



# RECORDS MANAGEMENT & SCHEDULING POLICY

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*For all staff in  
Education and  
Training  
Boards Ireland*

## Records Management and Scheduling policy for all staff in Education & Training Boards Ireland

This policy must be brought to the attention of all staff employed directly by Education and Training Boards Ireland (ETBI), through an agency to ETBI and seconded to ETBI, including those on an approved leave of absence.

ETBI will provide this policy to all staff through appropriate means (e.g., direct correspondence, SharePoint, CPD, induction and mentoring programmes and/or on the ETBI website).

Any queries in relation to the Records Management and Scheduling policy should be communicated to the HR IR Governance Officer in the first instance.

Document Reference Number	COR009 – Records Management & Scheduling Policy
Implementation Date	1 <sup>st</sup> October 2021
Review Date	30 <sup>th</sup> September 2023 <span style="float: right;">Next Review Date: 30<sup>th</sup> September 2023</span>
DES Circular Letter or statutory requirements	Data Protection Acts, 1988, 2003 & 2018 Health, Safety and Welfare at Work Acts 2001 & 2005
Date approved by ETBI Board	25 <sup>th</sup> January 2022

## 1. Introduction

1.1 The purpose of this Records Management Policy is to ensure the creation, management, retention, and destruction of records result in complete, usable, and reliable records, which are capable of supporting ETBI's functions and activities, and which ensure accountability for as long as is required.

1.2 The information that ETBI records contain is used as evidence of functions executed and activities that took place. ETBI's records are a valuable source of knowledge as to how and why decisions were made.

1.3 Good quality data records are of value, effective management is necessary to ensure the correct data is retained in the best way. Data must be:

- Authentic, reliable and complete.
- Protected and preserved as an evidence to support future actions.
- Ensure future and current accountability.

## 2. Associated Documentation

This policy should be read in conjunction with the Records Retention Schedule (Appendix 1).

## 3. Purpose objectives

3.1 The objectives of this policy are to:

- Support records management within ETBI;
- Supports ETBI's administrative and operational requirements, including adherence to other policies and compliance with relevant legislation;
- Ensure the preservation of Permanently Valuable Records;
- Promote day-to-day efficiency and good records management.

3.2 This policy applies to records created and preserved in both electronic and paper formats.

#### 4. Staff members covered by this Policy

4.1 The policy is applicable to all staff employed directly by ETBI, through an agency to ETBI and seconded to ETBI. This applies whether you are working in the ETBI HQ, travelling, or working remotely.

5.1 For the purposes of this policy, a record is defined as recorded information, in any form, created or received and maintained by ETBI.

5.2 Permanently valuable records are defined as records with permanent legal, operational, administrative, historical, scientific, cultural, or social significance. Permanently valuable records are subject to permanent archiving procedures.

5.3 Records occur in all types of recording media, including.

- Paper documents (written or printed matter);
- Electronic records (e.g., word processing files, databases, spreadsheet files, emails, CCTV footage, electronic data on any media etc.);
- Books, drawings and photographs;
- Anything on which information is recorded or stored by graphic, electronic or mechanical means.

5.4 Records must be retained for as long as required to meet the legal, administrative, financial, and operational needs of ETBI.

5.5 Record series are groups of related records, which are created and used with a common purpose, for example, financial records, personnel records, meeting notes, etc.

5.6 A Records Retention Schedule is a control document that describes ETBI's corporate records at a series level and:

- Specifies the length of time each record series should be retained prior to final disposition;
- Specifies the final disposition route of each record series;
- Serves as the legal authorisation for the disposition of records.

5.6.1 Disposition is the action taken in regard to the disposal of active records, which can involve physical destruction by means of security shredding or recycling, transfer to archival storage for selective or full retention.

## 6. Ownership of records

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

## 7. Responsibilities of ETBI Employees

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- 7.1 This policy applies to all directorates in ETBI and all locations whether staff members are working from ETBI's headquarters (HQ), home or a hub, all of which form the ETBI structure.
- 7.2 Operational responsibility for the implementation of this policy rests with the line manager of each Directorate.
- 7.3 Where records are used by more than one directorate, clarity about which office has primary/final responsibility for the management of the records should be established between the relevant directorates.
- 7.4 Where records are jointly created with other organisations, those sharing ownership should agree on how records are to be stored, managed and final disposition. In such instances where ETBI is deemed to have record management responsibility, staff members are obliged to follow this policy.

