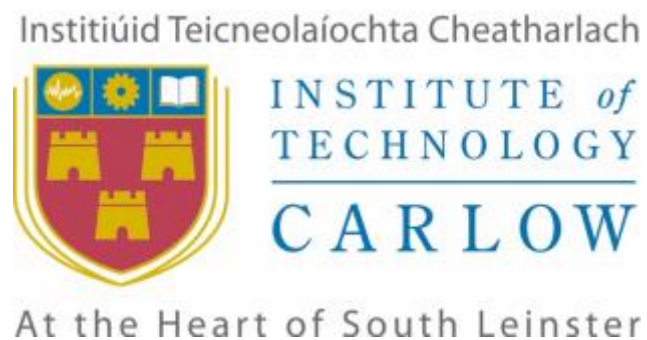


**INSTITIÚID TEICNEOLAÍOCHTA CHEATHARLACH**

**INSTITUTE OF TECHNOLOGY CARLOW**



**RECORDS RETENTION SCHEDULE**

# INSTITUTE OF TECHNOLOGY CARLOW

## RECORDS RETENTION SCHEDULE

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## Introduction

This retention schedule provides a guideline on how long IT CARLOW records should be retained under the IT CARLOW Records Management Policy. The retention schedule has been coordinated in conjunction with other institutes of technology to provide as much consistency as possible and to ensure a realistic records management policy suitable to the needs and requirements of each IT. The Schedule is designed to ensure that information is kept as long as necessary, whilst addressing compliance with the Data Protection Act, legal other requirements, good practice within the institute and to preserve Institute's history. No document list can be exhaustive. Documents that are not listed but are substantially similar to those listed in the Record Retention Guideline schedule shall be retained for the appropriate period of time.

The retention periods within the schedule apply to information in all formats and should be applied consistently regardless of whether the information is held manually or electronically. When retention periods for records have expired, documents should be reviewed in accordance with the institute's '*Records' Management (Retention and Destruction) Policy*', with a view to disposal. Where it is believed that there is justification to retain the data longer than indicated, then explicit reasons should be documented for doing so in consultation with the head of department or line manager.

Each department should take measures to prevent unauthorised access to private and confidential records. Such private and confidential records should only be accessed where necessary to perform a relevant institute function. Any records containing personal data or confidential information should be disposed of in accordance with the institute's '*Records' Management (Retention and Destruction) Policy*'.

Electronic records, i.e. records maintained in a format that requires the use of technology to access, which include e-mail, text messaging, voicemail, databases, word processing documents, web content, scanned images, etc. must be maintained in an electronic form that is accessible and retrievable in a timely manner throughout their retention period. Security measures should be identified to ensure their integrity is preserved and protected from alteration and premature destruction and that a disaster recovery plans is in existence. When storing information in electronic format, only approved applications should be used to ensure long-term accessibility of information. For further advice on storage applications, or data types for scanned information, please contact the IT department.

The retention requirements for email will follow the records retention schedule where email is the format being used for the record described on the schedule. Email records that are not records identified on the retention schedule shall be retained at employees' discretion and deleted when they no longer serve an administrative purpose. IT CARLOW employees are responsible for the retention and disposal of emails that they send and receive in carrying out their employment responsibilities.

<b>Documents/Records</b>	<b>Retention Requirement</b>
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## **1. PRESIDENT'S OFFICE**

Governing Body - Minutes of meetings, backup materials, official correspondence.	Permanently
General Information Files containing a wide range of materials pertinent to the operation and interest of the President's office	3 years (longer if there is a requirement to do so)
Strategic Plans	Permanently
Circular letters and Government Reports	Permanently

### **1.1 Senior Management Team**

Approved minutes of meetings and supporting documentation	Permanently
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## **2. OFFICE OF THE REGISTRAR**

General Information Files containing a wide range of materials pertinent to the operation and interest of the Registrar's office	3 years
Minutes of Meetings	Permanently
New course approvals, process and reports	Permanently
Circular letters and Government Reports	Permanently
Department of Education THAS Figures	Permanently
External examiners reports, lists of contracts, reports, payments, etc.	5 years
Documents and correspondence relating to litigation or disputes which have been completed or settled	Permanently
Prospectus, Student Handbooks, Graduation Booklets	Permanently (Archive)
Policy Statements	Permanently
Programmatic Review Documents/Institutional Reviews	Permanently
External Examiners Reports, list of contacts, reports, etc.	7 years
Disciplinary Committee Minutes	7 years - longer if reason to do so

