cmetb

Bord Oideachais agus Oiliúna
an Chabháin agus Mhuineacháin
Cavan and Monaghan
Education and Training Board

RECORDS MANAGEMENT POLICY

Document ref No.	09/2017	**Document initiated by**	FOI Officers Advisory Forum
Revision number	002	**Document drafted by**	Records Retention Sub-group
Document reviewed by	Senior Management	**Document adopted by**	CMETB
Date Document adopted	13.09.17	**Date Document implemented**	13.09.17
Assigned review period	3 Years or sooner	**Responsibility for implementation**	CE/EO/AEO Senior Management
Responsibility for review	SMT	**Next review date**	1 year after implementation
Original issued by	FN	**Date of withdrawal of obsolete document**	13.09.17
Amendment history			
Date	**Revision level**	**Details of amendment**	**Approval signature**
	002	National Template	

RECORDS MANAGEMENT POLICY

1. Purpose

1.1 To provide a statement of intent outlining records management standards for the administration of Cavan and Monaghan Education and Training Board (the ETB) records.

All documents created and received in the course of its official business, as laid out in the Education and Training Boards Act 2013 and formerly under the Vocational Education Act 1930 to 2001, constitute the official records of the ETB. The information that the ETB records contain serves as evidence of functions executed and activities performed and comprises a valuable source of knowledge as to how and why decisions were taken. Given that good quality records are of value to any organisation, their effective management is necessary to ensure that the records maintained are authentic, reliable and complete and to ensure that they are protected and preserved as evidence to support future actions and to ensure current and future accountability.

1.2 To implement records management procedures and to create retention/disposal schedules for ETB records.

Records management is the application of controls to the creation, maintenance, use and disposal of all formats of records, elements of which include correspondence and forms, records classification, files, identification of the function/staff member responsible for the record, retention scheduling, disaster planning, vital records protection, the administration of inactive records storage, record conversion programmes, archival preservation activities and destruction of records.

Good records management is of special significance in the context of the ETB's functions, where the maintenance of records is essential to good corporate governance.

1.3 To ensure preservation of records of permanent value and to establish archival criteria to maintain and assure continued access to appropriate historical records.

1.4 To support both protection of data privacy and freedom of information services throughout the ETB.

1.5 To propose the development of guidelines to accompany this policy document including retention and disposal schedules for general records common to all ETB departments and sections/units.

1.6 To develop policies and guidelines for the use of electronic media in the creation/capture/receipt/retention of information.

2. Scope

2.1 All information created or received by ETB staff in the course of their duties on behalf of the ETB, preserved in the form of records, are covered by this policy. Records can be in a variety of physical forms including: paper documents – both written and printed matter; electronic records (i.e. word processing files, databases, spreadsheet files, e-mails, electronic data on any media, etc.); books; drawings; photographs; or any thing on which information is recorded or stored by graphic, electronic or mechanical means, or copies thereof, received by any academic or administrative office of the ETB in connection with the transaction of ETB business and retained by such office as evidence of the activities of the ETB or because of the information contained therein. **It is emphasised here that this policy is equally applicable to records created and preserved in electronic and digital format as it is to paper records.**

2.2 This policy applies to records that may be released under the Freedom of Information Act 2014 and the Data Protection Acts 1988 and 2003.

2.2 This policy is applicable to all areas and locations of the ETB and includes all departments, offices, schools, institutes, centres and areas of work, which form part of the ETB structure.

3. Ownership of Records

3.1 All records, irrespective of format, (i.e. both textual and electronic, including e-mails) created or received by ETB staff in the course of their duties on behalf of the ETB, are the property of the ETB and subject to its overall control. **Employees leaving the ETB or changing positions within the ETB must leave all records intact for their successors.**

4. Legislation

There is a wide variety of legislation governing records and record keeping in Ireland. With increasing demands for the public sector to adhere to a more accountable and transparent way of operating, the volume of legislation governing record keeping is constantly growing. This has implications for those responsible for systems maintenance, review and auditing, business continuity, records retention and disposition. Some of the most significant legislation in relation to ETB records management are listed here.

i) The Data Protection Acts 1988 & 2003

The Data Protection Acts 1988 and 2003 relate to information kept in electronic systems or on computer; and, since October 2007, paper records, which relate to a living person. The Acts specify that information must be adequate, relevant and not excessive in

relation to the purposes for which it is kept. It also states that this data should not be kept for longer than is necessary.

ii) **The Freedom of Information Act 2014**

In April 2015, the ETBs became subject to the terms of the Freedom of Information Act 2014. The FOI Act provides the following statutory rights:

- the right to access records held by public bodies covered by the Act
- the right to have personal information in a record amended where such information is incomplete, incorrect or misleading
- the right to obtain reasons for decisions taken by public bodies affecting the person.

i) Education and Training Boards Act 2013

ii) Vocational Education Acts 1930 to 2001

iii) Education Act 1998

iv) Education Welfare Act 2000

v) Comptroller and Auditor General Act 1993

vi) Department of Education and Skills Circular 0018/2015 Code of Practice for the Governance of Education and Training Boards

vii) ETBs Internal Audit Unit (formerly VSSU) Guidelines

4. Management of ETB Records

4.1 All records created and received by ETB staff in the course of their duties on behalf of the ETB must be retained for as long as they are required to meet the legal, administrative, financial and operational requirements of the ETB, after which time they are either destroyed or transferred to the ETB Archives. The final disposition (either destruction or transfer to the Archives) of records is carried out according to **approved schedules** as outlined in the accompanying appendices.

4.2 While the **record retention schedules** prescribe the minimum period that ETB records must be retained, officers may, at their discretion, keep the records for a longer period of time if it is deemed necessary and appropriate.

4.3 The ETB administers a number of programmes funded by the European Union's European Regional Development. In addition, a number of programmes such as Adult Literacy, Youthreach and BTEI are co-funded by the EU and from time to time other programmes may be in receipt of EU funding. EU requirements stipulate that all records relating to such programmes for seven years e.g. documents relating to 2013 would have to be retained until 31st December 2020.

5. Responsibilities

5.1 The Chief Executive is responsible for the internal control of the ETB, an element of which must be the retention of records used in the decision-making process for key decisions in order to demonstrate best practice and the assessment of risk.

5.2 It is the responsibility of the individual members of staff to ensure that the appropriate security measures are observed for maintaining records containing personal or other confidential information. When scheduled for destruction, this material must be shredded, pulped, incinerated or otherwise disposed of to ensure that such information is not disclosed.

5.3 It is the responsibility of each Principal/Director/Co-ordinator/Head of Section to operationalise this policy and to designate and inform the appropriate responsible officers in the creating/receiving department/office/school/centre.

5.4 A disposal register must be created and maintained by each administrative department/school/institute/centre/programme.

6. Procedures

6.1 Staff in departments/offices/schools/institutes/centres will carry out an audit of records held and draft **Records Retention Schedules** for ETB records that define the length of time that specified types of records are to be retained the rationale for the retention period, as well as their final disposition once the retention period expires.

6.2 The draft schedules will be forwarded for final approval to the Chief Executive.

6.4 After the records have been retained by the creating or receiving department/office/school/institute/centre (in-situ or off-site storage) for the requisite time in the records schedules, they are either destroyed or archived for permanent retention.

6.5 It should be noted that the guidelines in the appendices contain schedules which give a generic outline of recommended minimum retention and disposition periods for records series. This is designed to facilitate department/office/school/centre, etc. in the development of retention and disposal schedules for records.

These schedules are based on a determination of the following: legal retention requirements as defined in relevant statutes and regulations; administrative and operational requirements; and general best practice. The potential historical value of records is also a consideration.

The development of Records Retention Schedules is an on-going process.

7. Electronic/Digital Records

7.1 The same records management principles and policies applied to paper records must also govern the management of electronic/digital records. However, the technological nature of electronic/digital records requires that special consideration be given to matters such as authenticity, accessibility, version control, preservation and disposal.

7.3 Electronic/digital records should have the same retention schedules as their paper counterparts.

7.4 In the absence of any electronic records management systems, staff should be encouraged to employ good housekeeping practices in the management of electronic/digital documents, i.e. employ a naming convention, have a back-up schedule, delete regularly (especially e-mails), use passwords as appropriate, produce paper copies if required to maintain the integrity of manual files, etc.

7.5 In the case of electronic records stored in file servers or data stored in relational databases where the computer equipment is maintained by the IT Systems Administrator, the department which created or maintains these records must formally agree back-up and recovery procedures with the IT Systems Administrator. This is to ensure that there is no ambiguity as to which department is responsible for records in the event of hardware failure or accidental deletion of records.

9. Implementation

This policy will be implemented by the Chief Executive, however the responsibility for day to day implementation will lie with individual members of staff in the exercise of their duties.

The date of implementation of this policy is **13 September 2017**, the date of adoption by Cavan and Monaghan Education and Training Board.

10. Review

This policy will be reviewed periodically by the Chief Executive and Directors/Senior Administrative Staff/Principals/Co-ordinators and revised if necessary in light of legislative and operational changes.

APPENDIX A

Definitions

ETB Records:

Records created or received by ETB staff in the course of their duties on behalf of the ETB, can be in a variety of physical forms including: paper documents including both written and printed matter; books; drawings; electronic data on any media; photographs; or any thing on which information is recorded or stored by graphic, electronic or mechanical means, or copies thereof received by an school/institute/centre/programme or administrative office of the ETB in connection with the transaction of ETB business and retained by such office as evidence of the activities of the ETB or because of the information contained therein.

Current Records:

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

Semi-active Records:
Semi-active records are records that are referred to infrequently and are not required constantly for current use. Semi-active records are removed from office space to storage until they are no longer needed.

Non-Current Records:

Inactive Records:
Inactive records are records which are no longer required to carry out the functions for which they were created. They should be stored until the retention period has lapsed.

Permanently Valuable Records – Archives:
Permanently valuable records include those with legal, operational, administrative, historical, scientific, cultural and social significance.

Permanent:

To be retained permanently by the office. Alternatively, if the records are considered inactive, arrangements may be made to have them transferred to an external storage facility or to be scanned for electronic storage.

Records Retention Schedule:

A Records Retention Schedule is a control document that describes the ETB's records at a series level and indicates the length of time each series shall be retained prior to final disposition; the

rationale for retention and the final disposition of each series. This document serves as the legal authorisation for the disposal of records.

Disposition:
Disposition is the action taken in regard to the disposal of active records, which can involve physical destruction by means of security shredding under a policy as decided by the ETB or transfer to archival storage for selective or full retention.

