

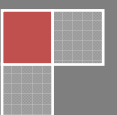
2019

AFRAC RECORDS MANAGEMENT PROCEDURE

AFRICAN ACCREDITATION COOPERATION

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1. PURPOSE

The purpose of this document is to define the controls needed for the identification, storage, protection, retrieval, retention and disposal of AFRAC's records.

2. REFERENCE DOCUMENTS

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

- A001 AFRAC Bylaws;
- A002 AFRAC Quality Manual;
- P003 AFRAC Document Control Procedure;
- IAF/ILAC-A1 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. STORAGE OF AFRAC RECORDS

- 4.1 The AFRAC Secretariat shall be responsible for the proper identification, maintenance, access and disposal of the records according to the minimum requirements of this procedure.
- 4.2 All AFRAC records shall be stored electronically on the AFRAC Secretariat's computer(s) and clearly identified and organised as described in clause 8.4, to allow for easy access and retrieval.

5. CONFIDENTIALITY OF RECORDS

- 5.1 All oral and written information received relating to evaluations, re-evaluations, appeals and complaints (except that information which is already publicly accessible) shall be treated confidentially by all parties and persons concerned. This includes information relating to applicants and/or signatories to the Arrangement.
- 5.2 F006 "Declaration of Impartiality and Confidentiality" forms shall be signed by all persons before given access to confidential information, and these forms shall be filed by the AFRAC Secretariat in the appropriate folders, and includes declarations from:
- All members and observers of an AFRAC Pre-Peer or Peer Evaluation Team;
 - Task Force group members reviewing final evaluation reports;
 - All members and any observers of the MRA Council, MRA Committee, Executive Committee and the Secretariat;
 - any person involved in the internal audit of AFRAC,
 - any person involved in the investigation of a complaint or appeal
 - all applicants and signatories of the Arrangement who request or are given access to any report on pre-evaluation, evaluation and re-evaluation of other applicants or members;
 - any other person that has access to confidential AFRAC information.

- 5.3 Confidential information shall only be disclosed to those persons authorised by the relevant AFRAC Council or Committee Chair, and who have signed the F006 AFRAC Declaration of Impartiality and Confidentiality form.

6. PROTECTION OF RECORDS

- 6.1 The AFRAC Secretariat shall file all records, files or documents related to the work of AFRAC, its Council or Committees, evaluation and decision-making processes electronically to prevent unintended damage and loss of information.
- 6.2 Records shall be saved on the SANAS internal server, which is automatically backed up on a daily basis.
- 6.3 Entrance to the AFRAC Secretariat's premises is controlled by a security system operated on a fingerprint access basis. When the offices are not occupied by personnel all doors shall be kept locked.
- 6.4 Access to records is restricted to AFRAC Secretariat personnel. AFRAC Council / Committee members and evaluators / trainee evaluators shall only have access to those records which are necessary for them to perform their duties and obligations to AFRAC.
- 6.5 All Accreditation Body records and information related to an evaluation or decision-making process which are submitted to evaluation team members, MRA Council or Committee members or Task force Group (TFG) members shall be deleted once the decision-making process on that particular AB is complete.

7. RETENTION AND DISPOSAL OF RECORDS

- 7.1 Clause 8.2 provides the list of AFRAC documents and records that must be retained permanently.
- 7.2 The AFRAC Secretariat shall retain all other AFRAC records relevant to the AFRAC management system and MRA process, for a minimum period of 7 years, unless otherwise determined by the AFRAC Chair and/or the AFRAC MRA Council Chair.
- 7.3 After the respective retention period, the relevant custodians shall destroy the records. Any hard copies of records shall be destroyed by shredding, whereas electronic records can be deleted or archived.

