

Ref: CINTRA/SOP/001.00	Date of issue: 21 Aug 2017	Next review date: 20 Aug 2020
Title : CINTRA Standard Operating Procedure on Control of Records		
Audience : Persons-in-charge of implementing or assist in the implementation of Occupational Safety and Health Management System in CINTRA		

1. **Aim**

This document describes the requirements on the management of relevant occupational safety and health records in the implementation of CNRS International-NTU-Thales Research Alliance (CINTRA)'s OSHMS.

2. **Scope**

This SOP is applicable to CINTRA in the implementation of the OSHMS at the workplace at Research Techno Plaza (RTP).

3. **Definitions**

C/PAR - refers to corrective and preventive action report to address deficiencies or deviations (see SOP on C/PAR for details).

CINTRA – refers to the CNRS International-NTU-Thales Research Alliance

CINTRA OSHMS - refers to the Occupational Safety and Health Management System of CNRS International-NTU-Thales Research Alliance (CINTRA).

RP - refers to the appointed Responsible Person in-charge of maintaining the relevant OSHMS records in CNRS International-NTU-Thales Research Alliance (CINTRA). See Appendix 1.

Shall - indicates an essential requirement.

Should - indicates a recommendation.

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Workplace - refers to the place where a person is employed to work and comes under the management of CINTRA.

4. Responsibilities

4.1 The Director of CINTRA shall:

- a) Ensure this SOP is implemented in CINTRA for the management of workplace safety and health records by the safety committee.

4.2 CINTRA Safety Committee shall:

- a) Manage OSHMS records for CINTRA by appointing relevant Responsible Person(s) for the proper management of OSHMS records and aligning to NTU's requirements.
- b) Communicate the record management requirements to the RPs.
- c) Review the management of records at regular intervals.
- d) Take action to correct observations and deviations noted in audits.
- e) Update Director of CINTRA where necessary.

4.3 CINTRA Safety Officer shall:

- a) Support the Centre on the management of records.
- b) Provide advice to RPs in relation to issues over the management of OSHMS records.

4.4 Office of Health and Safety (OHS) shall:

- a) Update the Centre when changes are made to the management of records.
- b) Check on the implementation at the Centre during audits.

4.5 Responsible Person (RP) shall:

- a) Comply with the requirements established by the Centre. See Appendix 1 for the management of OSHMS records.

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- b) Upload the required records (electronically) to the assigned folders established by the Centre. Protect the storage of confidentiality records against misuse by persons who have no official needs, e.g. particularly those relating to personnel.
- c) Ensure records are retrievable at all times when requested, e.g. during audits or inspections.
- d) Manage the disposal of records as per requirements stated in this document.

5. Procedures

- 5.1 CINTRA RPs shall comply with Appendix 1 on the management of records.
- 5.2 Where certain records are not reflected in Appendix 1 and forms part of CINTRA's OSHMS, the RP is to consult the School Safety Committee on the record retention period.
- 5.3 Where records are kept electronically, the use of an up-to-date antivirus system for the workstations is highly recommended. Good practice of having regular system backups should be exercised.
- 5.4 All records shall be legible, traceable and retrievable at all times. Records may be requested during audits or analytical purpose such as trend review. RPs to check at regular basis to ensure e-records are properly kept at the established folders.
- 5.5 In the event of any discrepancy in the retention period from Appendix 1 and the legal requirements, CINTRA will adopt whichever is more stringent.
- 5.6 To ensure good continuity to the management of records, Cluster ROs will appoint replacement as RP as part of people's movement management in meeting section 5.4 above.

6. Document Retention

- 6.1 All electronic documents uploaded to the CINTRA's Safety Website must be approved by the Management Representative.
- 6.2 A folder is created for each document that is approved by Management Representative will be maintained by the CINTRA Document Controller.

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- 6.3 The folder will consist of the original approved document and all subsequent revisions thereof including the current validated document.
- 6.4 If a procedure is expunged / superseded as a result of review, a copy of the expunged / superseded version is placed in the folder for record.
- 6.5 All printed copy of document are considered uncontrolled.
- 6.6 Current and validated version of the document is available at the CINTRA Safety Website.

7. Obsolete Documents

- 7.1 Obsolete documents that are retained for reference or legal obligations are marked **OBSOLETE** and are kept separate from active documents.
- 7.2 Obsolete electronic documents are removed from the CINTRA Safety Website and are stored in media that are only accessible to authorized personnel – CINTRA Document Controller.
- 7.3 Any obsolete documents that need to be reactivated must be reviewed, approved and released in the same manner as newly established documents.
- 7.4 At least one copy of all obsolete documents must be archived.

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Appendix 1 - Document Listing and Record Retention Period

S/No.	Type of record	Responsible Person (RP)	Retention Period
1	Audit reports and action/closure plan	Auditors and Auditees	5 years
2	Calibration records for equipment used for performing safety and health monitoring	Equipment owner	2 years
3	Corrective/Preventive Action Report (C/PAR)	C/PAR Issuer	5 years
4	Emergency drill reports	Drill organizer, ERT lead	2 years
5	e-tracking and consignment notes	Person in-charge of filing e-tracking	5 years
6	Fire safety certificate	Area owner (LSR)	10 years
7	Statutory permits/licences	Safety Committee – Programme Administrator (Documents Controller)	5 years
8	IH monitoring reports for chemical exposure	Area owner (LSR)	10 years
9	Incident investigation reports and follow up plan	Investigation team	6 years
10	Inspection reports and follow up closure	Inspection team	5 years
11	Maintenance records (PPE, equipment, emergency items)	Equipment owner or programme administrator	5 years
12	Management review records / Safety meeting minutes	Management Representative (MR) Recording Secretary of safety committee	2 years

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S/No.	Type of record	Responsible Person (RP)	Retention Period
13	Objectives and programmes, include action plan	CINTRA Safety Committee - Programme Administrator (Documents Controller)	2 years
14	OHS MS Directives, SOPs, Guidelines, manuals, permit-to-work, checklists and forms - implementation records	Respective RP(s)	2 years
15	Regulatory inspections findings/reports	Auditee and Responder	5 years
16	Risk Assessment records	RA owners - uses WRAS	3 years
17	Laser Training materials	Trainer	5 years
18	Training records	Safety Committee – Programme Administrator (Safety Training Coordinator)	All current, plus 6 years upon leaving CINTRA

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Version History

This Table below reflects the summary of changes made to the document. The full change information is indicated with yellow highlight in the document content.

Revision	Section	Details of Change	Document Author	Effective Date	Approved By
00	N.A	Initial Release	Jing Fei	21 Aug 2017	Dr Dinh Xuan Quyen

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