Records Series:
Groups of related records that are created and used with a common purpose, for example, financial records; personnel records; examination results, board/committee minutes; etc.

APPENDIX B

Records Management Guidelines for Staff

Why do we keep Records?

Records are created to support and enable the ETB to conduct the business process, to ensure accountability, to fulfil its legal obligations and to ensure the continuous operation of the ETB in the event of a disaster. As such they have administrative, evidential, legal and fiscal value. Further, with regard to legislation most notably the Data Protection Acts 1988 and 2003 and the Freedom of Information Act 2014, the ETB is obliged to keep up-to-date records and efficient means of accessing them to fulfil its legal commitments.

Areas of particular concern in the context of Data Protection and Freedom of Information compliance include:

- Difficulties in identifying records or files in their entirety without an enormous amount of detective work. This problem is caused by practices that include holding of hybrid paper and electronic versions of files without any form of integration and cross-referencing, related information being held by several members of staff and poor management of draft and definitive versions of documents.

- Rampant duplication of information. Under Data Protection and Freedom of Information, a requester is entitled to be informed of the existence of duplicate copies of a record and access these copies if he or she so wishes. Although this is an unlikely request, it may cause problems if the request is vexatious in intent.

- Poor informational quality of some records or absence of documentary evidence of a transaction caused by concerns that keeping confidential information related to an individual may be problematic.

What is the Lifecycle of a Record?

Each record has a Life Cycle, which is as follows:

1.	Current Records	-	Are those that are held on site in offices and are used on a very regular basis.
2.	Non-current Records	-	These are records that are needed for occasional reference. Can be held on site in a dedicated storage area or stored off site with easy access.
3.	Disposition	-	Records should either be archived or disposed of.

Retention and Disposal

The ETB's Records Retention Schedules detail records held within the ETB. This will be implemented at Departmental/School/Centre level and reviewed on an annual basis. It is the responsibility of the Principal/Director/Co-ordinator/Head of Section to ensure that records are scheduled as necessary to be retained in the appropriate storage facility or disposed of. If a file is to be destroyed, then a Destruction Record needs to be completed by the employee and

countersigned by the senior member of staff responsible for records destruction. The Destruction Record should be filed and kept permanently.

The **benefits** of using records schedules are as follows:

- Ensures that important records are organised and maintained in such a way as to be easily retrieved and identifiable as evidence of activities especially in the event of an audit, a Data Protection or Freedom of Information request or discovery in the event of a lawsuit.
- Conserves office space and equipment by using filing cabinets only to store active paper records and conserves server space by streamlining electronic records captured into electronic document management packages.
- Saves money by moving inactive files to other storage areas until they are ready for final disposition.
- Helps preserve those records that are valuable for historical or other research purposes.
- Controls the growth of records in offices through the systematic disposition of non-current records.

Current Record Keeping

Departments should ensure that if using filing cabinets they are updated regularly and well organised.

Vital Records

A list of the vital records held within the ETB should be drawn up. Board/Committee meetings, Sub-committee meetings, Board of Management meetings, financial information, legal documentation etc should be included in this. It is recommended that vital records be duplicated with one set being stored on site and the other off site in case of a disaster such as fire.

Accountability

Overall responsibilities as an organisation
Responsibilities at ETB level are to make and preserve records that contain adequate and proper documentation of the organisation, functions, policies, decisions, procedures and essential transactions of the ETB. The ETB systems are also designed to protect the legal and financial rights of those directly affected by the ETBs activities.

Employee responsibilities
This policy will impact on all areas of organisational work practices, e.g., those who create records in any format, have access to records, or have management responsibility for staff engaged in any of these activities.

All employees are responsible for making and keeping the records of their work and should:

- Create records needed to do the business of the ETB, record decisions and actions taken, and generally document activities for which they are responsible and take care of records so that information can be found when needed. This means establishing or adhering to good directories and files, and filing materials (in any format) regularly and carefully in a manner that allows them to be safely stored and efficiently retrieved and returned when necessary.

- Carry out the disposition of records, which are under their control in accordance with the ETB's records retention schedule.

APPENDIX C

Filing Guidelines

1. Before filing a piece of paper, ask yourself, "Will I need this in the future?" Don't keep a piece of paper just on the chance that you may need it "someday."

2. Don't always save every draft of a document. For most purposes the final version is sufficient.

3. Date stamp all correspondence, on the front of the document, on the day of receipt.

4. Don't file multiple copies of the same document, unless justified.

5. The originator normally keeps copies of reports and correspondence. Just because a document is sent to you doesn't obligate you to keep it indefinitely. If you need to see it again, ask the originator for another copy.

6. If, for example, records are scheduled for destruction after three years, don't store them for five years.

7. In general, records received from ETB schools/institutes/centres/offices should be filed under the name of the originating school/institute/centre/office.

8. Some records may belong under more than one series or category. To handle this, file the records in one category and place a cross-reference note in the other. It is important to be consistent in deciding where to file records. Once information is filed in a given series and category, it should always be filed there.

9. Label and date all files.

10. Color-coding the different series is a useful tool, especially for refiling folders.

11. Create a file guide with a description of the filing system and instructions for the user so new personnel can continue to use the filing system easily. This will also avoid the arbitrary creation of new file folders.

12. Create cross-listings to help locate items. Create a file database on the PC using the file-folder heading, cross-listing, and location notes.

13. Spell out acronyms and abbreviations.

14. Sort records prior to filing.

15. Use staples rather than paper clips in folders.

16. Discard envelopes if the return address is available on the document itself. Most phone messages, illegible notes, and routine acknowledgements can also be discarded.

17. Do not overfill file folders. If they are overfilled, divide them into several folders with the same name and File number (e.g.: Maternity Leave Applications 2013/2014, File 1).

18. Do not overstuff file drawers. This can make retrieval of files difficult, as well as creating a dangerous work environment.

19. Weed files regularly, using established retention schedules.

20. Consider using "Out Markers" when removing folders for use. This makes refiling much easier and lets others in the office know that a file exists so another is not created, who has the file, and when it was checked out.

APPENDIX D

Data Destruction Certificate (IT Equipment)

Equipment Type	**Brand**	**ID/Product Number**	**Location**	**Type of Data**	**Reason for Data Destruction**	**Method used for wiping**	**No of Passes**	**Date of Wiping**	**Verified by**	**Date**
PC	HP	Hp123456	Youthreach	Student files	Out of date equipment for Recycling	Degaussing	3		IT Administrator	

APPENDIX E

RECORD OF DESTRUCTION OF DATA BY CONFIDENTIAL SHREDDING

BRIEF DESCRIPTION OF DATA	CONTAINS PERSONAL DATA Yes/No	DATE/S OF DOCUMENT/FILE	DATE OF DESTRUCTION	INITIALLED

cmetb

Bord Oideachais agus Oiliúna
an Chabháin agus Mhuineacháin

Cavan and Monaghan
Education and Training Board

RECORDS RETENTION SCHEDULES

To be read in conjunction with the CMETB Records Management Policy

Introduction to ETB Records Retention Schedule

The purpose of this schedule is to provide whoever is responsible for managing records in your ETB with a guide as to how long those records should be kept. This will help in keeping records to manageable proportions, both in terms of physical space, and when it comes to attempting to retrieve a record. The schedule will also help your ETB to comply with its obligation under the Data Protection Acts to keep personal data for no longer than is necessary for the purpose or purposes for which it was obtained.

The sections of the schedule (tabs in Excel document) reflect the sectoral divisions of a typical ETB, and may therefore need to be adapted or reordered to suit your own ETB's organisational structure and work practices, file management processes, file naming protocols, etc.. For example, some ETBs may not have formally designated which of their former VEC head offices constitutes the ETB HQ. Some Training Centres may have held on to their Finance and Payroll functions. our ETB may have its own view on where the definitive version of a record is held, e.g. in head office or in the school/centre.

Certain matters mentioned throughout this schedule that are worth noting that

- a separate section refers to **ESF** retention requirements, and lists those activities to which these apply. These periods 'override' many of the various retention periods set out in this document, i.e. records must be kept for longer
- wherever there is a reasonable expectation that legal action may arise in relation to any particular record, caution should be exercised, and further advice sought before any deletion/destruction is carried out.
- in many cases, the retention period for documents relating to minors only commences where the child reaches the age of 18.
- wherever there are reasonable grounds to expect that a record may be the subject of legal proceedings, the record should be retained and further advice sought.

While the retention and disposal guidelines set out here are a guide to best practice, extending the retention periods should only be done once **a sound and evidence-based business case** exists for doing so, and never for unspecified 'just-in-case' reasons. You should not apply a shorter retention period to any category,.

Disclaimer

Whilst every effort has been made to ensure the accuracy of the information contained in this schedule, no responsibility is assumed and no guarantees, undertakings or warranties concerning the accuracy, completeness or up to date nature of the information provided in this schedule are given, nor is any liability whatsoever arising from any errors or omissions accepted.

The information and templates available in this schedule are intended as a brief summary of the principal points and contain general information only. While care has been taken in preparing these materials to ensure their accuracy, they cannot be exhaustive and are no substitute for detailed examination of the relevant statutes, cases and other materials. The materials contained in the schedule do not constitute legal advice on any particular or general matter and are provided for general information purposes only. All reasonable endeavours to ensure that the information contained in this schedule is as accurate as possible at the time of publication, however no representations or warranties of any kind

whatsoever, express or implied, in relation to the accuracy, completeness, quality or suitability thereof are made. No responsibility is taken for any errors or omissions. You should always obtain specific legal or other professional advice in relation to Irish law for each specific matter. You should not act or refrain from acting on the basis of any information contained in or within this schedule.

ESF Guidelines

Retention periods for ESF-related records are longer than for most other categories of record, and must be strictly observed for ESF audit purposes. The ESF Managing Authority (via the Structural Funds Unit) at the Department of Education and Skills will issue notification when retention periods have expired.

Title of Operational Programme	Typical areas of VEC/ETB Work concerned*	Expiry of Retention
Employment & Human Resources Development Operational Programme 2000-2006	• BTEI • Adult Literacy • Traveller Training/Youthreach • FÁS: o Skills Training for Unemployed & Redundant Workers o Apprenticeship/Traineeship o In Company Training o Social Economy Programme o Social Economy - Local Social Capital	09/01/2015
Human Capital Investment Operational Programme (HCI-OP) 2007-2013	• BTEI • Adult Literacy • Traveller Training • Youthreach • FÁS: o Skills Training (including ESL, LTU) o Apprenticeship/Traineeship o Disability Training o In Company Training o Social Economy Programme o Social Economy - Local Social Capital	31/12/2022, at a minimum - formal notification of expiry will come from the ESF in due course

This schedule refers to both paper and electronic records.

