

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

## **Record Retention Schedule and Guidance**

### **September 2020**

### **Version 1**

This Schedule provides guidance for all areas of the University on the recommended retention periods for various categories of records. The Schedule should be used in conjunction with [QA442 Record Retention Policy](#).

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Before action is taken to permanently preserve or destroy a record at the end of its retention period, a reappraisal of any need to retain it for present functions should be undertaken, but it should only be necessary to attribute a revised retention period on rare occasions. Staff may be justified in applying longer retention periods where other factors require consideration, such as audit investigations, legal cases, or ongoing business requirements. If there are specific external regulatory or legal requirements which determine that certain units of the University should keep particular records for longer or shorter retention periods than those stated in the Schedule, then those requirements should be followed.

The Schedule is not intended to be an exhaustive list of all categories of records and documents held by the University and will not provide direct and conclusive answers to all retention queries. It should be to inform local practices and policies. It is advised that individual units of the University create their own retention schedules using their Information Asset Registers and the instruction provided in this document.

The Schedule is split into sections based on different Divisions, Units or Services. However, in practice the records listed in each section may be held both within and outside of the corresponding unit. For example, finance and HR records are generated and stored within Colleges and Schools as well as the Finance and HR services.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

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

## **Index**

1. Record Retention Schedule for Research Records
2. Record Retention Schedule for Department, School and Student Records
3. Record Retention Schedule for Finance Records
4. Record Retention Schedule for HR Records
5. Record Retention Schedule for Administration/Other Campus-wide Records
6. Record Retention Schedule for Classes of records held by specific University offices/areas

DRAFT

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

## 1. Record Retention Schedule for Research Records

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods. **Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
Records relating to unsuccessful research applications	Retain within relevant School Research Institute/Centre/Group for 2 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Formulations or deliberations leading to application for funding/approval or commencement of research	Retain for duration of research project plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Research project administration e.g. Research contracts, reports, research project design and preparatory papers, correspondence and other administration, formal reviews, non-disclosure/confidentiality agreements etc.	Retain within relevant School/Research Institute/Centre/Group for 7 years from submission of final report OR for the duration specified in contract with funding provider, whichever is longer	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Finance records e.g. original records relating to accounts payable/receivable, grants, bank records, financial statements, original expenses/travel claims forms and receipts, procurement, payroll	See 'Finance' Schedule	See 'Finance' Schedule
Reporting Papers, reports (annual, final) etc.	Retain within relevant School/Research Institute/Centre/Group indefinitely	Appropriate filing / archiving

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

General classes of records held	Default retention period	Final disposition
<p>Research data and findings Laboratory notebooks, statistical records, interview transcripts etc. Personal data is subject to the Data Protection Acts 1988-2018. Researchers should undertake, at the earliest opportunity, to anonymize personal data held for the purposes of research.</p>	<p>Retain for duration of research project plus 7 years with the exception of the following: European Regional Development Fund (ERDF) 2000-2006 (HEA PRTL Cycles 1-3) 15 Years European Regional Development Fund (ERDF) 2007-2013 (HEA Cycles 4-5) 15 Years ESF Third Level Access Measure 2000-2006 15 Years ESF Third Level Access Measure 2007-2013 15 Years OR for the duration specified in contract with funding provider, whichever is longer</p>	<p>Appraise and evaluate correct retention period as per preceding column and once correct period is identified confidential shredding / secure deletion of electronic records</p>
Data protection impact assessments	Until superseded by a new assessment plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
University Policies and Procedures	Retain current until superseded	Appropriate filing / archiving
Final research outputs (formal publications etc)	One copy retained on publication permanently	Send to the University's Institutional Repository (if suitable for open access)
Records relating to establishment of campus companies and subsidiary companies	Retain while University has a holding plus 13 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Commercialisation of research: legal, financial, general correspondence etc.	Retain for the lifetime of the intellectual property and, once expired, for a minimum of 7 years AND in accordance with any additional specific requirements	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records relating to University owned inventions / intellectual property: patents, copyrights, trademarks, registered designs and other expressions of intellectual property, intellectual property & license agreements, confidentiality agreements etc.	Retain for the lifetime of the intellectual property and, once expired, for a minimum of 7 years AND in accordance with any additional specific requirements	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records documenting the issue of licenses/license option(s) arising from University	Retain for duration of license/license option(s) plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding /

