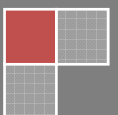


2015

**SADCA RECORDS MANAGEMENT
PROCEDURE
SOUTHERN AFRICAN DEVELOPMENT
COMMUNITY COOPERATION IN
ACCREDITATION**

This document describes the procedures for records management.

Publication reference: P012-01





Authorship

This document has been prepared by the SADCA Secretariat.

Classification

This document is classified as an SADCA Procedures Publication.

Authorisation

Issue Number: 01
Prepared by: SADCA Secretariat
Date: January 2015
Approved by: Executive Committee
Issue and application date: 18 February 2015

Official language

The text may be translated into other languages as required. The English language version remains the definitive version.

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1. PURPOSE

The purpose of this document is to provide guidance on how the SADCA Secretariat manages, stores and maintains relevant SADCA records to the SADCA 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:

- A001 SADCA Bylaws
- A002 SADCA Quality Manual;
- P003 SADCA Document Control Procedure;
- F006 SADCA Declaration of Impartiality and Confidentiality;
- 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 SADCA Document Control Procedure or in a free format, for example: e-mails, letters, presentations etc.

4. CUSTODY OF DOCUMENTS

4.1 The SADCA Secretariat is responsible for records management, according to the minimum requirements of this Procedure.

4.2 All relevant SADCA records shall be held by the SADCA Secretariat.

5. CONFIDENTIALITY OF RECORDS

5.1 The confidentiality of all SADCA Mutual Recognition Arrangement (MRA) records is maintained at all times.

5.2 Access to the SADCA MRA records that are considered confidential are only given to those persons authorised by SADCA, who have also signed F006 SADCA Declaration of Impartiality and Confidentiality.

6. PROTECTION OF RECORDS

6.1 In order to protect SADCA records, the SADCA Secretariat shall electronically save files of the MRA Committee and MRA Council Records:

- On a bi-monthly basis, to an external drive;
- 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 SADCA position, he or she shall give those files to the person that replaces him or her.

7. STORAGE OF RECORDS

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

7.2 SADCA 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 SADCA documents and records that must be retained permanently.

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

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

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

9. LOCATION OF RECORDS

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

10. TYPES OF RECORDS

10.1 The SADCA Secretariat maintains the following types of records:

Records as required by IAF/ILAC A1 Section 2.2.2

- Records related to peer evaluations of SADCA Member accreditation bodies;
- Records of selection, training, qualification and monitoring of SADCA 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 SADCA internal audits;
- Records of SADCA management reviews;
- Records of ballots on SADCA 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 SADCA 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 SADCA Records

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

List of SADCA Records that must be Retained Permanently

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

Organisation of SADCA Records on the SADCA Secretariat's Computer

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

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
- SADCA Minutes
- Finances
- Votes (EXCO and GA)
- Office-Bearers

02 Formation contains records regarding the formation of SADCA.

- Bylaws
- TBT Annex
- 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 SADCA 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 SADCA's Technical Cooperation projects with international donor organisations:



- PTB- SADC
- SADCAS

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

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

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

- Cooperation with IAAC
- Cooperation with APLAC
- Cooperation with ILAC and IAF
- Cooperation with AFRAC
- Tripartite (COMESA-EAC-SADC)



ANNEX A: Document Amendment Record

Proposer	Section	Change	Approval date
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