



# UNIVERSITY *of* LIMERICK

OLLSCOIL LUIMNIGH

## Records Management & Retention Policy

Approved by Executive Committee: 25 January 2012

*Item 6 "Definition of a Record" amended to reflect legislative change: 15 April 2015*

*Legislative references updated 05 December 2018*

*Retention Schedule revised 11 January 2021*

## **1. Introduction**

1.1 All records created and received in the course of its official business constitute the official records of the University of Limerick.

1.2 The information contained in these records serves as evidence of functions executed and activities performed, and comprises a vital source of knowledge regarding how and why decisions were taken.

## **2. Purpose and Objectives**

2.1 The purpose of this Records Management & Retention Policy is to ensure the creation and management of complete, usable and reliable records, which are capable of supporting the University's functions and activities and which ensure accountability for as long as is required.

2.2 The objectives of this policy are to:

- support records management within the University;
- support the University's administrative and operational requirements, including adherence to University policies and compliance with relevant legislation;
- ensure preservation of records of permanent value and to ensure continued access to appropriate historical records;
- promote day-to-day efficiency and good office management;
- ensure timely destruction of records that no longer need to be retained.

2.3 This policy applies equally to records created and preserved in electronic and paper formats.

## **3. Records Management**

3.1 Records Management is the application of controls and procedures to the creation, maintenance, use and disposal of records in accordance with approved procedures.

3.2 Records Management includes *inter alia*: records classification; management of filing systems, retention scheduling; the administration of inactive records storage; management of record conversion programmes; disaster planning; vital records protection; archival preservation activities and appropriate destruction of records.

## **4. Ownership of records**

4.1 All records (including emails, images, photographs, databases etc.) that are created by University employees in the course of their duties are the property of the University. All records received are in the care of the University and are also subject to the University's overall control and to the provisions of this policy.

## **5. Responsibilities of University Employees**

- 5.1 This policy applies to all areas and locations of the University and includes all departments, offices, units, research centres and areas of work which form part of the University structure.
- 5.2 Operational responsibility for the implementation of this policy rests with the Head of each Academic/Administrative area.
- 5.3 Where records are used by more than one department/office/unit, clarity about which office has primary/final responsibility for management of the records should be established between the relevant offices.
- 5.4 The confidentiality of information within records must be safeguarded at all times. It is the responsibility of each department/office/unit to ensure that the appropriate security measures are observed for maintaining records containing personal or other confidential information.
- 5.5 Once records have been retained by the creating offices (*in situ* or off-site storage) for the requisite time as stipulated in the attached retention schedule, they must be destroyed or archived for permanent retention as set out in the schedule.
- 5.6 When scheduled for destruction, records must be shredded, pulped or otherwise disposed of securely. The manner of destruction of records must be appropriate to the level of confidentiality of the records.
- 5.7 In the case of in-house destruction, the department/office/unit should document and retain the date and manner of destruction of records
- 5.8 In the case of third-party destruction, a certificate or docket confirming destruction should be received and retained as proof of destruction.

## **6. Definition of a Record**

- 6.1 Records are documents in all formats, which are created/received and maintained as evidence of business completed or as a source of knowledge and which must be retained for as long as required to meet legal, administrative, financial, operational or historic needs of the University.
- 6.2 The Freedom of Information Act, 2014, defines a 'record' as follows:  
“(a) a book or other written or printed material in any form (including in any electronic device or in machine readable form);  
(b) a map, plan or drawing;  
(c) a disc, tape or other mechanical or electronic device in which data other than visual images are embodied so as to be capable, with or without the aid of some other mechanical or electronic equipment, of being reproduced from the disc, tape or other device;

- (d) *a film, disc, tape or other mechanical or electronic device in which visual images are embodied so as to be capable, with or without the aid of some other mechanical or electronic equipment, of being reproduced from the film, disc, tape or other device;*
- (e) *a copy or part of any thing which falls within paragraph (a), (b), (c) or (d)."*

6.3 Further definitions relating to records and records management are set out in Appendix 1 to this policy.

## **7. Forms of Records**

7.1 Records may exist in a variety of physical forms including:

- paper documents (written or printed matter);
- electronic records (i.e. word processing files, databases, spreadsheet files, emails, CCTV footage, electronic data on any media etc.);
- books, drawings and photographs;
- anything on which information is recorded or stored by graphic, electronic or mechanical means;
- copies of original records.

