



UCD Human Resources

# **UCD HR Data Retention Policy**

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# 1 Purpose

This policy has been put in place to ensure that personal data processed by UCD Human Resources (UCD HR) is only retained for as long as is necessary and for the purpose for which it was given to the organisation. The policy ensures respect for the data privacy of employees, lessens the risk of a data breach and aims to prevent loss of personal data and also respects other principles under Data Protection Law.

Employees are obliged to have a clear awareness of the data retention policy and, where they are responsible for relevant data, to implement the retention periods once published.

# 2 Policy

This Policy represents UCD HR's policy regarding the retention and disposal of physical and electronic HR data, e.g. Employee Data, Applicant Data and other HR related data. UCD's data processing is generally undertaken in fulfilment of its statutory functions and objects under the Universities Act 1997 (as amended) (the "Universities Act"). Section 13 (1) of the Universities Act specifically states that it is the function of a society to "do all things necessary and expedient in accordance with the Universities Act to further the objects and development of the university". In fulfilment of its statutory functions, UCD has a lawful basis to undertake data processing, including the retention of personal data in a manner that is consistent with the principles of storage limitation, data minimization and accuracy in accordance with Article 5(1) of GDPR.

# 3 Managing HR Records

UCD employees' HR records are made up of both physical and electronic data. A Record Retention Schedule is currently being developed in respect of the documents outlined in the Appendix below. The Record Retention Schedule will cover the maintenance, retention and disposal schedule for physical and electronic employee records of UCD HR. The retention periods in this schedule will be based on legislative requirements, legal advice and pension administration requirements

# 4 Security of data and destruction/erasure

UCD HR will take all reasonable steps to ensure that appropriate security measures are in place to protect the confidentiality of personal data from unlawful or unauthorised destruction, loss, change, disclosure, acquisition or access in so far as is reasonably possible and in line with this retention policy. In particular, it is the responsibility of each UCD employee to ensure that any physical and electronic records containing personal data are deleted or destroyed in a confidential manner and in accordance with this policy (including by way of confidential shredding of physical records or secure deletion of electronic records in conjunction with UCD IT Services).

## **5 Suspension of Record Disposal**

In the event that UCD is served with, or any UCD employee(s) becomes aware of: a subpoena; a request for data; a statutory investigation; an audit concerning UCD; and/or the commencement or anticipation of any litigation against and/or concerning UCD, such an employee(s) shall without delay inform UCD HR. All disposal of data shall be suspended until such time as UCD HR, with legal advice, determines otherwise and communicates this in writing to the relevant employees. UCD HR shall take all reasonable steps as is necessary to promptly inform all staff of any suspension in the further disposal of data.

## **6 Applicability**

This Policy applies to all physical and electronic records generated in the course of UCD HR's operation, including both original documents and reproductions, and to all data gathered by UCD employee's on behalf of, or as required by UCD HR.

## **7 Review of policy**

The retention policy will be reviewed from time to time to take into account changes in the law and the experience of the policy in practice. All staff are required to regularly review this policy for updates and make themselves aware of same. The first full review of this retention policy will take place after 2 years of operation. Please note, the Record Retention Schedule is likely to change prior to this full review.

## **8. Extension of retention periods**

The Record Retention Schedule when published may be extended in exceptional circumstances and without prior notice including where records may be required by the organisation to defend any legal claims taken against it, in anticipation of same, or on receipt of appropriate advice.