## 8. Records Management

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- 8.1 Records Management is the application of controls and procedures to the creation, maintenance, use and disposition of records.
- 8.2 Records Management includes inter alia: records classification; management of filing systems, retention scheduling; the administration of inactive records storage; management of record conversion programmes; disaster planning; permanently valuable records protection; archival preservation activities; permanent archiving and appropriate destruction of records.
- 8.3 The nature of records requires that consideration be given to security, privacy, authenticity, accessibility, version control, handling, preservation, and the disposition of such records.

## 9 Records Classification

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- 9.1 It is the responsibility of the data owner to classify all records.
- 9.2 ETBI records must be identified and categorised for filing on the basis of their category and as per the [SOP for naming electronic files in ETBI](#);
- 9.3 Active records are records which are required and referred to regularly for current use and should be retained and maintained on SharePoint which is readily accessible to users.

- 9.4 Semi-active records are records which are referred to infrequently and are not required regularly for current use.
- 9.5 Inactive records are records for which the active and semi-active retention periods have lapsed, and which are no longer required to carry out the functions for which they were created. Inactive records can be disposed of/archived as per the Records Retention Schedule appended to this document.

## 10 Management of filing system

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- 10.1 Staff members must employ the following good housekeeping practices in the management of records:
- Systematic indexing / classification of records;
  - Consistent naming of files and folders as per the [SOP for naming electronic files in ETBI](#);
  - Backup of appropriate files on a regular basis;
  - Review records regularly and delete records regularly in accordance with the Records Retention Schedule;
  - Restrict access to record systems (use of passwords/limited access to specific Share Points etc.);
  - Particularly sensitive records transferred to external bodies should be appropriately secured.
- 10.2 Where electronic records are stored in systems computer equipment maintained by the ETBI's IT, Communications & Facilities Officer, the office which creates/maintains these records must formally agree backup and recovery procedures with the IT, Communications & Facilities Officer. This is to ensure that there is no ambiguity as to which office is responsible for records in the event of hardware failure or accidental deletion of records.

## 11 Retention Scheduling

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- 11.1 Records should be retained for as long as they are required to meet the legal, administrative, financial, and operational requirements of ETBI during which time they should be filed appropriately. Following a period of time, as set out in the Records Retention Schedule, they are either archived or disposed of.
- 11.2 The Records Retention Schedule prescribes the retention period for a range of records held by ETBI.
- 11.3 The Records Retention Schedule is based on a determination of legal retention requirements as defined in relevant legislation including the Health, Safety and Welfare at Work Acts 2001 & 2005; the Data Protection Acts, 1988, 2003 and 2018; as well as ETBI's policies and procedures, administrative and operational requirements, historical value, and general best practice. The

schedule will be reviewed and updated on a yearly basis to reflect organisational or operational changes as appropriate.

- 11.4 Records containing personal information should be stored in accordance with ETBIs Data Protection Policy (in progress) and in line with national and European Data Protection legislation.
- 11.5 Any area which considers that such records should be retained for a longer period than that set down in the Records Retention Schedule is required to consult the Director of Organisation, Support and Development (internal):
- To ensure that reasonable justification exists for their retention;
  - to ensure compliance with the Data Protection Acts 1988, 2003 and 2018.

## 12 Permanent Archiving

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- 12.1 Records, including Inactive Records, that have been identified as permanently valuable records are subject to permanent archiving procedures. In nearly all cases, these records should eventually be transferred to ETBI's Archive list (in progress).
- 12.2 Archiving of records is to be carried out in accordance with the Records Retention Schedule.

## 13 Appropriate destruction of records

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- 13.1 When scheduled for destruction, the manner of destruction of records must be appropriate to the level of confidentiality of the records.
- 13.2 In the case of in-house destruction, the area must document and retain the date and manner of destruction of records.
- 13.3 In the case of third-party destruction, a certificate or docket confirming destruction must be received and retained as proof of destruction.
- 13.4 Destruction of records is to be carried out in accordance with the Records Retention Schedule.

