

Retention of Records Policy

Assessment Services Ltd recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and contribute to the effective overall management of the organisation. Records provide evidence for protecting the legal rights and interests of the training organisation and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

1 Scope of the policy

2 Responsibilities

3 Procedures and guidelines

4 Records disposition and destruction

5 Relationships with existing policies

1.1 This policy applies to all records created, received or maintained by staff of the organisation in the course of carrying out its functions.

1.2 Records are defined as all those documents which facilitate the business carried out by Assessment Services Ltd. Records are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created or received, and then stored, in hard copy or electronically.

1.3 A small percentage of the records may be selected for permanent preservation as part of the organisation's archives and for historical research.

1.4 Any sub-contractors are required to adhere to this policy at all times. This will be monitored through regular audits and monitoring visits.

2.1 Assessment Services Ltd has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Chair.

2.2 The Chair at Assessment Services Ltd will give guidance about good record management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by auditing at least annually to check if records are stored securely and can be accessed appropriately.

2.3 Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the Assessment Services Ltd guidelines.

3.1 All Assessment Services Ltd departments, offices and sub-contractors must maintain records in a safe, stable and secure manner that supports their timely and accurate retrieval and applies appropriate controls on their accessibility. To do this all are expected to:

3.1.1 Develop consistent and accurate filing, classification, and/or indexing systems for records both paper and electronic. Such systems must enable the effective finding of appropriate records and need not be complex.

3.1.2 Store records in secure and stable environments, including electronic records storage on stable media and in accessible software formats.

3.1.3 Determine the confidentiality and privacy status of all their records and ensure that security measures are appropriate to meet the needs of the records.

3.1.4 Document their records organisational system, storage locations, and security procedures in line with existing policies and procedures.

4.1 All departments, offices and sub-contractors must know what they need to do with Assessment Services Ltd.'s records once the records are no longer in use.

Typical disposition of records includes:

4.1.1 Confidential destruction.

4.1.2 Transfer to Assessment Services Ltd archive for permanent retention.

4.1.3 Determine and undertake the appropriate disposition of their records in compliance with the data protection policy.

4.2 4.2.1 All departments and employees are expected to consult Assessment Services Ltd.'s retention schedule to determine the disposition of their records.

4.2.2 All departments and employees are expected to contact the Chair for assistance in interpreting the retention schedule or developing or modifying schedules as needed.

4.3 Records created, managed and stored in electronic format constitute the majority of information at Assessment Services Ltd. While the Records Retention Policy applies to records, regardless of format, additional detailed information on the management, storage, and disposition of electronic records will be forthcoming.

This policy has been drawn up within the context of Data Protection Policy and with other legislation or regulations (including audit, equal opportunities and ethics) affecting Assessment Services Ltd.