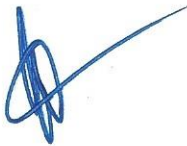




**DOCUMENT RETENTION POLICY OF
INDIAN OLYMPIC ASSOCIATION**

Amended up to 22nd December, 2018

 *R. Muthu*



DOCUMENT RETENTION POLICY

1. Objective of the Policy:

The objective of this Policy is to have a comprehensive framework for preservation of documents for a specific period of time to achieve the following objectives:

- a. effective governance and risk management;
- b. effective information management to ensure better administration and provision of continued access as required; and
- c. systematic disposal of non-current records that have outlived their administrative usefulness.

2. Definitions:

- a. "Society" means Indian Olympic Association
- b. "Executive Council" means elected Executive Council of IOA
- c. "Policy" means this policy'
- d. "IOC" means International Olympic Committee
- e. "OCA" means Olympic Council of Asia
- f. "CGF" means Commonwealth Games Federation
- g. "LOC" means Local Organising Committee
- h. "IF" means International Federation
- i. "AF" means Asian Federation
- j. "MYAS" means Ministry of Youth Affairs and Sports
- k. "WADA" means World Anti-Doping Agency
- l. "NADA" means National Anti-Doping Agency
- m. "NSF" means National Sports Federation

3. Scope of the Policy:

For the purpose of achieving the above objectives, the documents covered as per this Policy have been divided in two categories i.e. (i) documents which need to be retained permanently and (ii) documents which need to be retained for a period of up-to eight years and not permanently.

This Policy applies to the records maintained in any format or medium. The records that are not required to be retained permanently shall be disposed off according to this Policy.

If the society informs the employee concerned, that its records are relevant to litigation or potential litigation or issues later, then the employee must preserve those records until the President or Secretary General of the society determines that the records are no longer needed.

Such an exception would supersede any previously or subsequently established destruction schedule for those records. If an employee feels that an exception may apply, he/ she may voluntarily with the approval of management retain the records and follow the decision on possible applicability of an exception.

While minimum retention periods are suggested, any of the items not specifically identified in the categories could be determined by the management/ Secretary General, primarily by the application of the general guidelines affecting document retention identified in this Policy, as well as other pertinent factors.

4. Authority & Responsibility:

The Compliance Officer, as designated by the Executive Council on its behalf, shall be responsible for preservation of the records.

5. Temporary Records, not to be maintained:

Temporary records include all documents that are intended to be superseded by final or permanent records, or which are intended to be used only for a very short period of time, including, but not limited to written memoranda and dictation to be typed in the future, reminders, to-do lists, interim reports and drafts. Such temporary records shall be deleted once the usefulness of it is obsolete or the final version is placed on record.

6. Retained Records:

Retained records include all documents that are not superseded by modification or addition, which are to be maintained permanently or a limited period of up-to eight years as described in the following classifications:

a. Records of Establishment

(i) To be retained permanently

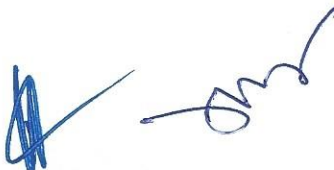
- Certificate of Registration as legal entity
- Original Memorandum of Association and Rules and Regulation
- Member Roll/ Register of Members
- Approved Minutes of the Meetings/ Minutes of the Meeting Original Book
- Original/ Signed Copy of Rules, Regulations and Policy
- Authorisation/ Licenses/ Certificates obtained from any statutory authorities
- Annual Reports in electronic form
- Files relating to office premises including Land Deed, Original approval plans of construction
- Register of Preservation and disposal of records

(ii) To be retained for minimum period of eight years

- Tender for purchase or service and responses
- Announcements
- Advertisements and responses
- Records of attendance in General Meetings and Executive Council Meetings
- Minutes of the sub-committee meetings
- Internal correspondence, process files and documentation, excluding 6.a.(iii)
- Annual Reports

(iii) To be retained for minimum period of four years

- Records of Office Maintenance
- Inward/ Outward Registers
- Store Room Inventory & Records
- Invites and communication of meetings
- Travel, Transport and Hotel arrangements for IOA meeting



b. Records of Team India and IOA Delegation at International Games

(i) To be retained permanently

- Final List of participants including athletes, coaches, managers and support staff
- Final List of medallists and their performance
- Audio-Visual and Photographic content in electronic form
- Souvenir, Commemorative Medal, Replica of Torch and other items gifted by LOC
- Final Report or Coffee Table Book published by LOC

