


 OFFICE LUXEMBOURGEOIS D'ACCREDITATION ET DE SURVEILLANCE	<b>A009 – Control of records</b>			
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# A009

## Control of records

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## A. Records

OLAS maintains a system for identifying, assembling, indexing, accessing, classifying, storing, safeguarding and disposing of documents that allows full documentation and traceability of all accreditation files and all actions relating to its own quality management system. Documents are archived for a period of ten years, the equivalent of two accreditation cycles.

## B. Accreditation system

OLAS distinguishes between four categories of document registration (records):



### Category 1: Documents relating to the OLAS quality system

The Quality Manager or the administration assistant are in charge of updating this category of records and facilitates internal communication relating to them.

#### A. The following records are filed in jackets highlighted in **yellow**:

1. An **"OLAS Staff"** file containing
  - A curriculum vitae,
  - The copies of diplomas and training certificates,
  - The Ethics Code document, duly signed by each person external to the Ministry of the Economy,
  - The OLAS organizational chart.

A description of the position of each staff member as well as that person's responsibilities and authorizations can be found in the annexes A018 and A018bis Quality Manual.
2. An **"Internal Meetings"** file containing:
  - Internal audit reports carried out by external assessors,
  - Management review reports.
3. An **"Accreditation Committee – CV and trainings of members and experts"** file containing:
  - A curriculum vitae,
  - The copies of diploma and trainings,
  - The ethical and deontological code duly signed by each member of the Accreditation Committee.
  - An annual overview of competences related to accreditation
4. An **"Accreditation Committee"** file containing:
  - Agenda and minutes of approval meetings for accreditation applications signed by the president or vice-president in case of absence,
  - Minutes of the academic quarter of the Accreditation Committee.
5. A **"Training"** file containing:
  - Agenda of the trainings proposed by OLAS,
  - Attendance sheets.
6. A **"Day of the Accreditation Community"** file containing:
  - The agenda for the "Day of the Accreditation Community",
  - Attendance sheets.
7. A **"Questionnaire – Assessors and experts"** file containing:
  - Training questionnaires of assessors and experts,
  - Personalized correction.

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8. A **"Technical Committee"** file containing:

- Attendance sheets of technical committees organized,
- Validation tables of the concerned assessors and experts.

**B. The following records are saved, updates, etc. on the server in specific "ILNAS\_OLAS" directories :**

1. A **"Standards and guides"** file containing:

- Standards and guides.

2. A **"Improvements / Defects / Derogations / Objections / Complaints"** file containing:

- *F007 – Fiche MLP*
- *F008 – Derogation report*
- Correspondence received or sent relating to complaints or appeals is attached to respective forms.

### **Category 2: Documents relating to the accreditation system of the Conformity Assessment Bodies (CAB)**

These records are filed in jackets highlighted in **blue** for the CAB. They are stored in labeled storage cabinets under lock and key.

The accreditation file manager is responsible for identifying incoming and outgoing documents, the accreditation process, the management of the audit database and the filling out of form *F021 – Follow-up of the accreditation scope*. He is also in charge of filing and storage of customer files in accordance with the rules stated below.


The **customer file** is a file relating to a CAB that is applying for accreditation in a specific area (scope).

Once the archiving period has elapsed, the file accreditation manager gets rid of the outdated documents using a firm specialized in the destruction of documents or by means of a paper shredder.

In order to ensure confidentiality with regard to organizations receiving accreditation, customer files are stored in cabinets to which access is restricted to OLAS staff.

After specific training any OLAS staff member may work on a file, in which case that person becomes the file accreditation manager. The file accreditation manager ensures that the document is current throughout the accreditation process through to completion.

Each accreditation file of a CAB is labeled with the following sticker:


<div style="border: 2px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <b>Name of organization</b> </div>
File number Standard
Notified body
Directive(s)
Standard

For an accredited organization in the frame of a notification, the mention « notified body » as well as the directives concerned by the notification are also indicated on the accreditation file.

The files of each organization seeking accreditation are numbered as follows:

[1 / Total number of customer files](#)

Each application receives a unique identification number that is assigned to the file and on each of the documents relating to accreditation as well as in the audit database.

