CONTROL OF RECORDS

Prepared By :-	Approved By:-
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1. OBJECTIVE

This procedure is established to provide the requirements for the effective operation of the quality management system governing the records. This shall include how records are identified, stored, protected, retrieved, and disposed. The retention period must also be considered on certain records within the University operation of Quality Management System.

2. SCOPE

This procedure applies to records identified in the implementing documents, and it is to describe the system for retaining the records essential to demonstrating the successful operation of the University's quality system.

3. DEFINITION

3.1 Record: Records as identified in the procedures.

3.2 QM   : Quality Manager

3.3 OIC   : Officer in Charge

3.4 MSD   : Management Services Division

4. REFERENCES

4.1 Quality Manual
4.2 ISO 9001:2015Standard
4.3 IIUM Records Management Policy
4.4 IIUM Filing Reference Code Policy
4.5 IIUM Archives Policy

5. RESPONSIBILITY AND DETAILED PROCEDURE

RESPONSIBILITY	DETAILED PROCEDURE
IIUM Management /MSD	5.1 Is fully responsible for the application and implementation of the procedure for record control and discuss or review it in the Management Review Meeting and other record related meeting
QM/OIC	**5.2 Identification** Records shall be appropriately identified by a descriptive title clearly labelling the record. All records shall be assigned a title and reference number to distinguish it from other division/kulliyyah records.
QM/OIC	**5.3 Storage** The records shall be kept by respective units monitored by authorized personnel. The records shall be kept in the office cabinets as well as database system or computer diskettes. i) General Files will be stored in the filing cabinets at the general filing room. ii) Staff Personnel Files will be kept in the special filing cabinets/safe cabinets at the general filing room. iii) Confidential Files will be kept in the safe filing cabinets.
QM/OIC	**5.4 Protection** All records shall be filed and stored in the office cabinets to prevent damage, deterioration or loss. Those records that are kept in the database system or external storages shall be kept in the appropriate places to prevent damage or loss. iv) The records that are stored in electronic device/database system can only be assessed by password of authorized personnel to maintain security and confidentiality.

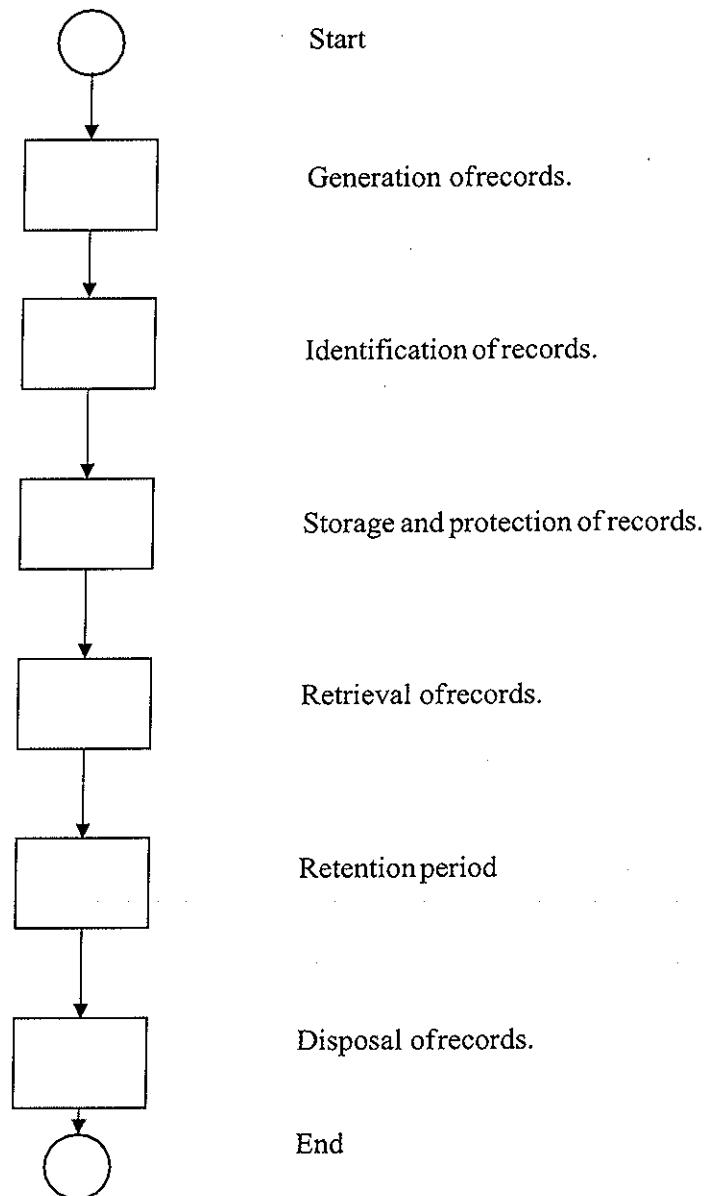|	
QM/OIC	**5.5 Retrieval** The person who requires the information contained in the record from other Units shall seek permission from the authorized personnel. All records shall be properly labelled and indexed/numbered for easy retrieval.
QM/OIC	**5.6 Retention Period** The retention period of certain records within the University's operation of the Quality Management System should be determined and this depends on the importance of record usage by the respective units. The retention period is specified/stated in each quality system procedure. The length of the retention period is based on the likelihood that the document will be needed at some point in the future for litigation reasons.
QM/OIC	**5.7 Records Disposal** At the termination of the retention period, the records shall be disposed responsibly.
QM/OIC	**5.8 Legibility** The records shall be legible, readily identifiable and retrievable and suited to the needs and requirements of the University.