### **7.2 Electronic Records**

7.2.1 The nature of electronic records requires that consideration be given to security, authenticity, accessibility, version control, preservation (e.g. back-up of records) and the disposal of such records.

7.2.2 Staff must employ the following good housekeeping practices in the management of electronic records:

- sensible and consistent naming of files and folders;
- systematic indexing / classification of records;
- backup of appropriate files on a regular basis;
- delete records regularly (including email records) in accordance with the attached retention schedule;
- restrict access to record systems (use of passwords, timed lock out of PCs etc.);
- particularly sensitive records to be emailed to external bodies should be password protected;
- produce paper copies if required to maintain the integrity of manual files, etc;

7.2.3 In the case of electronic records where the computer equipment is maintained by the University's Information Technology Division (ITD), the office which creates/maintains these records must formally agree backup and recovery procedures with ITD. This is to ensure that there is no ambiguity as to which office is responsible for records in the event of hardware failure or accidental deletion of records.

7.2.4 Where electronic records are kept on systems not maintained by ITD, a formal inventory of such records must be maintained by the head of academic/administrative area.

## **8. Management and Retention of Records**

- 8.1 Records should be retained for as long as they are required to meet the legal, administrative, financial and operational requirements of the University during which time, they should be filed appropriately. Following a period of time, as set out in the attached retention schedule, they are either archived or destroyed.
- 8.2 University records must be sorted and filed on a basis that ensures efficient retrieval.
- 8.3 Appropriate filing/archiving or destruction of records is to be carried out in accordance with the attached retention schedule.
- 8.4 The retention schedule is based on a determination of legal retention requirements as defined in relevant legislation (including the Universities Act, 1997; Health, Safety and Welfare at Work Acts 2001 & 2005; Freedom of Information Act 2014; General Data Protection Regulation (GDPR) and Data Protection Acts 1988-2018 etc.) as well as University statutes, policies and procedures, administrative and operational requirements, historical value and general best practice.

## **9. Record Retention Schedule**

- 9.1 The attached records retention schedule prescribes the retention period for a range of records held by the University. This schedule is also available at [www.ul.ie/recordsmanagement/retention](http://www.ul.ie/recordsmanagement/retention)).
- 9.2 Any department/office/unit which considers that records should be retained for a longer period than that set down in the University retention schedule is required to consult with the Information & Compliance Officer to ensure that reasonable justification exists for their retention and, in the case of records which contain personal information, to ensure compliance with the GDPR and the Data Protection Acts (1988-2018).

# University of Limerick Records Retention Schedule

Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section.

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**Retention Schedule revised 11 January 2021**

# University of Limerick Records Retention Schedule (revised 11 January 2021)

## Administration/Other Campus-wide Records

Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.