## 14 Policy Review

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- 14.1 The Records Management Policy will be reviewed every two years. Any amendments would be considered by the ELT or there will be a review of this policy following two full years after its introduction or earlier if deemed necessary by ETBI management.

## 15 Variation

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- 15.1 The policy may be amended at any time following consultation between management and staff.



## Appendix 1

# ETBI Records Retention Schedule

### Revision History

<b>Date of this revision:</b> XX/XX/XXXX	<b>Date of next scheduled review:</b> XX/XX/XXXX
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Revision Number	Revision Date	Summary of Changes
0.1		Initial iteration

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**General Corporate/Administrative Records**

<b>General classes of records held</b>	<b>Default retention period</b>	<b>Final disposition</b>	<b>To note</b>
ETBI Constitution	Retain indefinitely	Appropriate filing/archiving	
ETBI Annual reports	Retain indefinitely	Appropriate filing/archiving	
ETBI Annual Conference programme	Retain indefinitely	Appropriate filing/archiving	Master copy held in fireproof press in ETBI HQ
Strategic Plans	Retain indefinitely	Appropriate filing/archiving	
ETBI Board meetings (agenda and meeting notes)	Retain indefinitely	Appropriate filing/archiving	
ETBI Reserve Members Forum (agenda and meeting notes)	Retain indefinitely	Appropriate filing/archiving	
Chief Executive & Directors Forum meetings (agenda and meeting notes)	Retain indefinitely	Appropriate filing/archiving	
CE, FET, Schools and OSD subgroup/working group meetings (agenda and meeting notes)	Date of meeting + 7 years. Unless need for further retention identified	Confidential shredding/secure deletion of electronic records	
ETBI's policies, procedures, and SOPs	Retain current until superseded	Appropriate filing/archiving	
Appointment of Board Members (successful)	Records relating to the successful appointment of Committee members Term of office plus 7 years Or Indefinitely; Historic record	Confidential shredding/secure deletion of electronic records	
Records of ETBI staff meetings (agenda and meeting notes)	Retain for current year plus 1 year, or until actions completed	Confidential shredding/secure deletion of electronic records	

Records of ETBI Training & Development Committee (agenda and meeting notes)	Retain for current year plus 1 year, or until actions completed	Confidential shredding/secure deletion of electronic records	
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### General Corporate/Administrative Records

General classes of records held	Default retention period	Final disposition	To note
Records of ETBI Wellbeing Committee (agenda and meeting notes)	Retain for current year plus 1 year, or until actions completed	Confidential shredding/secure deletion of electronic records	
Attendance Sheets	Date of meeting 1 year. Unless need for further retention identified	Confidential shredding/secure deletion of electronic records	
ETBI risk register	Retain for 5 years after superseded	Confidential shredding/secure deletion of electronic records	
ETBI organisational structure	Retain until no longer relevant / Or until policy to which they relate is superseded	Appropriate filing/archiving	
Memos & guidelines re policy matters	Retain until no longer relevant / Or until policy to which they relate is superseded	Appropriate filing/archiving	
General (non-HR) written allegations / complaints: records received/created as a result of investigating allegations/complaints	Retain for 5 years after resolution of complaint or from date of last correspondence	Confidential shredding/secure deletion of electronic records	

General (non-HR) written allegations / Complaints: records received/created as a result of investigating allegations/complaints - significant	Retain for 5 years after resolution of complaint or from date of last correspondence	Confidential shredding/secure deletion of electronic records	
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### General Corporate/Administrative Records

General classes of records held	Default retention period	Final disposition	To note
cases which set precedents or result in changes to ETBI policy			
Records documenting training & development of Committee members	7 years	Confidential shredding/secure deletion of electronic records	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.

