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|  | <b>ACCREDITATION FEDERATION</b>     | <b>Document No:</b>   | <b>AF-G.003</b>   |
|   | <b>Document &amp; Records Guide</b> | <b>Release Date:</b>  | <b>21-01-2023</b> |
|   |                                     | <b>Rev Date / No:</b> | <b>0</b>          |
|   |                                     |                       |                   |

## 1. PURPOSE

**1.1.** The purpose of this guide is to define the general requirements and procedures for AF document and records control including publication of new documents, the revision or withdrawal of existing documents, and the management, maintenance, storage and deletion of documents, records, reports, correspondence and files (All Quality System Documents).

**1.2.** All AF documents and records are stored in electronic format.

## 2. SCOPE

This guide applies to all persons involved in the management of all AF controlled documents including but not limited to manuals, policies, procedures and forms.

## 3. Responsibilities & Authority

**3.1.** The AF Secretariat is responsible for implementing document control according to the minimum requirements of this guide.


**3.2.** The responsibility for the authorship of AF documents is detailed in are mentioned in the list below.

| <b>Document(s)</b>                          | <b>Authorship</b>                     |
|---|---------------------------------------|
| Constitution                                | Executive Committee                   |
| AF Manual Book                              | Executive Committee / Quality Manager |
| MR Series                                   | MR Committee                          |
| Finance                                     | AF Treasurer                          |
| Personnel                                   | Executive Committee/Secretariat       |
| Marketing & Communications Committee series | Marketing & Communications Committee  |
| Committee series                            | Technical Committees                  |

**3.3.** The AF Secretariat is responsible for the maintenance and retention of documents, records, reports, correspondence and files, and for their archiving.

## 4. Document Numbering System

The numbering of AF documents shall be determined by the quality manager for maintenance of the individual document in accordance with the following alphanumeric numbering system:

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Guide:

AF-G.XXX Executive, management, financial, personnel, marketing & communication, committee related documents.

Forms:

AF-F.XXX Forms related to executive, management, financial, personnel, marketing & communication, committee.

## 5. Revisions to Existing AF Documents

**5.1.** For the document to be revised, an application is made to the AF Secretariat via e-mail, including the revision subject.

**5.2.** Forwards the revision request application email to the AF Quality Manager by AF Secretariat.

**5.3.** Once finalized the AF Quality Manager will forward the tracked changes document to the Executive Committee for approval, unless:

- The changes are editorial or administrative in nature; or
- The changes are of a minor nature and do not alter AF policy, membership requirements and obligations.

If the above situations apply, the Quality Manager may approve revisions to existing AF documents without comments or requiring Executive Committee approval.

**5.4.** When a document is revised the entire document is to be re-issued. The same document number shall be retained, but a new issue number and a new issue date shall be shown on the revised document. The effective date or implementation date, if needed, shall also be given in the document.

**5.5.** The AF Quality Manager is responsible for revisions in the documents.

**5.6.** Except for the revisions stated in Article 5.3, major revisions in the documents require the approval of the AF Executive Committee.

**5.7.** The AF Secretariat is responsible for publishing and storing revised documents.

## 6. Procedure for Withdrawal of Existing AF Documents

**6.1.** When the need to withdraw an AF document is identified, requester shall provide a brief written justification for withdrawal, and forward this to the AF Secretariat.

**6.2.** For withdrawal of major quality system documents requiring AF General Assembly approval:

**6.3.** For withdrawal of major quality system documents requiring AF Executive Committee approval:

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- a) The AF Secretariat shall send out a copy of the justification and a copy of the current version of the document to AF Executive Committee Members for 30-day ballot; or
- b) AF documents may be withdrawn by resolutions at meetings of the AF Executive Committee.

**6.4.** All document withdrawals are to be approved by the Executive Committee.

**6.5.** Following a decision to withdrawal, the AF Secretariat shall remove the document from the website and send an email to all AF members, advising that the document has been withdrawn.

**6.6.** The AF Quality Manager shall archive a copy of the withdrawn document.

## 7. Register of Controlled Documents


The AF Quality Manager shall maintain a register of controlled documents that details the issue status and date of issue of all AF documents.

## 8. Retention Periods

The retention period for all documents, records, reports, correspondence, etc. shall be listed as below.

Retention Periods for Documents and Records

| <b><i>Document, etc.</i></b>                  | <b><i>Retention Period</i></b>        |
|---|---------------------------------------|
| List of AF controlled documents               | Current                               |
| AF documents                                  | Permanent                             |
| Applications for membership                   | Permanent on Member's file            |
| Application to join AF MR                     | Permanent on Member's file            |
| Evaluation reports and supporting information | Permanent                             |
| Membership list (GA and MR Council)           | Permanent                             |
| Committee Membership lists                    | 10 years                              |
| Complaints Register                           | 5 years after resolution of complaint |
| Appeals Register                              | 5 years after resolution of appeal    |
| Records related to complaints                 | Permanent                             |
| Internal audits                               | 10 years                              |
| Management review                             | 10 years                              |

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| <b><i>Document, etc.</i></b>                | <b><i>Retention Period</i></b>                     |
|---|--|
| Evaluation schedule                         | Permanent  |
| Evaluation competencies                     | Permanent  |
| Evaluator biographies                       | For 4 years after person ceases to be an evaluator |
| Evaluator performance log                   | For 4 years after person ceases to be an evaluator |
| Evaluation feedback form                    | Permanent  |
| GA Agenda papers                            | Permanent  |
| GA Minutes                                  | Permanent  |
| Executive Committee Agenda papers           | Permanent  |
| Executive Committee Minutes                 | Permanent  |
| MR Council Agenda papers                    | Permanent  |
| MR Council Minutes                          | Permanent  |
| Committee Minutes                           | Permanent  |
| Notification of changes to documents        | Permanent  |
| Executive Committee correspondence, general | 5 years  |
| GA correspondence, general                  | 5 years  |
| MR Council correspondence, general          | 5 years  |
| Committee correspondence                    | 5 years  |
| Documents related to establishment of AF    | Permanent  |
| Documents related to incorporation of AF    | Permanent  |
| AF budget and accounts                      | 10 years   |
| Contracts                                   | 10 years   |
| Evaluation of AF                            | Permanent  |

## **9. Disposal of Documents**

**9.1.** All AF records shall be deleted from the AF electronic filing system and AF website as necessary.

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**9.2.** A record of documents disposed by the AF Quality Manager shall be kept using form "AF-F.005 Disposal Records Form".

**9.3.** The AF Secretariat and AF Quality Manager shall keep a copy of each superseded document to provide a historical record of revisions and amendments as per the Retention Periods specified above.

**9.4.** These documents will be made available to those concerned upon request.

## **10. File Access**

The AF Secretariat and AF Quality Manager have access to all folders and files.

## **11. Archiving All AF Files**

**11.1.** The AF Quality Manager shall regularly review files for the need to close and archive (electronic).

**11.2.** It is necessary to provide the necessary infrastructure to the AF Quality Manager for backing up and archiving all AF files.

**11.3.** All electronic documents and files shall be backed-up on a weekly basis with the back-up stored in a separate location, physically removed from where the parent data is stored.

## **12. List of Documents and Records**

**12.1.** List of Documents and Records Maintained by the AF Quality Manager and will be share to AF Secretariat when necessary.

**12.2.** All necessary AF quality documents are published by the AF secretariat at [www.accredit.org](http://www.accredit.org)