General classes of records held by University offices/departments	Default retention period	Final disposition
<b>General Corporate / Administrative records</b>	--	--
University Statutes	Retain indefinitely	appropriate filing / archiving
Strategic Plans		
University Policies and Procedures	Retain current until superceded	
Records of Governing Authority & Academic Council and their Committees e.g. Executive Committee, Management Committee, Faculty and Professorial Boards <i>e.g. Agenda, signed minutes, documents relating to agenda items.</i>	Retain indefinitely	
Records of internal/operational meetings (e.g. Student Status, Grading meetings etc.) <i>e.g. Agenda, minutes, documents relating to agenda items i.e. reports etc.</i>	Retain for 5 years after relevant action completed	confidential shredding / secure deletion of electronic records
Records of Committees where Division/Faculty/Department/Unit represented only ( <i>i.e. where office does not hold primary responsibility for records</i> ) <i>e.g. Agenda, minutes, documents relating to agenda items i.e. reports etc.</i>	Retain for current year plus 1 year, or until actions completed	
Fundamental Risk Register, Local Risk Registers	Retain for 5 years after superceded	appropriate filing / archiving
University organisational structure	Retain until no longer relevant / Or until policy to which they relate is superceded	
Circulars, memos re policy matters ( <i>Master copy held by originating office only</i> )	Retain for current year plus 6 years	confidential shredding/ secure deletion of electronic records
Projections and statistical analyses	Retain for 5 years after resolution of complaint or from date of last correspondence	
General (non-HR) written Allegations / Complaints: records received/created as a result of investigating allegations/complaints	Retain indefinitely	appropriate filing / archiving
General (non-HR) written Allegations / Complaints: records received/created as a result of investigating allegations/complaints - significant cases which set precedents or result in changes to University policy		
Hand written notes taken by recording secretary present at meetings	Retain until minutes have been agreed and signed by chairperson at following meeting of the committee	destroy confidentially, as appropriate
Elections to Governing Authority	Retain for one month from date of election	confidential shredding / secure deletion of electronic records
Voting records (e-voting & paper based) Candidate Proposer & Secorder records		
Elections to Governing Authority Record of final result of Elections	Retain indefinitely	appropriate filing / archiving
Routine administration records	Retain for current year, or until they cease to be of administrative use	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General correspondence, including emails  <b>Where content of an email and/or its attachment(s) fall under another specific class of record in this Records Retention Schedule, it should be handled, retained and disposed of appropriately as set out in the relevant section of the Schedule.</b>		
<b>Other administration records specific to Faculties and Departments</b>	--	--
Quality Reports, Quality Assurance Peer Reviews	Retain until superseded	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Teaching Allocations / Semester Schedules		
General correspondence including emails (e.g. requests for Dean to speak to societies, requests for funding etc.)	Retain for current year, or until they have ceased to be of administrative use	appropriate filing / archiving
External liaison – e.g. correspondence with accreditation bodies etc.	Retain indefinitely	appropriate filing / archiving
Records of Awards: Faculty Teaching & Other		

## Administration/Other Campus-wide Records

*Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.*

General classes of records held by University offices/departments	Default retention period	Final disposition
<b>General Corporate / Administrative records</b>	--	--
<b>Legal Records</b>	--	--
Legal cases	Retain indefinitely	appropriate filing / archiving
Legal advice		
Legal correspondence		
Copyright records / trademark registrations		
Contracts for services	<i>See also "Procurement" &amp; Capital Projects" in Finance section (p10)</i>	--
Commercial contracts	<i>See also "Buildings &amp; Estates" section (p13)</i>	--
Maintenance contracts		
<b>Publications</b>	--	--
Annual reports/Faculty reports, Department booklets, course handbooks etc.	Retain 2 copies for University record and destroy remainder, once superceded	appropriate filing / archiving / destruction



## Research Records

*Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.*

General classes of records held by University departments which conduct research	Default retention period	Final disposition
<b>Research</b>	--	--
<b>Proposal / Research Funding applications</b> <i>e.g. forms, applications, reports, minutes, additional supplementary materials etc.</i>	Retain within relevant Department/Research Institute/Centre/Group for 10 years from submission of final report OR for the duration specified in the contract with funding provider, which ever is longer	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records relating to successful applications		
Records relating to unsuccessful applications	Retain within relevant Department Research Institute/Centre/Group for 2 years	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Research project administration</b> <i>e.g. Research contracts, reports, correspondence and other administration, formal reviews, non-disclosure/confidentiality agreements etc.</i>	Retain within relevant Department/Research Institute/Centre/Group for 10 years from submission of final report OR for the duration specified in contract with funding provider, which ever is longer	
<b>Finance records</b> <i>e.g. original records relating to Accounts payable/receivable; bank records; financial statements; original expenses/travel claims forms and receipts; procurement; payroll</i>	See 'Finance' section (p10)	See 'Finance' section
<b>Reporting</b> Papers, Reports (annual, final) etc.	Retain within relevant Department/Research Institute/Centre/Group indefinitely	appropriate filing / archiving
<b>Research data and findings</b> laboratory notebooks, statistical records, interview transcripts etc.  <i>Personal data is subject to the Data Protection Acts 1988 &amp; 2003. Researchers should undertake, at the earliest opportunity, to anonymise personal data held for the purposes of research.</i>	Retain within relevant Department/Research Institute/Centre/Group for the duration specified in the contract with funding provider OR the life of any related patent application, which ever is longer Otherwise, retain for 7 years following completion of the research project.	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>University - Industry interaction / Campus Companies/ Intellectual Property</b>	--	--
Records relating to establishment of campus companies	Retain for a minimum of 5 years <b>AND</b> in accordance with any additional specific requirements	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Commercialisation of research: legal, financial, general correspondence etc.		
Records relating to University owned Inventions / Intellectual Property: patents, copyrights, trademarks, registered designs and other expressions of Intellectual Property, Intellectual Property & Licence agreements, confidentiality agreements etc.		
Copyright records / Trademark registrations	Retain indefinitely  See also, "Legal Records" section (p6) for further information	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records