### **2.1 Academic Council**

Signed minutes of meetings and backup material of Academic Council meetings, details of its sub committees and working groups.	Permanently
General correspondence	3 years

### **2.2 Admissions**

CAO Non-Standard application forms (registered)	Retained by CAO as of 2006
CAO Non-Standard application forms ( not registered)	Retained by CAO as of 2006
Direct Applications - (not recommended)	1 year
Direct Applications - (recommended but not registered)	1 year
Direct Applications - (registered)	Duration of course + 3 years
Registration Forms and any back-up material	Duration of course + 3 years
Student Registration details (electronic version)	Permanently

### **2.3 Student Records**

Including name, address, date of birth, next of kin, socio economic background, places of employment, type of employment, etc. (Electronically)	Permanently (electronically)
Student Personnel files	Duration of course
Student Statistics	Permanently
Student Attendance Records	Permanently from 1998 for ESF returns. ('98 Base Year)

### **2.4 Fees and Grants**

Documentation relating to student fees	7 years
Documentation relating to Non EU Students for Fee Assessment (Ex Intl Office)	7 years
Student Bank Account Details	7 years
Documentation relating grants/scholarships/financial aid/wave of fees including eligibility, attendance reports, bank reconciliation, etc. (Database)	7 years
Financial records related to on-line programmes	7 years

### **2.5. Examinations**

Examination entries	2 years
Examination papers	Permanently
Examination solutions	18 months (held in Schools)
Examination scripts	6 months after Examination Board
Examination results - broadsheets	Permanently
Examination results - green and white sheets	2 years (held in Schools)
Examination Appeals documentation	2 years after student ceases to be a student provided no litigation is contemplated.
Examination claim sheets for the correction of scripts	7 years (held in finance)

### **2.6. Library**

Book Records	Updated on on-going basis
Membership / Borrowing Records Non-students	Minimum 6 months
Membership / Borrowing Records Students	Until end of each academic year as minimum
Electronic Publications	Updated on on-going basis
Examination papers (held in the Library)	Permanently (Archive)

### **2.7. Quality Assurance**

Minutes of meetings of academic council sub-committees, backup materials	Permanently
General information and files containing a wide range of materials pertinent to the operation and interest of the QA office	5 years
Procedure & guideline document master copies and approval records	Permanently
Collaboration Agreements etc.	Permanently

## **2.8 Sports and Recreation**

Information regarding active sports clubs, participants, coaches	7 years
Funding and expenditure	7 years
Sports Scholarship information – criteria, application forms, updated information on existing scholarship recipients, funding of scholarships	7 years
Use/hire of facilities (pitches, Astro turf, running track)	7 years
Membership Documentation - membership forms; usage records, physical activity questionnaires	5 years
Client Documentation - Client personal details; client usage records.	5 years
Maintenance/Cleaning Records - Staff cleaning/maintenance records, contract cleaning records.	5 years
Staffing Documentation - Staff Log Records; Rosters and sign in records; staff holiday request forms.	5 years
Summer Camp Documentation - Registration Forms, Staff Log Sheets, Attendance Documentation.	5 years.
Finance Documentation - Cash Control Sheets; Invoice Records	5 years

## **2.9 Student Services**

Student Assistance Funding Records	10 years
Student Union Election Results	1 year

### **2.9.1. Counselling**

Confidential student records, case notes, assessment reports and recommendations.	7 years (Students will be informed that they will be destroyed after 7 years and give option to take them themselves)
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### **2.9.2. Careers and Appointments Service**

Job applications	1 year
First destination statistics of graduates	Permanently
Employer database – list of employers who contact the Careers Service with job opportunities for graduates	Updated each year

### ***2.9.3. Disability Support Service/Access Office***

Confidential information on students with special needs	10 years (Students will be informed that they will be destroyed after 10 years and given the option to take them themselves)
Records on funding from the DOES	10 years
Statistics on students with special needs	10 years
Financial statistics	10 years
Annual report on disability service	10 years
Carlow Assess Programme Applications & Supporting Docs	5 years
General correspondence	3 years

### ***2.9.4. Health Service***

Patient Healthcare records (electronic & paper)	10 years
X-ray and imaging reports, output and images	10 years
Correspondence	10 years
Lab reports	10 years
Computerised Records	10 years
Printouts from Monitoring Equipment	10 years
Scanned Records	10 years
Appointment Logs/Day Books	10 years
Equipment Maintenance logs, records of service inspections	10 years
Medication Protocols	10 years
PPPG ( Policies, Procedures, Protocols & Guidelines)	10 years
Pathology Records	Permanently

