

2016

AFRAC RECORDS MANAGEMENT PROCEDURE

AFRICAN ACCREDITATION COOPERATION

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Further information

For further information about this publication, contact the AFRAC Secretariat on:

AFRAC Secretariat
Private Bag X23
Sunnyside
Pretoria
0132
South Africa
Tel: +27 12 740 8420
Email: nonhlanhlah@sanas.co.za

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1. PURPOSE

The purpose of this document is to provide guidance on how the AFRAC Secretariat manages, stores and maintains relevant AFRAC records to the AFRAC management system and the MRA process.

2. REFERENCE DOCUMENTS

2.1 Reference to the following documents may also be required in order to correctly apply this document:

- 2.1.1 A002 AFRAC Bylaws;
- 2.1.2 A002 AFRAC Quality Manual;
- 2.1.3 P003 AFRAC Document Control Procedure;
- 2.1.4 F006 AFRAC Declaration of Impartiality and Confidentiality; and
- 2.1.5 IAF/ILAC-A1:02/2014 Multi-Lateral Mutual Recognition Arrangements: Requirements and Procedures for the Evaluation of a Regional Group.

3. DEFINITION OF RECORDS

- 3.1 Records are those documents that provide objective evidence of executed activities or achieved results.
- 3.2 Records may be in a predetermined format as described in the AFRAC Document Control Procedure or in a free format, for example: e-mails, letters, presentations etc.

4. CUSTODY OF DOCUMENTS

- 4.1 The AFRAC Secretariat is responsible for records management, according to the minimum requirements of this Procedure.
- 4.2 All relevant AFRAC records shall be held by the AFRAC Secretariat.

5. CONFIDENTIALITY OF RECORDS

- 5.1 The confidentiality of all AFRAC Mutual Recognition Arrangement (MRA) records is maintained at all times.
- 5.2 Access to the AFRAC MRA records that are considered confidential are only given to those persons authorised by AFRAC, who have also signed F006 AFRAC Declaration of Impartiality and Confidentiality.

6. PROTECTION OF RECORDS

- 6.1 In order to protect AFRAC records, the AFRAC Secretariat shall electronically save files of the MRA Committee and MRA Council Records:
 - 6.1.1 On a monthly basis, to an external drive; and
 - 6.1.2 All electronic records are maintained by the SANAS ITC Department and are saved to the Department of Trade and Industry (**the dti**) server located off-site.
- 6.2 When the person that received the backup files no longer holds the relevant AFRAC position, he or she shall give those files to the person that replaces him or her.

7. STORAGE OF RECORDS

7.1 The AFRAC Secretariat stores AFRAC records, electronic files and information to allow for easy identification and retrieval.

7.2 AFRAC records are stored electronically to prevent documents from becoming damaged by environmental means that would make them illegible and to protect them from unintended damage.

8. RECORD RETENTION

8.1 **Annex 1** provides the list of AFRAC documents and records that must be retained permanently.

8.2 The AFRAC Secretariat shall retain other AFRAC records relevant to the AFRAC management system and MRA process, in electronic format, for a minimum period of 7 years, unless otherwise determined by the AFRAC Chair and the AFRAC MRA Council Chair.

8.3 The method of disposal is at the discretion of the AFRAC Secretariat, however the chosen method must ensure that records are obliterated and cannot be reconstituted.

8.4 When disposing of records, the AFRAC Secretariat shall ensure that the confidentiality of the records is maintained at all times.

9. LOCATION OF RECORDS

9.1 All the AFRAC records are stored electronically on the AFRAC Secretariat's computer and are organised as described in **Annex 2** - Organisation of records in AFRAC Secretariat's electronic files.

10. TYPES OF RECORDS

10.1 The AFRAC Secretariat maintains the following types of records:

Records as required by IAF/ILAC A1 Section 2.2.2

- Records related to peer evaluations of AFRAC Member accreditation bodies;
- Records of selection, training, qualification and monitoring of AFRAC peer evaluators;
- Records related to peer evaluations;
- Records related to ensuring confidentiality of peer evaluation information;
- Records of complaints and/or appeals received from accreditation bodies or other parties about the handling of Peer Evaluations and Arrangement Signatory status or any related matters;
- Records of AFRAC internal audits;
- Records of AFRAC management reviews;
- Records of ballots on AFRAC documents; and
- Records related to suspension, including the subsequent actions by the Regional Group and the consequences of suspension.