## Faculty, Academic Department and Student Records

*Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.*

General classes of records held by University Faculty/Academic Departments, SA offices, Registrar's Office (as relevant)	Default retention period	Final disposition
<b>Programme development / Accreditation</b>	Retain indefinitely	appropriate filing / archiving
<b>Student Applications</b>	--	--
Records of successful applicants <u>via CAO</u>		
Records of successful <u>direct entry</u> applicants (undergraduate and postgraduate): e.g. applications, submitted transcripts, references, letters of support, letter from nominating supervisor, thesis proposals etc.	Retain for duration of studies * plus 3 years	
Records of unsuccessful applicants (undergraduate & postgraduate) where no appeal initiated (appeal process relevant to direct entry applications only)	Retain for no longer than two years. <b>Anonymised applicant data may be retained for as long as required for administrative/statistical use.</b>	confidential shredding / secure deletion of electronic records
Unsuccessful applicant appeals submissions, appeal committee reports/outcomes	Retain for 5 years following completion of action	
<b>Overseas recruitment / exchange</b> , agreements, etc.	Retain for duration of agreement with agent plus 2 years	
<b>Undergraduate and Postgraduate University records maintained by ACADEMIC REGISTRY</b>	--	--
<b>Student Enrolment</b> record (inc student name, ID number, contact details on SI system etc.)	Retain indefinitely	appropriate filing / archiving
Records including: Student registration, grant records, awards/scholarships, extenuating circumstances forms, requests for extensions, leave of absence, deferral, transfer, readmission, exemptions, Student Status etc.		
<b>University correspondence with students</b> general undergraduate / postgraduate etc.		
<b>Undergraduate and Postgraduate files not held centrally</b> (i.e. maintained by Offices other than <b>ACADEMIC REGISTRY</b> ) such as:  Records relating to Access, Disability, Co-operative Education and Careers, Lifelong Learning and Outreach, References, medical / sick certificates and University correspondence with students such as that relating to Mature years / Socrates / Erasmus etc.	Retain for duration of studies * plus 3 years	confidential shredding / secure deletion of electronic records
<b>Student Fees / Financial</b> Records re student fees, payment records, bank giros		
<b>Postgraduate Research Students</b> Academic progress records, not held centrally in Academic Registry Student records re supervision and support not held centrally in Academic Registry		
<b>Postgraduate theses.</b>		
Records of student awards, prizes	Retain indefinitely	appropriate filing / archiving
<b>Student discipline records</b> Records relating to minor offences Records relating to major offences	Retain for duration of studies * plus 7 years Retain for duration of studies * plus 25 years	confidential shredding / secure deletion of electronic records
<b>Garda Vetting records</b> originating from: Garda Vetting Bureau Other Vetting Agencies	Retain for duration of studies * plus 1 year. Retain for duration of studies * plus 3 years.	confidential shredding / secure deletion of electronic records

*\*Duration of studies \* may be interpreted as a student's completion or discontinuation of their programme of study.*