### Financial records - General

General classes of records held	Default retention period	Final disposition	To note
Annual Accounts Records documenting the preparation of annual accounts	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	As required under the taxes act
Audited Accounts	Retain indefinitely	Appropriate filing/archiving	
Analyses of deployment of financial resources Records documenting analyses of the internal deployment of financial resources (for year-on-year comparisons against plans)	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Statutory Accounts Records documenting the preparation of the statutory accounts	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	As required under the taxes act
Internal Accounting Transactions Records/Journals documenting the processing on internal accounting transactions between operating units (i.e., cross-charges) (for year on-year comparisons against plans)	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Tax Returns Records documenting the preparation and filing of tax returns	7 years.	Confidential shredding/secure deletion of electronic records	Records must be made available for inspection by authorised officers of

Revenue Commissioners require that records be kept for at least six years after the end of the tax year.			the Revenue Commissioners or of the Dept. of Social Protection.
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### Financial Records – Creditors

General classes of records held	Default retention period	Final disposition	To note
Purchase Invoices Records documenting the receipt and payment of purchase invoices Legislative requirement	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Purchase Invoices Records documenting the receipt and payment of purchase invoices relating to XX funded program/project	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Employees' Expenses Records documenting the payment and/or Reimbursement of employees' expenses Legislative requirement	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Employees' Expenses Records documenting the payment and/or Reimbursement of employees' expenses relating to XX funded program/project	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	



Payment of Honoraria to third parties Records documenting the payment of honoraria to third parties (non-payroll) Legislative requirement	7 years. Retain for longer if requested by the General Secretary	Confidential shredding/secure deletion of electronic records	
Payment of Honoraria to third parties Records documenting the payment of honoraria to third parties (non-payroll) in respect of an XX funded program/project	Retain for extended period on request of General Secretary in event of legal	Confidential shredding/secure deletion of electronic records	Benchmarked against DoE Circular 0020/2013.

### Financial Records – Creditors

General classes of records held	Default retention period	Final disposition	To note
	issue; Review ongoing retention.		
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 General Secretary in event of legal issue. Review ongoing retention thereafter.	Confidential shredding/secure deletion of electronic records	Legislative requirement
Payment of expenses to third parties Record documenting the payment of expenses to third parties (e.g., honorary appointees) in respect of an XX funded program or project. Refer to XX Guidelines section of this document.	Retain for extended period on request of General Secretary in event of legal issue. Review ongoing retention thereafter.	Confidential shredding/secure deletion of electronic records	Benchmarked against DoE Circular 0020/2013.

Financial Records – Banking			
General classes of records held	Default retention period	Final disposition	To note
Petty Cash Payments Records documenting the handling of Petty Cash Taxes Acts, statute of limitations on contractual debt	7 years	Confidential shredding/secure deletion of electronic records	
Petty Cash Payments for EU funded programmes Records documenting the handling of Petty Cash on XX funded projects	Project guidelines?		Benchmarked against DoE Circular 0020/2013.

Financial Records – Projects			
General classes of records held	Default retention period	Final disposition	To note

### Financial Records – Procurement

General classes of records held	Default retention period	Final disposition	To note
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.	Confidential shredding/secure deletion of electronic records	Good practice. Supports comparison and review of lessons learned etc.
Supplier Evaluation criteria Records documenting supplier evaluation criteria. Good practice, supports comparison and review of lessons learned etc.	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	
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.	Confidential shredding/secure deletion of electronic records	Retain for QA/Audit purposes and in case of appeals

<p>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</p>	<p>Termination of approval +1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.</p>	<p>Confidential shredding/secure deletion of electronic records</p>	
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Financial Records – Procurement			
General classes of records held	Default retention period	Final disposition	To note
<p>Retain for duration of supplier approval for reference. Retention post-termination is to align with retention of rejected suppliers</p>			
<p>Records on evaluation and notification to rejected suppliers. Records documenting the evaluation of applications for approval from prospective suppliers,</p>	<p>Rejection + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.</p>	<p>Confidential shredding/secure deletion of electronic records</p>	<p>Retain for 1 year for QA/Audit and review purposes or in case of appeal. Applies to terminated approvals also</p>

and notification of the outcome: rejected suppliers.			
Process of inviting and evaluating pre-qualification submissions. Records documenting the process of inviting and evaluating prequalification submissions from prospective suppliers.	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	Retain for 1 year post award for QA/Audit and review purposes or in case of appeal
Invitations to Tender and evaluation criteria Records documenting Invitations to Tender and tender evaluation criteria.	7 years from contract award. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	Retain to ensure contract executed as per tender requirements and selection criteria.