6. FLOWCHART

Flowchart	Description
(circle)	Start
(box)	Generation of records.
(box)	Identification of records.
(box)	Storage and protection of records.
(box)	Retrieval of records.
(box)	Retention period
(box)	Disposal of records.
(circle)	End

7.   QUALITY RECORDS

Retention period is as specified in each Quality System Procedure, i.e. IIUM Records Management Policy, IIUM Filing Reference Code Policy and IIUM Archives Policy.

INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA

IIUM RECORDS MANAGEMENT POLICY

1.0 OBJECTIVE

The objective of the Records Management Policy is to establish a records management system in accordance with relevant legislative and regulatory requirements, standards and best practices to ensure that records are properly created, managed and maintained for future use in the interests of corporate accountability and effective management.

2.0 SCOPE AND APPLICATION

2.1 This policy impacts upon University's work practices for all those who-
  (i) create records including electronic records;
  (ii) have access to records;
  (iii) have any other responsibilities for records, for example storage and maintenance responsibilities; or
  (iv) have management responsibility for staff engaged in any of these activities; or manage, or have design input into, information technology infrastructure.

2.2 The policy therefore applies to all staff members of the University and covers all records regardless of types, format, medium or age.

3.0 DEFINITIONS

3.1 Records

Records include all forms of recorded information regardless of physical characteristics, created, received, recorded, or filed in the course of University business or in pursuance of the University's legal obligations. University records include but are not limited to minutes; correspondence; memoranda; financial records, published materials, moving images and photographs; sound recordings; drawings and maps; and electronic records.

3.2 Electronic Records

Electronic records mean information which is generated electronically and stored by means of computer technology including an electronic correspondence system and other electronic record systems.

3.3 Paper-Based Records

Paper-based records are any records that have been written or printed on paper.

They can be items such as hand written notes, correspondence, printed reports, procedures, blueprints, manuals, circulars, or maps.

3.4 University

University means the International Islamic University Malaysia (IIUM).

3.5 Records Managers

Records Managers means any officer in charge of record management at the respective centre of studies and administrative offices.

3.6 University Archives

The University Archives means the University repository of permanent records, historical documents and other information or items of enduring or long-term value to the University.

4.0 OWNERSHIP

4.1 All records other than otherwise stated shall be the property of the University and not of the officers and staff members who create them or to whom they are entrusted.

4.2 The items found in the following list are not considered as the property of the University:-
   (i) Extra copies of documents kept only for convenience or reference;
   (ii) Extra copies of publication stocked for distribution purposes;
   (iii) Reproduction masters, unless they are the only copy of the record in existence or are the microfilm master copy;
   (iv) Material relating to individual employees' memberships;
   (v) Staff members research notes;
   (vi) Blank forms kept for supply purposes;
   (vii) Personal or private papers neither created nor received in connection with the University's business; or
   (viii) Reference materials such as library, museum, and specimen material made or acquired solely for reference, research, or exhibition purposes.

5.0 RESPONSIBILITIES

5.1 Rector

5.1.1   The Rector is ultimately accountable for the records management practices of University and the implementation of this policy.

5.1.2   The Rector is responsible to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

5.1.3   The Rector may delegate his responsibility to any committee, officer, or staff member to perform such duties as are necessary to enhance the record keeping and records management practices of University to enable compliance with legislative and regulatory requirements.