(ii) To be retained for minimum period of eight years

- Correspondence with IOC, OCA, CGF, LOC, IF, AF, MYAS, WADA, NADA, NSFs, State Ministry/ Government Departments, Vendors, Agencies, Suppliers, any Service Provider, Establishment or Individual; including publication, manual, accreditations, passport copies, details of entry, etc.
- Internal correspondence, process files and documentation

c. Records of National Games

(i) To be retained permanently

- Host City Contract
- Final list of participating Athletes and Member Units, and Medallists and their performance
- Audio-Visual and Photographic content in electronic form
- Final Report of the Games in electronic form

(ii) To be retained till the conduct of next two editions of the Games or minimum period of eight years, whichever is higher.

- Manuals and Reports of previous two editions of the Games
- Forms, Copies of Tender, List of Equipments and all information pertaining to Technical Conduct, Competition Management and Operations of previous two editions of the Games.
- External and Internal correspondences, process files and documentation of previous two editions of the Games
- Replica, Design, Medals and other items of Protocol

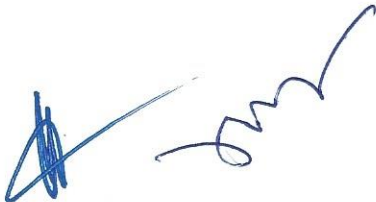
d. Records of bidding or hosting Games of CGF, IOC or OCA

(i) To be retained permanently

- Host City Contract and subsequent agreements with CGF, IOC or OCA
- Audio-Visual and Photographic content in electronic format
- Souvenir, Commemorative Medal, Replica of Torch and other items of protocol or collectibles
- Final Report or Coffee Table Book

(ii) To be retained till eight year after the completion of bidding or hosting in case of successful bid

- Bid Application and Book
- Correspondences with IOC, OCA, CGF, LOC, IF, AF, MYAS, WADA, NADA, NSFs, State Ministry/ Government Departments, Vendors, Agencies, Suppliers, any Service Provider, Establishment or Individual
- Manual, Reports and Publications
- Internal correspondence, process files and documentation
- Replica, Designs, Medals and other items of Protocol



e. Non-Games records of liaison with CGF, IOC, OCA, IF, AF, Foreign NOCs & other international sports organisations

(i) To be retained for minimum period of eight years

- Governance
- Meeting Information of IOC, OCA, CGF, IF, AF, Foreign NOCs and other international sports organisations.
- External and Internal correspondence, process files and documentation on Olympic Solidarity, Olympic Day, Olympic Education, Culture and Heritage, Olympic Museum, Olympic Channel, Games Torch Relay and all development and promotional activities of CGF, IOC, OCA, IF, AF, Foreign NOCs and other international sports organisations; excluding 6.e.(ii) and 6.e.(iii)

(ii) To be retained for minimum period of four years

- Unsuccessful applications for scholarship, programmes or activities

(iii) To be retained for minimum period of one year

- Greetings
- Press Release

f. Non-Games records of liaison with MYAS, WADA, NADA, NSFs, State Ministry/ Government Departments

(i) To be retained for minimum period of eight years

Non-Games records of liaison with MYAS, WADA, NADA, State Ministry/ Government Departments shall be kept for eight years.

g. Non-Games records of liaison with National Sports Federations & State Olympic Association

(i) To be retained permanently

- Copy of Certificate of Registration as legal entity
- Copy of Memorandum of Association and Rules and Regulation

(ii) To be retained for minimum period of eight years

- Copy of Member Roll/ Register of Members of National Sports Federations & State Olympic Association for last eight years
- Copy of updated Approved Minutes of the Annual General Meetings & Special General Meetings for last eight years
- Copy of Minutes of last two election Meetings
- Copy of Annual Reports for last eight years
- Copy of Audited Accounts Statements for last eight years
- External and Internal correspondence, process files and documentation

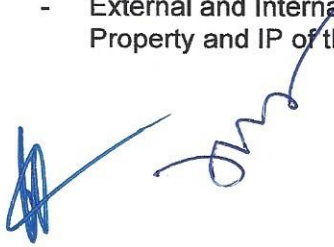
h. Intellectual Property

(i) To be retained permanently

- Original Documents of Copyright, Trademark and Patent owned by the society

(ii) To be retained for minimum period of eight years or till validity of the license, whichever is higher