### Financial Records – Procurement

General classes of records held	Default retention period	Final disposition	To note
Retain as evidence of process followed in awarding of contract.			
Issue of Invitations to Tender and incoming Tenders. Records documenting the issue of Invitations to Tender Retain for 1 year for QA/Audit and review purposes or in case of appeal.	Award of contract + 1 year	Confidential shredding/secure deletion of electronic records	
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. Retain for 1 year for QA/Audit and review purposes or in case of appeal	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed	Confidential shredding/secure deletion of electronic records	
Accepted Tenders Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the	Award of supply contract + 1 year. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	



### Financial Records – Procurement

General classes of records held	Default retention period	Final disposition	To note
tender evaluation process: accepted tenders. Retain for 1 year for QA/Audit and review purposes or in case of appeal			
Contract Award report Historical value	Termination of supply contract awarded + 7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	
Variations to Contracts Records documenting variations to contracts (e.g., revisions, extensions) Retain as evidence of project governance and amendments to contract	Termination of contract + 7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	
Supplier Performance Records documenting the monitoring of supplier performance and action taken regarding underperformance. Retain as evidence of project governance and supplier management	Termination of contract + 7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	

### Financial Records – Procurement

General classes of records held	Default retention period	Final disposition	To note
Purchasing authorisation limits Records documenting purchasing authorisation limits. Retain for audit and comparison purposes	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	
Internal authorisation for procurement Records documenting internal authorisation for procurement. Retain for QA/Audit and review purposes.	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	
Purchase Orders Retain for accounting and audit purposes.	7 years. Where risk of litigation, retain copy of relevant document. Review retention as needed.	Confidential shredding/secure deletion of electronic records	

### HR - General

General classes of records held	Default retention period	Final disposition	To note
Case Management - Disciplinary Records	Retained as per Personnel Disciplinary Procedures	Confidential shredding/secure deletion of electronic records	Staff monitoring and performance management. Transfer to Personnel file on retirement. Retain for extended period on request of General Secretary in event of legal issue. Review ongoing retention.
HR policies	7 years	Confidential shredding/secure deletion of electronic records	
Staff Training & Development (Including PMDS and CPD) Staff Training	Retain for Duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	Statute of Limitations. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) Health & Safety Training	Retain for Duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	Statute of Limitations. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) Minutes of meetings	Retain for Duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	Aligns with administrative record retention in other areas. Retain for extended period on request of General Secretary in event of legal issue;

### HR - General

General classes of records held	Default retention period	Final disposition	To note
			Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) Finance Records	7 years	Confidential shredding/secure deletion of electronic records	For QA and reference purposes. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) Annual programme of courses / workshops	7 years	Confidential shredding/secure deletion of electronic records	For QA and reference purposes. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) PMDS - Personal Development forms	Retain until no longer relevant / Or until policy to which they relate is superseded	Confidential shredding/secure deletion of electronic records	PMDS National Agreement. Retain for extended period on request of CE in event of legal issue; Review ongoing retention.
Staff Training & Development (Including PMDS and CPD) PMDS - Development Plans	Until superseded + 3 years	Confidential shredding/secure deletion of electronic records	Provides sufficient period for review and tracking of progress against plan.
Employee Assistance Programme (Case Files) Interview Notes	Current year + 6 years	Confidential shredding/secure deletion of electronic records	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.

### HR - General

General classes of records held	Default retention period	Final disposition	To note
Employee Assistance Programme (Case Files) Correspondence	Year of correspondence + 6 years	Confidential shredding/secure deletion of electronic records	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.
Employee Assistance Programme (Case Files) File cards	7 years	Confidential shredding/secure deletion of electronic records	Statute of Limitations – maximum period in which to take a claim. Retain for extended period on request of General Secretary in event of legal issue; Review ongoing retention.

## HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
Recruitment Process - Unsolicited applications for jobs	18 months from close of competition	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim
Recruitment Process - Vacancy Notification	Date of closure of competition + 18 Months	Confidential shredding/secure deletion of electronic records	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.
Recruitment Process - Advertisement Copies	Date of closure of competition + 18 Months	Confidential shredding/secure deletion of electronic records	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.
Recruitment Process - Job Description (as advertised)	Date of closure of competition + 18 Months	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim.

## HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
			In case of litigation/criminal investigation, retain relevant extracts in case file. Review retention as needed against probability of legal action.
Recruitment Process - Job Description (standard)	Superseded + 3 years	Confidential shredding/secure deletion of electronic records	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.
Recruitment Process - Selection Criteria	18 months from close of competition	Confidential shredding/secure deletion of electronic records	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.
Recruitment Process - Applications of Candidates not	18 months from close of competition	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim. In case of

## HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
Shortlisted/Qualified/ called for interview			litigation/criminal investigation, retain relevant extract in case file. Review retention as needed against probability of legal action.
Interview Process - Selection Criteria	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	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.
Interview Process - Interview Board Marking Scheme	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	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.
Interview Process - Interview Board marking sheets	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	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.



### HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
			Review retention as needed against probability of legal action.
Interview Process - Interview Board Formal Notes	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim
Interview Process - Database of applications of candidates unsuccessful at interview	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim
Interview Process - Panel Assessment Board Report	18 months from close of competition	Confidential shredding/secure deletion of electronic records	12 months from close of competition plus 6 months for the Equality Tribunal to inform ETBI that a claim is being taken.
Interview Process - Assessment Board Report	Move to Employee File in Staff Records. Retain for Duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	
Candidates Successful at Interview - Application & CV	Move to Employee File in Staff Records. Retain for Duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	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.

## HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
Candidates Successful at Interview - Qualifications	Retain on personal file for duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	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.
Candidates Successful at Interview - References	Retain on personal file for duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	Retained as part of staff personnel file in case of litigation or queries during a period of employment. In case of litigation/criminal investigation, retain relevant extracts in the case file. Review retention as needed against the probability of legal action.
Candidates Successful at Interview - Recruitment Medical / Pre employment Medical Reports	Retain on personal file for duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	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 relevantly.

### HR - Recruitment

General classes of records held	Default retention period	Final disposition	To note
Candidates Successful at Interview - Recruitment Medical / Pre employment Medical Reports	Retain on personal file for duration of employment + 7 years	Confidential shredding/secure deletion of electronic records	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.
Candidates Successful at Interview - Candidates shortlisted and are successful but do not accept offer	Date of closure of competition + 18 months	Confidential shredding/secure deletion of electronic records	12 months from close of competition + 6 months in case of Equality Tribunal claim

HR – Personnel files			
General classes of records held	Default retention period	Final disposition	To note
Generic Files - Staff Personnel Files Resignation	Retain until staff member is at least 90 years of age for pension purposes on resignation.	Confidential shredding/secure deletion of electronic records	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.
Generic Files - Staff Personnel Files Retirement	Retain until 6 years after beneficiary and/or qualifying dependent death for retired staff.	Confidential shredding/secure deletion of electronic records	Time limit for complaints to the Pensions Ombudsman – where act giving rise to the complaint took

HR – Personnel files			
General classes of records held	Default retention period	Final disposition	To note
			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)
Generic Files - General Job Description File	Superseded + 7 years	Confidential shredding/secure deletion of electronic records	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
Selection criteria	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
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	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
Staff Personnel Files (whilst in employment) Application/CV	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)

### HR – Personnel files

General classes of records held	Default retention period	Final disposition	To note
Staff Personnel Files (whilst in employment) Qualifications (ETBI)	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
Staff Personnel Files (whilst in employment) References	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
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 ETBI, plus 1 year for proceedings to be served on the ETBI). There is a statutory requirement to retain for 3 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
Staff Personnel Files (whilst in employment) Contract/Conditions of employment (ETBI) Staff Personnel Files (whilst in employment) Probation letters/forms	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)

