



# KENYA ACCREDITATION SERVICE

Document Title: CONTROL OF DOCUMENTS AND RECORDS MANAGEMENT

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## Approval and Authorization

Completion of the following signature blocks signifies the review and approval of this Document.

Name	Job Title / Role	Signature	Date
Authored by	DEPUTY DIRECTOR TECHNICAL SERVICES	<i>Approved</i>	08/11/2016
Checked by	DEPUTY DIRECTOR FINANCE AND ADMINISTRATION	<i>Approved</i>	08/11/2016
Approved by	CHIEF EXECUTIVE OFFICER	<i>Approved</i>	08/11/2016

## Periodic Review Approval and Authorization

Completion of the following signature blocks signifies the review and approval of this Document.

Required by: (11/2019)

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Required by: (11/2022)

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Checked by			
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## 1 OVERVIEW CONTENT

### 1.1 Process Overview

Creation, distribution, use and disposal of documents and records is essential to ensure that all users:

- 1.1.1. Have ready access to all relevant documents.
- 1.1.2. Fully understand the document content.
- 1.1.3. Only work with the current authorized version of a document.
- 1.1.4. Are fully trained in any new or revised procedures prior to implementation.
- 1.1.5. Are prevented from making unauthorized changes to documents.
- 1.1.6. Apply principles of good documentation practice.
- 1.1.7. Keep documents and records to the required retention period.
- 1.1.8. Dispose-off documents and records that have superseded their retention time in an authorized manner.

### 1.2 Purpose

This procedure defines the requirements for creation, distribution, control, use and disposal of documents and records created within KENAS and provide control requirements for documents of external origin.

### 1.3 Scope

The procedure applies to all documents and records of the quality system at KENAS

### 1.4 Role(s) and Responsibility

Role	Responsibility
MR	<ul style="list-style-type: none"><li>• Author and owner of this document.</li><li>• Incorporate any amendments required and ensure the operating procedure is understood within the organization.</li><li>• Control of documents generated for the quality system</li><li>• Issue numbers to the various documents created from the system</li><li>• Keep an up to date index of the documents and forms</li></ul>



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Role	Responsibility
CEO	<ul style="list-style-type: none"><li>Approval.</li></ul>
Authors & Approvers of documents and records created within KENAS	<ul style="list-style-type: none"><li>Apply this procedure on documents and records created within the organization.</li><li>Train or make users aware of documents and records created and approved by them.</li><li>Index and manage the records created from the Quality System</li></ul>
All KENAS Staff	<ul style="list-style-type: none"><li>Compliance</li></ul>

## 2 DEFINITIONS / ABBREVIATIONS

The table below defines new or changed terms that are included in or associated with this process.

Term	Definition
KENAS	Kenya Accreditation Service
CEO	Chief Executive Officer
DD TS	Deputy Director Technical Services
HR	Human Resources

## 3 PROCESS INSTRUCTIONS

### 3.1 Types of documents

The following documents shall be created and subject to management and control as indicated in this procedure:

- 3.1.1 Commitment documents such as Policies, Audit plans, Training plans, Organization charts
- 3.1.2 Manuals (HR Manual, Finance manual, Quality Manual)
- 3.1.3 Operating procedures
- 3.1.4 Work instructions
- 3.1.5 Forms and records generated from the quality system
- 3.1.6 Certificates
- 3.1.7 Documents of external origin e.g. standards, circulars



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## 3.2 Operating Procedure format

Policies, operating procedures, guidance documents and certificates shall be prepared using the template provided as a guide. A procedure shall contain the following:

- 3.2.1 The title.
- 3.2.2 The identifier including the version.
- 3.2.3 Issue date indicated as DD/MM/YYYY.
- 3.2.4 Effective date: This shall be a maximum of one month after the issue date to allow for notification and or training/awareness and shall also be indicated as DD/MM/YYYY.
- 3.2.5 The author, checker and approver (s) signatures and titles
- 3.2.6 Review date (Three years from the effective date or when need arises)
- 3.2.7 The process overview.
- 3.2.8 The purpose
- 3.2.9 The Scope
- 3.2.10 Roles and responsibilities
- 3.2.11 Definitions/Abbreviations
- 3.2.12 The process instructions
- 3.2.13 References and other related documents
- 3.2.14 Revision history