ESF Guidelines

Title of Operational Programme	Typical areas of VEC/ETB Work concerned*	Expiry of Retention
Programme for Employability, Inclusion and Learning (PEIL) 2014-20	• BTEI • Adult Literacy (*now Adult Learning*) • Traveller Training • Youthreach • ETB Training for the Unemployed (includes the following former FÁS programme Groups): o Specific Skills Training o Labour Market Education and Training Fund (Momentum)	2028 (estimated)

* Visit www.esf.ie/en/Programmes for full details of activities covered, as this will vary from ETB to ETB.

This schedule refers to both paper and electronic records.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Attendance & Registration	PLC Registers	Year of Graduation + 2 years Where learner is under 18 on enrolment, year of reaching 18 + 2 years	No statutory basis identified for indefinite retention of PLC registers. Query historical value. In case of potential litigation, retain relevant extract in case file. Review retention as needed	Secure destruction/deletion in the January following the calendar year in which the retention period expires
Attendance & Registration	Adult Education Day Registers	Year of Graduation + 2 years. ESF-funded programmes should observe 'ESF Guidelines.	No statutory basis identified for indefinite retention of these registers. Query historical value	Secure destruction/deletion in the January following the calendar year which the retention period expires
Attendance & Registration	Adult Education Evening Classes Registers	Completion of Course + 1 year	No statutory basis identified for retention. In case of potential litigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion in the January following the calendar year in which the course completed
Attendance & Registration	Youthreach Registers	Indefinitely	Youthreach is an ESF funded scheme addressing 2nd level educational needs, hence aligning retention period with 2nd Level	Retain in centre until year of class graduation + 2 years; Archive to secure storage.
Attendance & Registration	Sign in Sheets for class attendance (various)	Year of completion of course + 1 year, or longer if an ESF-funded programme.	Benchmarked against best practices for record retention in UK Adult education. In case of potential litigation, retain relevant extract in case file. Review retention as needed	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Applications & Assessment	Application Forms	*Successful Applicant :* Retain until year of graduation/course completion + 7 yrs, or longer if an ESF-funded programme.	Transfer to learner file, retain as part of that document set. In case of potential litigation, review retention as needed	Secure destruction/deletion
		Unsuccessful Applicant : Retain for year of application + 12 months, or longer if an ESF-funded programme.	No purpose for retention unless rejection is appealed	
Applications & Assessment	BTEI Applications: Refer to ESF Guidelines section of this document.	*Successful Applicant* Retain in line with ESF Guidelines	Transfer to learner file and retain as part of that record. In case of potential litigation, retain relevant extract in case file.	Secure destruction/deletion
		Unsuccessful Applicant Retain in line with ESF Guidelines	Retained in case of appeal / case review	
Applications & Assessment	Application Forms (Night Classes)	*Successful Applicant :* Retain until end of calendar year in which course ran + 12 months, or longer if an ESF-funded programme.	No operational purpose for longer retention identified. In case of potential litigation, retain relevant extract in case file. Review retention as needed	Secure destruction/deletion
		Unsuccessful Applicant : Retain for 12 months from year of application, or longer if an ESF-funded programme.	No operational purpose for longer retention identified	

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Applications & Assessment	External Psychological Assessments included with applications	*Successful Applicant:* Retain until year of graduation + 7 yrs, or longer if an ESF-funded programme.	Retain separate to core learner file. In case of potential litigation or Child Protection issues, retain relevant extract in case file. Review retention as needed	Secure destruction/deletio
		Unsuccessful Applicant Do not retain, , except if an ESF-funded programme.	Return to applicant either by hand or by recorded delivery.	
Applications & Assessment	School Reports (from referring school/centre) OR Records of alternative training/qualification (recognition of prior learning)	*Successful Applicant* Prepare brief summary based on review of reports & retain until year of graduation/course completion + 7 years, or longer if an ESF-funded programme.	Return originals to applicant or referring centre; Retain brief summary as part of learner file. In case of potential litigation, retain in case file. Review retention as needed against probability of legal action.	Do not retain originals. Securely destroy summary.
		Unsuccessful Applicant Prepare brief summary & retain for 12 months, or longer if an ESF-funded programme.	Retain summary for 12 months in case of appeal	
Applications & Assessment	Applicant Photographs	*Successful Applicant* Retain until year of graduation/course completion + 7 years, or longer if an ESF-funded programme.	Transfer to learner file and retain as part of that record.	Secure destruction/deletion
		Unsuccessful Applicant Retain for year of application + 12 months, or longer if an ESF-funded programme.	Retained in case of appeal. Advise applicants of destruction policy.	

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Applications & Assessment	Data Sharing/Transfer Consent (where this is a stand-alone document, as opposed to being part of the learner's application form).	*Successful Applicant* Retain until year of graduation/course completion + 7 yrs, or longer if an ESF-funded programme.	Transfer to learner file and retain as part of that record. Note: consent may need be revalidated annually – refer to DES or DPC guidance as required	Secure destruction/deletion
		Unsuccessful Applicant Do not retain	In event of successful appeal, applicant can be asked to reconsent to transfers. No purpose for retention of this record exists	
Applications & Assessment	Garda Vetting	*Successful Applicant* Retain record of outcome and associated reference number for 12 months from date of receipt	Transfer to learner record. In the event of potential litigation, resubmit request with reference number to An Garda Siochana. Do NOT retain.	Secure destruction/deletion
		Unsuccessful Applicant Retain for 12 months from date of receipt	Retained in case of appeal by learner.	
Applications & Assessment	SOLAS Referral Record	*Successful Applicant* Retain for Year of Graduation/completion of course + 7 years, or longer if an ESF-funded programme.	Transfer to learner record, retain as part of this file. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
		Unsuccessful Applicant Retain for year of referral + 12 months, or longer if an ESF-funded programme.	Retained in case of appeal / case review	

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Disciplinary	Disciplinary Records	Minor infringements: Never destroy if they relate to a learner who was under 18 at course commencement. For learners aged 18+ at course commencement, review and retain if relevant to pattern of behaviour. Purge at graduation/ end of course, except if an ESF-funded programme.	Minor incidents may be indicative of a pattern of behaviour indicating risk to learner or others. Determination of what constitutes a minor/major infringement to be determined in light of ETB/centre disciplinary policy.	Secure destruction/deletion at graduation/ end of course
		Major infringements: Never destroy if they relate to a learner who was under 18 at course commencement. For learners aged 18+ at course commencement, retain for year of graduation/course completion + 7 years, or longer if an ESF-funded programme.		Never destroy
Disciplinary	Bullying Investigations, reports & Intervention plans	Never destroy if they relate to a learner who was under 18 at course commencement. For learners aged 18+ at course commencement, retain for year of graduation/course completion + 7 years, or longer if an ESF-funded programme.	Bullying will constitute a major infringement of disciplinary policy (see 'disciplinary records' above). May have evidentiary value in civil or criminal litigation.	Either never destroy, or secure destruction/deletion, as per 'retention period' -see left.

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Examination Results	In-centre Tests / Assessments	Year of graduation/course completion + 7 years, or longer if an ESF-funded programme.	Retain as part of learner file. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction
Examination Results	FETAC/QQI Award evidence of assessment e.g. learner portfolios, artwork	Once results are issued and period for learner appeals has expired, learners should be given a short window in which to collect their work, after which it is destroyed if uncollected. Exception: ESF-funded programmes.	QQI QA policy framework is the master schedule here and QQI may issue mandates or guidance – refer to QQI QA policies for the Centre. Introduction of PLSS may also see revised guidance in this regard (March 2017). In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action	Secure destruction, but retain with the learner file in the event of an unsuccessful appeal.
Learner File	Consolidated learner record for centre	Retain for Year of Graduation/Course Completion + 7 years. Exception: ESF-funded programmes.	Retention period covers potential age of majority + 7 years for civil suit, or for 7 yrs post-course completion for adult education / youth reach in case of litigation risk.	Archive to secure storage Securely destroy after 7 years

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Learner Supports (Financial)	HEA Disability fund Applications	Retain for year of request + 6 years. Exception: ESF-funded programmes.	Aligns with financial accounting cycles; Provides ample window for appeals in case of refusal. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Learner Supports (Financial)	Training Allowance Records	Year of payment + 6 years. Exception: ESF-funded programmes.	Aligns with financial accounting cycles; Provides ample window for appeals in case of refusal. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	
Learner Supports (Financial)	BTEI records	Refer to ESF Guidelines section of this document.		Secure destruction/deletion
Learner Supports (Financial)	BTEA records	Year of payment + 6 years, or longer if an ESF-funded programme.	Aligns with financial accounting cycles; Provides ample window for appeals in case of refusal	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Learner Supports (Non-Financial)	Home School Community Liaison Visit Notes /Case Management	Retain until year of graduation/ end of course or learner reaches 18 years, which ever is earlier, + 7 years – Archive with learner File. Exception: ESF-funded programmes.	Relates to case management of learner in domestic/community environment.	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Learner Supports (Non-Financial)	TUSLA Reports	Retain until year of graduation/ end of course or learner reaches 18 years, which ever is earlier, + 7 years – Archive with learner File. Exception: ESF-funded programmes.	Relates to case management of learner in domestic/community environment	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Learner Supports (Non-Financial)	Guidance Records (Therapeutic Counselling)	Closure of File + 7 years or 7 years after learner has turned 18. Exception: ESF-funded programmes.	Aligns with retention period for learner records. Consolidation of records for archive facilitates future retrieval	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Learner Supports (Non-Financial)	Guidance Records (Non Therapeutic e.g. educational guidance)	Retain as separate file until graduation / end of course + 2 yrs. Consolidate with learner record for archiving. Exception: ESF-funded programmes.	Aligns with retention period for learner records. Consolidation of records for archive facilitates future retrieval	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Learner Supports (Non-Financial)	Referral Records (for support services)	Closure of file + 7 years or learner's 18th Birthday +7 yrs. Exception: ESF-funded programmes.	Provides continuity of record for duration of study; Retained for 7 years in case of court action (statute of limitations)	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Learner Supports (Non-Financial)	National Behaviour Support Service records	Retain until year of graduation/ end of course + 7 years – Archive with learner file. Exception: ESF-funded programmes.	Retained for evidence of supports applied for/provided.	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Learner Supports (Non-Financial)	Individualised Education Plan /Individual Behaviour Plan	Retain until graduation/end course + 7yrs. Exception: ESF-funded programmes.	Forms part of learner file	Retain and review if there is risk. Secure destruction thereafter.
Child Protection	Child Protection Files	Retain indefinitely	In case of litigation/criminal investigation	Retain indefinitely