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

General classes of records held	Default retention period	Final disposition
research/patents		secure deletion of electronic records
Records dealing with termination of intellectual property licenses, agreements, contracts or partnerships	Retain for the lifetime of the intellectual property plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Assignments of intellectual property	Retain indefinitely	Appropriate filing / archiving
Copyright / trademark /patent records, registrations or design certificates	Retain indefinitely  See also, “Legal Records” for further information	Appropriate filing / archiving
Records relating to infringement of intellectual property	Retain for the lifetime of the intellectual property plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Consultancy Services</b>	-	-
The establishment and administration of consultancy services relating to research	Retain for a minimum of 7 years AND in accordance with any additional specific requirements	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Research collaboration agreements	Retain for duration of research project plus 7 years for research funded by Irish funding agencies  For projects funded by the EU the following apply: H2020 projects 5 years from when the final balance is paid to the institution European Regional Development Fund (ERDF) 2000-2006 (HEA PRTL I Cycles 1-3): 15 Years  European Regional Development Fund (ERDF) 2007-2013 (HEA Cycles 4-5): 15 Years  ESF Third Level Access Measure 2000-2006: 15 Years	Destroy by confidential shredding/secure deletion

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

General classes of records held	Default retention period	Final disposition
	ESF Third Level Access Measure 2007-2013: 15 Years  For industry funded retain while active and 7 years following conclusion of project.	
Case files relating to allegations of research misconduct.	Retain for 7 years from closure of case or end of investigation.	Destroy by confidential shredding/secure deletion
University Research Ethics Committee applications. (successful and unsuccessful)	Retain for duration of research project plus 7 years for research funded by Irish funding agencies. For projects funded by the EU the following apply: H2020 projects 5 years from when the final balance is paid to the institution European Regional Development Fund (ERDF) 2000-2006 (HEA PRTL I Cycles 1-3): 15 Years  European Regional Development Fund (ERDF) 2007-2013 (HEA Cycles 4-5): 15 Years ESF Third Level Access Measure 2000-2006: 15 Years ESF Third Level Access Measure 2007-2013: 15 Years For industry funded retain while active and 7 years following conclusion of project.	Destroy by confidential shredding/secure deletion
Research ethics committee minutes, agendas, membership and policies and procedures	Retain indefinitely	Appropriate filing / archiving

Noted by Vice President for Research Date: July 2020

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

## 2. Records Retention Schedule for College, Office, School and Student Records

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods. **Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
<b>Programme development / accreditation</b>	-	-
University Policies and Procedures	Retain indefinitely	Appropriate filing / archiving
Records detailing the approval and accreditation of taught degree courses from professional, statutory, regulatory and other formal bodies	End of course plus 10 years unless required to be retained for longer by statute	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Formal reviews of individual taught degree programmes - final reports and core working papers	End of course plus 10 years unless required to be retained for longer by statute	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Anonymized summaries and analysis of student feedback on individual taught degree programmes	End of course plus 10 years unless required to be retained for longer by statute	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Agreements with partner and validated institutions (including Memoranda of Understanding)	Termination of agreement plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Student applications</b>	-	-

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

General classes of records held	Default retention period	Final disposition
Records of successful applicants <u>via CAO</u>	Retain for duration of studies * plus 7 years	Destroy by confidential shredding/secure deletion
Records of successful direct entry 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 7 years	Destroy by confidential shredding/secure deletion
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.  Anonymized applicant data may be retained for as long as required for administrative/statistical use. Please discuss with Data Protection Officer as required.	Confidential shredding / secure deletion of electronic records
Unsuccessful applicant appeals submissions, appeal committee	Retain for 5 years following completion of action	Confidential shredding / secure deletion of electronic records
Overseas recruitment / exchange, agreements, student applications for	Retain for duration of agreement with agent plus 3 years	Confidential shredding / secure deletion of electronic records
<b>Undergraduate and postgraduate University records maintained by SAA</b>	-	-
Student enrolment record (incl. student name, ID number, contact details on SI system etc.)	Retain indefinitely	Appropriate filing / archiving
Records including: Student registration, grant records, extenuating circumstances forms, requests for extensions, leave of absence, deferral, transfer, readmission, exemptions, student status etc.	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records



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

General classes of records held	Default retention period	Final disposition
University correspondence with students: General undergraduate / postgraduate etc.	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Records of appeals, grievances and complaints	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Attendance records	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Student placement records/reports	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Undergraduate and postgraduate files not held centrally (i.e. maintained by Offices other than Academic Registry) 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
Student fees / financial: Records re student fees, financial assistance, payment records, bank giros	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Postgraduate research students: Academic progress records, not held centrally in Academic Registry Student records re supervision and support not held centrally in Academic Registry	Retain for duration of studies * plus 3 years	Confidential shredding / secure deletion of electronic records
Postgraduate theses (And attaching records of student awards, prizes)	Retain indefinitely	Appropriate filing / secure archiving

