Control of Records

1.0 Purpose

The purpose of this procedure is to define controls needed for the identification, storage, protection, retrieval, retention time and disposition of records. Records are established and maintained to provide evidence of conformity to requirements and of the effective operation of the integrated management system.

1.1 Application

This procedure is applicable to all records concerned with integrated management system.

2.0 Responsibility

Respective process owners / functional heads

3.0 Terms and definitions (as applied in the context of control of records)

a) **Record**: Document stating results achieved or providing evidence of activity performed. Generally records are not subject to revision; revision may take place when the results are corrected for a justified reason for example, test results are corrected based on the subsequent calibration results and in such cases, superseding record should indicate the previous record reference and the reason for its correction.

b) **Information:** Meaningful data

c) **Identification**: Unique identification given to a record to ease retrieval.

d) **Storage**: Medium of storage of information; Medium of information storage can be paper, magnetic, electronic or optical computer disc, photograph or test sample.

e) **Protection**: Protection against access (to information) and damage / loss of data.

f) **Retrieval**: Means adopted or location of where information is maintained and by whom to ensure speedy retrieval of information.

g) **Retention time:** Time duration up to which records are kept e.g. 2 years; usually retention time specified would be in financial years. While determining the minimum

retention period for a record, consideration should be given to statutory and regulatory requirements, and customer requirements.

h) **Disposition (of record):** Method followed to dispose the record ensuring that the confidentiality is maintained and information is not made public which otherwise may affect the business interest of the organization.

4.0 Procedures

4.1 Control of records

Respective process owners / functional heads should establish and maintain records as detailed in the relevant quality system procedures. Records established and maintained should provide evidence of conformity to requirements and of the effective operation of the quality management system. Following controls should be applied:

a) **Identification**: Unique identification to be given to a record to ease retrieval as well as traceability. For example, reference serial number and date of approval / release.

b) **Storage**: Medium of storage of information (Hard copy or in electronic media) should be appropriate to its distribution needs, frequency of retrieval, regulatory requirements and company policy.

c) **Protection**: Records should be preserved to ensure Protection against access (to information) and damage / loss of data. For example, it can be filed in a Box file and stored in a secured place.

d) **Retrieval**: To ensure speedy retrieval of information, the custodian may have ready reckoner (**as given in Table 1**) to know where the records are stored and preserved. For example, Project quality records file – FILE No. QC / FOREST / 01 located in File Rack 2 of QC Dept. OR in PC # KSPHC 24, File D:/ FOREST/PROJ 03/2004

e) **Retention time:** Time duration up to which records are kept should be decided taking in to consideration requirements for Analysis of data (frequency), Audit requirements, Statutory (example – AGO Authorities) and regulatory (example agency entrusted to

investigate compliance of transparency act) requirements. Relevant code from PWD will be followed as a guide.

f) **Disposition (of record):** Method followed to dispose the record should ensure that the confidentiality is maintained or information is not made public which otherwise may affect the business interest of the organization. For example, after retention period, records may be kept in records room for 2 years and then shredded **OR** soon after the retention time, they are shred to avoid its unintended use.

TABLE 1

Sl. No	Name of the Record & Format No. if any	Storage	File identification number.	Indexing method	Retrieval (Location)	Custodian	Protection (Access and data protection)	Retention Period	Disposal Method
Example									
1	Quality test reports of product QC / F 01	Hard copy	File No. 4	Date wise	QC dept. File cabinet – Rack 1	AEE-Q.C.	QC Personnel	One Year	To be shredded

4.2 Control of records (data) in electronic media

Originator of documents shall ensure that necessary checks and controls have been established to approve, incorporate change and re-approve by provisioning of password protection for the specific fields. Originator shall ensure that back up of data is taken on any update made to preserve and protect the data.

Back up shall be taken by originator on daily basis i.e. at the end of the each working day in an external hard disk with password protection. Back up should be kept in two copies such that one at head quarters and another at other location to avoid loss of data during

calamities. System administrator to ensure such back up from servers at centralized location.

5.0 Reference

a) ISO 9001: 2008 Clause Number 4.2.4
b) ISO 14001:2004 Clause Number 4.5.4
c) IMS Manual Clause Number 3.2.4

6.0 Associated Document: Procedure for control of documents IMSP 01

7.0 Records

NIL

Approved by : Managing Director