Ulster University Schedule Cover Sheet

Document Title	Records Retention and Disposal Schedule 2.6
Custodian	University Secretary in consultation with Chief Digital and Information Officer
Approved by	University Secretary Chief Digital and Information Officer
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Changes to previous version
Updating of record types and retention periods. Reorganisation of schedule in line with new University structures. All record types and retention periods now searchable using an online tool.

INTRODUCTION AND BACKGROUND

This Records Retention and Disposal Schedule (the "**Schedule**") sets out the retention and disposal requirements for records within Ulster University (the "**University**"). This Schedule is an essential component of the University's records management programme and forms part of the overall University Records Management Policy (the "**Records Policy**"), which should be read in conjunction with the Schedule and accessed here https://www.ulster.ac.uk/__data/assets/pdf_file/0010/687124/Records-Management-Policy-1.0.pdf

Reference to a "record" within this Retention and Disposal Schedule shall mean any information or data created, received and maintained as evidence and retained by the University in pursuit of its legal obligations or pursuant to its activities. The records may comprise personal data, as defined within the Data Protection Action 2018 and non-personal data. These records may be in any form, that being either electronic or traditional hardcopy format.

The Retention and Disposal Schedule shall ensure that records are retained for as long as may be required for operational or business needs or to fulfil any statutory obligations. Further, it shall ensure that when no longer required, records are disposed of in a documented, timely and appropriate manner in an approach that is consistent across the entire University. It shall by implemented by the University staff, which for the purposes of this Schedule includes employees, temporary and agency workers, contractors and all other third-party users ("**University Staff**"). This Schedule has been developed following the model retention schedule for Higher Education Institutions developed by the Joint Information Systems Committee, which may be found along with supporting documents on-line at: https://www.jisc.ac.uk/guides/records-retention-management

RELEVANT LEGISLATION

The following legislation (as amended from time to time) will apply to the University and its treatment of any records:
- Public Records Act (NI) 1923
- Disposal of Documents Order (NI) 1925
- The Public Records Act 1958
- The Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Data Protection Act 2018
- UK General Data Protection Regulation
- Audit and accountability legislation
- Employment legislation

PURPOSE, AIMS AND SCOPE OF THE SCHEDULE

The purpose of this Schedule is to:
- enable the University to meet the legal and regulatory obligations under the above referenced legislation

- to comply with our data protection obligations, in particular to keep personal data no longer than is necessary for the purposes for which it is processed, being the storage limitation principle
- to manage risk and avoid potential liabilities of retaining records unnecessarily
- identify the minimum period for which records should be retained
- outline the action required when the minimum retention period has been reached
- provide a basis for consistent action across the University for the treatment of all University records

The aims of this Schedule include:
- the promotion of control over the University's records
- enabling University employees to confidently dispose of records which are no longer needed
- ensuring retention of the minimum volume of records as consistent with space, time and cost efficiencies

Moreover, the scope of this Schedule is across all records created, captured, maintained, used or destroyed by the University across its core activities of research, learning, teaching and all supporting activities which it undertakes.

RECORD TYPES, RETENTION PERIODS AND DISPOSAL METHODS

Record types and their retention periods can be found below at Annex A below, which comprises the following detail:

I. RECORD DESCRIPTION
The type or category of record, applying equally to all formation of record (hard copy, digital or other form).

II. RETENTION PERIOD
Retention periods are based upon the specific business needs of the University in addition to the regulatory environment within which the University operates. The retention period for each record is calculated from the point the record is closed.

III. DISPOSAL METHOD
There are five possible potential disposal outcomes for all records:
   a) **Destroy/delete:** These are records to which the University considers provides no continuing business, legal or regulatory value and are of no historical or research value to the Public Records Office of Northern Ireland ("**PRONI**").
   b) **Consult with department lead before disposal:** Destruction must be approved by the department lead.
   c) **Consult for archive value:** these are records requiring review. They are reviewed by University Staff at specified periods to determine if there is a continuing business need for their retention and by PRONI to determine if they are required for historical or research purposes.
   d) **Archive:** these records have ceased to be operationally relevant to the business of the University. Where it has been noted that records should be retained permanently by the University Archive, such records may eventually

be deposited in the PRONI in accordance with any future strategy agreed between the University and PRONI.

e) **Anonymise and Retain (includes digital):** records are to be anonymised and permanently retained with the University for administrative or legislative purposes and will be physically or digitally managed in an accessible format within accredited record keeping systems.

ELECTRONIC AND HARDCOPY RECORDS

Whilst the retention and disposal requirements by record type are the same, the method of retention and disposal will be different between hardcopy records and electronic records. See Records Management Policy for further information on the procedures for each type of record.

ROLES AND RESPONSIBILITIES

All University Staff are responsible for documenting their actions and decisions, and for maintaining the records in accordance with this Schedule, the Records Management Policy and University practices.

The head of the originating Department or Faculty has the primary responsibility for: identifying record types; marking records (visibly or electronically) with type, retention and disposal dates; and actual retention and disposal.

The University Secretary in consultation with the Chief Digital and Information Officer has overall responsibility for ensuring that each department complies with the requirements of legislation affecting the management of records, and with any supporting regulations and codes.

IMPLEMENTATION

Responsibility for implementing the schedule should be assigned to appropriate members of University Staff in each department and time allowed to ensure information is being disposed of in line with the appropriate retention periods.

RECORD TYPES AND RETENTION PERIODS

Record types and their retention periods can be found and searched using the online tool at the link below.

https://www.ulster.ac.uk/isd/schedule-checker