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

General classes of records held	Default retention period	Final disposition
Student discipline records: Records relating to minor offences Records relating to major offences	Retain for duration of study* plus 7 years Retain for duration of study* plus 25 years	Confidential shredding / secure deletion of electronic records
Student Garda Vetting records: Originating from: Garda Vetting Bureau Other Vetting Agencies	Retain for duration of study* plus 1 year. Retain for duration of study* plus 3 years.	Confidential shredding / secure deletion of electronic records
Counselling records (also refer to 'Schedule for Classes of records held by specific University offices/areas')	Retain for the duration of student's studies plus 20 years	Confidential shredding / secure deletion of electronic records
Examination, results, graduation records	--	--
Examination papers (and related records i.e. recommended marking scheme, suggested solutions etc. where relevant)	Retain indefinitely	Appropriate filing / archiving
Records which contribute towards module grade and which have not been returned to students: e.g. examination scripts, essays, case studies, cooperative education reports etc.	Retain for 13 months following deadline for appeal	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 James Hardiman Library)  Other records including raw data to be retained within relevant Department/ Research Institute/Centre/Group)	Confidential shredding / secure deletion of electronic records
Examination scripts which undergo recheck / appeals procedures. 1 Original examination script record – recommended that such scripts be retained on file centrally in relevant Head of School Office	1. Retain for 2 years after action completed	1. Confidential shredding

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

General classes of records held	Default retention period	Final disposition
2 Academic Registry: Examinations Recheck and Appeal form, outcome record	2. Retain indefinitely	2. Appropriate filing / secure archiving
Summaries of mitigating evidence and examination allowances relating to individual students	Graduation or departure plus 7 years	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records concerning the appointment of individual external examiners (excluding formal HR records)	End of individual's appointment plus 1 year	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
External examiners' reports	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
Confirmation of prizes awarded	Retain indefinitely	Appropriate filing / secure archiving
Administration of prize	Academic year plus 7 years	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Honorary degree committee records	Retain indefinitely	Appropriate filing / secure archiving
Records of module grades	Retain indefinitely	Appropriate filing / secure archiving
Amendment to marks, published results/grade alteration correspondence	Retain indefinitely	Appropriate filing / secure archiving
Formal broadsheets	Retain indefinitely	Appropriate filing / secure archiving

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

General classes of records held	Default retention period	Final disposition
Examination board meeting records	Retain indefinitely	Appropriate filing / secure archiving
Student academic transcript	Retain indefinitely	Appropriate filing / secure archiving
Conferring records	Retain indefinitely	Appropriate filing / secure archiving
Alumni records	Retain indefinitely	Appropriate filing / secure archiving
<b>Staffing records</b>	-	-
Staff timetables	Current year plus 3 years	Confidential shredding / secure deletion
<b>General</b>	-	-
Department booklet, course handbooks, reading lists, handouts	Retain until superseded and maintain for one year	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General course inquiries	Retain for one year and delete if desired	Confidential shredding / secure deletion

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

Noted by Academic Secretary  
Noted by Registrar and Deputy President

Date: July 2020  
Date: July 2020

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

### 3. Record Retention Schedule for Finance Records

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods.

**Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
<b>Accounts payable</b>	<b>Core budgets:</b> Retain for current year plus 10 years from C&AG audit signed off plus additional time if required by contract.  <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&AG audit signed off  Article 140 of Regulation (EU) No 1303/2013 requires that supporting documentation regarding expenditure supported by the funds for which the total expenditure is less than €1,000,000 be retained for a period of 3 years from 31 December following submission of the accounts in which the expenditure of the operation is included or for two years following the submission of accounts in which the final expenditure of the completed operation is	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		
Bank reconciliation		
Bank statements		

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

General classes of records held	Default retention period	Final disposition
	included	
<b>Financial Statements</b>	-	-
Annual financial statements	Retain indefinitely in original form	Appropriate filing / secure archiving
Financial statement preparatory documents	End of current year plus 7 years	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Final budget reports	Retain indefinitely in original form	Appropriate filing / secure archiving
<b>Fixed assets</b>		
Records of University properties, sale and purchase		
Asset register		
<b>Agreements</b> rental, lease, use, occupancy	Retain indefinitely	Appropriate filing / secure archiving
Records relating to Trusts	Retain indefinitely	Appropriate filing / secure archiving
<b>Other records</b>	-	-
Audit reports / records	Retain indefinitely in original form	Appropriate filing / secure archiving
University Policies and Procedures	Retain current until superseded	Appropriate filing / secure archiving
Registrars maintained in Finance Department under statute (e.g. Register of insurance)	Retain indefinitely in original form	Appropriate filing / secure archiving
Authorisations for delegations of expenditure	Retain for current year plus 10 years	
Records regarding development and management of budgets	Retain for current year plus 10 years	
Departmental Grants (correspondence and related material between finance office and departments)	Retain for current year plus 10 years	
	<b>Core budgets:</b> Retain for current year plus 10 years and C&AG audit signed off plus additional time if required by contract.	
Expenses/travel claims forms, all supporting receipts	<b>Research budgets:</b> Retain records linked to research projects for the	