## 3.3 Guiding principles of a good procedure

- 3.3.1 Only write documents that are needed.
- 3.3.2 Involve the right people at the right stage.
- 3.3.3 Understand the full process first by flow charting and then write the document.
- 3.3.4 Use simple sentences for ease of understanding and to eliminate ambiguity.
- 3.3.5 Use eligible Arial 11 for text, Arial 12 for titles and 1.5 line spacing for standardization.
- 3.3.6 Any appendices that are forms shall have proper document identifiers.



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- 3.3.7 No manual correction to documents is permissible except where duly authorized by the document originator or approver.
- 3.3.8 Correction fluid or other practices that obscure reading of the original document shall not be used on all approved documents.
- 3.3.9 Cancellations to manual entries on records shall be crossed out using one single line, signed and dated and reasons for cancellations given.
- 3.3.10 While completing /signing documents, write legibly in permanent ink and do not:
  - 3.3.10.1 Obliterate any entry.
  - 3.3.10.2 Use correction fluid.
  - 3.3.10.3 Write over incorrect entries.
  - 3.3.10.4 Use arrows or ditto marks unless the ditto marks are crossed.

## 3.4 Numbering and Coding

### 3.4.1 The numbering of Policies shall take the following format: KENAS-POL-YYY-ZZ

Where...

KENAS is the corporate entity

POL indicating Policy

YYY is the serial number of the policy within the corporate entity

ZZ is the version number and shall be indicated as required on the header and this shall start from 01,02,03...

### 3.4.2 The numbering of Manuals shall take the following format: KENAS-XX-MAN-YYY-ZZ

Where...

KENAS is the corporate entity

XX is the department/division i.e. QM -being Quality Manual. FA- being Finance and Administration, HR being Human Resource

MAN indicating Manual



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YYY is the serial number of the procedure starting from. 001, 002 ...

ZZ is the version number and shall be indicated as required on the header and this shall start from 01,02,03...

### **3.4.3 The numbering of operating procedures shall take the following format: KENAS-XX- OP-YYY-ZZ**

Where...

KENAS is the corporate entity

XX is the division i.e. TS -being Technical Services and FA- being Finance and Administration

YYY is the serial number of the procedure starting from. 001, 002 ...

ZZ is the version number and shall be indicated as required on the header and this shall start from 01,02,03...

### **3.4.4 The numbering of forms shall take the following format: KENAS-XX-F-YYY-ZZ**

Where...

KENAS is the corporate entity.

XX is the department/division i.e. TS -being Technical Services and FA- being Finance and Administration.

F indicating Form

YYY is the serial number of the procedure starting from. 001, 002 ...

ZZ is the version number and shall be indicated as required on the header and this shall start from 01,02,03...

### **3.4.5 The numbering of files shall take the following format:**

#### **3.4.5.1 Clients Files: KENAS/XX/YY**

Where...

KENAS is the corporate entity

XX stands for identify of the CAB i.e. TL = Testing Lab, CL=Calibration Lab, ML = Medical Lab, CB=Certification Body, IB=



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Inspection body while PT = Proficiency Test provider.

YY is the serial number starting from 01

### 3.4.5.2 Confidential Files: KENAS/CONF/00/YY

Where...

KENAS is the corporate entity

CONF stands for confidential

00 is a standard number

YY is the serial number starting from 01

### 3.4.5.3 Finance Files: KENAS/FIN/YY

Where...

KENAS is the corporate entity

FIN stands for Finance

YY is the serial number starting from 01

### 3.4.5.4 Procurement Files: KENAS/PRO/YY

Where...