5.2   Record Management Committee

There shall be a Record Management Committee established by the Rector to set directions for records management practices in the University.

5.3   Records Managers

5.3.1   Records managers are responsible for the implementation of this policy in their respective centre of studies and administrative offices.

5.3.2   Records managers shall ensure that all staff members are made aware of their record keeping and records management responsibilities and obligations.

5.4   University Archives

In the implementation of this policy, the University Archives shall be responsible for specifying the criteria and requirements for archiving purposes.

5.5   Staff Member

5.5.1   Every staff member shall create and maintain full and accurate records of transactions while conducting official University business that they transact.

5.5.2   Every staff member shall manage those records efficiently and effectively by:-

(i)   allocating reference numbers and subjects to paper-based and electronic records according to the filing system as specified by the university;

(ii)   ensuring paper-based and electronic records are filed in the specified storage;

(iii)   ensuring that records are destroyed/deleted only in accordance with the written disposal authority.

6.0   RECORDS MANAGEMENT SYSTEM

All records created, received and maintained by University shall be managed in accordance with the following:-

6.1   Record Classification System

All information owned by the University shall be subject to the following:

(i)   IIUM Information Classification Policy; and
(ii)   IIUM Information Labeling & Handling Policy.

6.2   Filing System

All University records shall be subject to the following:

(i)   IIUM Filing Reference Code Policy; and
(ii)   IIUM Manual and Procedures for Paper-based Filing System

6.3   Storage and Custody

6.3.1   All records shall be kept in storage areas that are appropriate for the type of medium.

6.3.2   All paper-based correspondence system records shall be housed in and kept in the custody of the respective centre of studies and administrative offices.

6.3.3   All electronics records shall be stored in the University official online repositories i.e.

Official Online repositories	Infodoc – University general filesCelum – University photographs and video, sound recordings Alchemy – Human resource and financial documents IREP – University publication

6.4   Retention and Disposal

No University records, both paper-based and electronic, shall be destroyed, erased or otherwise disposed of without prior approval of the IIUM Record Management Committee.

6.4.1   Retention

(i)   The University records retention schedule is as provided below:

Category	Description	Retention Period
Financial Records	- Budget and accounting records - Investment records, Financial statements & Reports, Capital Construction Records	- 7 years - Permanent
Employment Records	Staff personnel records, benefits and payroll records	Permanent
Research Records	- Research funded by University Grants & Research funded by outside bodies - Research reports and research data - Patent, trademark and other intellectual property records	- 7 years after completion of research - Permanent - Permanent
Student Records	- Undergraduate and postgraduate student records - Diploma student records - Student exam records	Permanent
Academic Records	- Records that document the teaching and learning process e.g. course outlines, curriculae, syllabi, reading lists and other courseware objects - Theses, Dissertations, Prospectus - Accreditation records	Permanent
Gifts, Bequests and	Records which document gifts, funds and other	7 years

Endowment Records	bequests to the University and records of how they were managed and used	
Physical Development Records	- Records include architectural blueprints, aerial photographs, planning drawings, changes to plans, soil test maps and other graphic representations related to buildings, systems and land - Project construction records - Real property records	Permanent
Legal Records	Contracts, Audit records, Litigation records, Grievance records, Agreements, Disciplinary	7 years after contract/case expires
General Administrative Records	Includes Minutes of Meetings, Reports, Programmes of key events, Photographs, Videos, Sound recordings, News clippings, Policies and Procedures, Manuals, Speeches and Presentations, Publications and Project files	Permanent
Alumni Records	Photographs, Publications, Chapters, Newsletter, Publicity, Career development	Permanent
Digital Records	Databases, Research data, Websites, Reports, Publications, Articles, Photographs, Videos, Sound recordings	Permanent

(ii) Notwithstanding Clause 6.4.1 (i), the Record Management Committee may decide on the retention period of certain records on a case to case basis as and when deemed necessary.

(iii) Records could be required to be transferred to University Archive as specified by IIUM Archive Policy.

6.4.2 Disposal

(i) The following situations permit University records to be disposed:

    (a) Inactive records without any primary value for research, administration or law

    (b) Damaged records which can no longer be used

    (c) Records which have reached the expiry date for storage according to the University record retention schedule

    (d) Financial records as specified in the Treasury Circular.

(ii) Method of destroying records shall be as specified in the following:

    (a) IIUM Procedures on Paper-based Filing System; and

    (b) IIUM Information Labeling and Handling Policy.

6.5 Access and Security

6.5.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the University business.

