



## ARAC RECORDS MANAGEMENT PROCEDURE

### CLASSIFICATION

This document is classified as an ARAC Procedures Document.

### AUTHORIZATION

Issue N°:	01
Prepared by:	Technical Committee
Date:	June 2012
Revision N°:	01
Approved by:	General Assembly
Issue Date:	March 2013
Application Date:	Immediate
Document number:	ARAC PR 020
Inquiries:	ARAC Secretariat
e-mail:	<a href="mailto:secretariat@arabarac.org">secretariat@arabarac.org</a>

### AVAILABILITY

Copies of this document in Arabic and English are available at the ARAC Secretariat and on the ARAC website.

### COPYRIGHT

ARAC holds the copyright of this document and it may not be copied for resale.

Original: English



## **ARAC RECORDS MANAGEMENT PROCEDURE**

### **1. Purpose**

This document provides guidance on how the ARAC Secretariat manages, stores, and maintains relevant ARAC records related to the ARAC management system and the MLA process.

### **2. Reference Documents**

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

- PR 001 Document Control Procedure
- FM 011 ARAC Declaration of Impartiality and Confidentiality
- IAF/ILAC A1 – IAF/ILAC MRAs-Evaluation of a Regional Group

### **3. Definition of Records**

Records are those documents that provide objective evidence of executed activities or achieved results. Records may be in a predetermined format as described in the PR 001 Document Control Procedure or in a free format, for example: e-mails, letters, etc.

### **4 Custody of Records**

As indicated in the ARAC Bylaws, the ARAC Secretary is responsible for records management, according to the minimum requirements of this procedure. All ARAC records shall be held by the ARAC Secretary.

### **5 Condition of Records**

All ARAC records are retained and maintained in an electronic format, to ensure they remain legible, identifiable, and retrievable.

### **6 Confidentiality of Records**

Confidentiality of the ARAC MLA records is maintained at all times. Access to the ARAC MLA records that are considered confidential is allowed only to those persons authorized by ARAC who have signed FM 011 ARAC Declaration of Impartiality and Confidentiality.

### **7 Protection of Records**

In order to protect ARAC, the ARAC Secretary shall submit electronic back up files of the MLA Committee and MLA Group records

- On a monthly basis, to the ARAC Management Committee Chair or as designated by the ARAC Chair.
- At each MLA meeting, to the Chair and Vice Chair of the MLA Committee/Group.

The ARAC Secretary shall also submit an electronic back up of the all ARAC records to the ARAC Chair, at each ARAC EC meeting.

When the person that received the backup files no longer holds the relevant ARAC position, he or she shall give those files to the person who replaces her or him.

The ARAC Secretary maintains an electronic back up copy of all the ARAC records at the Secretariat.

## **8 Storage of Records**

ARAC records are stored electronically. The ARAC Secretariat stores electronic files and information to allow for easy identification and retrieval.

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

## **9 Records retention**

Annex 1 provides the list of ARAC documents and records that must be retained permanently.

The ARAC Secretary shall retain other ARAC records relevant to the ARAC management system and MLA process, in electronic format, for a maximum period of 7 years, unless otherwise determined by the ARAC Chair and the ARAC MLA Chair

The method of disposal is at the discretion of the ARAC Secretary, however the chosen method must ensure that records are obliterated and cannot be reconstituted. When disposing of records, the ARAC Secretary shall ensure that the confidentiality of the records is maintained at all times.

## **10 Location of Records**

All of the ARAC records are stored electronically in the ARAC Secretary's computer and are organized as described in Annex 2 – Organization of records in ARAC Secretary's electronic files.

## **11 Types of Records**

The ARAC Secretariat maintains the following types of records:

### **Records as required by document IAF/ILAC**

#### **A1 Section 2.2.2**

- Records related to peer evaluations of ARAC member accreditation bodies;
- Records of selection, training, qualification and monitoring of ARAC 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 ARAC internal audits;
- Records of ARAC management reviews;
- Records of ballots on ARAC documents; and
- Records related to suspension, including the subsequent actions by the Regional Group and the consequences of suspension.

#### **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.

#### **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.

**A1 Section 2.6.5.**

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

**A1 Section 2.6.7.**

- Records of Proficiency Testing programs

**Additional ARAC Records**

- Records of ARAC Secretary, ARAC MLA Chair, and ARAC Chair correspondence;
- Records of ARAC Finances, including financial audits;
- Records of ARAC member accreditation bodies Multi-lateral Recognition Arrangements;
- Records of ARAC Multi-lateral Recognition Arrangements with IAF-ILAC;
- Records related to peer evaluations of ARAC by IAF-ILAC;
- Records of the General Assembly, Executive Committee, MLA Committee and MLA Group meetings;
- Records of ARAC peer evaluators;
- Records of Technical Cooperation projects;
- Records of promotional materials;
- Records of ballots of the ARAC General Assembly, Executive Committee, MLA Group, and MLA Committee.

