Prepared by:	Approved by:
Name : Nurul Afiqah Ibrahim	Name : Dr. Sim Siew Ling
Position : Executive, Centre for Quality Assurance	Position : Director, Centre for Quality Assurance

AMENDMENT RECORDS

No.	Date	Remarks	Revision No.	Approved by
1	03/04/14	Establishment	00	Director, CQA
2	03/01/19	Review on Item 7.0 Description and Item 8.0 Records	01	Director, CQA
3	08/04/19	Review on Item 7.0 Description and Item 8.0 Records	02	Director, CQA
4	23/11/21	Review on template of the SOP; item 4.0 Definitions/ Abbreviation; 7.0 Description; and 8.0 Records	03	Director, CQA
5	01/07/22	Review on the error of the document (e.g. date format; & abbreviation)	04	Director, CQA
6	10/07/24	Review on references, responsibility, descriptions, and obsolete the certificate of disposal.	05	Director, CQA

1.0 OBJECTIVE

The objective of this SOP is to provide a systematic approach to control all records generated from the implementation of UTS Quality Management System (QMS) with regards to its identification, retention period, filing, storage, movement and disposal.

2.0 SCOPE

This SOP is applicable to all quality records required in UTS.

3.0 REFERENCES

3.1 ISO 9001:2015 Quality Management System

3.2 SOP Control of Document (UTS/CQA/P06)

4.0 DEFINITIONS / ABBREVIATIONS

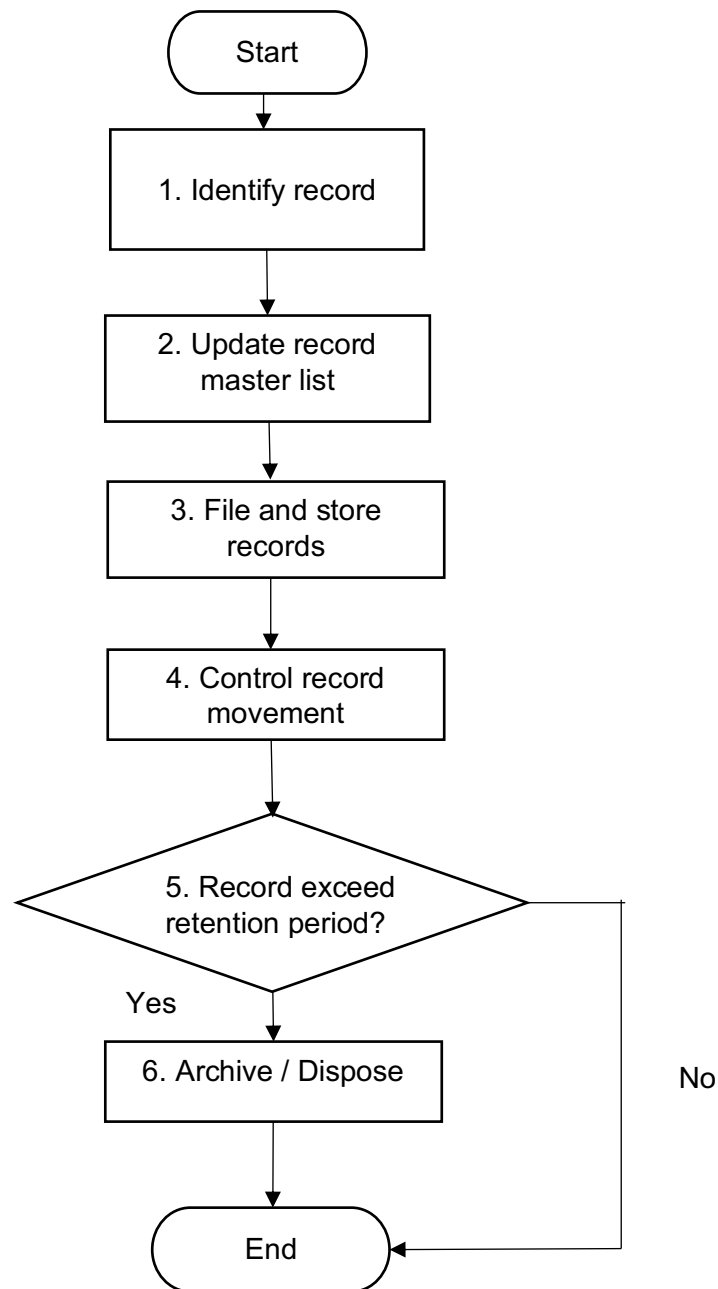|		
UTS	:	University of Technology Sarawak
CQA	:	Centre for Quality Assurance, UTS
SOP	:	Standard Operating Procedure
QMS	:	Quality Management System
HoD	:	Head of Department
DDC	:	Department Document Controller
SDC	:	School Document Controller
MFSD	:	Maintenance, Facilities & Security Department

