

<b>INDIAN OCEAN GROUP TRAINING ASSOCIATION LTD</b>	Approved By: General Manager	Q-0407	
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	Date: 7 June 2005 Updated: 6 September 2017	Issue 1	Rev 4

## RECORD MANAGEMENT

### 1. OBJECTIVE & SCOPE

The purpose of this policy is to establish a system for the identification, control and secure storage of pertinent records established through the various activities operated by Association.

### 2. DESCRIPTION

#### 2.1 IDENTIFICATION OF PERTINENT DOCUMENTS

2.1.1 In general, pertinent documents shall include but shall not be limited to:

- Records having bearing on Standards that the Association must comply with
- Records that are required to be retained by legislation
- Records that are required as part of our contractual obligation
- Records that form part of a MOU & Agreements established with the Association
- Personnel Records
- Client Records

#### 2.2 RECORD INDEXING, FILING & RETRIVAL

2.2.1 Records identified as falling in to the categories in 2.1.1 shall be properly indexed, filed and securely stored.

2.2.2 Records shall be indexed in such a way that it facilitates traceability and retrieval.

#### 2.3 RECORD RETENTION

2.3.1 The retention period for records identified in 2.1.1 shall be governed by the Associations contractual obligations, legislative requirements and compliance with applicable standards, including but not limited to:

- The National Group Training Standards
- The Standards for Registered Training Organisations (2015)

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## 2.4 RECORD STORAGE

2.4.1 Records identified in 2.1.1, shall be adequately stored and the method of storage shall be dependant upon the required retention period or efficient operational requirements. These records shall be protected against environmental/storage conditions that could cause deterioration, damage or permanent loss.

2.4.2 Records of sensitive nature or any record containing personnel or client personal information shall be filed in lockable cabinets or by password protected electronic storage means.

## 2.5 DISPOSITION OF PERTINENT RECORDS

2.5.1 Records shall be disposed of in a manner as governed through the Associations contractual obligations, compliance to applicable Standards and legislation.

## **3. RESPONSIBILITY & AUTHORITY**

3.1 The General Manager is responsible to oversee the entire record management system.

3.2 Department Coordinators are responsible for the identification of pertinent records relevant to their own department and to ensure that the record management of the same is carried out as per this policy.