- License Documents
- External and Internal correspondences regarding protection of Olympic Signs and Property and IP of the society



i. Legal Documents [Arbitration & Litigation Cases]

(i) Records of Litigation and Arbitration should be preserved for 3 years from the date of the last order/ judgement passed by the Hon'ble Court or a Tribunal, which should be subject to:

- the file not being closed until the award/ judgment becomes final in all respects by limitation or final decision in appeal/ revision;
- cases involving important issues or containing material of a high precedent/reference value being retained for an appropriately longer period either initially or at the time of review by any Committee of the IOA.

j. Events, Marketing, Communication, Sponsorship and Ticketing

(i) To be retained for minimum period of eight years

- Agreements to be retained for eight years or till the validity of the Sponsorship agreement, whichever is higher
- External and Internal correspondences, process files and documentation excluding 6.j.(ii) and 6.j.(iii)

(ii) To be retained for minimum period of four years

- Event Creative on electronic record

(iii) To be retained for minimum period of one year

- Events invites, branding, and collaterals
- Press Release
- News Coverage
- Non-Games correspondence with Press/ Media
- Invites and generic exchanges with Sponsor

k. Employment/ Personnel Record

(i) To be retained permanently

- Note on list of Employees, their joining and relieving date, positions held and reasons for leaving

(ii) To be retained for minimum period of five years after the employee is alive

- Original application and documents submitted by employee at the time of employment in society, appointment letter, contract, performance appraisal, letter of promotion, and letter or relieving/ resignation, and copy of reference letters issued to him/ her.

(iii) To be retained for minimum period for four years

- Attendance & Log book
- Leave Records
- Job Posting and file of applications
- Internal correspondences of HR

l. Finance

(i) To be retained for minimum period of eight years

- Audit report u/s 12A(b)
- Income tax returns, TDS returns, GST returns, FCRA returns and all other statutory returns
- Documents related to all Statutory obligations in respect of Employee benefit expenses e.g. PF, computation for TDS on Salary etc.
- All the assessment orders, appellate orders, refund / demand orders issued by various government departments.



- Agreements along with all the correspondence in respect of sponsorship income, Grants and other receipts.
- Bank confirmations and certificates in respect of FDRs and interest earned thereon. Also the Bank statements and bank balance confirmations along with reconciliation statements if any.
- Minutes of the meetings which are related to budgets and have financial impact on the financial statements.
- All the agreements/correspondences in respect of contributions to SOAs and NSFs
- Invoices & vouchers related to acquisition and disposal of fixed assets.
- All the correspondences with IOC which have financial impact on financial statements.
- All the journal vouchers, payment vouchers and invoices related to all the expenses.
- All the journal vouchers, Receipt vouchers and invoices related to the income.

7. Document Retention Schedule

Document Retention Schedule with details of specification and classifications could be drafted and adopted with approval of the President and Secretary General, from time to time, primarily by the application of the general guidelines affecting document retention identified in this Policy, as well as other pertinent factors.

8. Record Maintenance and Storage:

- a. All records in physical form are to be maintained by the Record Storage in particular department/ centralised storage of Records
- b. Electronic form of all of records shall be maintained in media, magnetic, computer memory, microfilm, cloud or online storage and transferred to the centralized electronic record software database, when introduced.

9. Disposal of Records:

Physical records/ electronic records can only be disposed off after written approval is obtained from all of three office-bearers, President, Secretary General and Treasurer. In the absence of such written approval, no records can be disposed off or deleted.

Physical records disposed of pursuant to the retention periods specified in this Policy and Document Retention Schedule shall be disposed of using a crosscut shredder or burning. In the case of an electronic record, 'permanent delete' function to permanently dispose of electronic records. The Administration Department shall adopt appropriate procedures to permanently dispose of any non-paper physical records, such as photographs or audio/video recordings.

10. E-Mail Policies:

All the staff shall use official email id provided to them by IOA for official electronic communication and also always mark copy to the official IOA id for all incoming and outgoing mails. Employees should avoid using official e-mail for personal purposes.

11. Hold on Record Destruction and Deletion:

If a legal case or other proceeding involving the society is reasonably foreseeable, all destruction of any possibly relevant documents, including e-mail, must cease immediately.

12. Effective Date:

This Policy is approved by the General body of IOA on 22 December 2018.

13. Compliance:

Failure to comply with this Document Retention Policy may result in disciplinary action.