

Retention and Disposal Policy

Purpose

The purpose of this policy is to detail the procedures for the retention and disposal of information to ensure that we carry this out consistently and that we fully document any actions take. Unless otherwise specified this policy relates to both hard and soft copy documents.

Policy Review arrangements

At ICME we shall review the policy annually as part of our self-evaluation arrangements to ensure that it is fit for purpose and that it continues to reflect the requirements of End Point Assessment.

However, a review will be commissioned earlier should any issues arise in relation to any findings through review processes or changes to legislation.

Any review of policies are signed off by Finance and General Purposes committee (F&GP) before being issued.

Document Version History

| Issue Date | Author | Summary of Changes | Date of next Review |
|------------|--------------|--|---------------------|
| 05/05/2018 | J Cartwright | Creation of Policy | May 2019 |
| 06/11/20 | A Worrallo | Amend Policy to include EPAO Provision. Now V2 | November 2021 |

Review

Review is the examination of records to determine whether they should be destroyed, retained for a further period or transferred to an archive.

How long we should keep our paper records

Records will be kept for as long as they are needed to meet the contractual compliance, together with legal and regulatory requirements. We have assessed our records to:

- Determine their value as a source of information for the ICME
- Assess their importance as evidence of business activities and decisions
- Establish whether there are any legal or regulatory retention requirements

Where records are likely to have a historical value, or are worthy of permanent preservation, we may transfer them to a secure storage facility.

Disposal schedule

Attached, Appendix A, is a Record Retention Schedule that has been approved as the initial maintenance, retention and disposal schedule for physical records of The Institute of Cast Metals Engineers and the retention and disposal of electronic documents.

Records will be destroyed in the following ways:

- Non-sensitive information – will be placed in a normal rubbish bin.
- Confidential information – shredded.
- Electronic equipment containing information – removal of hard drive with physical destruction of disk.

Audit

Appendix A will provide an audit trail for any inspections conducted by the Information Commissioner and will aid in addressing Freedom of Information requests, where we no longer hold the data.

Monitoring

Responsibility for monitoring the disposal policy rests with the Office Manager of the Institute of Cast Metals Engineers. This policy will be reviewed annually.

Advice and guidance

Any required guidance or interpretation on our Retention and Disposal policy or wish to give feedback, please contact the Office Manager on email info@icme.org.uk



APPENDIX A

RECORD RETENTION SCHEDULE

This record retention schedule is organised as follows:

Section Topic

- A. Accounting and Finance
- B. Contracts
- C. Corporate Records
- D. Member details
- E. Declined applications for membership
- F. Correspondence
- G. Electronic Documents
- H. Personnel Records
- I. Pension Documents
- J. EPAO Specific data/documents
- K. Policies and Procedures

A. ACCOUNTING AND FINANCE

| Record Type | Retention Period |
|-------------|------------------|
|-------------|------------------|

| | |
|------------------------|-----------|
| Annual Plans & Budgets | Permanent |
|------------------------|-----------|

| | |
|----------------------|-----------|
| Annual audit reports | Permanent |
|----------------------|-----------|

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|-----------------|---------|
| Bank Statements | 7 years |
|-----------------|---------|

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|--------------------------|---------|
| Sage Accounts & Sage Pay | 7 years |
|--------------------------|---------|

| | |
|---------------------|---------|
| Management Accounts | 7 years |
|---------------------|---------|

| | |
|---------------------------|---------|
| Sales & Purchase Invoices | 7 years |
|---------------------------|---------|

| | |
|------------------------|---------|
| Credit Card Statements | 7 years |
|------------------------|---------|

| | |
|----------------|---------|
| Staff Expenses | 7 years |
|----------------|---------|

| | |
|----------------------|-----------|
| Credit Card Payments | one month |
|----------------------|-----------|

B. CONTRACTS

| Record Type | Retention Period |
|-------------|------------------|
|-------------|------------------|

| | |
|---|-----------------------|
| Contracts and Related Correspondence (Inc EPAO) years | To end of contract +6 |
|---|-----------------------|