### ***2.9.5. Student Contribution (Also under Finance Section)***

Capitation fund records which are stored in the archive each year.	7 years
Applications for funding	7 years
Allocations to clubs/societies	7 years
Income and expenditure records	7 years
Bank statements, lodgement books, cheque book stubs etc.	7 years



### 3 OFFICE OF THE SECRETARY/FINANCIAL CONTROLLER

<b><i>Tender documentation</i></b>	
<b><i>a) Capital Works Tenders:</i></b>	
Expressions of Interest	7 years after completion
Actual Tenders Submitted	7 years after completion
Tender File	Permanently
<b><i>b) Minor Works Tenders:</i></b>	
Expressions of Interest	7 years after completion
Actual Tenders Submitted	7 years after completion
Tender File	7 years after completion
<b><i>c) Non-Capital Tenders:</i></b>	
Expressions of Interest	Permanently
Actual Tenders Submitted	Permanently
Tender File	Permanently
Department of Education Budget File and Correspondence	Permanently
HEA Correspondence File	Permanently
Annual Financial Statements (audited)	Permanently
Legal documents and correspondence	Permanently
Audit Committee Minutes	Permanently
<b><i>Operational Programme and Budgets (OPB):</i></b>	
S/FC OPB File	5 years
Actual OPB Document	Permanently
Insurance documentation/claims	Permanently
Internal audit reports	7 years
Capital Projects & Facilities Management Meeting Minutes	Permanently
Hardship Records	7 years
General correspondence	7 years
<b>If expenditure relates to ERDF funding it must be kept for up to 25 years. Refer to ERDF handbook. (section 6.3) document number (ERDF-GN-001)-date published 1 April 2012</b>	

### 3.1 Human Resources Department

<b>Personal Records</b> - employment history, qualifications, training, salary increments, appointment details, medical certificates, leave of absence, birth certificates, staff development, etc.	Permanently
Interview Report Forms, Selection Board recommendations	Permanently
Schedule of interviews, shortlisting criteria and recruitment screening form	6 years
Application forms and any other documentation in respect of applicants who are not offered positions	12 months after interviews have been held. (Applicants should be informed of this)
Copy of public advertisement, job description, schedule of interviews, shortlisting criteria and recruitment screening form	Permanently
Industrial Relations: Minutes of Meetings	Permanently
Correspondence with Local/National Union Reps; DOES; Council of Directors	3 years
Copies of Employment Legislation	On website
<b>Administration</b> - staff structures, letters, circulars, pay scales, allowances from the Department of Education and Science	Permanently
Superannuation - Certificates of Service, department returns, superannuation schemes, salary details, benefit statements	Permanently
Equal Opportunities Policy	Permanently
Dignity Policy/HR Policy/Procedures	Permanently
Documentation regarding litigation or dispute with a member of staff	Permanently
<b>Attendance Records</b> - Sick leave, annual leave, maternity leave, Force Majeure, Parental Leave etc.	Permanently
Training: Details of courses attended; Training Budget and related correspondence. Applications for support subsidy, Training Policy	Permanently
Annual Returns on staffing levels to DOES	Permanently
General correspondence	3 years (longer where necessary)
Examination invigilators – lists and general correspondence	Updated on an ongoing basis

### 3.2 Finance Department

* If Expenditure relates to ERDF funding it must be kept for up to 25 years. Refer to ERDF handbook - Section 6.3 - document number (ERDF-GN-001) Date published 1 April 2012. The retention periods noted are for non-ERDF expenditure only.	
* If Expenditure relates to EU funding it must be kept for the number of years as stated in the relevant programme policy. Refer to EU office.	
All payroll reports for weekly, monthly and part-time staff. (including supporting documentation)	12 years
Tax free allowances	12 years
Memos from personnel for payroll calculations	12 years
P35s and P30s and P60s	12 years
Copy payslips (electronic format)	12 years
Deduction forms for staff including monthly list of deductions paid over	12 years
Purchase requisition.	7 years
Purchase requisition. (books)	1 year
Purchase orders. (copy)	7 years
Completed G.R.N.S. and delivery dockets	7 years
Purchase invoices. Paid and unpaid	7 years
Payment Remittance Proposals and Confirmations	7 years
Paid expense claim forms	7 years
Copies of all fee refunds	7 years
Prompt payment interest calculations	7 years
Monthly creditors statements	7 years
Copies of VAT 3 returns, withholding tax returns and subcontractors returns.	7 years
Copies of S891B Returns	7 years
Quarterly prompt payment reports to Department of Finance	7 years
Bank statements	7 years
Bank correspondence	7 years