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Child Protection	Allegation of Child Protection nature against member of staff, including where allegation is unfounded	Retain indefinitely	In case of litigation/criminal investigation	Retain indefinitely
Centre Activities & Trips	Permission Slips (re Learners under 18 only)	Never destroy	Never destroy	N/A
Centre Activities & Trips	Risk Assessments	Retain locally for 24 months after date of trip or activity. Exception: ESF-funded programmes.	Supports audit/review of activity management. Allows for reference to or reuse of risk assessments between classes/groups. If incident occurs on trip (e.g. health & safety, disciplinary, accident) retain in line with retention period for the type of incident as listed in this schedule).	Secure destruction/deletion
Centre Activities & Trips	Itineraries	Retain locally for 24 months after date of trip or activity. Exception: ESF-funded programmes.	Supports audit/review of activity management. Allows for reference to or reuse of risk assessments between classes/groups. If incident occurs on trip (e.g. health & safety, disciplinary, accident) retain in line with retention period for the type of incident as listed in this schedule).	Secure destruction/deletion

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Centre Activities & Trips	Out-of-centre activity signing sheets	Retain locally for 24 months after date of trip or activity. Exception: ESF-funded programmes.	Supports audit/review of activity management. Allows for reference to or reuse of risk assessments between classes/groups. If incident occurs on trip (e.g. health	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Records of Complaints by Parents/Guardians	Notes of verbal complaints or copies of written complaints from parents/guardians (re learners under the age of 18)	**Minor Issue:** Retain for 12 months. Review and retain if valid operational reason. Exception: ESF-funded programmes.	Minor issues may not require retention; however, nature or pattern of incidents may require monitoring between years.	In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction/deletion thereafter.
		Major Issue: Retain for year of complaint plus 6 years; Review for further retention in case of contentious disputes. Exception: ESF-funded programmes.	Major issues may affect learner learning/behaviour longer term or may trigger need for referrals. Also may be related to other risk issues to be managed by centre	
		Child Protection Issue: Initiate Child Protection protocols and retain indefinitely as part of CP records.	Any report/allegation of a child protection issue must be treated accordingly. Retain indefinitely.	
		Bullying: Initiate Anti-bullying protocols. Retain records for year of graduation + 7 years. Exception: ESF-funded programmes.	Bullying protocols are clearly defined. Retention period aligns with bullying records above.	

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Health & Safety Records	Accident Report form (refers to learners in accidents)	Should be submitted from Centre to Head Office to be retained there. Centres to retain copy of accident reports locally for 3 years after date of incident; Review annually thereafter Head office to retain indefinitely.	Head Office Accident report is the master record. Historically, copies held locally in case mislaid/misfiled by head office. 3 year local retention policy aligns with S11(2)(b) Statute of Limitations 1957 Note: Copy submitted to Head Office should be considered "Master Record". Local copies held for administrative purposes only.	Retain indefinitely, in case of litigation/criminal investigation.
Health & Safety Records	Learner Medical Information	Retain until updated by parent/guardian (for minors) or learner. Retain with learner consolidated file thereafter. Exception: ESF-funded programmes.	Medical conditions can change. This data should be refreshed annually. Only retain most recent updated version. Note: Centres should implement policies and procedures to solicit updates from parents/guardians/learners	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Health & Safety Records	Record of response to critical incident involving learners and/or staff	Should be submitted from Centre to Head Office to be retained there Centres to retain locally for 3 years after date of incident. Head office to retain for Year of Graduation/end of course + 7 years	This is not a learner file record but should be retained for same period given application of limitation periods on civil liability.	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction thereafter.
Staff Support & Operations	Teacher Diary Entries	Review on annual basis. Note: Diary entries relating to disciplinary, learner support, health & safety and other matters made by staff who leave a centre should be copied and provided to the Head of Centre for review and retention as needed.	Diary entries relevant to on-going operational or other matters may have valid retention requirement; Potential historical value.	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction/deletion thereafter.
Staff Support & Operations	Staff Meeting Minutes & Agendas	Date of meeting + 7 years. Exception: ESF-funded programmes.	Formal minutes should be kept for this period; review thereafter in case minutes relate to contentious issue / litigation etc.	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction/deletion thereafter.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Staff Support & Operations	Reports, Briefings, or presentations	Date of report + 7 years. Exception: ESF-funded programmes.	Formal reports should be kept for this period; review thereafter in case they relate to contentious issue / litigation etc.	Secure destruction
Staff Support & Operations	Administrative Records of staff, including Positions Of Responsibility	7 years. Exception: ESF-funded programmes.	Benchmarked against IRMS guidelines to UK education sector	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction/deletion thereafter.
Staff Support & Operations	Administrative Correspondence created by staff	7 years. Exception: ESF-funded programmes.	Benchmarked against IRMS guidelines to UK education sector	In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action. Secure destruction/deletion thereafter.
Financial & Administrative Records	**Centres retain copies of a large amount of administrative and financial records processed by Head Office functions. Historically, copies have been retained locally, for undefined periods, to mitigate risk of misplaced/misfiled/lost records in Head Office. The retention periods outlined below are for the retention of records locally in the centres and are a supplement to, not a replacement for, retention periods for any equivalent records in Head Office. As Centres are not the Record Owners, these retention periods are shorter than Head Office retention periods, because Head Office files should be regarded as the "System of Record".**			

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Financial Records	Payroll claim forms	Retain local copy for 3 years from year in which claim submitted. Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Financial Records	Learner fee receipts (enrolment, book money, Taxes)	Retain local copy for 3 years from year in which payment received.Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Financial Records	Office records, requisitions, invoices	Retain local copy for 3 years after year in which record was created. Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Financial Records	Budget allocations (hours to centres)	Retain local copy for 3 years after year in which record was created. Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Financial Records	Budget allocations (internal and external)	Retain local copy for 3 years after year in which record was created. Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Financial Records	Non-pay Financial Records (Invoices etc.)	Retain local copy for 3 years after year in which record was created. Exception: ESF-funded programmes.	Retained for local administrative purposes;	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Supplier Records	External Suppliers/Agencies (ETB funded)-- tax clearance, audited accounts, financial records	Retain local copy for 3 years after year in which record was created. Exception: ESF-funded programmes.	Retain locally for day to day admin purposes.	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Supplier Records	Service Level Agreements	Until superseded or end of contract. Exception: ESF-funded programmes. *Note: Centres should ensure they have up-to-date SLAs with suppliers where necessary.*	Retain locally for day to day management of supplier issues. Head Office should retain for end of contract + 7 years	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Centre Internal Administration	Records of Administrative decision (e.g. local policies)	7 years Review for decisions relating to contentious matters or on-going EU/ESF funded projects.	Aligns with academic administration.	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Centre Internal Administration	Records of Administrative correspondence	7 years Review for correspondence relating to contentious matters or on-going EU/ESF funded projects.	Aligns with academic administration.	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.

Centres

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Centre Internal Administration	Annual Leave Records	Retain local copies for 3 years	Aligns with Head Office retention requirement under Organisation of Working Time Act. Shorter retention period locally would increase administrative burden.	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Centre Internal Administration	Staff Attendance forms / Time Sheets	Retain local copies for 3 years	Organisation of Working Time Act mandates 3 year retention requirement for Head Office. This provides current year/previous year retention locally for admin purposes	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Centre Internal Administration	Disciplinary Procedures and Policies	Until superseded by Head Office	Retain local copy of relevant procedures and policies, (e.g. DES circulars) until notified by Head Office that policy/procedure superseded.	Verify with Head Office that they have retained copy. If yes, destroy, if no, provide copy then secure destruction/deletion.
Learner Payment Records	Credit/Debit Card details	Do not retain. Breaches Payment Card Industry/Data Security Standards. Retain record of mode of payment, first and last 4 digits of card only.	It is a breach of PCI-DSS standards for credit card security to retain full card numbers, names, addresses, and other data in hard copy or electronic form.	Redact data. Retain redacted data for period of financial records.

Schools

Description	Retention Period	Remarks	Final disposition
Registers/Roll books	Retain day registers indefinitely, and archive when class leaves + 2 years. Return fee-paying registers to ETB Head Office	Year of Graduation + 2 years Where student is under 18 on enrolment, year of reaching 18 + 2 years	N/A
State exam results	N/A	State Examinations Commission's responsibility to retain, not a requirement for school/ETB to retain.	N/A
Enrolment Forms	Student reaching 18 years + 7 years	18 is age of majority plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Student transfer forms (Applies from one second-level school to another)	Student reaching 18 years + 7 years	Student reaching 18 years + 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Disciplinary notes	Never destroy	Never destroy	N/A
Results of in-school tests/exams (i.e. end of term, end of year exams, assessment results)	Student reaching 18 years + 7 years	18 is age of majority plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB).	Secure destruction/deletion
End of term/year reports	Student reaching 18 years + 7 years	18 is age of majority plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion

Description	Retention Period	Remarks	Final disposition
Records of school tours/trips, including permission slips, itinerary reports	Never destroy	Never destroy	N/A
Scholarship applications e.g. Gaeltacht, book rental scheme	Student reaching 18 years + 7 years	18 is age of majority plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Garda vetting form & outcome on students (N.B. vetting not relevant to CNS students)	Record of outcome retained for 12 months.	Record of outcome retained for 12 months. School to retain the reference number and date of disclosure on file, which can be checked with An Garda Siochana in the future.	Secure destruction/deletion
SENSITIVE PERSONAL DATA STUDENTS			
Psychological assessments	Indefinitely	Never destroy	N/A - Never destroy
Special Education Needs' files, reviews, correspondence and Individual Education Plans	Indefinitely	Never destroy	N/A
Accident reports	Indefinitely	Never destroy	N/A
Child protection records	Indefinitely	Never destroy	N/A

Schools

Description	Retention Period	Remarks	Final disposition
Section 29 Appeals	Student reaching 18 years + 7 years	Student reaching 18 years + 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Enrolment/transfer forms where child is not enrolled or refused enrolment	Student reaching 18 years + 7 years	Student reaching 18 years + 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Records of complaints made by parents/ guardians	Depends entirely on the nature of the complaint.	Depends entirely on the nature of the complaint. If it is child-safeguarding, a complaint relating to teacher-handling, or an accident, then retain indefinitely. Never destroy. If it is a complaint of a more mundane nature (e.g. misspelling of child's name, parent not being contacted to be informed of parent-teacher meeting) or other minor matter, then student reaching 18 years + 7 years (6 years in which to take a claim, and 1 year for proceedings to be served on school)	Secure destruction/deletion or N/A, depending on the nature of the records.
Accident reports	Indefinitely	Never destroy	N/A