## Appendix 1- Record Retention Schedule

The Record Retention Schedule is organised as follows:

Document/Data Type	General classes of Documents/Data held by UCD HR
<b>General Data -</b> Recruitment related data	On-line Hiring Form
	Job specification / description
	CV
	Job application form
	Board of Assessors form
	Recommendation form regarding interview outcome
	Criteria/Scoresheet signed off by Interview Board
	Memo of individual notes during the interview
	Contract/Terms & Conditions
	Garda Vetting Documentation
	Cover sheet to HR Operations
	Medical reports (for contracts greater than 1 year) excluding minor medical records (such as sick certificates).
	Certified qualifications
	References
	<b>General Data –</b> Personnel File
Signed Contract	
Employee Set-up Form	
General Correspondence	
Pension information external to UCD	
Probation Information – Record of correspondence in relation to an employee's probationary period.	
Paid Leave Memo (Maternity, Paternity, Adoptive, Force Majeure)	
Unpaid Leave Memo (Parental, Carers)	
Maternity leave Application form	
Maternity MB10 form copy (payroll need access)	
Maternity Acknowledgement letter copy	
Maternity return to work form	
Maternity - copy of sick certs	
Adoptive - placement	
Paternity - Application form	
Paternity - Acknowledgement letter	
Parental Leave - Notification form	
Carers Notification form	
Carers Confirmation form (Form B)	
Carers Acknowledgement Letter	
Force Majeure - Notification form	

	Leave of Absence (up to 12 wks.) Application form
	Leave of Absence (up to 12 wks.) Acknowledgement letter
	Study / Exam Leave - Application form
	Timesheets (casual claims, invoices)
	Details of Medical Records. These may include sick leave certificates, occupational health assessments and other records relating to sick leave.
	Equality, Diversity and Inclusion Data
<b>General Data - Promotions Detail</b>	Letter to the applicant from the Office of the Registrar advising of the outcome of an application for tenure
	Faculty Promotions Applications
	Promotion (Associate Professor, Professor & Full Professor)
	Letter to the applicant from the President advising of the outcome of an application for promotion
	Letter from Promotions, Grading and Reward advising of new salary scale
	Personal Promotions Schemes – Administrative, Library & Archivists (Process no longer in place)
	Letter to applicants from the VP for Staff advising of the outcome of the application for promotion & of their new salary scale
	Letter to unsuccessful applicants advising of the outcome of her/his application
	Job Grading – Record of correspondence in relation to Job grading.
	Letter to applicant advising of re-grade and new salary
	Senior Technical Promotion Applications
	Academic Retention application details
	Competitive Retention Application details
	Workplace Relations Commissions and/or Court data and associated data in preparation and/or anticipation of legal claims.
	Visiting and Adjunct Appointee set-up information
	New Job Description – following regrade
	Appeals (for applications to be reconsidered by the Promotions Committee on the recommendation of the Appeals Committee)
	Letter to appellants from the President advising them of the outcome of the re-assessment of their application by the UCAATP – as above
	Tenure - Record of correspondence with regards to Tenure.
	<b>General Data – Grievance, Disciplinary, Performance Improvement Plans, Research Integrity Investigations and/or Dignity and Respect Investigations</b>
Financial Settlements Arrangements - Record of correspondence with regards to financial settlements arrangements	
Employee waiver	
Labour Court correspondence	
Contractual Issues - Record of correspondence with regards to contract issues	

<b>General Data - Pension Details</b>	Notional Service- Record of correspondence with regards to notional service
	Additional Voluntary Contributions (AVC) - Record of correspondence with regards to AVC.
	Service Query – Queries on service history with regards to the calculation of pension benefits
	Death – Record of correspondence in relation to the death of an employee or pensioner
	Retirement–Record of correspondence in relation to the retirement of an employee.
	Resignation – Record of correspondence in relation to an employee’s resignation.
	Pension Benefit Payment – Details of benefit payments due at retirement or death.
	Transfer In – Details of previous service transferred into UCD.
	Employee Benefit Statements – Statement of retirement benefits
	Pensioner Declarations – Declaration form completed by the pensioners confirming who they are.
	Pension Adjustment Orders (PAO) – Record of correspondence in relation to a PAO.
	Details of Life Assurance

## 9. Version History

Version	Date	Summary of Changes	Author
1.0	20 December 2018	Document Created	UCD HR