	INVENTORY SHEET	KIBU-F-CAT-008
9	STAFF MOVEMENT	KIBU-F-CAT-009
10	COSTING SHEET	KIBU-F-CAT-010
11	CLEANING CHECKLIST (SPECIAL FUNCTIONS)	KIBU-F-CAT-011
12	BORROWING FORM INTERNAL	KIBU-F-CAT-012
13	MINI STORES DAILY CONTROL SHEET	KIBU-F-CAT-013
14	CATERING FUNCTIONS COSTING SHEET	KIBU-F-CAT-014
15	FOOD TALLY AND ANALYSIS FORM	KIBU-F-CAT-015
16	PORTION CONTROL SHEET	KIBU-F-CAT-016
17	FOOD ANALYSIS REPORT	KIBU-F-CAT-017
18	FOOD HANDING OVER REPORT	KIBU-F-CAT-018
19	DAILY CASH SURRENDER FORM	KIBU-F-CAT-019
20		
21	COSTING SHEET	KIBU-F-CAT-021
22	SUMMARY OF FUNCTIONS MEAL CHARGES	KIBU-F-CAT-022

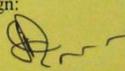
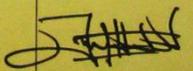
Area of Validity : KIBU	Authorised by: Prof. Shem Away (Management Representative)	Sign: 	Date: 5/8/015
	Approved by: Prof Isaac Ipara Odeo (Principal)	Sign: 	Date: 5/08/15
	Issued by: Dr. Julius Maiyo (PCQA)	Sign: 	Date: 04/08/015

Sample of approved document

KIBABII UNIVERSITY COLLEGE – ISO 9001: 2008 QUALITY MANAGEMENT SYSTEM		
ISSUED FOR ON:	REGISTERS	KIBU-REG-CAT-001-020

REGISTERS

1	INTERNAL HANDING OVER REPORT	KIBU-REG-CAT-001
2	EQUIPMENT AND MATERIAL HANDING OVER REPORT	KIBU-REG-CAT-002
3	FUNCTIONS RECORD BOOK	KIBU-REG-CAT-003
4	STAFF LOG IN BOOK	KIBU-REG-CAT-004
5	COMPLAINS AND RESOLUTION REGISTER	KIBU-REG-CAT-005
6	DELIVERY BOOK	KIBU-REG-CAT-006
7	INVENTORY BOOK	KIBU-REG-CAT-007
8	DELIVERY BOOK (GUEST HOUSE)	KIBU-REG-CAT-008
9	INVENTORY BOOK (GUEST HOUSE)	KIBU-REG-CAT-009
10	STAFF LOG IN (GUEST HOUSE)	KIBU-REG-CAT-010
11	DUTY ROOSTER (GUEST HOUSE)	KIBU-REG-CAT-011
12	EQUIPMENT AND MATERIAL HANDING OVER REPORT (G/H)	KIBU-REG-CAT-012
13	COMPLAINS AND RESOLUTION REGISTER	KIBU-REG-CAT-013
14	DIARY	KIBU-REG-CAT-014
15	WORK STUDY	KIBU-REG-CAT-015
16	OCCURRENCE REGISTER	KIBU-REG-CAT-016
17	IGU SALES REGISTER	KIBU-REG-CAT-017
18	IGU COSTING REGISTER	KIBU-REG-CAT-018
19	ICU INGREDIENTS REGISTER	KIBU-REG-CAT-019
20	WORK STUDY	KIBU-REG-CAT-020

Area of Validity : KIBU	Authorised by: Prof. Shem Away (Management Representative)	Sign: 	Date: 5/8/15
	Approved by: Prof Isaac Ipara Odeo (Principal)	Sign: 	Date: 5/08/15
	Issued by: Dr. Julius Maiyo (PCQA)	Sign: 	Date: 04/08/15

Sample of approved document



KIBABII UNIVERSITY COLLEGE – ISO 9001:2008- QUALITY MANAGEMENT SYSTEMS

ISSUED FOR USE ON : MAIN TITLE: PHILOSOPHY REF: KIBU/IAD/POL/005

INTERNAL AUDIT DEPARTMENT

PHILOSOPHY

Kibabii University College Internal Audit Department embodies the view that value addition is critical to objective realization and sustainability of an organization.

	Authorized by : Prof. Shem Aywa (Management Representative)	Sign:	Date: 8/09/15
Area of validity: KIBU	Approved by: Prof. Isaac Odeo (Principal)	Sign:	Date: 08/09/15
	Issued by: Dr. Julius Maiyo (PCQA)	Sign:	Date: 24/09/15

Room for continual Improvement

- Let Us Together
- Address
- Gaps