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

General classes of records held	Default retention period	Final disposition
	duration specified in the contract with funding provider or research programme* and C&AG have signed off on the audit	
Cancelled cheques	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Receipt books	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Purchase order books	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Voucher books	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Stores requisition books	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Petty Cash	Retain until C&AG audit signed off	Confidential shredding / secure deletion of electronic records
Donations	Retain until reference ceases	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records in relation to investments, including types of investment, maturity dates etc	Retain until reference ceases	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Loans	Retain for 7 years after final repayment/discharge	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General correspondence	Retain for current year, or until they have ceased to be of administrative use	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Capital Projects</b> records	Retain for 10 years after completion of project and following C&AG audit sign off	Appraise and evaluate for archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Procurement</b>	-	-
Procurement records: purchase orders,	<b>Core budgets:</b>	Appraise & evaluate for secure archiving where

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

General classes of records held	Default retention period	Final disposition
requisitions etc.	Retain for current year plus 10 years and C&AG audit signed off plus additional time if required by contract  <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&AG audit signed off	relevant otherwise, confidential shredding / secure deletion of electronic records
Tender documentation (incl. specifications, quotations, plans, drawings etc.)	<b>Core budgets:</b> Retain for current year plus 6 years and C&AG audit signed off following the completion of contract <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&AG audit signed off	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Contracts for services	Following completion of contract, retain for current year plus 6 years and C&AG audit signed off	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Commercial contracts	Following completion of contract, retain for current year plus 6 years and C&AG audit signed off	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Payroll</b>	-	-
Pay-sheets, details of staff, authorisations to deduct tax details of staff, and non-statutory deductions, appointment details, payscales, sick pay scheme, maternity pay scheme	Life of individual plus 3 years	Confidential shredding/ secure deletion of electronic files
Listings / payslips	Life of individual plus 3 years	Confidential shredding/ secure deletion of electronic files
Clock cards	Retain for current year plus 7 years	Confidential shredding/ secure deletion of



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

General classes of records held	Default retention period	Final disposition
		electronic files
<b>Records held by Divisions/ Schools/ Offices etc. other than finance/accounts sections</b>	-	-
Financial - budgets / costings Department/School/ Division budget records, departmental revenue/expenses etc.	Retain for current year plus 7 years	Confidential shredding/ secure deletion of electronic files
Invoices – copies, if held (originals held in Finance Division)	Retain for current year plus 2 years	Confidential shredding/ secure deletion of electronic files

Noted by Bursar

Date: July 2020

DRAFT

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

#### 4. Record Retention Schedule for HR Records

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods. **Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
Annual/Sick Leave Records	4 years for unit concerned to be held securely with access strictly limited to those who need to have access. Only one copy should be held securely and extra copies should be deleted.  Annual/Sick Leave Records will be held on HR file for duration of employment. On retirement or resignation, hold for a further 7 years.	Confidential shredding/ secure deletion of electronic files
Time Sheets	3 years	Confidential shredding/ secure deletion of electronic files
Records of Staff Induction/Training/Development	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files
Unsolicited applications for jobs	NUI Galway does not accept unsolicited applications for jobs so these should be deleted as soon as possible after receipt.	As soon as possible after receipt.