The internal code for signifying the file's accreditation status is as follows:

<b>O</b>	for granting
<b>Px, x beginning with 1</b>	for reassessment
<b>Sx, x from 1 to 4</b>	for the four years of surveillance following granting
<b>Ex, x beginning with 1</b>	for extension of scope
<b>Rx, x beginning with 1</b>	for reduction in scope
<b>A</b>	for cancellation of accreditation
<b>R</b>	for withdrawal of accreditation
<b>S</b>	for suspension
<b>Cx, x beginning with 1</b>	additional assessment

**The single identification number** is set up as follows:

[N°200X/Y/ZZZ](#)

200X = year certificate issued, Y= accreditation code / ZZZ = file number beginning with 001.

**The certificate number** is structured as follows:

N°Y/WWW

WWW = file number beginning with 001

OLAS issues a certificate by accreditation standard applied for relating to a very specific area of activity. Certificate numbers do not change when accreditation is extended.

Accreditation Code “Y”	
1	Testing laboratories and bio-medical laboratories
2	Calibration laboratories
3	Inspection organizations
4	Quality and environment system certification organizations
5	Products and services certification organizations
6	Personnel certification organizations

**For CAB's the appendices to accreditation certificates are identified by a version number:**

Version 0x, x beginning with 1

Numbering of appendices to a certificate resumes with 01 after certificate extensions are awarded.

**Each customer file is subdivided into predefined directories.** Depending on the type of assessment, the directories contain the documents listed in the table below:

	O/P	Sx	Sx+Ex	Ex	C	Rx	S/R
Index page informing readers of file content	x	x	x	x	x	x	x
The " <b>Applications</b> " section contains:							
Applications for initial granting, extending or renewing accreditation, form F001 - (A, B, C) and attached documents	x		x	x			
The declaration for the CAB F001D	x						
la lettre de demande de réduction						x	
The check-list F004A	x		x	x			
A copy of the notification of registration of the application complete with the file identification number	x						
La partie " <b>Notification</b> " contient:							
une copie de la lettre de notification adressée à l'organisme accrédité relative à l'audit complémentaire, à l'équipe d'audit, le devis et la portée de l'audit complémentaire					x		
The " <b>Review of resources</b> " section contains							
A copy of the proposal letter and the makeup of the assessment team, complete with an estimate and date(s) of the assessment	x	x	x	x	x		
An acceptance letter of both the estimate and assessment team	x	x	x	x	x		

	O/P	Sx	Sx+Ex	Ex	C	Rx	S/R
Any rejection of one or more of the assessors and of the estimate, as appropriate	x	x	x	x	x		
A copy of the assessor job order	x	x	x	x	x		
The acceptance of the job assignment by the assessors (appendix 1)	x	x	x	x	x		
The <b>"Assessment"</b> section contains							
If appropriate, the document review before granting <i>F003N</i> accompanied by the finding reports <i>F003E</i> and the corrective actions reports <i>F003F</i>	x						
Assessment report : Summary, form <i>F003A</i>	x	x	x	x	x		
Assessment program, form <i>F003B</i>	x	x	x	x	x		
Attendance rosters for opening and closing meetings, form <i>F003C</i>	x	x	x	x	x		
Chief Assessor's Summary Report and Technical Remark, form <i>F 003D</i>	x	x	x	x	x		
Non-conformity report, form <i>F003E</i>	x	x	x	x	x		
Corrective action report, form <i>F003F</i>	x	x	x	x	x		
Summary of findings according to the standard, forms <i>F003G, F003H, F003I, F003J, F003K and F003L</i>	x	x	x	x	x		
The short assessment report <i>F003P</i>	x	x	x	x	x		
The form concerning the follow-up of accreditation assessments <i>F003M</i>	x	x	x	x	x		
The check-list <i>F004B</i>	x	x	x	x	x		
The <b>"Approvals"</b> section contains:							
Approval or rejection opinions drawn up by the Accreditation Committee regarding granting/ prolongation/ extension/ maintaining of accreditation	x	x	x	x			x
A copy of the certificate of accreditation	x						
A copy of the technical appendices signed by the head of OLAS department	x		x	x		x	x <sup>1</sup>
A copy of the notification of transmittal to the applicant organization of the decision of the head of OLAS department (and the transmittal of the accreditation certificate and the technical appendix if applicable)	x	x	x	x		x	x
The <b>"Evaluation of assessors"</b> section contains:							
The assessment report evaluation form <i>F009</i> completed by the Accreditation Committee	x	x	x	x	x		
The customer satisfaction with regard to the accreditation procedure <i>F 010</i>	x	x	x	x	x		
The services evaluation form <i>F011A and B</i> for quality, junior and technical assessors, completed by the lead assessor or the OLAS observer	x	x	x	x	x		