8. TYPES OF RECORDS

- 8.1 The AFRAC Secretariat shall as a minimum, maintain records related to:
- AFRAC peer evaluations of AB's;
 - The selection, training, qualification and monitoring of AFRAC peer evaluators, including their approved scopes;
 - Peer evaluator training and/or workshops, including any changes made to the peer evaluation criteria and to the availability of peer evaluators;
 - Peer evaluators' participation in evaluations at the global level.
 - Signed declarations of impartiality and confidentiality;
 - Complaints and appeals;
 - AFRAC internal audits;
 - AFRAC management reviews;
 - Records and ballots of the AFRAC General Assembly, EXCO, MRA Council, and MRA Committee;

- Correspondence between the AFRAC Secretariat and Chairs of the AFRAC MRA Council, Committees and General Assembly;
- Suspension, reduction or withdrawal of signatory members, including the subsequent actions by AFRAC and the consequences of suspension;
- Technical support, harmonisation and education activities within the region through activities such as workshops, conferences, task groups, etc.;
- The promotion of the Arrangement with major stakeholders, including promotional materials;
- Technical Cooperation projects and activities undertaken to support continuing demonstration of equivalence within AFRAC and between Regional Groups;
- AFRAC Finances, including financial audits where applicable;
- AFRAC Accreditation Bodies member's Recognition Arrangements;
- AFRAC Recognition Arrangements with IAF and ILAC;
- Peer evaluations of AFRAC by IAF and ILAC; and
- A listing of all AFRAC Documents, including the respective issue and/or amendment status.

8.2 The following AFRAC records shall be retained permanently:

- AFRAC Memorandum and Articles of Association;
- Minutes and resolutions of the General Assembly, Executive Committee, MRA Committee and MRA Council meetings;
- Reports and relevant records relating to AFRAC peer evaluations;
- IAF-ILAC Recognition Arrangements with AFRAC;
- AFRAC Recognition Arrangements with AFRAC Members;
- Applications to join the AFRAC Membership;
- Applications to join the AFRAC MRA; and
- External financial audit reports where applicable.

8.3 AFRAC's financial records shall be retained in accordance with the country of AFRAC's registration's minimum retention rules. In the absence of such retention rules, these records shall be maintained permanently.

8.4 Organisation of AFRAC Records on the AFRAC Secretariat's Computer

AFRAC documents and records shall be organised in electronic folders on the Secretariat's computer, with the necessary subfolders according to the functioning and organisational structure of AFRAC.

The folders should be arranged as follows:

Main Folder	Sub-folder
01 Administration (Contains records relating to administrative issues)	<ul style="list-style-type: none"> • Travel • Executive Committee • Membership • Technical Committee • Marketing and Communications Committee • General Assembly • Mid-term Meetings • Office Bearers • Correspondence • Website • Finances • Votes (EXCO and GA) • Customer Surveys • Complaints / Appeals

<p>02 Formation</p> <p>(contains records relating to the formation of AFRAC.)</p>	<ul style="list-style-type: none"> • Bylaws • Memorandum of Understanding • Letter of Intent
<p>03 Strategy</p>	<ul style="list-style-type: none"> • Strategic Plans • Management Reviews • Internal Audits • Quarterly Reports • Reports to other Regional Cooperations
<p>04 Mutual Recognition Arrangement</p> <p>(contains records related to the AFRAC MRA processes)</p>	<ul style="list-style-type: none"> • MRA Council • MRA Committee • Peer Evaluators • Full Evaluations • Pre-peer Evaluations • Training and Workshops • Votes (MRA Council and MRA Committee)
<p>05 Projects</p> <p>(contains records related to AFRAC's Technical Cooperation projects with international donor organisations)</p>	<ul style="list-style-type: none"> • Separate folder for each Technical Cooperation project
<p>06 Documents and Publications</p>	<ul style="list-style-type: none"> • Administrative Documents • Forms • Mandatory Publications • MRA Publications • Technical Publications • Procedures • Guidance Documents
<p>07 Regional Cooperation</p> <p>(contains records on AFRAC's Cooperation with other regional structures)</p>	<ul style="list-style-type: none"> • Separate folder for each Regional structure that AFRAC cooperates with.
<p>AFRAC Recognition by ILAC and IAF</p> <p>(contains records on AFRAC's recognition with ILAC and IAF and the evaluations of AFRAC)</p>	

APPENDIX A: AMENDMENT RECORD

Section	Change
All	Complete re-write of procedure