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

General classes of records held	Default retention period	Final disposition
Competition files	Some material (listed separately below) should be retained indefinitely. However the bulk of material should be retained for 2 years after the competition was completed then sampled for archival purposes.	Sample of competition files to be retained for archival purposes, the remainder to be destroyed.
Vacancy notification	Retained for 2 Years after the competition was completed	Confidential shredding/ secure deletion of electronic files
Advert copies	Retained for 2 Years after the competition was completed	Confidential shredding/ secure deletion of electronic files
Job description	Retain indefinitely subject to periodic review	Appropriate filing / secure archiving
Applications and CV's of candidates who are called for interview	Retained for 2 Years after the competition was completed then sampled for archival purposes.	Confidential shredding/ secure deletion of electronic files
Selection criteria	Retain indefinitely subject to periodic review.	Appropriate filing / secure archiving
Candidates not qualified or short listed	Retain list of candidates who applied but destroy material such as application forms and CV's after 2 years.	Confidential shredding/ secure deletion of electronic files
Candidates short listed but not successful at interview or who are successful but do not accept offer	Retain for 2 years then destroy.	Confidential shredding/ secure deletion of electronic files
Interview Board marking sheet and Interview Board notes	Retain indefinitely subject to periodic review as this is part of the institutional record.	Appropriate filing / secure archiving
Panel recommendation by Interview Board	Retain indefinitely subject to periodic review as this is part of the institutional record.	Appropriate filing / secure archiving
Assessment Boards report files	Retain indefinitely subject to periodic review as this is part of the institutional record.	Appropriate filing / secure archiving
Promotions Boards files	Retain indefinitely subject to periodic review as this is part of the institutional record.	Appropriate filing / secure archiving
Promotion Boards assessment report files	Retain indefinitely subject to periodic review as this is part of the institutional record.	Appropriate filing / secure archiving
Superannuation/pension/retirement records	Retain until pensioner and dependent spouse are deceased and dependent children are finished full time education. plus 3 years	Confidential shredding/ secure deletion of electronic files

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

General classes of records held	Default retention period	Final disposition
Staff Personnel Files	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for PRSI/superannuation/pension purposes. Destroy remainder listed below. The Terms of Employment (Information) Act, 1994 require that an employee's terms and conditions of employment be retained for the duration of their employment.	Retain a sample for archival purposes.  Confidential shredding/ secure deletion of electronic files.
Application/CV	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files.
References	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files.
Recruitment medical	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files.
Contract/Job specification/Job description	Retain indefinitely subject to periodic review	Appropriate filing / secure archiving
Personnel performance appraisals	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files.
Membership and appointment records	End of individual's tenure plus 7 years	Confidential shredding/ secure deletion of

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

General classes of records held	Default retention period	Final disposition
		electronic files.
Probation forms	Retain for duration of employment. On retirement or resignation, hold for a further 7 years but retain service records for superannuation/pension purposes for life of individual and dependents plus 3 years.	Confidential shredding/ secure deletion of electronic files.
Parental and Care leave	Must be kept for 8 years	Confidential shredding/ secure deletion of electronic files.
Discipline records and letter	Hold on personal file/disciplinary file for duration of employment plus 7 years after resignation/retirement, then destroy. Where disciplinary policy provides for earlier removal then destroy but keep a record that a warning was issued. Where the matter involved criminal activity, these records should be retained indefinitely.	Confidential shredding/ secure deletion of electronic files.
Allegations and complaints	Where the complaint is found to be untrue or unwarranted make a note on personnel file index that a complaint was made, but there is no need to keep detailed documentation or refer back to previous cases if further separate allegations are made in the future.  Hold on personal file/disciplinary file for duration of employment plus 7 years after resignation/retirement, then destroy.	Confidential shredding/ secure deletion of electronic files.
Grievance records	Hold on personal file/disciplinary file for duration of employment plus 7 years after resignation/retirement, then destroy.	Confidential shredding/ secure deletion of electronic files.
Occupational Health records	Hold on personal file/disciplinary file for duration of employment plus 7 years after resignation/retirement, then destroy. This is	Consult with Health & Safety Officer before deletion then confidential shredding/secure deletion.

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

General classes of records held	Default retention period	Final disposition
	because issues may arise at a future stage during employment.	
Pre-employment medical reports	Retain on personal file for duration of employment plus 7 years.	Confidential shredding/ secure deletion of electronic files.
Health screening reports	Depending on the types of materials to which the staff member was exposed (e.g. carcinogens) the health screening reports may need to be retained for up to 40 years. Consult with State/HSE Guidance for this class of record.	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Industrial relations files	Hold policy documents and the history of their evolution indefinitely.	Appropriate filing / secure archiving
Agreements-pay and others	Retain indefinitely	Appropriate filing / secure archiving
Leave policy	Retain indefinitely	Appropriate filing / secure archiving
Employment policy	Retain indefinitely	Appropriate filing / secure archiving
University Policies and Procedures	Retain current until superseded	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records of employment conditions, including work practices etc	Retain until superseded	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records of Equal Employment Opportunities	Retain until superseded	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records relating to the development of disability plans and implementation of access to employment and disability plans	Retain until superseded	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Surveys/reports	Retain indefinitely	Appropriate filing / secure archiving
Union correspondence	Retain indefinitely	Appropriate filing / secure archiving
Individual industrial relation issues	Retain indefinitely	Appropriate filing / secure archiving
Minutes of meetings	Retain indefinitely	Appropriate filing / secure archiving
Labour Court Recommendations	Hold indefinitely as these are precedents used	Appropriate filing / secure archiving