<sup>1</sup> En cas de suspension partielle

	O/P	Sx	Sx+Ex	Ex	C	Rx	S/R
The <b>"Correspondence"</b> section contains:							
Important correspondence exchanged with representatives of an accredited organization or candidate for an accreditation and with the members of the assessment team or the initial accreditation body (electronic and paper correspondence).	x	x	x	x	x	x	x
The <b>"Invoices"</b> section contains:							
Internal correspondence validating payment of assessment related costs (and file fees in case of granting or prolongation of accreditation)	x	x	x	x	x		
The <b>"Inter-laboratory comparisons"</b> section contains:							
The form F 023 - Inter laboratory comparisons program	x	x	x	x	x		

The records relating to the invoicing of the audit costs and the annual fee are filed in **red files**: The invoicing manager prepares and dispatches the invoices and manages the accounts payable system in accordance with OLAS INT002 work instruction.

Once the archiving period has elapsed (10 years), the invoicing manager gets rid of the outdated documents, using a firm specialized in the destruction of documents or by means of a paper shredder.

### Category 3: Documents relating to assessors

These records are filed in hanging files and stored in the Quality Manager's office. They include the following items:



1. A copy of the confirmation of registration, renewal or withdrawal of registration sent to the assessors.
2. A request for registration in the "National Registry of Quality and Technical Assessors", forms *F002A* and/or *B*, a signed copy of the ethics code, the Curriculum Vitae,
3. Copies of diplomas of university education and eventually copies of certificates of complementary training programs,
4. If appropriate, a copy of a training certificate in the assessor's name that is recognized by OLAS,
5. A list of the realized accreditation assessments,
6. Form « F026 - Qualification des auditeurs et des experts » filled up and signed and if appropriate, recognition as a quality or technical assessor by another accreditation organization that is an EA member,
7. Correspondence
8. Obsolete documents

### Category 4: Electronically registered documents

Internal management of accreditation files and of assessor files is handled on the "OLAS" network and on the data base developed to support the management of the National Registry of Quality and Technical Assessors as well as the organization of assessments. Only OLAS staff members can access these electronic files. All of these files are hosted on cluster servers and are subject to the backup procedure used by the Ministry of the Economy.

All the electronic documents concerning the management of accreditation files are filed under the heading **"Accreditation Files"**. These files are classified according to the type of accreditation: certification, inspection or laboratories. Updating is done by each case manager of the documents, or on a case by case basis, by the administrative agent.

The assessor database is maintained and updated by the "assessors and training" manager. A window exists for each assessor containing exact address, basic qualifications, skill levels and key accreditation

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fields in which the assessors work. Rapid searches are done by area of accreditation and by key or skill level to ensure that OLAS can meet accreditation process goals rapidly and in due course. Assessors' information is contained in forms *F002A* and/or *B* provided by the assessors, which serve both for registering an assessor in the Registry of Assessors and for updating personal data.

Assessors are graded on a basis of 1 to 5 following each assessment completed, with quality assessors using form *F009* for the quality assessors, using form *F010* and *F011A and B* for the entire assessment team (quality, technical and junior). Annually and as described in procedure *P004 –Authorizing of assessors and technical experts and monitoring of their competences and performances*, the notification of the appreciations to the assessors and the experts is managed on a case by case basis in function of the results of evaluations and the number of yearly assessments realized for OLAS.

If applicable, the “assessors and training” manager sends a skill assessment report to each assessor to inform him/her of the results obtained.

The customer database provides information including the exact address of the organization, the names of executives and contact persons. Files are maintained and updated by each case manager or by the administrative agent.

The assessment part stored in the data base permits to describe the background information of the accreditation file. Its structure is based on the procedures P001, P002 and P003 that describe respectively the management of the application, the assessment and the decision-making process. This part permits to access faster to the documents issued from the accreditation process and makes the follow-up of the file easier. This data base for assessments is managed by the ~~case~~ accreditation manager who can be assisted by the administrative agent.