6.5.2 Security classified records shall be managed in accordance to the following:

(i) IIUM Information Classification Policy;

(ii) IIUM Information Labeling & Handling Policy; and

(iii) IIUM Data Security Policy

6.5.3 Records storage areas shall at all times be protected against unauthorized access.

7.0 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

The records of IIUM shall serve at all times as a reliable evidence of the University's organization, functions, policies, decisions, procedures, operations, or other activities and are subject to records management review and evaluation prior to any decisions regarding reformatting or disposal. The following shall apply:

7.1 Paper-based records

7.1.1 No records shall be removed from paper-based files without the explicit permission of the records manager.

7.1.2 Records that were placed on files shall not be altered in any way.

7.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.

7.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

7.2 Electronic Records

7.2.1 The University shall use systems which ensure that its electronic records are:

    (i)   authentic;
    (ii)   not altered or tampered with;
    (iii)   auditable; and
    (iv)   produced in systems which utilize security measures to ensure their integrity.

8.0 TRAINING

The records managers shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

9.0 MAINTENANCE OF POLICY

The Record Management Committee shall review the record keeping and records management practices of the University and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the University.

10.0   RELATED POLICIES

(i)   IIUM Information Classification Policy;
(ii)   IIUM Information Labeling & Handling Policy;
(iii)   IIUM Filing Reference Code Policy;
(iv)   IIUM Manual and Procedures for Paper Based Filing System;
(v)   IIUM Archive Policy;
(vi)   Treasury Circular Letter No. 9/1986

11.0   DOCUMENT CHANGE LOG

Release Version	Date	Pages Affected	Remarks/Change Reference

INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA

IIUM FILING REFERENCE CODE POLICY

ISSUE DATE :
February 2012

VERSION :
1.0

1.0 OBJECTIVE

The objective of the Filing Reference Code Policy is to ensure that all IIUM records are filed according to the standards reference codes provided by the University.

2.0 SCOPE AND APPLICATION

2.1 This policy applies to all University paper-based and electronic records.

2.2 This policy should be read together with the Manual and Procedure for Filing System.

3.0 DEFINITIONS

3.1 K/C/D means centres of studies and administrative offices in the University.

3.2 Reference Codes means the coding structure of the IIUM Filing System.

3.3 University Code refers 'IIUM' stated in the Reference Code.

3.4 Kulliyyah/Centre/Division Code refers to the code assigned to centres of studies and administrative offices in the University.

3.5 Main Topics refers to categories of subjects used in the IIUM filing activities.

3.6 Sub-Topic 1 refers to sub-division of main topics

3.7 Sub-topic 2 means to sub-division of the Sub-topic 1

3.8 Sub-topic 3 means to sub-division of the Sub-topic 2

3.9 Classification Code refers to the code assigned to classified files.

3.10 Unit Code refers to alphabetical or numerical code assigned to units or departments within the centres of studies and administrative offices in the University.

4.0 RESPONSIBILITY AND OWNERSHIP
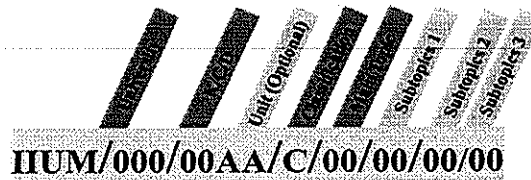
4.1 The reference codes shall be the property of the University.

4.2 Management Services Division is responsible for managing and controlling the Filing Reference Code policy's application and implementation.

5.0 FILING REFERENCE CODES

5.1   All files must use a standard reference code using the format shown below:

IIUM/000/00AA/C/00/00/00/00

5.2   For the extended files, the following format should be used :

IUM/000/00AA/C/00/00/00/00 Vol

Note: # indicates number of file volume

5.3   Based on the above, the reference code that would appear on the documents
i.e. letters sent must include the minute number which will be put in brackets.
The samples of the code are as follows :-

First Volume File : **IIUM/000/0A/C/00/00/00 (MN)**
Second Volume File :   **IIUM/000/0A/C/00/00/00 Vol. # (MN)**

Note :   **'Vol. #'** indicates the file volume running number

6.0 STRUCTURE OF CODES

6.1   **University Code :** All filing codes must begin with the University code **"IIUM"**.

**6.2**   **"/":** This slash should be positioned after each code from "IIUM" to "Sub-Topic
2".

6.3   **Kulliyyah/Centre/Division Code :** The respective centres of studies and
administrative offices' code is a controlled three digit number as specified in the
Manual and Procedure for Filing System.