## Faculty, Academic Department and Student Records

*Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.*

<b>Examination, Results, Graduation records</b>	--	--
<b>Examination papers</b> (and related records i.e. recommended marking scheme, suggested solutions etc. where relevant)	Retain indefinitely	appropriate filing / archiving
<b>Records which contribute towards module grade</b> and which have not been returned to students: e.g. Examination scripts, essays, case studies, cooperative education reports etc.	Retain for 13 months following the final appeal date applying to Annual Repeats for given A/Y	confidential shredding/ secure deletion of electronic files
Final Year Projects (FYPs) and associated records, raw data etc.	Retain for 3 years following deadline for appeal (FYP may be held in relevant Departmental Office or Glucksman Library) Other records including raw data to be retained within relevant Department/Research Institute/Centre/Group)	confidential shredding / secure deletion of electronic records
<b>Examination scripts which undergo recheck / appeals procedures.</b> 1 Original Examination script record – recommended that such scripts be retained on file centrally in relevant Head of Department Office	Retain for 2 years after action completed	confidential shredding
2 <b>SAA:</b> Examinations Recheck and Appeal form, outcome record	Retain indefinitely	appropriate filing / archiving
<b>External examiners' reports</b>	Retain for a minimum of current year plus 3 years (until no longer required)	appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
External Examiners Correspondence, meetings records etc.	Retain for current year plus 3 years	confidential shredding / secure deletion of electronic records
<b>Student Attendance / Rollcall records</b>		
Student Attendance Records - Covid-19 Contact Tracing Purposes	Retain for 4 weeks.	
Student Attendance Records – where required for academic assessment purposes refer also to “Records which contribute towards module grade” (above)	Retain for 13 months following deadline for appeal for given module	Secure deletion of electronic records / confidential shredding
Records of module grades		
Amendment to marks, published results/grade alteration correspondence		
Formal broadsheets		
Examination board meeting records		
Student academic transcript		
Conferring records		
Alumni records		
	Retain indefinitely	appropriate filing / archiving

**\*Duration of studies \* may be interpreted as a student's completion or discontinuation of their programme of study.**

## Finance Records

Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section. Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.

General classes of records held by University's Finance Division	Default retention period	Final disposition
<b>Accounts payable</b>	<p><b>Core budgets:</b> Retain for current year plus 6 years and C&amp;AG audit signed off plus additional time if required by contract.</p> <p><b>Research budgets:</b> Retain records linked to research projects for the duration specified in the contract with funding provider or research programme* and C&amp;AG audit signed off</p>	confidential shredding / secure deletion of electronic records
Batches of invoices and vouchers		
VAT records		
Tax clearance certificates		
<b>Accounts receivable</b>		
Debtors Ledgers		
Income listings		
Income control accounts		
Receipts reconciliation		
<b>Bank records</b>		
Paid cheques	Retain indefinitely in original form	appropriate filing / archiving
Bank reconciliation		
Bank statements		
<b>Financial Statements</b>		
Annual financial statements		
Final budget reports	Retain indefinitely in original form	appropriate filing / archiving
Registers maintained in Finance Department under statute i.e. Register of insurances, mortgage assets		
<b>Fixed assets</b>		
Records of University Properties, sale and purchase	Retain indefinitely	appropriate filing / archiving
Asset register		
<b>Agreements</b> Rental, Lease, Use, Occupancy	Retain indefinitely	appropriate filing / archiving
<b>Capital Projects</b> records	Retain for 10 years after completion of project and following C&AG audit sign off	Appraise & evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Other records</b>	Retain indefinitely in original form	appropriate filing / archiving
Audit reports / records		
Internal financial policies, accounting standards, procedures etc.	Retain until superseded or C&AG audit signed off, whichever is the later	confidential shredding / secure deletion of electronic records
Expenses/Travel claims forms, all supporting receipts	<p><b>Core budgets:</b> Retain for current year plus 6 years and C&amp;AG audit signed off plus additional time if required by contract.</p> <p><b>Research budgets:</b> Retain records linked to research projects for the duration specified in the contract with funding provider or research programme* and C&amp;AG have signed off on the audit</p>	
Cancelled cheques	Retain until C&AG audit signed off	
Receipt books		
Purchase order books		
Voucher books		
Stores requisition books	Retain for current year, or until they have ceased to be of administrative use	appraise & evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General correspondence		
<b>Procurement</b>	--	--
Procurement records: Purchase Orders, Requisitions etc.	<p><b>Core budgets:</b> Retain for current year plus 6 years and C&amp;AG audit signed off plus additional time if required by contract</p> <p><b>Research budgets:</b> Retain records linked to research projects for the duration specified in the contract with funding provider or research programme* and C&amp;AG audit signed off</p>	appraise & evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Tender documentation (inc. specifications, quotations, plans, drawings etc.)	Following completion of contract, retain for current year plus 6 years and C&AG audit signed off	
Contracts for services	Retain for current year plus 2 years	
Commercial contracts	Retain for current year plus 2 years	confidential shredding / secure deletion of electronic records
Unsuccessful tender documentation		
<b>Payroll</b>	--	confidential shredding/ secure deletion of electronic files
Pay-sheets, authorisations to deduct tax details of staff, appointment details, payscales	Retain on personnel file for duration of employment and for 5 years after last pension payment	
Listings / payslips		