Description	Retention Period	Remarks	Final disposition
GOVERNMENT RETURNS			
Any returns which identify individual staff/students	Submitted online to DES. Printout retained by ETB HO	Depends upon the nature of the return. If it relates to pay/pension/benefits of staff, keep indefinitely as per DES guidelines. If it relates to information on students, e.g. October Returns, Annual Census etc., keep in line with "Student Records" guidelines above.	N/A
BOARD OF MANAGEMENT RECORDS			
School Closure	On school closure, records should be transferred as per guidance provided by Records Retention in the event of school closure/amalgamation on the DataProtectionSchools website.	A decommissioning exercise should take place with respect to archiving and recording data.	
Board agenda and minutes	Send copy to ETB for approval	Indefinitely. Originals should be stored securely on school property	N/A

Description	Retention Period	Remarks	Final disposition
OTHER SCHOOL BASED REPORTS/MINUTES			
CCTV recordings	28 days in the normal course, but longer on a case-by-case basis e.g. where recordings/images are requested by An Garda Síochána as part of an investigation or where the records /images capture issues such as damage/vandalism to school property and where the images/recordings are retained to investigate those issues.		Secure destruction/deletion
Principal's monthly report including staff absences	Submit copies to ETB Head Office	Retain originals Indefinitely. Administrative log and does not relate to any one employee in particular: the monthly reports are not structured, either by reference to individuals or by reference to criteria relating to individuals, in such a way that specific information relating to a particular individual is readily accessible. Not a "relevant filing system".	N/A
FINANCIAL RECORDS			
Invoices/back-up records/receipts	Retain for 7 years		Secure destruction/deletion

Description	Retention Period	Remarks	Final disposition
PAYROLL (CNS only)			
Any documents relating to the recording and administration of payroll.	Retain local copy for 3 years from year in which claim submitted.	Retained for local administrative purposes. Payroll function for Community National Schools is carried out by the Department of Education and Skills Payroll Division in Athlone.	Verify with Department of Education and Skills Payroll Division that they have retained copy, and there there is no further business case for retention. If yes, destroy, if no, provide copy then secure destruction/deletion.
HEALTH AND SAFETY			
Accident reports	Indefinitely	Never destroy	N/A
Incident Report Forms	10 years. For incidents relating to students under age of 18, retain scanned copy until reaching age 18, and add 10 years	Aligns with Insurance retention periods In case of litigation/criminal investigation, retain and review retention regularly as needed against probability of legal action.	Secure destruction/deletion.
Hazard Report Forms	Retain for 10 years	Aligns with Insurance retention periods In case of litigation/criminal investigation, retain and review retention regularly as needed against probability of legal action.	Secure destruction/deletion.
Critical Incident Management Plan (CIMP) Framework & Aide Memoir	Superseded + 10 years	Good Practice. Supports lessons learned and evaluation of plan. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion.
Business Continuity Plan (BCP)	Superseded + 10 years	Good Practice. Supports lessons learned and evaluation of plan.	Secure destruction/deletion.

Description	Retention Period	Remarks	Final disposition
ETB Fire & Evacuation Procedures	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion.
Safety Statements	Indefinitely	Legal Requirement Safety, Health, & Welfare at Work Act 2005 requires creation of a safety statement and its updating where required. No retention period is defined for superseded statements. Retention is for good practice, in case of litigation/criminal investigation.	n/a
Risk Assessments & Risk Registers	Indefinitely	Retention is for good practice, in case of litigation/criminal investigation.	n/a
Statement of Health & Safety Policy	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
DSE Display Screen Assessments	Date of Assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Pregnant Employee Assessment Forms	Date of Assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Manual Handling Risk Assessment	Date of assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion

Description	Retention Period	Remarks	Final disposition
Disclaimers signed by students undergoing Beauty Treatments	Retain indefinitely	In the event of claim or litigation in respect of accident or injury during or arising from treatment	Retain indefinitely
Inspection Checklists	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Internal Audits and Reviews	Date of Inspection + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Safety Inspections (HSA)	Date of Report+ 10 years	Legal Requirement. Evidence of actions on report findings/weaknesses. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Fire Registers	Date of last update + 10 years	As per State Claims Agency Fire Register & Guidance Template v1.0. (http://stateclaims.ie/wp-content/uploads/2014/03/Fire-Register-guidance-and-templates-Version-1-2014.pdf) In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

Description	Retention Period	Remarks	Final disposition
Fire Drills Log	Date of last drill + 10 years	Maintained as part of Fire Register. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Copies of Safety Training Materials + record of who received training	Indefinitely	Retention is for good practice, in case of litigation/criminal investigation.	n/a
HSA Correspondence	Date of Correspondence + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Administrative correspondence	Date of correspondence + 7 years	In line with general administrative retention period. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Insurance				
Insurance Policy	Policy documents	Indefinitely	Especially relevant for claims for health issues that are identified many years after the cause.	Secure destruction/deletion, archive policy schedule document.
Insurance	Insurance Property Claims, including any legal correspondence.	10 years following settlement or withdrawal of claim	Audit Requirement. Property losses are usually discovered and claims initiated shortly after they	Secure destruction/deletion
Insurance	Insurance Accident Claim Forms, including any legal correspondence.	10 years following settlement or withdrawal of claim.	Legal Requirement	Secure destruction/deletion
Insurance	Insurance Correspondence	Date of Correspondence + 10 years. Review correspondence before destruction to verify if it relates to a claim or potential claim by a minor which may warrant longer retention – usually 2 years after they reach 18 years.	Legal Requirement; period covers statute of limitations for any potential claim by an adult. Reviewing of correspondence to identify claims relating to minors is a prudent risk management control. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
HEALTH AND SAFETY				
Health & Safety	Accident reports	Indefinitely	Never destroy	N/A
Health & Safety	Incident Report Forms	10 years. For incidents relating to students under age of 18, retain scanned copy until reaching age 18, and add 10 years	Aligns with Insurance retention periods In case of litigation/criminal investigation, retain and review retention regularly as needed against probability of legal action.	Secure destruction/deletion.
Health & Safety	Hazard Report Forms	Retain for 10 years	Aligns with Insurance retention periods In case of litigation/criminal investigation, retain and review retention regularly as needed against probability of legal action.	Secure destruction/deletion.
Incident Management Plans	Critical Incident Management Plan (CIMP) Framework & Aide Memoir	Superseded + 10 years	Good Practice. Supports lessons learned and evaluation of plan. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion.
Incident Management Plans	Business Continuity Plan (BCP)	Superseded + 10 years	Good Practice. Supports lessons learned and evaluation of plan.	Secure destruction/deletion.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Incident Management Plans	ETB Fire & Evacuation Procedures	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion.
Policies & Procedures	Safety Statements	Indefinitely	Legal Requirement Safety, Health, & Welfare at Work Act 2005 requires creation of a safety statement and its updating where required. No retention period is defined for superseded statements. Retention is for good practice, in case of litigation/criminal investigation.	n/a
Policies & Procedures	Risk Assessments & Risk Registers	Indefinitely	Retention is for good practice, in case of litigation/criminal investigation.	n/a
Policies & Procedures	Statement of Health & Safety Policy	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Assessments	DSE Display Screen Assessments	Date of Assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Assessments	Pregnant Employee Assessment Forms	Date of Assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Assessments	Manual Handling Risk Assessment	Date of assessment + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Assessments - Disclaimer	Disclaimers signed by students undergoing Beauty Treatments	Retain indefinitely	In the event of claim or litigation in respect of accident or injury during or arising from treatment	Retain indefinitely
Audits & Inspections	Inspection Checklists H&S Head Office & Safety Rep Inspection Checklist	Superseded + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion
Audits & Inspections	Internal Audits and Reviews (ETB staff)	Date of Inspection + 10 years.	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Audits & Inspections	Safety Inspections (HSA)	Date of Report+ 10 years	Legal Requirement. Evidence of actions on report findings/weaknesses. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Audits & Inspections	Fire Registers	Date of last update + 10 years	As per State Claims Agency Fire Register & Guidance Template v1.0. (http://stateclaims.ie/wp-content/uploads/2014/03/Fire-Register-guidance-and-templates-Version-1-2014.pdf) In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Audits & Inspections	Fire Drills Log	Date of last drill + 10 years	Maintained as part of Fire Register. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Audits & Inspections	Accident Statistics	Date of last reported accident +20 years. Retain original records for 10 years. Retain aggregated data for further 10 years.	Legal Requirement	Secure destruction of original records after 10 years. Scan/Save Aggregated data and store for further 10 years. Secure destruction/deletion of statistical data after 20th year.
Safety Training	Copies of Safety Training Materials + record of who received training	Indefinitely	Retention is for good practice, in case of litigation/criminal investigation.	n/a
Correspondence	HSA Correspondence	Date of Correspondence + 10 years	Legal Requirement. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Correspondence	Administrative correspondence	Date of correspondence + 7 years	In line with general administrative retention period. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
ADMINISTRATION				
Board Meetings	Minutes	Retain indefinitely	Retain indefinitely	Retain indefinitely