6.4 **Unit Code:** The code should consist of a maximum of 4 (four) characters which could either be generated alphabetically or numerically. It is optional for the respective centres of studies and administrative offices to adopt.

6.5 **Classification Code:** The letters "**T**","**S**","**R**","**C**" and "**G**" are assigned to indicate that the file is either Top Secret, Secret, Restricted, Confidential or General respectively. The classification of all files to be used are provided by the **Manual and Procedures for Filing System**

The position of the classification code in the reference code is as follows:

IIUM/000/#A/C/00/00/...

The letters "S", "R", or "C" will be used to indicate that the file is Secret, Restricted, or Confidential respectively.
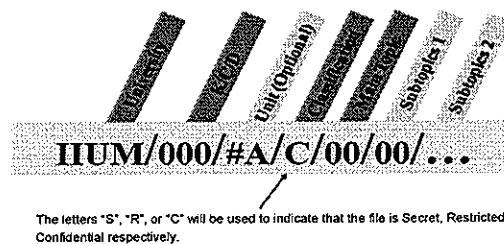
It should be noted that all files classified as "General" are NOT reflected in the reference codes.

6.6 **Main Topics:** The code is a controlled two digit number as specified in the Manual and Procedure for Filing System.

6.7 **Sub-topics 1:** The code is a controlled two digit number as specified in the Manual and Procedure for Filing System.

6.8 **Sub-topics 2:** The code is a controlled two digit number as specified in the Manual and Procedure for Filing System.

6.9 **Sub-topic 3:** The code is an optional two digit number as specified in the Manual and Procedure for Filing System.

6.10 **Vol.#:** This code refers to volume number of physical files carrying the same file number and title.

6.11 **(MN):** This code refers to running minute number put in bracket which is optional for adoption by the centres of studies and administrative offices.

6   REVIEW OF POLICY

The Record Management Committee may from time to time amend, review or introduce any changes to the Filing Reference Code Policy.
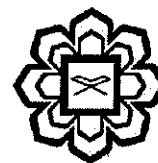
7 RELATED DOCUMENTS

(vii)   Manual and Procedures for Filing System
(viii) IIUM Information Classification Policy

8 DOCUMENT CHANGE LOG

Release Version	Date	Pages Affected	Remarks/Change Reference

INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA

IIUM ARCHIVES POLICY

ISSUE DATE :
February 2012

VERSION :
1.0

12.0   OBJECTIVE

12.1   The objectives of the IIUM University Archives (UA) Policy is to provide guidelines for the establishment of the information repository for materials and records created or received in connection with the history, development, growth, transactions, achievements and conduct of the University. All such records and artifacts received by the UA will be subject to long term preservation.

12.2   All official records of the University are acquired and preserved by the UA to document the history and accountability of the University and the University system. Further such records would be useful for administrative, legal or fiscal purposes. The records would also be useful for reference and use by future generations.

13.0   SCOPE AND INTENDED AUDIENCE

2.1   This policy covers the collection development, acquisition, management, maintenance and access of the University records.

2.2   This policy applies to all staff members of the University and covers relevant records regardless of types, format, medium or age.

14.0   DEFINITIONS

14.1   Historical Documents

Historical documents are documents that contain important information on a person, place, organization or event.

14.2   Information Repository

A place where records and information are classified, organized and stored for easy access to information

14.3   Official Record

Official copy or original record having the legally recognized and enforceable quality of establishing a fact. Official records are kept for their full retention period.

14.4 Preservation

To maintain something in the same condition (as far as possible) over a period of time. To take appropriate action to prevent further damage or deterioration of the item to be preserved.

14.5 Records

Records are created in the course of carrying out the functions and activities of the university. They provide evidence about actions of Departments and individuals in the course of carrying out the business of the university. Records come in a variety of formats including paper based products (such as books, journals, newsletters, theses, reports, publications and documents), maps, plans, photographs, films, microfilms, sound and video recordings in a variety of formats (such as tapes and discs) and digital information (in discs, tapes, servers and computers).

14.6 University Archives

The University Archives means the University repository of permanent records, historical documents and other information or items of enduring or long-term value to the University.

15.0 OWNERSHIP

The University Archive Department of IIUM Library acts as the custodian of all records deposited and housed at the Department

16.0 RESPONSIBILITIES

16.1 The University Library is responsible in the development, acquisition and maintenance and security of records deposited.

16.2 The University Library shall facilitate access to University and other archival collections in accordance to the University Archives rules and regulations.