Staff Personnel Files - Posts or Responsibility (POR) POR applications and correspondence (whether successful or not)	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	(6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)
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HR – Personnel files			
General classes of records held	Default retention period	Final disposition	To note
(ETBI)			
Staff Personnel Files - Posts or Responsibility (POR) Calculation of service	Retain indefinitely on master file	Confidential shredding/secure deletion of electronic records	Relates to pay/pension etc. (See DES guidelines)
Staff Personnel Files - Posts or Responsibility (POR) Promotions/POR Board master files	Retain indefinitely on master file	Confidential shredding/secure deletion of electronic records	
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	Confidential shredding/secure deletion of electronic records	

	proceedings). Copy on master and appeal file.		
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.	Confidential shredding/secure deletion of electronic records	
Staff Personnel Files - Posts or Responsibility (POR)	Depends upon nature of feedback. If feedback is from unsuccessful candidate who is not an employee	Confidential shredding/secure deletion of electronic records	

Correspondence from candidates re feedback	of ETBI, 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.		
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### HR – Leave/Absence

General classes of records held	Default retention period	Final disposition	To note
Leave /Absence Annual Leave Records	Retain for 3 years	Confidential shredding/secure deletion of electronic records	Organisation of Working Time Act 1997 stipulates keeping these records for 3 years
Leave /Absence Leave of absence applications (ETBI)	Retain for duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)	Confidential shredding/secure deletion of electronic records	Records & personnel files retained at ETBI head office level
Leave /Absence Job share (ETBI)	Retain for duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)	Confidential shredding/secure deletion of electronic records	
Leave /Absence Career Break (ETBI)	Retain for duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)	Confidential shredding/secure deletion of electronic records	
Leave /Absence Maternity leave (ETBI)	Retain for duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI)	Confidential shredding/secure deletion of electronic records	

### HR – Leave/Absence

General classes of records held	Default retention period	Final disposition	To note
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 ETBI, plus 1 year for proceedings to be served on ETBI) (whichever is the greater).	Confidential shredding/secure deletion of electronic records	
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 ETBI, plus 1 year for proceedings to be served on ETBI) (whichever is the greater). There is a statutory requirement to retain for 8 years. (ETBI)	Confidential shredding/secure deletion of electronic records	
Leave /Absence Carer's Leave Records	Retain for 8 years or the duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI) (whichever is the greater). There is a statutory	Confidential shredding/secure deletion of electronic records	

### HR – Leave/Absence

HR – Leave/Absence			
General classes of records held	Default retention period	Final disposition	To note
	requirement to retain for 8 years. (ETBI)		
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 ETBI, plus 1 year for proceedings to be served on ETBI) (whichever is the greater). There is a statutory requirement to retain for 8 years. (ETBI)	Confidential shredding/secure deletion of electronic records	
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 ETBI, plus 1 year for proceedings to be served on ETBI) (whichever is the greater). There is a statutory requirement to retain for 8 years. (ETBI)	Confidential shredding/secure deletion of electronic records	Carer's Leave Act, 2001.
Leave /Absence Working Time Act (attendance hours, holidays, breaks) (ETBI)	Retain for duration of employment plus 7 years (6 years in which to take a claim against ETBI, plus 1	Confidential shredding/secure deletion of electronic records	

### HR – Leave/Absence

General classes of records held	Default retention period	Final disposition	To note
	year for proceedings to be served on ETBI). There is a statutory requirement to retain for 3 years		
Allegations/complaints (ETBI)	Retain for duration of employment plus 7 years (6 years to take a claim, plus 1 year for proceedings to be served).	Confidential shredding/secure deletion of electronic records	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.
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).	Confidential shredding/secure deletion of electronic records	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.
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 ETBI, plus 1 year for proceedings to be served on ETBI), unless sickness absence relates to an accident/ injury/ incident sustained in relation to or in connection with the individual’s	Confidential shredding/secure deletion of electronic records Or Retain indefinitely	

### HR – Leave/Absence

HR – Leave/Absence			
General classes of records held	Default retention period	Final disposition	To note
	duties, in which case, do not destroy.		
Occupational Health Pre-employment medical assessment	Retain for 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI), 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 shredding/secure deletion of electronic records Or Retain indefinitely	
Occupational Health Occupational health referral	Retain for 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI), 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 shredding/secure deletion of electronic records Or Retain indefinitely	
Occupational Health Correspondence re retirement on ill-health grounds	Retain for 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI), unless sickness absence	Confidential shredding/secure deletion of electronic records Or Retain indefinitely	