### Classes of records of Financial nature held by Depts/Divisions/Offices etc. other than Finance/Accounts sections

General classes of records held	Default retention period	Final disposition
<b>Financial - Budgets / Costings</b> Faculty/Department/ Division budget records, departmental revenue/expenses etc.	Retain for current year plus 6 years	confidential shredding / secure deletion of electronic records
<b>Invoices</b> – copies, if held (originals held in Finance Division)	Retain for current year plus 2 years	

\* IMPORTANT - Abide by the records retention requirements provided for in the contract with the funding provider / Research programme, where relevant

## HR Records

Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed –refer to Records Management and Retention Policy for further information.

General classes of records held by University HR Division	Default retention period:	Final disposition:
<b>Unsolicited applications</b> for positions	None	confidential shredding
<b>Recruitment / Competition files / Assessment Boards, Promotions Boards</b>	--	--
Vacancy notification Advert copies Job description Selection criteria	Retain indefinitely	appropriate filing / archiving
Candidates <b>not qualified or short listed</b> for interview: <i>Cover letters, application forms/CVs etc.</i>	Retain until review period has passed, final appointment has been approved plus 2 years	confidential shredding /secure deletion of electronic files
Applications and CVs of candidates <b>shortlisted for interview but who do not attend:</b> <i>Cover letters, application forms/CVs etc.</i>		
Candidates <b>short listed and who attend interview but who are not successful</b> or who are <b>successful but do not accept offer</b> <i>Cover letters, application forms/CVs etc.</i>		
Interview Board marking sheet Interview Board notes Panel recommendation by Interview Board		
<b>Personnel Files</b>	Retain on personnel file for duration of employment and for 5 years after last pension payment	confidential shredding /secure deletion of electronic files
<i>May include such records as:</i> Personal contact details Staff identification number Application form/CV/cover letter Contract of employment (Offer of appointment, Date appointed) Evidence of education qualifications References Questionnaire on Criminal Offences Recruitment medical Probation forms Salary rates and increments Service Records Completion of mandatory training (where relevant) Termination notices Training and development records Safety Training Records Occupational Health Reports  Leave records relating to: Sabbatical, Secondment, Career break, Sick Leave, Shorter-working year/Term-time, Job-share scheme, Part-time Working records, Parental leave, Adoptive Leave, Maternity Leave, Research Leave, Force Majeure, Examination, Jury Leave, Bereavement Leave etc.		
Annual Leave		
<b>Payroll</b> Pay-sheets, authorisations to deduct tax details of staff, appointment details, payscales	See "Payroll" in Finance Section (p10)	--
<b>Superannuation / retirement records</b>	Retain on personnel file for duration of employment and for 5 years after last pension payment	confidential shredding/secure deletion of electronic files
<b>Discipline records</b> Records relating to disciplinary actions taken against employees e.g. warnings, suspensions recorded, or copy warnings placed on an employee's personnel record etc.	Retain as set out in Statute No. 4	
<b>HR Allegations and complaints</b> Written Allegations / Complaints: records received/created as a result of investigating allegations / complaints	Retain in accordance with relevant Policy	
Written Allegations / Complaints: records received/created as a result of investigating allegations / complaints - significant cases which set precedents or result in changes to University policy.	Retain indefinitely	appropriate filing / archiving