Bank reconciliation records	7 years
Deposit interest certificates	7 years
Fixed asset Details	Life of Asset
Audit files as prepared for the controller and auditor general	Permanently
Monthly governing body financial reports	Permanently
Working files for pay and non- pay expenditure for operating programme budgets	Permanently
T.L.T. returns	7 years
SUSI returns	7 years
Tuition and Student Contribution claims	7 years
TLT Maintenance Payments and Supporting Documentation	7 years
Correspondence Files - SUSI	7 years
Correspondence Files - TLT	7 years
Correspondence Files - HEG	7 years
Miscellaneous Internal budget reports (pay and non-pay)	7 years
Minutes of meetings relevant to the Finance office and other staff members	3 years
Interim and final financial reports submitted to awarding bodies	7 years
Financial reports for student assistance and disability reports.	7 years
Correspondence from Dept of Education re all E.F.T transfers	7 years
Monthly cash flows as submitted to the Dept of Education	7 years - historic
Monitoring reports	7 years - historic
Accumulate Surplus and commitments reports	7 years - historic
Copies of financial procedures	Permanently
Unit Costing files and supporting documentation	7 years
ESF Undergraduate Skills Claims: Source documents can include invoices, bank statements, receipts or other working papers used to compile the claim including timetable information.	In line with ERDF guidance

### 3.3 Self-Financing Activities

All books and records in relation to research funding awarded and interim and final financial reports.	7 years
All books and records pertaining to certain specified (by Funding Authority) research and other funding that is ERDF & ESF Co-Funded	15 years. <u>However, If expenditure relates to ERDF funding it must be kept for up to 25 years. Refer to ERDF handbook. (section 6.3) document number (ERDF-GN-001)-date published 1 April 2012</u>

### 3.4 Estates Office

Capital Projects Documentation including: Tender documentation, tender reports, minutes of site meetings, contract correspondence	7 years after completion
Contract safety files	Permanently
Minor capital works	7 years
Energy Management Files	3 years
Bookings and Space Allocation Records	3 years
Cleaning Schedules	1 year
Car Parking Violations	3 years
CCTV Images	31 days
Clamping - Correspondence regarding clamping appeals	3 years
Maintenance requests and records	4 years
Final Drawings/Plans	Permanently
Requisitions, Quotations	7 years
Signed minutes with relevant backup documentation	Permanently
Planning Permission	Permanently
Fire Certificates	Permanently
Correspondence with Design Team, Contractors, DOES, local authorities, Site meeting Minutes etc.	7 years
Design Fees and contractor payment files	3 years following closure of final account
Contractor Progress Reports/Information Requests	To final account
Planning permission grants and associated applications	Permanently
Contract Documents	12 years (if under seal) 6 years if not

Hot Work Permits	24 hours or PERMANENTLY should a fire occur
Safety File/ Other Construction drawings and plans	Permanently whilst buildings remain in IT CARLOW ownership
PROPERTY - Land Maps	Permanently whilst buildings remain in IT CARLOW ownership
Register of applicants developers who have made application for Letters of Certification under Section 50 of the Finance Act.	3 years following conclusion of the scheme.
ERDF Structural Funds: 2000-2006. Supporting documentation e.g. Advertisements in the OJ, contracts/letters of offer, invoices, bank statements, etc.	3 years after final payment has been received. In certain cases supporting documentation may need to be retained until 2015
ENERGY : Consumption records	Permanently
SECURITY: Incident Reports	1 year – longer if pending legal action
SECURITY: Key schedule	Permanently
PURCHASING: Requisitions, quotations, etc.	3 years
Clamping - correspondence regarding clamping appeals	3 years

### **3.5 Wellbeing, Safety and Health**

Accident reports and legal claims	Permanently
Risk assessments	Permanently
Emergency management responses	Permanently
Safety legislation	Permanently
Details of 1st Aid box contents	Updated on an on-going basis
Personal Protection Equipment details	Permanently
Permits to work records	Permanently
Details on fire evacuation exercises	Permanently
Ergonomic reports	Permanently
Training records	Permanently

