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

This document describes the procedures for records management.

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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 disposition of SADCA's records.

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;
- 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 SADCA Document Control Procedure or in a free format, for example: e-mails, letters, presentations etc.

4. STORAGE OF SADCA RECORDS

4.1 The SADCA 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 SADCA records shall be stored electronically on the SADCA Secretariat's computer(s) and clearly identified and organised as described in clause 8.3, 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 SADCA Secretariat in the appropriate folders, and includes declarations from:

- All members and observers of an SADCA 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 SADCA,
- 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 SADCA information.



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

6. PROTECTION OF RECORDS

6.1 The SADCA Secretariat shall file in electronic format all records, files or documents related to the work of SADCA, its Council or Committees, evaluation and decision-making processes 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 SADCA 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 SADCA Secretariat personnel. SADCA 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 SADCA.

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 SADCA documents and records that must be retained permanently.

7.2 The SADCA Secretariat shall retain all other SADCA records relevant to the SADCA management system and MRA process, for a minimum period of 7 years, unless otherwise determined by the SADCA Chair and/or the SADCA MRA Council Chair.

7.3 After the respective retention period, the SADCA Secretariat shall destroy the records. Any hard copies of records shall be destroyed by shredding, whereas electronic records can be deleted or archived.

7.4 The MRA Council Chair shall decide whether files relating to evaluated AB's should be destroyed after their minimum retention period or retained for a longer period should it be necessary.

8. TYPES OF RECORDS

8.1 The SADCA Secretariat shall as a minimum, maintains records related to:

- SADCA peer evaluations of AB's;
- The selection, training, qualification and monitoring of SADCA 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 SADCA internal audits;
- SADCA management reviews;
- Records and ballots of the SADCA General Assembly, EXCO, MRA Council, and MRA Committee;
- Correspondence between the SADCA Secretariat and Chairs of the SADCA MRA Council, Committees and General Assembly;
- Suspension, reduction or withdrawal of signatory members. including the subsequent actions by SADCA 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 SADCA and between Regional Groups;
- SADCA Finances, including financial audits where applicable;
- SADCA Accreditation Bodies member’s Recognition Arrangements;
- SADCA Recognition Arrangements with IAF and ILAC;
- Peer evaluations of SADCA by IAF and ILAC; and
- A listing of all SADCA Documents, including the respective issue and/or amendment status;

8.2 The following SADCA Records shall be Retained Permanently

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

8.3 Organisation of SADCA Records on the SADCA Secretariat’s Computer

SADCA 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 SADCA

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 (contains records relating to the formation of SADCA.)</p>	<ul style="list-style-type: none"> • Bylaws • Memorandum of Understanding • Letters 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 (contains records related to the SADCA 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 (contains records related to SADCA'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 (contains records on SADCA's Cooperation with other regional structures)</p>	<ul style="list-style-type: none"> • Separate folder for each Regional structure that SADCA cooperates with.
<p>SADCA Recognition by ILAC and IAF (contains records on SADCA's recognition with ILAC and IAF and the evaluations of SADCA)</p>	



ANNEX A: Document Amendment Record

Proposed by	Section	Change
Secretariat	All	Updated entire procedure