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

General classes of records held	Default retention period	Final disposition
	in future decision making	
Contracts for Services	Retain for the duration of the contract plus 7 years save for contracts under seal which should be retained for duration of contract plus 12 years.	Confidential shredding/ secure deletion of electronic files.
Examples of contracts for services which may be held by Personnel/HR departments include EAP contracts with service providers, contracts with healthcare professionals.	Retain for the duration of the contract plus 7 years	Destroy by confidential shredding

Noted by Director of HR

Date: July 2020

DRAFT

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

## 5. Record Retention Schedule for Administration/Other Campus-wide Records

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods. **Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
<b>General corporate / administrative records</b>	--	-
University Statutes and Regulations	Retain indefinitely	Appropriate filing / archiving
Working papers for University Statutes/Regulations	Publication plus 5 years	Confidential shredding/ secure deletion of electronic files.
Strategic Plans/Major strategy documents	Retain indefinitely	Appropriate filing / archiving
Final plans for implementing major strategies	Until superseded by new plan plus 5 years	Confidential shredding/ secure deletion of electronic files.
Working/informative papers used in developing and updating major strategies and for updating plans for implementing major strategies ((e.g. analyses, management information reports, benchmarking exercises and performance monitoring)	Until superseded by new plan plus 3 years	Confidential shredding/ secure deletion of electronic files.
University policies and procedures	Retain current until superseded	Confidential shredding/ secure deletion of electronic files.
Working/informative papers used in developing and updating policies	Until superseded by new policy	Confidential shredding/ secure deletion of electronic files.
Final procedures and guidance documents	Until superseded by new procedure / guidance	Confidential shredding/ secure deletion of



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

General classes of records held	Default retention period	Final disposition
	note plus 5 years	electronic files.
Working/informative papers used in developing and updating procedures and guidance	Until superseded by new procedure / guidance note	Confidential shredding/ secure deletion of electronic files.
Records of Governing Authority & Academic Council and their Committees e.g. Principal and Compliance Committees Department executives e.g. Agenda, signed minutes, documents relating to agenda items, membership and appointment records	Retain indefinitely	Appropriate filing / archiving
General working and organizational papers relating to committee business	End of current academic year plus 6 years	Confidential shredding/ secure deletion of electronic files.
Ballot papers for elections	Completion of election plus term of post held plus one year	Confidential shredding/ secure deletion of electronic files.
Records of internal/operational meetings e.g. agenda, minutes, documents relating to agenda items i.e. reports etc.	Retain for 6 years after relevant action completed	Confidential shredding/ secure deletion of electronic files.
Records of committees where Division/Department/School/Unit represented only (i.e. where office does not hold primary responsibility for records) e.g. agenda, minutes, documents relating to agenda items i.e. reports etc.	Retain for current year plus 1 year, or until actions completed	Confidential shredding/ secure deletion of electronic files.
University risk register, local risk registers	Retain for 10 years after superseded	Confidential shredding/ secure deletion of electronic files.
Disaster response and recovery plans (e.g. business continuity plans, major incident plans)	Until superseded by new plan plus 7 years	Confidential shredding/ secure deletion of electronic files.
University organisational structure	Retain until no longer relevant or until policy to which they relate is superseded	Confidential shredding/ secure deletion of electronic files.
Circulars, memos re policy matters (master copy held by originating office only)	Retain until no longer relevant or until policy to which they relate is superseded	Confidential shredding/ secure deletion of electronic files.

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

General classes of records held	Default retention period	Final disposition
Projections and statistical analyses	Retain for current year plus 6 years	Confidential shredding/ secure deletion of electronic files.
General (non-HR) written allegations / complaints: records received/created as a result of investigating allegations/complaints	Retain for 7 years after resolution of complaint or from date of last correspondence	Confidential shredding/ secure deletion of electronic files.
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	Retain indefinitely subject to professional judgement.	Appropriate filing / archiving
Hand written notes taken by recording secretary present at meetings	Retain until minutes have been agreed and signed by chairman at following meeting of the committee	Appraise & evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Elections to Board - voting records etc.	Retain for current year, or until they cease to be of administrative use	Confidential shredding/ secure deletion of electronic files
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 / secure archiving
FOI / Data Protection: other records relating to requests	Retain for 7 years after final action completed	Confidential shredding/ secure deletion of electronic files
Freedom of Information request records	Closure of request plus 10 years	Confidential shredding/ secure deletion of electronic files
Freedom of Information request records (non-routine)	Retain indefinitely	Appropriate filing / secure archiving
Freedom of Information case logs	Current plus 7 years	Confidential shredding/ secure deletion of electronic files
Freedom of information publication scheme	Until superseded by new scheme plus 7 years	Appropriate filing / secure archiving
Data Protection: access request records	Closure of request plus 7 years	Confidential shredding/ secure deletion of electronic files
Data Protection: data breach records	Closure of case plus 7 years	Confidential shredding/ secure deletion of electronic files

