

**PROCEDURE
FOR
MAINTENANCE OF RECORDS
AND FOR
ARCHIVING**




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DOCUMENT NO: PP-16

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Status	Author	Agreed	Approved
For Implementation			

1 PURPOSE

- 1.1 ISO 9001 requires that there be procedures for the identification, collection, indexing, access, filing, storage, maintenance and disposition of Quality Records. It also requires that Quality Records be legible, that they are stored and retained in readily retrievable form in an environment which prevents damage, deterioration and loss, and that their retention times are established and recorded.
- 1.2 The purpose of this Procedure is to set out the requirements for archiving all of the requirements stated above.

2 RESPONSIBILITY FOR IMPLEMENTATION

- 2.1 Project Managers, staff nominated to have responsibility for Quality Records, Quality System Manager.

3 REFERENCES

ISO 9001	Clause 4.2.4
Document No.QS -01	Quality Manual
Document No. PP-04	Preparation, Approval, issue and revision of Project Quality Plans

4 IMPLEMENTATION

4.1 Identification of Quality Records

Quality Records are those records necessary to demonstrate:

- effective operation of the Quality System
- conformance to specified requirements

Quality Records can therefore be classified into two types: Quality System Records (those required to demonstrate effective operation of the Quality System) and Product Quality Records (those required to demonstrate conformance to specify requirements).

Quality Records will not, in all probability, be the only records that the Company will need to retain. Other records may need to be retained for legal or historic reasons, or in connection with future work. This procedure concerns only those records that have to be retained in order to satisfy the requirements ISO 9001:2000.

Quality System Records shall comprise of:

- records of management reviews of the Quality System - see *Document No.SP-09*
- records of approved external suppliers / subconsultants (including evaluation documents) - see *Document No.SP-10*
- training records - see *Document No.SP-11*
- audit report (to the extent that the audits are not project-related) - see *Document No.SP-07*

Unless otherwise specified in the Project Quality Plan (see Document No.PP-04), Product Quality Records shall compromise of:

- records of appointment reviews - see *Document PP-03*
- records of design reviews - see *Document PP-06*
- records to client of unsuitable client supplied information /data - see *document No.PP-11*
- records of any information / data /output etc. released for further processing without the appropriate verification - see *Document No.PP-06*
- project quality plans - see *Document No. PP -04*
- verification records - see *Document No.PP-06*
- records of any non-conforming work /output, etc, accepted “by concession” by the client - see *Document No.SP-08*
- audit reports (to the extent that audits are project-related) - see *Document No .SP -07*
- supplier / subconsultants performance records - see *Document No.PP-14*

4.2 Collection of Quality Records

The following shall be responsible for the initial collection of Quality System records:

- Records of Management Reviews - Quality System Manager
- Records of Approved External Supplier /Subconsultants - CE
- Records of calibrations of Survey /Measuring Equipment - CE
- Training Records - CE
- Audit Report - Quality System Manager

The Project Manager, or a member of his team nominated by him, shall be responsible for the initial collection of all Project-Related Quality Records generated in, or received by the Company.

4.3 Labelling/Indexing of Quality Records

The personnel nominated in paragraph 4.2 above shall also be responsible for the labelling and indexing of all Quality Records in their

charge. Labelling and indexing shall be of such a form that all quality records are clearly identifiable and readily retrievable. Indexes shall take the form of file lists, document registers, etc, as may be appropriate. Indexes shall be maintained accurately and up-to-date throughout the period of retention of Quality Records.

Quality Records shall be clearly labelled with the following information:

- Type of record
- Title of Project and Project Number (where relevant)
- Client's name (where relevant)
- Date of records or (where relevant) dates over which the Project took place.

4.4 Access to Quality Records

Access to Quality Record shall be controlled by the personnel responsible for their initial collection or, later, by the personnel responsible for their disposition, storage and maintenance. Any person wishing to withdraw temporarily any Quality Record shall only do so with the agreement of the person controlling access to that item. A record to identify clearly the Quality Record withdrawn, to show name and department of withdrawer and date of withdrawal. In the return of the withdrawn item, the responsible person shall note this on the withdrawal record together with the date of its return.

4.5 Disposition, storage, and maintenance of Quality Records

The personal nominated in paragraph 4.2.1 above shall responsible for the disposition, storage and maintenance of System-Related Quality System Records.

The Disposition, storage and maintenance requirements for Product Quality Records will change depending upon the stage, which the Project has reached. Thus:

- During the Project, records shall be held in the design office under the charge of the Person referred to in paragraph 4.2.2 above
- On completion of the Project Manager shall determine, in consultation with CE, the appropriate form of disposition, storage and maintenance of Product Quality Records. These shall be dealt with in one of the following ways:
 - Passed to Client
 - Passed to some other (stated) party
 - Shredded to otherwise disposed of
 - Micro-filmed and archived

- Archived at full-scale

Audit records shall, in all cases, be passed to the Quality System Manager on Completion of the Project.

4.6 Retention Times of Company's Records

Records of Management Reviews – indefinitely,

Records of Approved Suppliers /Subconsultants - until revised or as long as the supplier/Subconsultant remains in business or is of interest to the company (whichever is the shorter)

Record of calibrations of survey/measuring Equipment - until superseded by the next following calibration

Training Records - 3 years after the person to which the records refers leaves the employment of the Company

Audit records - until the next following Management Review.

Unless otherwise specified in the Project Quality Plan (see Document No.PP-04), retention times of Product Quality Records shall be as follows:

Record of appointment Reviews - CE

Records of design Reviews - CE

Record of Design Reviews - CE

Reports to clients or unsuitable client-supplied information Data - CE

Records of information /data/output, etc. released for further processing without Verification - CE

Verification Records - CE

Project Quality Plans - CE

Records of non-conforming work/output, etc accepted “by concession” by the client - CE

Audit Records (project-related) - CE

In cases where the project generates Product Quality Records that do not figure in paragraph 4.1.7 above, retention times shall be determined by the Project Manager and shall be indicated the Project Quality Plan.

4.7 Protection of Company Records

In all cases and at all times, Quality Records shall be stored and maintained in such a way as to prevent deterioration, damage or loss. In this context, particular care shall be taken in connection with e.g., computer tapes and disks, photographs and negatives. Where

temperature, lightning or humidity controls are necessary, these shall be determined by the Project Manager and Communicated in writing to the personnel responsible for the storage and maintenance of such records who shall ensure that all such requirements are complied with.

5 ATTACHMENTS

Not applicable.

EXPLANATORY NOTE PP-16–MAINTENANCE OF RECORDS AND ARCHIVING

1. ISO 9001 is often criticised for a requiring voluminous records, such may well result if the requirements of the standard era misunderstood. Paragraph 4.1.1 of the procedure set out the definition of Quality Records and paragraph 4.1.3 emphasises that there may well be other requirements for record keeping but that these are **nothing to do with ISO 9001:2000**.
2. Thus, whilst certain records may need to be kept for very lengthy periods needs be retained only for as long as is necessary o satisfy two purposes mentioned in paragraph 4.1.1. Once those are satisfied, they can be destroyed (unless they form part of the records which need-for other reasons-to be kept for longer).
3. Except in a few cases, no suggestions have been made as to the retention times of Quality Records-it being preferred that CE's should think this matter through for themselves in the light of their own situation and clients.
4. With reference to subsection 4.7, this should spell out, in addition, precisely how and where Quality Records are to be stored