## HR Records (continued)

*Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed –refer to Records Management and Retention Policy for further information.*

General classes of records held by University HR Division	Default retention period:	Final disposition:
<b>Occupational Health Records, Health and Safety</b>	--	--
<b>Safety Policies</b> <i>e.g. Safety Statement, Executive Crisis Management Plan, Building Emergency Evacuation Plans, Departmental Safety Codes of Practice, Local Safety Procedures, Radiation Safety Manual, etc.</i>	Retain for 5 years after superseded then destroy	confidential shredding/ secure deletion of electronic files
<b>Safety promotions, campaigns, etc.</b> <i>e.g. Health promotion plans, workplace campaigns, implementation of protection and healthy workplace arrangements)</i>	Retain for 5 years	
Fire Drill Records		
<b>Safety Training Records</b>	Retain on personnel file for duration of employment and for 5 years after last pension payment	
<b>Risk Assessments Records</b> <i>e.g. General, Chemical Agent, DSE, Manual Handling, Radiation, Biological Agent, Construction, Pregnant Employee, etc.</i>	Retain for 5 years after superseded or after activity ceases, whichever relevant	
<b>Incident Reports</b> <i>e.g. Accident Reports and Dangerous Occurrence Report Forms</i>	Retain for 7 years after date of incident  <i>See also "Insurance" section (p13)</i>	appropriate filing / archiving
<b>Occupational Health Reports (including Consultant Physician's reports)</b> Reports relating to UL personnel.	Retain on personnel file for duration of employment and for 5 years after last pension payment	
<b>Occupational Health Reports</b> Reports not relating to specific members of UL personnel.	Retain for 100 years after date of incident	
Safety audits, investigations and safety evaluation records where cases result in significant changes to policy	Retain indefinitely	
Notifications of personal accidents or hazardous situations on campus (which result in injuries / compensation claims)	<i>Please refer to "Insurance" section (p13)</i>	--
<b>Industrial Relations</b>	--	--
Union correspondence	Retain indefinitely	appropriate filing / archiving
Third Party recommendations <i>e.g. Employment Appeals Tribunal (EAT), Labour Court, Equality Tribunal, Labour Relations Commissions etc.</i>		
Awards and Agreements records		
Individual industrial relations issues		
Claims records ( <i>e.g. correspondence, status records etc.</i> )		

### Classes of records of HR nature held by Depts/Divisions/Offices etc. other than Human Resources Division

General classes of records held	Default retention period	Final disposition
<b>Employee requests for research leave</b> (copies - originals held by HR) <b>Leave of absence forms</b> Copies signed by Dean/Head of Division	Retain for current year plus 4 years	confidential shredding/ secure deletion of electronic files
<b>Employee Sick Leave forms</b> copies held (originals held by HR) <b>PDRs forms</b>	Retain until superceded	confidential shredding/ secure deletion of electronic files



## Classes of records held by specific University offices/departments

Please refer to the FULL SCHEDULE as record types relevant to your Division/Office/Unit may be listed in more than one section  
Please note importance of identifying office with **primary responsibility** for records listed – refer to Records Management and Retention Policy for further information.