16.3 All centres of studies and administrative offices in the university shall appoint a representative/liaison person to ensure all relevant records shall be deposited to University Archives.

17.0 RECORDS MANAGEMENT SYSTEM

All records created, received and maintained by the University shall be managed in accordance with the record management system:-

6.1   Categories of Items kept in University Archives

Category	Description	Format	Retrieval and Storage
Financial Records	Investment records, Financial statements & Reports, Capital Construction Records	Hardcopy	Archive department
Employment Records	Staff personnel records, Benefits and payroll records	Hardcopy	Archive department
Research Records	- Research funded by University grants & research funded by outside bodies - Research reports and research data - Patent, trademark and other intellectual property records	Hardcopy	Archive department
Student Records	- Undergraduate and postgraduate student records - Diploma student records - Student exam records	Hardcopy	Archive department
Academic Records	- Records that document the teaching and learning process, e.g. course outlines, curricula, syllabi, reading lists and other courseware objects. - Theses, Dissertations, - Prospectus - Accreditation records	Hardcopy	Archive department
Gifts, Bequests and Endowment Records	Records which document gifts, funds and other bequests to the University and records of how they were managed and used	Hardcopy	Archive department
Physical Development Records	- Records include architectural blueprints, aerial photographs, planning drawings, changes to plans, soil test maps and other graphic representations related to buildings, systems and land. - Project construction records. - Real property records	Hardcopy	Archive department
Legal Records	Contracts, Audit records, Litigation records, Grievance	Hardcopy	Archive

	records, Agreements		department
General Administrative Records	Includes minutes of meetings, reports, programmes of key events, photographs, Videos, Sound recordings, News clippings, Policies and Procedures, Manuals, Speeches and Presentations, Publications and Project file	Hardcopy	Archive department
Alumni records	Photographs, Publications, Chapters, Newsletter, Publicity, Career development	Hardcopy	Archive department
Publication	- Books, Book chapters, Journal articles, Conference papers - Newsletter	Hardcopy	Archive department
Electronic/Digital Records	Databases	Electronic	Databases in their respective systems & back-ups kept at ITD
	Websites		By the respective K/C/D/I
	Publications/Reports/Research data		IIUM Institutional repository (IREP)
	Photographs		Online repositories
	Videos		Online repositories
	Sound recordings		Online repositories

6.2. Acquisition and Collection Management

6.2.1   The University Archives will identify, collect, preserve and/or advise on the preservation of the archival records of the administrative and academic units of the University.

6.2.2 The University Archives will acquire and preserve the records of individuals and organizations associated with the University, within applicable collection guidelines and available capacity.

6.2.3 The University Archives will acquire and preserve the records of individuals, and of private and public organisations for use in the present and future teaching and research programs of the University, within applicable collection guidelines and available capacity.

6.2.4 Donations accepted by the University Archives will be on the understanding that ownership and control of the records will be transferred to the University, unless otherwise negotiated.

6.2.5 The University Archives reserves the right to refuse or dispose of records that, upon appraisal by the Archivist, are determined to be of insufficient value to the Archives, or which the Archives is not resourced to acquire and manage. Disposal of archival records will be carried out in compliance with relevant legislation and/or applicable archival standards and guidelines.

6.3 Access to the Records

6.3.1 All the materials in the University Archives will be available for reference unless the Librarian for the Archives, the depositing office, or donor has placed restriction on the records. Records under restriction may be consulted but only with the permission of the donor or the depositing office.

6.3.2 The Librarian for Archives is the person to whom requests to consult records will be made. The librarian for the Archives is responsible to ensure that the rules and regulations governing the access to and the used of the material are observed, and to contact donor, when a request is made concerning the used of the donated records under restriction.

6.3.3 The Archives retains the right to charge for any reproduction or other research service. The Archives retains the right to reproduce materials by mechanical, electronic, or photographic means for conservation, security or research purposes.

18.0 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

Refer item *7.0 Legal Admissibility and Evidential Evidence* as stated in IIUM Record Management Policy

19.0 TRAINING

The University Librarian shall ensure that all staff members are aware of the records management policy and shall conduct such training as is necessary for the staff to perform their duties.

20.0 MAINTENANCE OF POLICY

The University Archives department shall review this policy as and when the need arises

21.0 RELATED POLICIES

21.1 Record Management Policy
21.2 IIUM Filing Reference Code Policy
21.3 IIUM Procedures on Paper-based Filing System Policy

22.0 DOCUMENT CHANGE LOG

Release Version	Date	Pages Affected	Remarks/Change Reference