C. CORPORATE RECORDS

| Record Type | Retention Period |
|---|------------------|
| Corporate Records (<i>Signed meeting minutes, code of conduct, Council meeting minutes, bylaws, annual corporate reports, Articles</i>) | Permanent |
| Licenses and Permits | Permanent |

D. MEMBER DETAILS

| Record Type | Retention Period |
|--|--|
| Membership Application Form and Related Correspondence | until membership terminated + 2 years Limited paper records may be retained where deemed to be of historical value. |
| Membership Contact Update Form | until membership terminated + 2 years |

E. DECLINED MEMBERSHIP APPLICATIONS

| Record Type | Retention Period |
|--|---|
| Membership Application Form and Related Correspondence | 3 months beyond next committee meeting following application. |

F. CORRESPONDENCE

General Principle: Correspondence and Internal memos will be retained for the same period as the document they pertain to or support.

1. Documents pertaining to routine matters and have no significant, lasting consequences will be discarded within 12 months.

The list below is not exhaustive and there will be many other documents:

- Routine letters that require no acknowledgement or follows ups.
- Letters of general inquiry and replies that complete a complete cycle of correspondence.
- Letters requesting specific action that have no value after changes are made or action taken (such as company name change or job title change).

2. Any Correspondence pertaining to non-routine matters or have significant lasting consequences will be retained permanently.

G. ELECTRONIC DOCUMENTS

1. **Electronic Mail:** Not all emails will be retained, dependant on the subject matter.
 - All email – From internal or external sources – To be deleted after two years.
 - Staff will strive to keep emails related to business issues only.
 - All The Institute of Cast Metals Engineers business related emails will be backed up on a secure server through the ICME IT support.
 - Staff will not store or transfer The Institute of Cast Metals Engineers related emails on non-work related computers except as necessary or appropriate for the Institute of Cast Metals Engineers purposes.
 - Staff will take care not to send confidential information to outside sources.
 - Any emails staff deem as vital to the performance of their job role, will be copied on to the server F:drive folder and stored in the employer workspace.

2. **Electronic Documents:** Including Microsoft Office and PDF Files
 - **PDF Documents** – The length of time that a PDF file will be retained will depend on the content and relevance of the file. The maximum period a PDF file will be kept is 6 years. Any PDF file staff deem as vital to the performance of their job role, will be copied on to the F:drive folder and stored in the employer workspace.
 - **Text/formatted files** – Staff will conduct annual reviews of all text/formatted files and will delete all those considered unnecessary or outdated. Text/formatted files staff deem as vital to the performance of their job role, will be copied on to the F:Drive folder and stored in the employer workspace.

H. PERSONNEL RECORDS

| Record Type | Retention Period |
|---------------------------|-------------------------|
| Contracts of Employment * | Permanent |

| Record Type | Retention Period |
|---------------------------|-------------------------|
| Other records: | |
| Employee Handbooks | |
| Employee Medical Records | |
| Employee Job Descriptions | |
| Status Change Records | |
| Termination Paperwork | |

Training Records

Employee CV's

References

All the above are retained for the duration of the employment then minimum hard copy records to are retained permanently as per regulation guidance, including for EPAO.

I. PENSION DOCUMENTS

| Record Type | Retention Period |
|--------------------------------|-------------------------|
| Retirement and Pension Records | Permanent |

J. EPAO DATA AND DOCUMENTS

| Record Type | Retention Period |
|--|--|
| Personal Data (Apprentice – including Special Category Data) | 6 years following End-point Assessment |
| Personal Data (Incomplete Tutor/Assessor/Technical Expert & Provider applications) | 12 months |
| Information as part of an Apprentice's Qualification | 6 months from completion |
| Information required for certificate re-prints and confirmation of Apprenticeship Standards (Basic level Data) | Indefinitely |
| Re-print Certificate Address | 6 months |
| Training Provider/Employer Contact Details | Duration of contract |

K. POLICIES AND PROCEDURES

| Record Type | Retention Period |
|---------------------------|-------------------------|
| Recruitment and Selection | Until Superseded |
| Employee Handbook | Until Superseded |

This list is not exhaustive. For a full list of policies and procedures contact Office Manager.