Records as required by IAF/ILAC A1 Section 2.6.3

- Records related to technical support and education activities within the region through activities such as workshops, conferences, task groups, etc.

Records as required by IAF/ILAC A1 Section 2.6.4

- Records related to peer evaluator training and/or workshops as necessary, taking into account any changes made to the peer evaluation criteria and to the availability of peer evaluators.

Records as required by IAF/ILAC A1 Section 2.6.5

- Records related to AFRAC peer evaluators participating in peer evaluations at the global level.

Records as required by IAF/ILAC A1 Section 2.6.7

- Records of Proficiency Testing programs where applicable.

Additional AFRAC Records

- Records of AFRAC Secretariat, AFRAC MRA Council Chair, and AFRAC Chair correspondence;
- Records of AFRAC Finances, including financial audits where applicable;
- Records of AFRAC Member Accreditation Bodies Multi-lateral Recognition Arrangements;
- Records of AFRAC Multi-lateral Recognition Arrangements with IAF and ILAC;
- Records related to peer evaluations of AFRAC by IAF and ILAC;
- Records of the General Assembly, Executive Committee (EXCO), MRA Committee and MRA Council meetings;
- Records of AFRAC peer evaluators;
- Records of Technical Cooperation projects;
- Records of promotional materials; and
- Records of ballots of the AFRAC General Assembly, EXCO, MRA Council, and MRA Committee.

List of AFRAC Records that must be Retained Permanently

- AFRAC Articles of Incorporation and Memorandum of Understanding;
- AFRAC General Assembly and Executive Committee resolutions;
- AFRAC MRA Committee and MRA Council minutes and resolutions;
- Reports and relevant records of AFRAC MRA peer evaluations;
- IAF-ILAC Multi-lateral Recognition Arrangements with AFRAC;
- AFRAC Multi-lateral Recognition Arrangements with AFRAC Members;
- Applications to join the AFRAC Membership;
- Applications to join the AFRAC MRA; and
- External financial audit reports where applicable.

Organisation of AFRAC Records on the AFRAC Secretariat's Computer

Then AFRAC documents and records are stored in an electronic form and are organised in folders in the AFRAC Secretariat's computer. These folders contain all of the necessary subfolders according to the functioning and organisational structure of AFRAC

The main folders are:

- 01 Administration
- 02 Formation
- 03 Strategy
- 04 Mutual Recognition Arrangement
- 05 Projects
- 06 Documents and Publications
- 07 Regional Cooperation

01 Administration contains records regarding the following administrative issues:

- Travel
- Executive Committee
- Membership
- Technical Committee
- Marketing and Communications Committee

- General Assembly
- Office Bearers
- Training
- Correspondence
- Website
- AFRAC Minutes
- Finances
- Votes (EXCO and GA)
- Office-Bearers

02 Formation contains records regarding the formation of AFRAC.

- Bylaws
- Memorandum of Understanding
- Letter of Intent

03 Strategy contains the following folders:

- Strategic Plans
- Management Reviews
- Internal Audits
- Quarterly Reports
- Reports to other Regional Cooperations

04 Mutual Recognition Arrangement records on issues related to the AFRAC MRA process in the following folders:

- MRA Council
- MRA Committee
- Peer Evaluators
- Full Evaluations
- Pre-peer Evaluations
- Training and Workshops
- Votes (MRA Council and MRA Committee)

05 Projects contains records on issues related to AFRAC's Technical Cooperation projects with international donor organisations:

- PTB
- ACP-TBT-EU

06 Documents and Publications contains all AFRAC Documents that constitute the AFRAC management system:

- Administrative Documents
- Forms
- Mandatory Publications
- MRA Publications
- Technical Publications
- Procedures
- Guidance Documents

07 Regional Cooperation contains records on AFRAC's Cooperation with other regional structures:

- Cooperation with IAAC
- Cooperation with APLAC
- Cooperation with ILAC and IAF

- Cooperation with ARAC
- Cooperation with SADCA
- Cooperation with PAQI

APPENDIX A: AMENDMENT RECORD

Proposed by	Section	Change