



Sample Records Management Policy

The CTC's Records Management Policies are required to provide guidelines to all CTC staff on the handling of documents and other forms of records. These policies are closely linked to procedures which describe the step-by-step tasks for complying with a policy. Without policies staff may make decisions on the retention and storage of documents and other forms of records that are uncoordinated and which result in inefficiencies and increased resource costs.

It is vital that staff are familiar with and adhere to these Policies.

Filing of Hard-Copy Documents

1. All hard-copy documents must be filed as soon as it is possible to do so.
2. All learner related hard-copy documents must be placed in either the Skills 4 You folder or their personal folder/ file.
3. Any queries in relation to the appropriate file that a particular document should be placed on should be directed to the General Manager for clarification.

Responsibility for Filing of Documents

1. The person responsible for the majority of the CTC documentation is the administrator. However certain learner related information can be managed by the relevant key worker/ tutor and the general manager has overall responsibility for documentation and data of any kind.
2. As regards documents, it is the responsibility of the "relevant" person to ensure that documents created and /or received are properly filed and can be readily accessed both physically and electronically.
3. The "relevant" person is the signatory to a document that originates in the CTC or, if the document was submitted to the CTC by a third party, the person to whom the correspondence has been addressed. If the correspondence is not addressed to any particular person or if it is sent to the wrong person it is the responsibility of the person who ultimately deals with the correspondence to ensure that it is properly filed.

Scanning of Hard Copy Documents

1. Where possible hard copy documents received, except the actual legally required records may be scanned and saved in the appropriate file on the server or other database, as appropriate. Exceptions would be hard-copy documents received that are of no value to the CTC such as innocuous circulars or publications, including documents received in error.
2. Hard copy documents being placed on a hard copy file must be scanned onto the electronic version of that file thereby ensuring consistency between the two systems which in due course will facilitate destruction of the hard copy version in accordance with the policies that are referred to in the records retention policy.
3. If hard copy documents are received which are difficult to scan, such as bound publications etc., the CTC can request the sender to forward an electronic version of the document. If an electronic version is not available, the cover of the document should be scanned and a "Quick Note" created to indicate that a full version of the document has been placed on the hard copy file.