

Purpose

This procedure regulates the handling, maintenance storage and disposal of APLAC documents, records, reports, correspondence and files.

Scope

This procedure applies to the APLAC Secretariat, members and NATA employees

Procedure

1. Structure of the APLAC Filing System

The APLAC filing system is maintained by the Secretariat. Sub folders may be created by the Secretariat as required. A map of the file structure is given in *SEC 018 APLAC Secretariat File List*.

Folders are identified with a file number and brief description.

All correspondence and files are saved in NATA's Electronic Document and Record Management System (eDRMS).

2. File Access

The APLAC Secretariat and APLAC Quality Manager have access to all folders and files. The NATA Accountant has access to the *2.1.10 General Assembly - Bank Account* folders and files.

3. Maintenance of Files

On receipt all incoming correspondence and documents, including emails, will be labelled with the date received and appropriate file name.

The correspondence and documents must be filed as soon as possible after receipt.

Critical documents and correspondence shall be registered in *Q12.1 - Mail Register* on receipt or at time of sending, and stamped with the APLAC Secretariat correspondence register stamp.

The following critical documents and correspondence must be registered:

- pre-evaluation and evaluation reports, including responses and evaluation team recommendations
- complaints
- official correspondence
- audited financial statements
- audit reports

Complaints received by the Board of Management must also be recorded in *Q10.1 - Complaints Register*

Appeals received by the Board of Management must also be recorded in *Q10.2 - Appeals Register*

Receipt of the following evaluation documents will be recorded in *MR 001 Appendix C APLAC MRA Evaluation Control Record*

- Final Report
- Letter of Recommendation
- Supporting Information
- List of CABs
- Evaluator & Technical Expert Performance Logs

4. Archiving APLAC Files

The APLAC Secretariat will regularly review files for the need to close and archive (electronic).

Closed files shall be archived by the Secretariat.

Electronic files will be archived in eDRMS.

Physical files may be stored at the Secretariat office or in an off site storage facility, as required.

When the provider of the APLAC Secretariat changes, the APLAC Board of Management shall decide the most appropriate place for the holding of archived material. Current files shall be sent promptly to the new Secretariat office by a secure courier service.

5. Back-Up and Retrieval of Electronic Documents and Files

All electronic documents and files will be backed up regularly.

The Secretariat can use the search and retrieve function for electronically archived files.

The Secretariat must ensure archived files are backed-up to the new computer operating system when the computer operating system is changed or upgraded.

6. Disposal of Records

APLAC records shall be disposed of in a secure manner either by shredding or by using a secure document disposal service. A record of disposed documents will be kept using form *Q12.3 Record of Disposal of APLAC Documents*.