Safety statement and related updates.	Permanently
Accident investigations notes and information on corrective actions.	Permanently
Safety guidance notes,	Permanently
Best practices information	Permanently
Safety Audits	Permanently
Fire Safety Register	5 years

### ***3.6. Computer Services/MIS/ICT***

Software Licence	Permanently
Network account usernames - students	1 year after the individual has left the Institute
Network account usernames - staff	Duration of employment - Security copies for a further 3 months.
Internal staff details on email and telephone systems	1 year after the individual has left the Institute
Web proxy logs	1 year

## 4. OFFICE OF DEVELOPMENT

### 4.1. RESEARCH

All records pertinent to the following:	
General information files containing a wide range of materials pertinent to the operation and interest of the Office of Research	5 years
Applications for research or other funding (unless otherwise recommended by specific funding organisations)	7 years
Student research application forms, proposals, external reviews, etc.	Duration of research programme plus one year
Institute - Industry interaction	3 years
Development of Incubator Centres for technology start-up companies	Permanently
All documentation related to the management and operation of Incubator Units	Permanently
Postgraduate Diploma and Master level courses run jointly with other Third Level Institutions in Ireland or Internationally	Permanently
Campus Companies and the commercialisation of research - Legal documentation	Permanently
Campus Companies and the commercialisation of research - Financial documentation	Permanently
Campus Companies and the commercialisation of research - General correspondence	3 years
Intellectual Property Rights	Permanently
Health & Safety within the Institute	Permanently
Strategic Innovation Fund Awards	7 Years
General correspondence	3 years
Institute - Industry interaction including all documents related to consultancy and applied research projects	5 years
Customised Training/Training for industry Records	5 years
Applications for Research or other Funding (unless otherwise recommended by specific funding organisations)	7 years
ERDF Structural Funds - 2000-2006. Supporting documentation e.g. Advertisements in the OJ, contracts/letters of offer, invoices, bank statements, etc.	As per ERDF page 10
Books/Records in relation to research funding awarded and interim and financial reports.	7 years



#### **4.2. Marketing & Schools' Liaison**

Promotional literature - prospectuses, brochures, magazines	Permanently
Promotional literature produced by Irish and international HEIs	3 years
Government and sectoral reports	3 years
Media monitoring of IT CARLOW	Permanently
Data regarding feeder schools	Permanently
Institute Annual Reports	Permanently

#### **4.3. Alumni Association**

Graduate's personal information including name, address, date of birth, places of employment, type of employment, etc.	Permanently
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#### **4.4. International Office**

European Union Programmes such as Socrates and Leonardo	5 years
Enrolment records for EU and non-EU students	5 years
Financial agreements for ERASMUS programmes applications to programmes	7 years
Applications to programmes	2 years
International and European office direction and control	5 years

#### **4.5 Postgraduate Research Office**

Postgraduate Research Student Files	Duration of course + five years
Student lists and general statistics	Permanently
External Examiner Reports and Examination Broad Sheets	Permanently
Minutes of meetings and backup material for Postgraduate Review Group	Permanently

#### **4.6. Freedom of Information/Data Protection Office**

FOI & Data Protection Requests and all materials pertinent to each request	5 years
Request Register	Permanently

#### **4.7. Research Commercialisation Support Centre**

All documents related to the management and operation of Enterprise Platform Programmes	7 years
All documents relating to Licensees of Units	Permanently

## 5. ACADEMIC SCHOOLS AND DEPARTMENTS

School publications	10 years
Minutes of meetings - senior management of the school, special purpose committees	5 years
Timetables (electronically)	Current year (electronically)
Correspondence, documentation and reports from external bodies pertaining directly to the school	5 years
Continuous assessment practical/Projects Student Material	6 months post Examination Board
Examination results - all APS components - green and white sheets	2 years
Programme board minutes	5 years
Programmatic Review documents	10 years
Correspondence External Examiners	5 years
General Information Enquiries	2 weeks or duration of enquiry (whichever is longer)

### Disclaimer

The suggested retention periods in this document are provided as general guidelines only. Although we make every effort to ensure the accuracy of this information, the Institute of Technology Carlow is not responsible for misinterpretations, errors or omission. Nor are we responsible for its applicability to a specific situation. The Institutes records retention schedule is updated on an annual basis and if required will be updated as new records or changes to retention periods arise.