



# DATA RETENTION POLICY

Issue Number	Effective Date	Amendments	Reason for Amendments
2	25 Nov 2019	Rebranding of the header, footer and font	Companywide rebranding on all IMI material



## PURPOSE

The Institute of the Motor Industry (IMI) needs to gather and use certain information about individuals, and also process and store certain types of information to operate our business.

These individuals can include learners, members, customers, business contacts, suppliers, employees and other people the organisation has a relationship with and may need to contact.

This policy describes procedures for the retention and disposal of information to ensure that we carry this out consistently and that we fully document any actions taken. Unless otherwise specified the retention and disposal policy refers to both hard and soft copy documents.

## HOW LONG SHOULD WE RETAIN OUR RECORDS?

Records should be kept for as long as they are needed to meet the operational needs of the IMI, together with legal and regulatory requirements. We have assessed our records to ascertain business use and any legal or regulatory obligations (including, but not limited to Data Protection Act 1988, The GDPR, and Limitation Act 1980, obligations as an Awarding Organisation in England, Scotland, Wales and NI).

For certain records of a personal value to an individual, such as a certificate of achievement or award, we will retain them indefinitely.

## DISPOSAL SCHEDULE

The disposal schedule (Appendix 1) lists collections or groups of records for which predetermined periods of retention have been ascertained.

Records can be destroyed in the following ways:

- Non-sensitive information – can be placed in a normal rubbish bin
- Confidential information (including personal data belonging to members or candidates) – cross cut shredded and pulped or burnt.
- Electronic equipment or systems containing information - destroyed by IT and for individual folders/emails/database records, they will be permanently deleted from the system.
- Destruction of electronic records should render them non-recoverable even using forensic data recovery techniques.

## SHARING OF INFORMATION

Duplicate records should be destroyed. Where information is regularly shared between departments, only the original source records should be retained in accordance with our policies. Email should not be used to store copies of personal data exported from core systems.

Where we share information with partners, contractors and other bodies, we will ensure they have adequate procedures to manage the information in accordance with the relevant legislation and regulatory guidance.



## AUDITING

Records or documents disposed outside of the disposal schedule, either being disposed of earlier than specified or kept for longer will need to be recorded for audit purposes. A register will be made available alongside this policy on the network.

This will provide the necessary audit trail for any inspection conducted by the Information Commissioners Office (ICO) or other regulatory authority.

## MONITORING

Responsibility for monitoring the data retention policy sits with the Senior Management Team (SMT).

This policy will be reviewed on an annual basis.

## APPENDIX 1 - DISPOSAL SCHEDULES

### ▪ HR & Employment Records

Type of Record	Retention Period	Reason for Length of Period
Personnel files including training records and noted of disciplinary and grievance hearing	5 years from the end of employment	References and litigation
Application forms/interview notes	6 months from the date of job ad	Limitation on litigation
Facts relating to redundancy where there are less than 20 redundancies	6 years from date of redundancy	As above
Facts relating to redundancy where there are more than 20 redundancies	12 years	Limitations Act 1980

### ▪ Payroll & Pension Records

Type of Record	Retention Period	Reason for Length of Period
Income Tax and NI Returns, including correspondence with HMRC	At least 3 years after the end of the tax year to which the records relate	Income Tax (Employment) Regulations 1993
Statutory Maternity and Adoption Pay records and calculations	3 years after the end of the tax year in which the maternity period ends	Statutory Maternity Pay (General) Regulations 1986
Statutory Sick Pay records and Calculations	3 years after the end of the tax year to which they relate	Statutory Sick Pay (General) Regulations 1982
Wages and salary records	6 years plus current year	Taxes Management Act 1970
Income tax records re employees leaving i.e. P45		Taxes Management Act 1970
Annual return of employees and directors expenses and benefits (P11D)		Taxes Management Act 1970
Certificate of pay and tax deducted (P60)		Taxes Management Act 1970

Tax code changes		Taxes Management Act 1970
Individual pension entitlement and contribution history	As long as there is a member or dependent liability	

▪ **Health & Safety Records**

Type of Record	Retention Period	Reason for Length of Period
Accident books, and records and reports of accidents	6 years after the date of the last entry	Social Security (Claims and Payments) Regulations 1979; RIDDOR 1985
Health Records	During employment	Management of Health and Safety at Work Regulations
Health Records where reason for termination of employment is connected with health, including stress related illness	3 years	Limitation period for personal injury claims
Medical records kept by reason of the Control of Substances Hazardous to Health Regulations 1999	40 years	Control of Substances Hazardous to Health Regulations 1999

▪ **Insurance Records**

Type of Record	Retention Period	Reason for Length of Period
Policies	3 years after lapse	Data Protection
Claims correspondence	3 years after settlement	Data Protection
Employer's Liability insurance certificate	40 years	Employers' Liability (Compulsory Insurance) Regulations 1998

▪ **Learner/Candidate Records**

Type of Record	Retention Period	Reason for Length of Period
Learner/candidate records, including academic achievements	At least 6 years from the date that the student leaves learning on an IMI qualification, in case of litigation for negligence.	Limitation period for negligence.

	2 years from pass/fail for test data.	Reasonable period to cater for candidate enquiries which may need reference to online tests.
	At least 10 years for academic achievement references.	Permits institution to provide references for a reasonable length of time.
	Certain personal data may be held in perpetuity.	While academic references may become 'stale', some data e.g. certificates or transcripts of student achievements may be required throughout the candidate's future career. Upon the death of the data subject, data relating to him/her ceases to be personal data.
IMI Approved Centre learner records available for inspection by EQA team	At least 5 years from the date that the student leaves learning on an IMI qualification.	Required for regulatory purposes as an Awarding Organisation.

▪ **Membership Records**

Type of Record	Retention Period	Reason for Length of Period
Membership records, including CPD achievements	6 years from Membership expiry for fee-paying members.	Alignment with requirements on financial transactions associated with the membership.
Records for non-members, specifically membership applications where no fee was processed and the no election occurred.	1 year from initial application	Reasonable period to allow applicants to provide necessary evidence for grading.

▪ **Financial Records – purchase invoices**

Type of Record	Retention Period	Reason for Length of Period
Payments cash book or record of payments made	6 years from the end of the financial year in which the transaction was made	Companies Act

Purchase ledger		Companies Act
Invoice – revenue		Companies Act
Petty cash records		Companies Act and HMRC
Invoice - capital item	10 years	Companies Act and HMRC

▪ **Financial Records – income**

Type of Record	Retention Period	Reason for Length of Period
Bank paying in counterfoils	6 years from the end of the financial year in which the transaction was made	Companies Act
Bank statements		Companies Act
Remittance advices		Companies Act
Bank reconciliations		Companies Act
Receipts cash book	10 years	Companies Act and HMRC
Sales ledger		Companies Act and HMRC

▪ **Other Records**

Type of Record	Retention Period	Reason for Length of Period
General online user accounts not associated with any eCommerce activity	1 year from last logon	Data protection
Contracts with customers, suppliers or agents	6 years from contract termination	Limitations Act 1980