## **Annex 1**

### **List of ARAC records that must be retained permanently**

- ARAC Articles of Incorporation
- ARAC General Assembly and Executive Committee resolutions
- ARAC MLA Committee and MLA Group minutes and resolutions
- Reports and relevant records of ARAC MLA peer evaluations
- IAF-ILAC Multi-lateral Recognition Arrangements with ARAC
- ARAC Multi-lateral Recognition Arrangements with ARAC members
- Application to join the ARAC MOU
- Application to join the ARAC MLA
- External financial audit reports

## Annex 2

### Organization of ARAC records in the ARAC Secretary's computer

The ARAC documents and records are stored in an electronic form and are organized in folders in the ARAC Secretary's computer. These folders contain all of the necessary subfolders according to the functioning and organizational structure of ARAC.

The main folders are:

- 01 Admin
- 02 Comm
- 03 Docs
- 04 Finances
- 05 Meetings
- 06 Membership
- 07 Internal Audits
- 08 Mgmt Review
- 09 MLA
- 10 Projects
- 11 Promotions
- 12 Training
- 13 Votes
- 14 Website

**01 Admin** contains records regarding administrative issues.

**02 Comm** contains records regarding the Chair, MLA Chair and Secretary correspondence; and general information requests.

**03 Docs** contains the following folders:

- Controlled Docs:
  - Administrative Documents
  - Procedures Documents
  - Guidance Documents
  - Mandatory Documents
  - Publications Documents
  - Forms
- Doc Control
  - Master List of ARAC Documents

- Work Docs

(Includes Working Documents of ARAC Committees, Subcommittees, International and Regional Cooperation)

**04 Finances** contains records on issues related to ARAC Finances including, ARAC financial operations, financial audits, financial statements, bank account statements, budget, membership fees.

**05 Meetings** contains records on issues related to: EC, GA, and International Cooperation Meetings.

**06 Membership** contains records on issues related to: Membership applications, complaints (Not MLA related), ARAC member MOUs, membership changes (Not MLA signatories).

**07 Internal Audits** contains records on issues related to Internal Audits

**08 Mgmt Reviews** contains records on issues related to ARAC Management Reviews

**09 MLA** contains records on issues related to the ARAC MLA process in the following folders:

- 09.1 MLA Meetings
- 09.2 MLA Peer Evaluations
  - 09.2.1 ARAC Peer Evaluations per AB
  - 09.2.2 ARAC Peer Evaluations Schedule
  - 09.2.3 International Peer Evaluations
  - 09.2.4 MLA Evaluation Info & Communications
- 09.3 MLA Peer Evaluators
  - 09.3.1 Peer Evaluator Registry (Individual evaluator files per AB)
  - 09.3.2 Peer Evaluator List
  - 09.3.3 Peer Evaluator Qualification
  - 09.3.4 Peer Evaluator Performance
  - 09.3.5 Peer Evaluator Training courses
  - 09.3.6 Peer Evaluator – Notification of document changes
- 09.4 MLA Group
  - 09.4.1 MLAG Signatories – signed certificates
  - 09.4.2 MLAG members list
  - 09.4.3 MLAG requirements compliance (Transitions to new standards)
  - 09.4.4 MLAG member changes
  - 09.4.5 MLAG Complaints – Appeals – Suspensions
  - 09.4.6 MLAG participants in PT programs
- 09.5 MLA Actions
- 09.6 MLA Committee

#### MLAC Members List

- 09.7 MLA reports to IAF-ILAC (and Regions)
- 09.8 IAF-ILAC Mandatory Docs – ARAC Adoption
- 09.9 IAF-ILAC - ARAC MLA (evaluation process)
- 09.10 IAF-ILAC – MLA Tasks Assigned

**10 Projects** contains records on issues related to ARAC's Technical Cooperation projects with international donor organizations.

- 10.1 OAS Project (activities, reports)
- 10.2 PTB Project (activities, reports)
- 10.3 Projects – Others (activities, reports, on projects by other ABs, Regional Cooperations, etc.)

**11 Promotions** contains records on issues related to promotions: ARAC reports to International and Regional Cooperation's; ARAC Newsletter, brochure, logo, awards, international accreditation day, etc.

**12 Training** contains records on issues related to training (not MLA related).

ARAC Pre-Peer Evaluations

**13 Votes** contains voting records of the GA, EC, MLAC, and MLAG.

**14 Website** contains all of the website documents that are also online at [www.arabarac.org](http://www.arabarac.org)