KENAS is the corporate entity

PRO stands for Procurement

YY is the serial number starting from 01

### 3.4.5.5 General Files: KENAS/00/YY

Where...

KENAS is the corporate entity

00 is a standard number

YY is the serial number starting from 01



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**3.4.6 The numbering of Guidance documents shall take the following format:  
KENAS-GUD-XXX-YY**

Where...

KENAS is the corporate entity

XXX is the serial number starting from 001 of the guidance document which can be a criteria document, terms of reference, or other

YY is the version number starting from 01

**3.4.7 The numbering of promotional publications shall take the following format:  
KENAS-ART-XXX-YY**

Where...

KENAS is the corporate entity

XXX is the serial number starting from 001 of the artwork for the promotional document which can be a brochure, handbook, pamphlet, poster etc.

YY is the version number starting from 01

**3.4.8 The numbering of organization charts shall take the following format: KENAS-ORG-YY**

Where...

KENAS is the corporate entity

YY is the version number starting from 01.

## **3.5 Document Control**

- 3.5.1 Once documents are generated, they shall be checked for appropriateness by a different person from the author and approved for use. Once approved, a PDF format of the approved document shall be deposited in a common database and those that are to be made publicly available posted on the KENAS website.
- 3.5.2 The database shall be made accessible to the entire KENAS staff on a read only basis apart from MR, and the Administrator who shall have author access.
- 3.5.3 All staff shall be encouraged to refer to documents on the database. Documents





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posted in the database shall bear the foot note <Copy of Approved Document>

- 3.5.4 Access to master copies shall be on a need basis and require authorization from the MR or the CEO. Authorized copies of the master copy i.e. controlled copies shall be issued on a need basis and shall be marked as 'Controlled Copy' (in green ink) or vide a water mark option on the printer on every page of the document. Controlled copies shall be individually identified and shall be the responsibility of the person holding them. The Registry shall register all issued documents on a master log recording the following:
- 3.5.4.1 The unique identification of the document
  - 3.5.4.2 The date of issue
  - 3.5.4.3 Date of return (where applicable)
  - 3.5.4.4 Holders name.
- 3.5.5 All print outs from the database shall be classified as uncontrolled and it shall be the responsibility of the person doing the printing to destroy after use or if holding within seven days of printing.
- 3.5.6 Due to the dynamic nature of various functions, changes may occur to existing systems and processes. In case such changes occur and affect the quality management system documents, a document change request shall be put forth through E mail or memo, unless it is an audit citation meaning that the approved corrective action shall serves as the request, approved by the head of section/department and the MR. The revision history of the changes shall be maintained in each document.
- 3.5.7 To prevent unintended use of obsolete documents, any controlled copies of such documents shall be recalled and destroyed and indicated as such on the issuance register whereas master copies of the documents shall be stamped 'Obsolete' in red.
- 3.5.8 Documents of external origin that affect the QMS shall be controlled. The Electronic versions where available shall be stored electronically and referred to electronically, while the manual versions shall be issued on a return basis and logged. Reproduction of such documents shall be prohibited, unless controlled as indicated above as will apply to standards that are occasionally used for training and awareness campaigns.
- 3.5.9 Documents to third parties shall be clearly documented on the log for the purpose to which they are issued. The authority for such sharing shall reside with the MR. Hard copies of such documents shall be stamped 'uncontrolled copy' while electronic copies shall be printed with a watermark across the pages or printed and stamped 'uncontrolled copy'. A list of such documents shall be retained at the registry which shall contain a signature or E-mail from



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the third party acknowledging receipt of the said documents.