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Board Meetings (both the Board of the ETB and the Committee of the VEC)	Agendas & Minutes	Indefinitely		n/a
Board Meetings (both the Board of the ETB and the Committee of the VEC)	Correspondence and Reports considered at Board Meetings	Date of meeting + 7 years Unless need for further retention identified	Review after 7 years in case minutes relate to contentious issue / litigation or historical value, in which case retain with relevant case file.	Secure destruction/deletion / Archive
Board Meetings (both the Board of the ETB and the Committee of the VEC)	Attendance Sheets	Date of meeting + 7 years. Unless need for further retention identified	Attendance recorded in the minutes in any event	Secure destruction/deletion/ Archive
Committee Meetings (Audit, Finance, Boards of Schools, etc.)	Agendas & Minutes	Indefinitely		n/a
Committee Meetings (Audit, Finance, Boards of Schools, etc.)	Correspondence and Reports considered at Board Meetings	Date of meeting + 7 years, unless need for further retention identified	Review after 7 years in case minutes relate to contentious issue / litigation or historical value, in which case retain with relevant case file.	Secure destruction/deletion. Archive
Committee Meetings (Audit, Finance, Boards of Schools, etc.)	Attendance Sheets	Date of meeting + 7 years. Unless need for further retention identified	Attendance recorded in the minutes in any event	Secure destruction/deletion/ Archive
Appointment of Committee Members	Records relating to the successful appointment of Committee members	Term of office plus 7 years	Equivalent to HR processes for staff members. In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Appointment of Committee Members	Records relating to unsuccessful committee applicants	Year of Appointments + 1 year	Equivalent to HR processes for staff members. In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion
Appointment of Committee Members	Register of Appointment as a Committee member	Indefinitely; Historic record	Historical value. In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Archive
Ethics in Public Office Declaration	Records of declarations from committee members, spouses, children etc.	15 years	Section 34 Ethics in Public Office Act 1995 (as amended). In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion
Ethics in Public Office Declaration	Register of Members Interests	15 years	Section 34 Ethics in Public Office Act 1995 (as amended). In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Committee Member Training & Development	Records documenting training & development of Committee members	7 years	Required to demonstrate continued relevant CPD of committee members. In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion
Elections to Committee Correspondence	General correspondence in relation to elections	7 years	Sufficient to allow for queries or FOI requests to be addressed; Review before destruction for correspondence of historical or other value. In the event that matters under discussion relate to an identified risk of or instance of litigation, retain with relevant case file.	Secure destruction/deletion
Section 29 Appeals	Disciplinary Appeal Forms, Board's deliberations, other relevant material	7 years	Review before destruction in the event that matters under discussion relate to an identified risk of or instance of litigation.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Garda Vetting	Garda Vetting Response	Keep the actual response for 1 year from date of response. Thereafter, retain the response reference number with the date vetting response received Review for any exceptional circumstance before destruction	Data Protection Commissioner Guidance	Secure destruction/deletion (i.e. the original response). In case of legal need, resubmit reference to AGS for copy of what was originally provided.
Scheme Operations	Allocations [record of Main Scheme & Hours in Co-operation allocation]	7 years	Retain for comparisons, statistical analysis /trend analysis. Extract relevant records from electronic copies (copy to case file) or retain hard copy as required	Secure destruction/deletion
Scheme Operations	Utilisation [record of Main Scheme & Hours in Co-operation allocation]	Date of last entry + 40 years.	Retain for comparisons, statistical analysis /trend analysis. Extract relevant records from electronic copies (copy to case file) or retain hard copy as required	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Student Grant Applications	Application Forms and Supporting Documentation	Hold original for 3 years after final grant payment and then destroy.	In case of potential litigation, e.g. where a student appealed, retain for 7 years after final grant payment. Review retention as needed against probability of legal action. SUSI launched on 12/6/12, from which point VECs ceased accepting new grant applications.	Secure destruction/deletion
Correspondence	Correspondence with Centres	7 years	Allows reasonable duration for FOI requests etc. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Correspondence	Correspondence re FETAC/QQI QA process for each Centre.	7 years	Allows reasonable duration for FOI requests etc. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Claims	FETAC/QQI Module Assessment Claim	Indefinitely Hard copy: Year of claim + 7 years Electronically from then on	Forms part of Salary - implications for pension. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Scan or electronically archive, then securely destroy original

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Policies and Procedures	Disciplinary Procedures and Policies	7 years	For comparison of changes and review of implications. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Policies and Procedures	Other Policies and Procedures	7 years	For comparison of changes and review of implications. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Policies and Procedures	Drafts of policies and associated working papers	7 years	To support bedding in of process, development/ updating of staff briefings etc. In case of potential litigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
PROPERTIES & FACILITIES				
Property Title	Record documenting acquisition and ownership by ETB of real estate	Retain indefinitely		N/A

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Lease Agreement	Record documenting acquisition and use of real estate by ETB through lease or licence	Retain indefinitely		N/A
Third Party Rental Agreement/Licence Agreement	Record documenting access to or use of ETB's real estate by third party through lease or licence	7 years after agreement expiry	Of no foreseeable value after this period	Secure destruction/deletion
Service Contract Agreement	Records documenting Service Contract supply, charges, investments, and covenants	7 years after agreement expiry	Of no foreseeable value after this period	Secure destruction/deletion
INFORMATION TECHNOLOGY				
ICT strategy	Development and implementation of ICT strategy	10 years	Of no foreseeable value after this period	Secure destruction/deletion
Audit reports [records documenting participation in inspections by authorized bodies or their representatives re: legal, contractual, or technical implementation provisions]	Internal IT Audit / IT Security Audit Reports	7 years	Retain for evidence of audit actions, lessons learned, and compliance. Retain relevant extract or record if related to a potential risk of litigation or prosecution.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Audit reports [records documenting participation in inspections by authorized bodies or their representatives re: legal, contractual, or technical implementation provisions]	External IT Audit / IT Security Audit Reports	7 years	Retain for evidence of audit actions, lessons learned, and compliance	Secure destruction/deletion
Audit reports [records documenting participation in inspections by authorized bodies or their representatives re: legal, contractual, or technical implementation provisions]	ICT Systems Change Log	3 years	Retain for evidence of changes to technology or technology related processes	Secure destruction/deletion
Project management	Records documenting the management of ICT systems development projects (i.e. project management records, project status meeting minutes etc.).	7 years	Retain until statute of limitations on breach of contract has expired in case of litigation and in case of audit requirement. Retain relevant extract or record if related to a potential risk of litigation or prosecution.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Usage regulations	Records governing the policies for availability and conditions of use of ICT resources	7 years after expiry	Retain for version comparisons to demonstrate compliance with audit actions	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
IT Governance activities	Administrative Meeting Agenda, minutes	7 years	Aligns with standard administrative minutes practice in Centres	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
IT Governance activities	Project Submissions (incl. go/no go decisions)	7 years	Aligns with standard administrative records practice in Centres Supports “lessons learned” in project planning, also evidence reasons why projects not initiated.	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Major ICT incidents	Details of high priority IT incidents, the measures taken to address them and future recommendations	3 years	To support change management and/or incident response/training To identify common causes and special causes of security incident and mitigate	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation, especially if related to a data breach.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Change management	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	7 years	Historical value	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Security management	Records documenting the security arrangements for ICT systems.	7 years	ISO27001 and related standard recommend review of security management systems in response to changes to systems or changes to processes or controls.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Data backup operations	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	3 years	Provides sufficient time for audit/review/remediation	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Monitoring logs (System Log Files)	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	3 years	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Disposal of ICT equipment	ICT Equipment disposal policy and associated procedures	7 years	Retain for version comparisons to demonstrate compliance with audit actions	Secure destruction/deletion. Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Disposal of ICT equipment	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	3 years	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Software license management	Records documenting the maintenance of appropriate software licences for live ICT systems.	3 years after licence expires	Retain for internal /external audit and control testing.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Identity and access management	Records documenting the request, creation, maintenance and closure of user accounts for ICT systems.	Closure of account plus 3 years	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Customer feedback	Details of user feedback on service made in confidence	Current year plus 1 year	Supports continuous improvement and incident/case management.	Anonymise and retain statistical data re satisfaction; Destroy identifiable data.
Security breaches	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken by IT Services.	7 years	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Data recovery	Records documenting user requests to recover data from backup or archive stores, and action taken.	7 years	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
Support request	Records documenting user requests for technical and application support, and action taken to investigate and resolve the problem.	7 years	Of no foreseeable value after this period	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
User training	Records documenting the development of technical and application training for ICT system users.	7 years	GDPR requires retention of evidence of effective operation of controls relating to information security.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
User training	Records relating to attendance at training re: IT systems & security	7 years	Training is explicitly referenced as a control in GDPR. Must have evidence of effectiveness.	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Network access requests	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection plus 2 years Note: 3rd party access must be undertaken under a formal data sharing agreement or data processor contract	Retain for internal /external audit and control testing. GDPR requires retention of evidence of effective operation of controls relating to information security Retention longer than 2 years post last action not necessary or proportionate	Secure destruction/deletion Electronic data deleted from computer storage. Retain relevant extract or entire record if related to a potential risk of litigation.
STATISTICS				
Statistics	Reporting to external bodies such as DES, SOLAS, CSO, DSP, ETBI, etc.	7 years	Of no foreseeable value after period	Secure destruction/deletion

HQ Finance

Record Group	Record Description	Retention Period	Remarks	Final Disposition
GENERAL				
Annual Accounts Records	Records documenting the preparation of annual accounts.	7 years. Retain for longer if requested through CE	As required under Taxes Acts	Secure destruction/deletion
Audited Accounts	Audited Accounts	Indefinitely		n/a
Analyses of deployment of Financial resources	Records documenting analyses of the internal deployment of financial resources	7 years. Retain for longerif requested through CE	For year on year comparisons against plans	Secure destruction/deletion
Statutory Accounts	Records documenting the preparation of the statutory accounts	7 years. Retain for longerif requested through CE	As required under Taxes Acts	Secure destruction/deletion
Internal Accounting Transactions	Records/Journals documenting the processing on internal accounting transactions between operating units (i.e. cross-charges)	7 years. Retain for longerif requested through CE	For year on year comparisons against plans	Secure destruction/deletion
Tax Returns	Records documenting the preparation and filing of tax returns	7 years. Revenue Commissioners require that records be kept for at least six years after the end of the tax year. Records must be made available for inspection by authorised officers of the Revenue Commissioners or of the Dept. of Social Protection.	As required under Taxes Acts	Secure destruction/deletion
Stock control	Stocktaking Reports	7 years		Secure destruction/deletion
Stock control	Stock Books/Asset Registers	Retain indefinitely in original form.		
CREDITORS				