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

General classes of records held	Default retention period	Final disposition
Data Protection logs	Current plus 7 years	Confidential shredding/ secure deletion of electronic files
Data protection queries, investigation and audit records	Closure of case plus 7 years	Confidential shredding/ secure deletion of electronic files
Ombudsman case files	Retain indefinitely	Appropriate filing / secure archiving
Ombudsman reports	Retain indefinitely	Appropriate filing / secure archiving
Internal/External Review records	Retain indefinitely	Appropriate filing / secure archiving
Records retention schedules (including both central and local schedules)	Until superseded by new documentation plus one year	Confidential shredding/ secure deletion of electronic files
Records detailing outcomes of archival appraisals	Retain indefinitely	Appropriate filing / secure archiving
Routine administration records	Retain for current year plus additional 2 years, or until they cease to be of administrative use	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General correspondence, including emails	Retain for current year plus additional 2 years, or until they cease to be of administrative use	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
<b>Other administration records specific to Colleges and Schools</b>	--	--
Quality reports, quality assurance peer reviews	Retain until superseded	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Formal responses to surveys and consultations from government, parliamentary and statutory bodies	Submission of response plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records of University's formal participation in governmental, parliamentary or public inquiries	Completion of inquiry plus 10 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records

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

General classes of records held	Default retention period	Final disposition
Teaching allocations / semester schedules	Retain until superseded	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
General correspondence including emails (e.g. requests for Dean/Heads to speak to societies, requests for funding etc.)	Retain for current year plus 2 additional years, or until they have ceased to be of administrative use	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
External liaison – e.g. correspondence with accreditation bodies etc.	Retain indefinitely	Appropriate filing / archiving
External liaison – e.g. correspondence with government, parliamentary or statutory bodies including Department of Education, HEA etc	Retain indefinitely	Appropriate filing / archiving
Records of awards: Department teaching & other	Retain indefinitely	Appropriate filing / archiving
Records relating to fraud and whistleblowing formal investigations	Retain indefinitely subject to professional judgment	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Legal records	-	-
Legal cases	Retain indefinitely subject to professional judgement	Appropriate filing / archiving
Legal advice	Retain indefinitely subject to professional judgement	Appropriate filing / archiving
Legal correspondence	Retain indefinitely subject to professional judgement	Appropriate filing / archiving
Copyright records / trademark registrations	Retain indefinitely subject to professional judgement	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records

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

General classes of records held	Default retention period	Final disposition
Contracts for services	See also “Procurement” & Capital Projects” in Finance Schedule	-
Commercial contracts	See also “Procurement” & Capital Projects” in Finance Schedule	-
Maintenance contracts	See also “Buildings & Estates” Schedule	
Publications	-	-
Annual reports/Department reports, School booklets, course handbooks, prospectuses and formal publications for students etc.	Retain 2 copies for University record and destroy remainder, once superseded	Appropriate filing / secure archiving / destruction

Noted by Chief Operating Officer

Date: July 2020

DRAFT

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

## 6. Record Retention Schedule for classes of records held by specific University offices/areas

The Schedule is designed to provide advice and guidance only and professional judgment should be used at all times. Please note this schedule sets out default retention periods and that there may be a local business need or reason (which should be recorded) to maintain records listed for longer periods. **Please further note that if Legislation/Regulation or a Research Ethics Committee or Funder Term and Condition has stipulated a longer or shorter period of retention then that period applies and supersedes the below periods.**

Please note this schedule does not purport to cover all documents or categories of records held by the University and the Schedule will be revised and supplemented over time to include additional categories.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Data Protection Office at [dataprotection@nuigalway.ie](mailto:dataprotection@nuigalway.ie).

General classes of records held	Default retention period	Final disposition
Estates and Facilities See also, "Finance" and "Procurement" Schedules	--	--
Physical planning records, property deeds, campus plans/maps, planning applications/approvals	Retain indefinitely	Appropriate filing / secure archiving
Estate strategy	Retain until superseded plus 7 years	Confidential shredding/ secure deletion of electronic files
Maintenance records (buildings, structures, grounds) Major maintenance, conservation work/fit outs of local, state or national significance All other major maintenance work/fit outs	Retain for 7 years following completion Retain for 7 years following completion Retain for 2 years following completion	Confidential shredding/ secure deletion of electronic files

