



Inter American Accreditation Cooperation

IAAC RECORDS MANAGEMENT PROCEDURE

CLASSIFICATION

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AVAILABILITY

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IAAC RECORDS MANAGEMENT PROCEDURE

TABLE OF CONTENTS		Page
1.	Purpose	3
2.	Reference Documents	3
3.	Definition of Records	3
4.	Custody of Records	3
5.	Condition of Records	3
6.	Confidentiality of Records	3
7.	Protection of Records	3
8.	Storage of Records	4
9.	Records retention and disposal	4
10.	Location of Records	4
11.	Types of Records	4
Annex 1 - List of IAAC records that must be retained permanently		6
Annex 2 – Organization of IAAC records in the IAAC Secretary’s computer		7



Inter American Accreditation Cooperation

IAAC RECORDS MANAGEMENT PROCEDURE

1. Purpose

This document provides guidance on how the IAAC Secretariat manages, stores, and maintains relevant IAAC records related to the IAAC 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 IAAC 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 IAAC Bylaws, the IAAC Secretary is responsible for records management, according to the minimum requirements of this procedure. All IAAC records shall be held by the IAAC Secretary.

5 Condition of Records

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

6 Confidentiality of Records

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

7 Protection of Records

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

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

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

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

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



Inter American Accreditation Cooperation

8 Storage of Records

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

IAAC 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 IAAC documents and records that must be retained permanently.

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

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

10 Location of Records

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

11 Types of Records

The IAAC 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 IAAC member accreditation bodies;
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- Records of selection, training, qualification and monitoring of IAAC 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 IAAC internal audits;
- Records of IAAC management reviews;
- Records of ballots on IAAC 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.



Inter American Accreditation Cooperation

A1 Section 2.6.5.

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

A1 Section 2.6.7.

- Records of Proficiency Testing programs

Additional IAAC Records

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



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Annex 1

List of IAAC records that must be retained permanently

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



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Annex 2

Organization of IAAC records in the IAAC Secretary's computer

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

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 IAAC Documents
- Work Docs
(Includes Working Documents of IAAC Committees, Subcommittees, International and Regional Cooperations.)



Inter American Accreditation Cooperation

04 Finances contains records on issues related to IAAC Finances including, IAAC 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), IAAC 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 IAAC Management Reviews

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

- 09.1 MLA Meetings
- 09.2 MLA Peer Evaluations
 - 09.2.1 IAAC Peer Evaluations per AB
 - 09.2.2 IAAC 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 – IAAC Adoption
- 09.9 IAF-ILAC - IAAC MLA (evaluation process)
- 09.10 IAF-ILAC – MLA Tasks Assigned

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

- 10.1 OAS Project (activities, reports)
- 10.2 PTB Project (activities, reports)



Inter American Accreditation Cooperation

- 10.3 Projects – Others (activities, reports, on projects by other ABs, Regional Cooperations, etc.)

11 Promotions contains records on issues related to promotions: IAAC reports to International and Regional Cooperations; IAAC Newsletter, brochure, logo, awards, international accreditation day, etc.

12 Training contains records on issues related to training (not MLA related).
IAAC 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.iaac.org.mx.