5.0 RESPONSIBILITY

5.1   The Director of CQA is responsible to ensure that this SOP is adhered to.

5.2   HoD and Deans are responsible to follow and adhere to this SOP.

5.3   DDC/SDC and process owner is responsible to follow and adhere to this SOP.

6.0 PROCEDURE

6.1   Refer to the process flow chart as follow

```
                    ┌─────────────┐
                    │    Start    │
                    └──────┬──────┘
                           │
                    ┌──────▼──────┐
                    │ 1. Identify │
                    │    record   │
                    └──────┬──────┘
                           │
                    ┌──────▼──────┐
                    │ 2. Update   │
                    │   record    │
                    │ master list │
                    └──────┬──────┘
                           │
                    ┌──────▼──────┐
                    │ 3. File and │
                    │store records│
                    └──────┬──────┘
                           │
                    ┌──────▼──────┐
                    │ 4. Control  │
                    │   record    │
                    │  movement   │
                    └──────┬──────┘
                           │
                   ╱───────▼────────╲
                  ╱ 5. Record exceed ╲─────────┐
                  ╲ retention period?╱    No    │
                   ╲────────┬───────╱           │
                     Yes    │                   │
                    ┌───────▼────────┐          │
                    │ 6. Archive /   │          │
                    │    Dispose     │          │
                    └───────┬────────┘          │
                            │                   │
                    ┌───────▼──────┐            │
                    │     End      │◄───────────┘
                    └──────────────┘
```

7.0   DESCRIPTION

No	Description	Person in Charge	Document

1	Identify record.
	
	1.1 In general, the relevant records are generated from the activities as follow:
	   a. Document control (SOP, policy, guideline, etc.)
	   b. Management responsibility
	   c. Resource management
	   d. Service delivery
	   e. Analysis, survey and quality improvement
		Relevant department	Records

2	Update record master list. 2.1 DDC/SDC to update the record master list. 2.2 Any amendment of the controlled documents, SDC/DDC to update/record the Master list of Documented Information (UTS-CQA-P06-MLD). 2.3 Title of the file should be stated in the list.	DDC/SDC Process owner	Record Master List Master list of Documented Information (UTS-CQA-P06-MLD)
3	File and store records. 3.1 All department and schools to: a) file/keep all records to avoid from being misplaced or damaged	DDC/SDC Process owner	Records

	b) label all record folders clearly for ease of identification c) store in a safe location to avoid from being damaged or lost d) Filing can be done in softcopy OR hardcopy OR both. 3.2 All records must be kept and recorded in the Record Master List.		
4	Control record movement. 4.1 DDC/SDC and process owner to manage the movement of records and update record logbook. 4.2 The retrieval of the records only can be done by DDC/SDC and process owner. Note: DDC/SDC and process owner shall be accountable in managing the movement of records prudently and to ensure that all records are easily retrieved.	DDC/SDC Process owner	Record Retention Schedule (UTS-CQA-P09-RRS)
5	Records exceed the retention period? 5.1 If yes, proceed to No 6. 5.2 If no, end of process. 5.3 DDC/SDC shall be accountable in updating the record retention schedule.	DDC/SDC	Record Retention Schedule (UTS-CQA-P09-RRS)
6	Archive or dispose.	DDC/SDC CQA	Record Retention Schedule (UTS-CQA-P09-RRS)

		MFSD	Document Change Form (UTS-CQA-P09-DC) Disposal Request Form (UTS-CQA-P09-DR)

	6.1 DDC/SDC to archive or dispose of records once they have exceeded their retention period or have become obsolete.
	   a) Method of archival: Softcopy.
	   b) Method of disposal: Shredded, burning with permission, recycle, reuse or other methods.
	
	6.2 CQA to email the disposal of document to DDC/SDC.
	6.3 DDC/SDC to submit the Disposal Request Form (UTS-CQA-P09-DR) to CQA for approval.
	6.4 DDC/SDC to record the disposal date in Disposal Request form (UTS-CQA-P09-DR) after getting the approval and the completion of record disposal.
	6.5 MFSD to assist DDC/SDC to dispose the record within two (2) months.
	6.6 DDC/SDC to update the Record Master List.		

8.0 RECORDS

No	Title / Records	Location / Responsibility	Retention Period
1	Records	Cloud Departments Schools	Minimum of 5 years, unless stated specifically in the procedure
2	Record Retention Schedule	Cloud Departments Schools	Permanent

3	Record Master List	Cloud Departments Schools	Permanent
4	Document Change Form (UTS-CQA-P09-DC)	Departments Schools CQA	Minimum of 5 years, unless stated specifically in the procedure
5	Disposal Request Form (UTS-CQA-P09-DR)	Departments Schools CQA	Minimum of 5 years, unless stated specifically in the procedure