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

General classes of records held	Default retention period	Final disposition
Routine maintenance, cleaning work		
Records pertaining to security operations, lists of keys issued, office space	Retain until superseded	Confidential shredding/ secure deletion of electronic files
Records relating to security breaches or incidents and actions taken	Retain for 1 year from last action on incident	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Inspection, maintenance and testing records (works equipment etc.)	Retain for 7 years from date of inspection	Confidential shredding/ secure deletion of electronic files
Fire certificates	Retain until superseded	Appropriate filing / secure archiving
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
Environmental audits	End of current year plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Environmental hazards and risk assessments	End of current year plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records detailing environmental awareness activities and promotion of best practice	End of current year plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Major environmental incident investigation		Appraise and evaluate for secure archiving where relevant otherwise,

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

General classes of records held	Default retention period	Final disposition
		confidential shredding / secure deletion of electronic records
Routine monitoring and formal reviews of energy use	End of current year plus 7years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Utility meter readings	Date of reading plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Records of special and hazardous waste removal from University	Removal of waste plus 7 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Other waste transfer records	Transfer of waste plus 2 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Insurance	See also, "Legal" Schedule	-
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 which do not proceed to litigation or settlement by an agreement	Retain for 7 years following settlement OR withdrawal of claim	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Claims correspondence and records of litigation with third parties	Retain indefinitely	Appropriate filing/ secure archiving



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

General classes of records held	Default retention period	Final disposition
IT Services (ISS)	-	-
ISS records of Emails sent and received, internet & computer usage (student and staff) and backups	Retain for 12 months	Confidential shredding/ secure deletion of electronic files
University Health Centre and Student Counselling Service	-	-
University Health Centre - medical records	Retain for the duration of student's studies plus 8 years	Confidential shredding/ secure deletion of electronic files
University Health Centre - mental health records	Retain for the duration of student's studies plus 20 years	Confidential shredding/ secure deletion of electronic files
Student Counselling Service - Student records, case notes, assessment reports, recommendations	Retain for the duration of student's studies plus 20 years	Confidential shredding/ secure deletion of electronic files
Public Affairs and Communications	-	-
University press releases	Retain indefinitely	Appropriate filing / secure archiving
PR campaigns	Retain indefinitely	Appropriate filing / secure archiving
Formal records of ceremonies / functions i.e. honorary conferring's, VIP visits, presidential inaugurations etc. (e.g. photographs, audio-visual recordings, programmes of events as relevant)	Retain indefinitely	Appropriate filing / secure archiving
Health and Safety	-	-
Risk assessments/reports	Retain under superseded	Appropriate filing / secure archiving
Accident reports	Retain for 10 years	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records

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

General classes of records held	Default retention period	Final disposition
Health and safety training records	<p>Retain on Personnel File* for duration of employment and for 10 years after last pension payment. * Safety Training Records not maintained on CORE.</p> <p>Unit training records also made available to Heads of Unit/Safety Coordinators for safety training management purposes as this is an over-riding legal obligation.</p>	Confidential shredding/ secure deletion of electronic files
Accident reports and witness statements	Retain for 10 years after last pension payment.	Confidential shredding/ secure deletion of electronic files
Personal Risk Assessments e.g. pregnancy risk assessment, Display Screen Assessment, etc. that highlight medical issues.	Retain on Personnel File/Unit Record for duration of employment and for 10 years after last pension payment.	Confidential shredding/ secure deletion of electronic files
Unit Safety Statement Policies	Retain by Unit for 5 years after superseded	Confidential shredding/ secure deletion of electronic files
Staff Complaints	Retain in accordance with relevant Policy or indefinitely.	Appraise and evaluate for secure archiving where relevant otherwise, confidential shredding / secure deletion of electronic records
Occupational Health Reports – employee specific including Carcinogen/Mutagen exposure records**.	<p>Held by Occupational Health Physician and referred to Human Resources.</p> <p>Retain on Personnel File for duration of employment and for 10 years after last</p>	Confidential shredding/ secure deletion of electronic files

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

General classes of records held	Default retention period	Final disposition
	pension payment. Ensure retained for at least 40 years where related to a regulatory requirement**.	
Occupational Health Reports – general reports	Retain for 40 years after date of incident and review.	Confidential shredding/ secure deletion of electronic files
Vision screening application form (minimal details)	Retain until retirement	Confidential shredding/ secure deletion of electronic files
Biosafety GMO Licences with the EPA	Retain until superseded	Confidential shredding/ secure deletion of electronic files
Monitoring records e.g. radon	Retain indefinitely	Appropriate filing / secure archiving
General Risk Assessments/Reports	Retain by Unit for 5 years after superseded	Confidential shredding/ secure deletion of electronic files

Noted by Chief Operating Officer

Date: July 2020