



# Record Retention Policy

## 1. Introduction

The **Institute of Industrial Engineers & Safety Management Systems (IIESMS)** is committed to effective records management to meet legal, regulatory, and operational requirements. This Record Retention Policy outlines the principles and procedures for retaining, managing, and disposing of records.

## 2. Policy Statement

IIESMS aims to:

- Ensure that records are retained for as long as necessary to meet legal, regulatory, and operational requirements.
- Safeguard the confidentiality, integrity, and availability of records.
- Dispose of records securely and in compliance with legal and regulatory requirements.

## 3. Scope

This policy applies to all records created, received, and maintained by IIESMS in any format, including paper and electronic records.

## 4. Definitions

- **Records:** Information created, received, and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business.
- **Retention Period:** The length of time that records must be kept before they are eligible for disposal.
- **Disposal:** The process of destroying or deleting records that are no longer required.

## 5. Responsibilities

### 5.1 Management

- Ensure that adequate resources are allocated for records management.
- Oversee the implementation and compliance with this policy.



### **5.2 Records Management Officer**

- Develop and maintain the record retention schedule.
- Provide training and guidance on records management practices.
- Monitor compliance with the Record Retention Policy.

### **5.3 Employees and Members**

- Comply with the Record Retention Policy and related procedures.
- Ensure that records are maintained and disposed of in accordance with the retention schedule.

## **6. Record Retention Schedule**

- A record retention schedule will be developed and maintained to specify the retention periods for different types of records.
- The schedule will be based on legal, regulatory, and operational requirements.
- Records must be retained for the specified retention period and disposed of promptly after the retention period expires.

## **7. Record Storage and Protection**

- Records must be stored securely to protect against unauthorised access, loss, or damage.
- Physical records should be stored in locked cabinets or secure storage areas.
- Appropriate security measures, including encryption and access controls, should protect electronic records.

## **8. Record Disposal**

- Records must be disposed of securely and in compliance with legal and regulatory requirements.
- Physical records should be shredded or incinerated.
- Electronic records should be securely deleted using methods that prevent recovery.

## **9. Legal Holds**

- In the event of litigation, audits, or investigations, relevant records must be preserved and not disposed of, even if the retention period has expired.



- Legal holds will be communicated to affected employees and members, and records under legal hold will be retained until the hold is lifted.

## **10. Training and Awareness**

- Provide training on records management practices and the Record Retention Policy to all employees and members.
- Ensure that all individuals understand their responsibilities for managing and retaining records.

## **11. Monitoring and Review**

- Regularly monitor compliance with the Record Retention Policy and record retention schedule.
- Conduct periodic audits of records management practices.
- Review and update the policy and retention schedule to ensure they remain relevant and effective.

## **12. Consequences of Non-Compliance**

- Non-compliance with the Record Retention Policy may result in disciplinary action, up to and including termination of employment or membership.

## **13. Contact**

For questions or concerns about this Record Retention Policy, please contact the **Records Management Officer**.

**Institute of Industrial Engineers & Safety Management Systems (IIESMS)**

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