### HR – Leave/Absence

General classes of records held	Default retention period	Final disposition	To note
	relates to an accident/ injury/ incident sustained in relation to or in connection with the individual's duties, in which case, do not destroy.		
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 ETBI, plus 1 year for proceedings to be served on ETBI), 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).	Confidential shredding/secure deletion of electronic records Or Retain indefinitely	
Occupational Health Medical assessments or referrals	Retain for 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI), unless Medmark assessment relates to an accident/ injury/ incident sustained in relation to or in connection with the	Confidential shredding/secure deletion of electronic records Or Retain indefinitely	

### HR – Leave/Absence

General classes of records held	Default retention period	Final disposition	To note
	individual's duties, in which case, 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 ETBI, plus 1 year for proceedings to be served on ETBI)	Confidential shredding/secure deletion of electronic records	
Miscellaneous Contracts for Service	Retain for the duration of the contract plus 6 years by relevant manager	Confidential shredding/secure deletion of electronic records Or Retain indefinitely	Contracts may need to be held until C&AG audit
Miscellaneous - Papers from formal HR meetings *Agendas *Minutes *Associated papers circulated	Retain indefinitely	Retain indefinitely	For historical purposes

Finance/HR – Payroll			
General classes of records held	Default retention period	Final disposition	To note
Authorisation for non- statutory payroll deductions Records documenting employee’s authorisation for non-statutory payroll deductions	Current Tax Year + 6 years	Confidential shredding/secure deletion of electronic records	Retain for compliance with Taxes Acts, Companies Acts etc., and for an extended period on request of CE in event of legal issue; Review ongoing retention.
Salary claim forms	Duration of employment + 7 years		6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI) or for the life of the employee/former employee plus 7 years (6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI, whichever is the longer).
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 an extended period on request of the General Secretary in event of a legal issue coming to light & keep ongoing retention under review.
Payroll payments to employees	Current Tax Year + 6 years		Retain for an extended period on request of General Secretary in



Finance/HR – Payroll			
General classes of records held	Default retention period	Final disposition	To note
Records documenting calculation and payment of payroll payments to employees			event of legal issue; Review ongoing retention.
Payroll payments to employees  (pre-computerised payroll) Records documenting calculation and payment of payroll payments to employees before the advent of payroll software	Retain indefinitely	Scan (if practical) and destroy originals	In case the rules of the scheme are amended, and overtime service is retrospectively deemed pensionable. Retain for extended period on request of General Secretary in event of legal issue coming to light & keep ongoing retention under review.
Promotion of employee Records documenting adjustment on promotion of employee	Current Tax Year + 6 years	Confidential shredding/secure deletion of electronic records	Retain as part of PAYE payment record keeping. Retain for extended period on request of General Secretary. In event of legal issue, Review ongoing retention.
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 General Secretary. In event of legal issue, Review ongoing retention.
Statutory Maternity Pay Scheme	Current Tax Year + 6 years		Retain as part of PAYE payment record keeping. Retain for extended period on request of General

Finance/HR – Payroll			
General classes of records held	Default retention period	Final disposition	To note
Records documenting the operation of the Statutory Maternity Pay Scheme.			Secretary. In event of a legal issue, Review ongoing retention.
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 ETBI, plus 1 year for proceedings to be served on ETBI.
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 ETBI, plus 1 year for proceedings to be served on ETBI.
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 the General Secretary in event of legal issue; Review ongoing retention.

Previous service Records of previous service (incl. correspondence with previous employers)	Retain indefinitely	Retain indefinitely	DES advise that these should be kept indefinitely.

Finance/HR – Payroll			
General classes of records held	Default retention period	Final disposition	To note
Listings/Payslips Payroll Listings	7 years	Confidential shredding/secure deletion of electronic records	Benchmarked against National Minimum Wage Act 2000 (as amended). Retain for extended period on request of the General Secretary in event of legal issue; Review ongoing retention.
Payroll set-up form For capturing the banking details of new employees	7 years	Confidential shredding/secure deletion of electronic records	
Other Payroll Approval for Incremental Credit	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI
Other Payroll Incremental Approvals	Retain for duration of employment plus 7 years	Confidential shredding/secure deletion of electronic records	6 years in which to take a claim against ETBI, plus 1 year for proceedings to be served on ETBI