## 3.6 Document Archiving and retentions

3.6.1 Superseded documents shall be archived securely and shall be easily retrievable

3.6.2 Documents (Electronic and or hard) shall be retained at KENAS for 7 years from the date it was superseded, generated or received. A list of documents post 7years shall be prepared by the registry and approval obtained from the Head of department, legal officer and the MR after which the list shall be submitted to the CEO for notification to the Director Kenya National Archives and Documentation Service for examination and advise on care, preservation, custody and control thereof or disposal

## 3.7 Records Management

3.7.1 Heads of sections shall identify the requirements for quality records as and when new processes are identified and implemented. When the need for a quality record has been established the following shall be specified;

3.7.1.1 The records created during KENAS operations shall be legible, stored securely, identifiable and retrievable.

3.7.1.2 Records may be in the form of printed or electronic media. In case of electronic media, access shall be kept under the control of the releasing authority.

3.7.1.3 The releasing authority in conjunction with the registry shall be responsible for indexing, maintenance, storage, retrieval and disposal of records. All records stored shall be serially indexed/folio in red within the file it is placed.

3.7.1.4 All records shall be stored identified, indexed files in the registry for safe keeping, ease of access and retrieval.

3.7.1.5 Records (Electronic and or hard) shall be retained at KENAS for 7 years from the date it was generated or received. A list of records post 7 years shall be prepared by the registry and approval obtained from the Head of department, legal officer and the MR after which the list shall be submitted to the CEO for notification to the Director Kenya National Archives and Documentation Service for examination and advise on care, preservation, custody and control thereof or disposal.

3.7.1.6 Electronic records shall be subject to the same archive, retention and retrieval requirements as their paper equivalents.



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## 4 REFERENCE AND RELATED DOCUMENTS

Ref	Document Identifier	Document Title
1.	ISO 9000	Quality Management systems –Fundamentals and vocabulary
2.	ISO 9001	Quality Management systems – Requirements
3.	ISO 10013	Guidelines for quality management system documentation
4.	ISO 17011	Conformity Assessment-General requirements for accreditation bodies accrediting conformity assessment bodies
5.	CAP 19	Public Archives and Documentation Service Act

## 5 PROCEDURE TRAINING / AWARENESS

Staff performing one or more of the roles specified in this procedure and other new or revised procedures shall be made aware of the existence of the procedure. A period not more than one month shall be allocated between the issue date and effective date to facilitate such notification or awareness. If training is conducted the training records shall be kept. The document shall be posted on the database as soon as it is issued.

## 6 REVISION HISTORY

Date	Ver	Revised By	Reason For Revision
05/01/2012	01	DD TS	<ul style="list-style-type: none"> <li>Initial copy on the new numbering system</li> <li>Change of format from and merger of KENAS-OP-01 &amp; KENAS-OP-02</li> </ul>
05/07/2013	02	DD TS	<ul style="list-style-type: none"> <li>Change from MD to CEO</li> <li>Change of responsibility for records management to the owners of the records.</li> <li>Reference to QM as Quality Manual from Technical Service manual.</li> <li>Change of period of uncontrolled document destruction period from after seven days to within seven days.</li> <li>Change records archiving to periodically</li> <li>Removal of edition to standards referenced</li> <li>Reviewed the procedure training requirements to incorporate notification / awareness.</li> <li>Incorporate numbering and indexing of files</li> </ul>
05/02/2014	03	DD TS	<ul style="list-style-type: none"> <li>Inclusion of organograms as controlled documents.</li> <li>Inclusion of KENAS website as point of repository for documents required by the public.</li> </ul>



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05/08/2015	04	DD TS	<ul style="list-style-type: none"><li>• Amended 3.4.8 to provide for control of organograms.</li><li>• Included review and approval under clause 3.5.1</li><li>• Included authorization of master copies in clause 3.5.4</li></ul>
08/11/2016	05	DDTS	<ul style="list-style-type: none"><li>• Amended Clause 3.6.2 and 3.7.1.5 to include the role of Kenya National Archives and Documentation Service as required by the Public Archives and Documentation Service Act and hence references.</li><li>• Deleted Clause 3.7.1.6 and 3.7.1.7</li><li>• Amended clause 3.5.4.4 to remove post, title and location</li><li>• Amended clause 3.5.5 to remove the sentence for uncontrolled hard documents.</li></ul>