HQ Finance

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Purchase Invoices	Records documenting the receipt and payment of purchase invoices	7 years. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	Legislative requirement (Companies Acts, Taxes Acts)	Secure destruction/deletion
Purchase Invoices	Records documenting the receipt and payment of purchase invoices relating to ESF funded program/project	Refer to ESF Guidelines section of this document. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Employees' Expenses	Records documenting the payment and/or Reimbursement of employees' expenses	7 years. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	Legislative requirement (Companies Acts, Taxes Acts)	Secure destruction/deletion
Employees' Expenses	Records documenting the payment and/or Reimbursement of employees' expenses relating to ESF funded program/project	Refer to ESF Guidelines section of this document. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	Benchmarked against DES Circular 0020/2013. Refer to ESF Guidelines section of this document.	Secure destruction/deletion
Payment of Honoraria to third parties	Records documenting the payment of honoraria to third parties (non-payroll)	7 years. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	Legislative requirement (Companies Acts, Taxes Acts)	Secure destruction/deletion
Payment of Honoraria to third parties	Records documenting the payment of honoraria to third parties (non-payroll) in respect of an ESF funded program/project	Refer to ESF Guidelines section of this document. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Benchmarked against DES Circular 0020/2013.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Payment of expenses to third parties	Record documenting the payment of expenses to third parties (e.g. honorary appointees)	7 years. Retain for extended period on request of CE in event of legal issue. Review ongoing retention thereafter.	Legislative requirement (Companies Acts, Taxes Acts)	Secure destruction/deletion
Payment of expenses to third parties	Record documenting the payment of expenses to third parties (e.g. honorary appointees) in respect of an ESF funded program or project	Refer to ESF Guidelines section of this document. Retain for extended period on request of CE in event of legal issueReview ongoing retention thereafter.	Benchmarked against DES Circular 0020/2013.	Secure destruction/deletion
BANKING				
Petty Cash Payments	Records documenting the handling of Petty Cash	7 years	Taxes Acts, statute of limitations on contractual debt	Secure destruction/deletion
Students' Fees	Records documenting the receipt and processing of students' fees	7 years	Taxes Acts, statute of limitations on contractual debt	Secure destruction/deletion
Petty Cash Payments for EU funded programmes	Records documenting the handling of Petty Cash on ESF-funded projects	Refer to ESF Guidelines section of this document.	Benchmarked against DoE Circular 0020/2013	Refer to ESF Guidelines section of this document before destroying. Secure destruction/deletion when this has been checked.
PROJECTS				
Capital Projects **ESF funded** projects	Financial Records relating to project * budget * purchase orders/invoices * other expenses charged to project	Refer to ESF Guidelines section of this document. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Benchmarked against DES Circular 0020/2013 and National Retention Policy for Local Authorities (2002) Refer to ESF Guidelines section of this document.	Refer to ESF Guidelines section of this document before destroying. Secure destruction/deletion when this has been checked.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Capital Projects **ESF funded** projects	Project Charter, Project Plan, Correspondence, and Reports	Refer to ESF Guidelines section of this document. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Benchmarked against DES Circular 0020/2013 and National Retention Policy for Local Authorities (2002) Refer to ESF Guidelines section of this document.	Refer to ESF Guidelines section of this document before destroying. Secure destruction/deletion when this has been checked.
Capital Projects **Non-ESF Funded** projects	Financial Records relating to project * budget * purchase orders/invoices * other expenses charged to project	Calendar Year of End of Project Maintenance + 7 years. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Benchmarked National Retention Policy for Local Authorities (2002)	Secure destruction/deletion
Capital Projects **Non-ESF Funded** projects	Project Charter, Project Plan, Correspondence, and Reports	Calendar Year of End of Project Maintenance + 7 years. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Benchmarked National Retention Policy for Local Authorities (2002)	Secure destruction/deletion
PROCUREMENT				
Procurement Procedures	Records documenting the development of the institution's procurement procedures	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Good practice. Supports comparison and review of lessons learned etc.	Secure destruction/deletion
Supplier Evaluation criteria	Records documenting supplier evaluation criteria	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Good practice. Supports comparison and review of lessons learned etc.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Invitations to suppliers to apply for approval	Records documenting invitations to prospective suppliers to apply for approval	Expiry of invitation OR rejection of application + 6 months OR completion of approval. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for QA/Audit purposes and in case of appeals	Secure destruction/deletion
Records on evaluation and notification to approved suppliers	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers	Termination of approval +1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for duration of supplier approval for reference. Retention post-termination is to align with retention of rejected suppliers	Secure destruction/deletion
Records on evaluation and notification to rejected suppliers	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers	Rejection + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for 1 year for QA/Audit and review purposes or in case of appeal Applies to terminated approvals also	Secure destruction/deletion
Process of inviting and evaluating pre-qualification submissions	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for 1 year post award for QA/Audit and review purposes or in case of appeal	Secure destruction/deletion
Invitations to Tender and evaluation criteria	Records documenting Invitations to Tender and tender evaluation criteria	7 years from contract award. If project is ESF funded, refer to ESF Guidelines section of this document. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain as evidence of process followed in awarding of contract. Retain to ensure contract executed as per tender requirements and selection criteria	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Issue of Invitations to Tender and incoming Tenders	Records documenting the issue of Invitations to Tender	Award of contract + 1 year	Retain for 1 year for QA/Audit and review purposes or in case of appeal	Secure destruction/deletion
Rejected Tenders	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for 1 year for QA/Audit and review purposes or in case of appeal If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Accepted Tenders	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for 1 year for QA/Audit and review purposes or in case of appeal If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Contract Award	Contract Award report	Termination of supply contract awarded + 7 years If project is ESF funded, refer to ESF Guidelines section of this document. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Historical value	Secure destruction/deletion

HQ Finance

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Variations to Contracts	Records documenting variations to contracts (e.g. revisions, extensions)	Termination of contract + 7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain as evidence of project governance and amendments to contract If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Supplier Performance	Records documenting the monitoring of supplier performance and action taken regarding under-performance	Termination of contract + 7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain as evidence of project governance and supplier management. If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Purchasing authorisation limits	Records documenting purchasing authorisation limits	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for audit and comparison purposes	Secure destruction/deletion
Internal authorisation for procurement	Records documenting internal authorisation for procurement	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for QA/Audit and review purposes. If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion
Purchase Orders	Purchase Orders	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Retain for accounting and audit purposes. If project is ESF funded, refer to ESF Guidelines section of this document.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
GENERAL				
Industrial Relations	Correspondence re Issues	7 years	Benchmarked against UK Local authority retention schedules. Retention period can be extended if required on advice of CE in event of legal issue, so review on case by case basis.	Secure destruction/deletion
Industrial Relations	Agreements	7 years	Benchmarked against UK Local authority retention schedules. Retention period can be extended if required on advice of CE in event of legal issue, so review on case by case basis.	Secure destruction/deletion
Industrial Relations	Minutes of meetings	7 years	Benchmarked against UK Local authority retention schedules. Retention period can be extended if required on advice of CE in event of legal issue, so review on case by case basis.	Secure destruction/deletion
Industrial Relations	Industrial Relations Reports	7 years	Benchmarked against UK Local authority retention schedules. Retention period can be extended if required on advice of CE in event of legal issue, so review on case by case basis.	Secure destruction/deletion
Case Management	Dignity at work Case files	Retain until Staff member is 90 years of age	Historic Reference. Transfer to Personnel file on retirement. Retain for extended period on request of CE in event of legal issue. Review ongoing retention.	Secure destruction/deletion
Case Management	Labour Court Recommendations	Retain until staff member is 90 years of age	Historic Reference. Transfer to Personnel file on retirement. Retain for extended period on request of CE in event of legal issue. Review ongoing retention.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Case Management	Disciplinary Records	Retained as per Personnel Disciplinary Procedures	Staff monitoring and performance management. Transfer to Personnel file on retirement. Retain for extended period on request of CE in event of legal issue. Review ongoing retention.	Secure destruction/deletion
HR Policies	HR Policies	7 years		Secure destruction/deletion
HR Policies	HR Policy drafts and notes of development	7 years	For reference and support in implementing change. For QA and reference purposes. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	Staff Training	Retain for Duration of employment + 7 years	Statute of Limitations. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	Health & Safety Training	Retain for Duration of employment + 7 years	Statute of Limitations. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	Minutes of meetings	7 years	Aligns with administrative record retention in other areas. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	Finance Records (Including Fee Suppport/ Fee Waivers)	7 years	Historical value. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	Annual programme of courses / workshops	7 years	For QA and reference purposes. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Staff Training & Development *(Including PMDS and CPD)*	PMDS - Personal Development forms	Until superseded/updated at PMDS meeting	PMDS National Agreement. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Staff Training & Development *(Including PMDS and CPD)*	PMDS - Development Plans	Until superseded + 3 years	Provides sufficient period for review and tracking of progress against plan.	Secure destruction/deletion
Employee Assistance Programme *(Case Files)*	Interview Notes	Current year + 6 years	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Employee Assistance Programme *(Case Files)*	Correspondence	Year of correspondence + 6 years	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Employee Assistance Programme *(Case Files)*	File cards	7 years	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
RECRUITMENT				
Recruitment Process	Unsolicited applications for jobs	18 months from close of competition	12 months from close of competition + 6 months in case of Equality Tribunal claim	Secure destruction/deletion
Recruitment Process	Vacancy Notification	Date of closure of competition + 18 Months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Recruitment Process	Advertisement Copies	Date of closure of competition + 18 Months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Recruitment Process	Job Description (as advertised)	Date of closure of competition + 18 Months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Recruitment Process	Job Description (standard)	Superseded + 3 years	Retain job description until superseded by updated version. Retain legacy descriptions for audit purposes. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Recruitment Process	Selection Criteria	18 months from close of competition	12 months from close of competition plus 6 months for the Equality Tribunal to inform the ETB that a claim is being taken. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Recruitment Process	Applications of Candidates not Shortlisted/Qualified/ called for interview	18 months from close of competition	12 months from close of competition plus 6 months for the Equality Tribunal to inform the ETB that a claim is being taken. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Interview Process	Selection Criteria	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Interview Process	Interview Board Marking Scheme	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Interview Process	Interview Board marking sheets	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Interview Process	Interview Board Formal Notes	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Interview Process	Database of applications of candidates unsuccessful at interview	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim	Secure destruction/deletion
Interview Process	Panel Recommendations by Interview Board	18 months from close of competition	12 months from close of competition plus 6 months for the Equality Tribunal to inform the ETB that a claim is being taken.	Secure destruction/deletion
Interview Process	Assessment Board Report	Move to Employee File in Staff Records. Retain for Duration of employment + 7 years	Benchmarked against UCD and DIT retention policies	Secure destruction/deletion
Candidates Successful at Interview	Application & CV	Move to Employee File in Staff Records. Retain for Duration of employment + 7 years	Retained as part of staff personnel file in case of litigation or queries during period of employment. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Candidates Successful at Interview	Qualifications	Retain on personal file for duration of employment + 7 years	Retained as part of staff personnel file in case of litigation or queries during period of employment. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Candidates Successful at Interview	References	Retain on personal file for duration of employment + 7 years	Retained as part of staff personnel file in case of litigation or queries during period of employment. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Candidates Successful at Interview	Recruitment Medical / Pre employment Medical Reports	Retain on personal file for duration of employment + 7 years	Necessary for the purpose of identifying pre-existing conditions in event of work related injury and potential litigation. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Candidates Successful at Interview	Candidates shortlisted and are successful but do not accept offer	Date of closure of competition + 18 months	12 months from close of competition + 6 months in case of Equality Tribunal claim	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
STAFF				
Generic Files	Staff Personnel Files	**Resignation** Retain until staff member is at least 90 years of age for pension purposes on resignation.	**Resignation** Staff members may opt for preservation of benefits or a transfer of service at any point after resignation up to date of retirement. As there is no maximum retirement age for new entrants these files are retained until staff member reaches 90 years of age as this is a reasonable estimate of life expectancy. Files of staff members who resign from non pensionable post should also be retained in case the rules of the scheme are amended and this service is retrospectively deemed pensionable. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.	Secure destruction/deletion
Generic Files	Staff Personnel Files	**Retirement** Retain until 6 years after beneficiary and/or qualifying dependent death for retired staff.	**Retirement** Time limit for complaints to the Pensions Ombudsman – where act giving rise to the complaint took place after 28.04.2003 – 6 years since the date of the act or 3 years since complainant should have been aware of the act. (The Ombudsman may also investigate complaints between 13.04.1996 –28.04.2003)	Secure destruction/deletion
Generic Files	General Job Description File	Superseded + 7 years	History of how job descriptions change has archival value. In case of litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Selection criteria	Selection criteria	Retain for duration of employment plus 7 years	(6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Section (extract) from database of applications which relates to the employee only.	Retain for duration of employment plus 7 years	(6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Interview board marking scheme & board notes	Retain for duration of employment plus 7 years	(6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Application/CV	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Qualifications (ETB)	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	References	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Job specification/description	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB). There is a statutory requirement to retain for 3 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files *(whilst in employment)*	Contract/Conditions of employment (ETB)	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Staff Personnel Files *(whilst in employment)*	Probation letters/forms	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files - Posts or Responsibility (POR)	POR applications and correspondence (whether successful or not) (ETB)	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Staff Personnel Files - Posts or Responsibility (POR)	Calculation of service	Retain indefinitely on master file	Relates to pay/pension etc. (See DES guidelines)	n/a
Staff Personnel Files - Posts or Responsibility (POR)	Promotions/POR Board master files	Retain indefinitely on master file		n/a
Staff Personnel Files - Posts or Responsibility (POR)	Promotions/POR Boards assessment report files.	Retain original on personnel file, and copy on master & appeal file. Retain for duration of employment + 7 years (6 years in which to take a claim, plus 1 year to serve proceedings). Copy on master and appeal file.		Secure destruction/deletion
Staff Personnel Files - Posts or Responsibility (POR)	POR appeal documents	Retain original on personnel file, and copy on master & appeal file. Retain for duration of employment + 7 years (6 years in which to take a claim, plus 1 year to serve proceedings). Copy on master and appeal file.		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Staff Personnel Files - Posts or Responsibility (POR)	Correspondence from candidates re feedback	Depends upon nature of feedback. If feedback is from unsuccessful candidate who is not an employee of the ETB, keep in line with retention periods above. If feedback is from successful candidate or from unsuccessful candidate who is already an employee, keep in line with "Staff personnel whilst in employment" above.		Secure destruction/deletion
Leave /Absence	Annual Leave Records	Retain for 3 years	Organisation of Working Time Act 1997 stipulates keeping these records for 3 years	Secure destruction/deletion
Leave /Absence	Leave of absence applications (ETB)	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)	Records & personnel files retained at ETB head office level	Secure destruction/deletion
Leave /Absence	Job share (ETB)	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Leave /Absence	Career Break (ETB)	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)		Secure destruction/deletion
Leave /Absence	Maternity leave (ETB)	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)		Secure destruction/deletion
Leave /Absence	Paternity leave	Retain for 2 years following retirement/resignation or the duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB) (whichever is the greater).		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Leave /Absence	Parental Leave	Must be kept for 8 years - Parental Leave Act 1998 Retain for 8 years or the duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB) (whichever is the greater). There is a statutory requirement to retain for 8 years. (ETB)	Parental Leave Act, 1998.	Secure destruction/deletion
Leave /Absence	Force Majeure Leave	Retain for 8 years or the duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB) (whichever is the greater). There is a statutory requirement to retain for 8 years.		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Leave /Absence	Carer's Leave Records	Must be kept for 8 years - Carer's Leave Act 2001 Retain for 8 years or the duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB) (whichever is the greater). There is a statutory requirement to retain for 8 years	Carer's Leave Act, 2001.	Secure destruction/deletion
Leave /Absence	Working Time Act (attendance hours, holidays, breaks) (ETB)	Retain for duration of employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB). There is a statutory requirement to retain for 3 years		Secure destruction/deletion
Allegations/complaints (ETB)	Allegations/complaints (ETB)	Retain for duration of employment plus 7 years (6 years to take a claim, plus 1 year for proceedings to be served). **Please note** the relevant DES Circular re Disciplinary Procedures in relation to the period of time for which a warning remains "active" on an employee's record.		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Grievance and disciplinary records	Grievance and disciplinary records	Retain for duration of employment plus 7 years (6 years to take a claim, plus 1 year for proceedings to be served). **Please note** the relevant DES Circular re Disciplinary Procedures in relation to the period of time for which a warning remains "active" on an employee's record.		Secure destruction/deletion
Occupational Health	Sickness absence records/certificates	Re sick leave scheme (1 in 4 rule) ref DES C/L 0060/2010 Retain for 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		Secure destruction/deletion Or Do not destroy.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Occupational Health	Pre-employment medical assessment	Retain for 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		Secure destruction/deletion
Occupational Health	Occupational health referral	Retain for 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		Confidential destruction/deletion Or Do not destroy.
Occupational Health	Correspondence re retirement on ill-health grounds	Retain for 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		Secure destruction/deletion Or Do not destroy.