Classes of records held by specific University offices/departments	Default retention period	Final disposition
<b>Buildings and Estates</b> <i>See also, "Finance" and "Procurement" sections (p10)</i>	--	--
Physical Planning records, Property Deeds, Campus Plans/Maps, Planning Applications/Approvals	Retain indefinitely	appropriate filing / archiving
Maintenance records (buildings, structures, grounds) 1. Major maintenance, conservation work/fitouts of local, state or national significance 2. All other major maintenance work/fitouts 3. Routine maintenance, cleaning work	1. Retain for 7 years following completion 2. Retain for 7 years following completion 3. Retain for 2 years following completion	confidential shredding/ secure deletion of electronic files
Records pertaining to security operations, lists of keys issued, office space	Retain until superseded	
Inspection Records (works equipment etc)	Retain for 5 years from date of inspection	confidential shredding/ secure deletion of electronic files
Security – CCTV footage	Retain for a maximum of 1 month, unless specifically required for investigation/ security/safety/legal purposes.	secure deletion of electronic files /overwriting from recording system
<b>Insurance</b>	<i>see also, "Legal" section (p5)</i>	--
Insurance Policies	Retain for 7 years and C&AG audit signed off	confidential shredding/ secure deletion of electronic files
Claims correspondence and records of providing legal support & representation in dealing with claims by or against the University of Limerick which do not proceed to litigation or settlement by an agreement	Retain for 7 years following settlement OR withdrawal of claim	
Claims correspondence and records of litigation with third parties	Retain indefinitely	
<b>Glucksman Library</b>	--	--
Non-active borrower details	Retain for 5 years from date of last activity	secure deletion of electronic files
Borrower details where book returns / fines remain outstanding	Retain while account remains outstanding. Once account closed, treat as "non-active borrower details" as above	--
<b>ITD</b>	--	--
ITD records of Emails sent and received, Internet & Computer usage (student and staff) and backups	Retain for 3 months	secure deletion of electronic files
<b>Student Health Centre and Counselling Service</b>	--	--
Student Health Centre - medical records	Retain for the duration of student's studies plus 8 years.	confidential shredding/ secure deletion of electronic files
Student Health Centre - mental health records	Retain for the duration of student's studies plus 20 years	
Counselling Service - Student records, case notes, assessment reports, recommendations	Retain for duration of studies plus 7 years	confidential shredding/ secure deletion of electronic files
<b>Ceremonies / Press / Communications Offices</b>	--	--
University press releases	Retain indefinitely	appropriate filing / archiving
PR campaigns		
Formal records of ceremonies / functions <i>i.e. honorary conferrings VIP visits, presidential inaugurations etc. (e.g. photographs, audiovisual recordings, programmes of events as relevant)</i>		
<b>Compliance</b>	--	--
Ethics in Public Office statements of interest (Designated Directors & Designated Position holders)	Retain for 15 years	confidential shredding/ secure deletion of electronic files
FOI / Data Protection: decisions on requests	Retain indefinitely	appropriate filing / archiving
FOI / Data Protection: other records relating to requests	Retain for 7 years after final action completed	confidential shredding/ secure deletion of electronic files

## **Appendix 1: Further Records & Records Management definitions**

### **Record Series**

Groups of related records, which are created and used with a common purpose, for example, financial records; personnel records; examination results, committee minutes etc.

### **Records Classification**

The procedure where records are identified and categorised for filing on the basis of their subject, and are assigned a file name for efficient retrieval.

### **Active Record**

Active records are records, which are required and referred to constantly for current use, and which need to be retained and maintained in office space and equipment close to users.

### **Semi-active Record**

Semi-active records are records, which are referred to infrequently and are not required constantly for current use. Semi-active records are often removed from office space to off-site storage until they are no longer needed.

### **Inactive Record**

Inactive records are records for which the active and semi-active retention periods have lapsed and which are no longer required to carry out the functions for which they were created.

### **Permanently valuable records – archives**

Permanently valuable records include those with legal, operational, administrative, historical, scientific cultural and social significance.

### **Disposition**

Disposition is the action taken in regard to the disposal of active records, which can involve physical destruction by means of security shredding or recycling; transfer to archival storage for selective or full retention; or special disposition through a formal act of alienation from the custody of the University.

### **Records Retention Schedules**

A Records Retention Schedule is a control document that describes the University's corporate records at a series level and indicates the length of time each series should be retained prior to final disposition; and the final disposition of each series. This document serves as the legal authorisation for the disposal of records.