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Occupational Health	Accident/injury at work reports	Retain for 10 years, or the duration of the employment plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), whichever is the greater (unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy).		Secure destruction/deletion Or Do not destroy.
Occupational Health	Medical assessments or referrals	Retain for 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB), unless Medmark assessment relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		Secure destruction/deletion Or Do not destroy.
Occupational Health	Sick leave records (sick benefit forms)	In case of audit/refunds, Current year plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB)		Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Miscellaneous	Contracts for Service	Retain for the duration of the contract plus 6 years by relevant manager	Contracts may need to be held until C&AG audit	Secure destruction/deletion
Miscellaneous	Papers from formal HR meetings *Agendas *Minutes *Associated papers circulated	Retain indefinitely	For historical purposes	Archive
PAYROLL				
Authorisation for non-statutory payroll deductions	Records documenting employee's authorisation for non-statutory payroll deductions	Current Tax Year + 6 years	Retain for compliance with Taxes Acts, Companies Acts etc., and for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure archive for duration of retention period, then secure destruction/deletion
Salary claim forms	Salary claim forms	Duration of employment + 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB) or for the life of employee/former employee plus 7 years (6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB, whichever is the longer).	Secure archive for duration of retention period, then secure destruction/deletion
Overtime payroll payments to employees	Records documenting calculation and payment of payroll payments for overtime to employees	Duration of employment + 7 years	In case the rules of the scheme are amended and overtime service is retrospectively deemed pensionable. Retain for extended period on request of CE in event of legal issue coming to light, & keep ongoing retention under review.	Secure archive for duration of retention period, then secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Payroll payments to Part-time teaching staff (Part-time Returns)	Records documenting calculation and payment of payroll payments to Part-time teaching staff	Duration of employment + 7 years	In case the rules of the scheme are amended and overtime service is retrospectively deemed pensionable. Retain for extended period on request of CE in event of legal issue coming to light, & keep ongoing retention under review.	Secure archive for duration of retention period, then secure destruction/deletion
Payroll payments to employees	Records documenting calculation and payment of payroll payments to employees	Current Tax Year + 6 years	Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Payroll payments to employees (pre-computerised payroll)	Records documenting calculation and payment of payroll payments to employees before the advent of payroll software	Indefinitely	In case the rules of the scheme are amended and overtime service is retrospectively deemed pensionable. Retain for extended period on request of CE in event of legal issue coming to light, & keep ongoing retention under review.	Scan (if practical) and destroy originals
Promotion of employee	Records documenting adjustment on promotion of employee	Current Tax Year + 6 years	Retain as part of PAYE payment record keeping. Retain for extended period on request of CE. In event of legal issue; Review ongoing retention.	Secure destruction/deletion

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Statutory Sick Pay Scheme	Records documenting the operation of the Statutory Sick Pay Scheme	Current Tax Year + 6 years	Retain as part of PAYE payment record keeping. Retain for extended period on request of CE. In event of legal issue; Review ongoing retention.	Secure destruction/deletion
Statutory Maternity Pay Scheme	Records documenting the operation of the Statutory Maternity Pay Scheme.	Current Tax Year + 6 years	Retain as part of PAYE payment record keeping. Retain for extended period on request of CE. In event of legal issue; Review ongoing retention.	Secure destruction/deletion
Pensions	Superannuation (Pension) Calculations	Retain for 7 years after pensioner and any subsequent dependent spouse are deceased and dependent children are finished in full time education.	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB.	Secure destruction/deletion
Pensions	Superannuation Files	Retain for 7 years after pensioner and any subsequent dependent spouse are deceased and dependent children are finished in full time education.	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB.	Secure destruction/deletion
Contributions to Pension Schemes	Records documenting payment of employer and employee contributions to pension schemes	Retain for 7 years after pensioner and any subsequent dependent spouse are deceased and dependent children are finished in full time education.	Required for verification of pension payments and entitlements. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion

HQ - Human Resources

Record Group	Record Description	Retention Period	Remarks	Final Disposition
Previous service	Records of previous service (incl. correspondence with previous employers)	Indefinitely	DES advise that these should be kept indefinitely.	Archive securely
Listings/Payslips	Payroll Listings	7 years	Benchmarked against National Minimum Wage Act 2000 (as amended). Retain for extended period on request of CE in event of legal issue; Review ongoing retention.	Secure destruction/deletion
Payroll set-up form	For capturing the banking details of new employees	7 years		Secure destruction/deletion
Other Payroll	Approval for Incremental Credit	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion
Other Payroll	Incremental Approvals	Retain for duration of employment plus 7 years	6 years in which to take a claim against the ETB, plus 1 year for proceedings to be served on the ETB	Secure destruction/deletion

Youth Services

Record Group	Record Description	Retention Period	Remarks	Final Disposition
YOUTH SERVICES				
Youth Services	Youth Work Committee meeting minutes & agendas	Indefinitely		Archive
Grants	Youth Club Grant applications (successful)	7 years from date of payment		Secure destruction/deletion
Grants	Youth Club Grant applications (unsuccessful)	18 months		Secure destruction/deletion
Other funding	Records relating to Funding from Government Departments, e.g. DCYA, Dept. of Health, for disbursement to local projects, including SLAs, Grant Agreements, correspondence from Departments, etc.	7 years		Secure destruction/deletion