

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Human Resources

This retention schedule is based on the recommendations made by the Joint Information Systems Committee. The letter indicates the final disposition of each type of record, and applies to original records. Where copies of originals are kept locally, these can be destroyed when these are no longer required.:

A = 1 copy to be transferred to the University Archive. See Retention Schedule Guidelines for further details.

D = Destroyed.

The number following the letter code indicates the period (in years) after which records may be destroyed, and is the minimum retention period required by best practice or legislation. It assumes a new file is opened at the start of each academic, calendar or financial year, and is **always** calculated from the date of the last record in the file.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
HUMANRESOURCES/STRATEGY - identifying requirements for new/revised strategy - undertaking research - developing strategy proposals - consulting on strategy proposals - reviewing and revising strategy proposals in the light of comments received - drafting strategy documents - consulting on strategy documents - reviewing draft strategy documents in the light of comments received - producing final strategy documents - submitting final strategy documents for formal endorsement - formally endorsing strategy documents - disseminating strategy documents - reviewing strategy.	Key records documenting the development and establishment of the institution's HR strategy. Working papers documenting development and establishment of the institution's finance HR strategy.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	Primary records held by HR

Records Retention Schedule for Human Resources (2)

HUMANRESOURCES/POLICY • identifying requirements for new/revised policy • undertaking research • developing policy proposals • consulting on policy proposals • reviewing and revising policy proposals in the light of comments received • drafting policy documents • consulting on policy documents • reviewing draft policy documents in the light of comments received • producing final policy documents • submitting final policy documents for formal approval • formally approving policy documents • disseminating policy documents • reviewing policy	Key records documenting the development and establishment of the institution's HR policies. Working papers documenting development and establishment of the institution's HR policies.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	Primary records held by HR
HUMANRESOURCES/PROCEDURES • identifying needs for new/revised procedure • undertaking research • analysing work processes • drafting procedure documents • consulting on procedure documents • reviewing draft procedure documents in the light of comments received • trialling procedure • refining procedure as a result of trials • submitting final procedure documents for formal approval • formally approving procedure documents • disseminating procedure documents • reviewing procedure.	Master copies of procedures relating to HR. Development of the institution's procedures relating to HR.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	Primary records held by HR

Records Retention Schedule for Human Resources (3)

HUMANRESOURCES/EMPLOYEE CONTRACTS - maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination - providing employment references for current and former employees. Employees means people employed directly by the institution on open ended, fixed-term or casual contracts. iHR is the single point of truth for employee records. HR and HIG will provide guidance on what additional information should be held in an individual staff file, and by whom and where this would be held. Any Staff files held locally by Schools and Services should be returned to HR when a member of staff leaves and all duplicates destroyed. Where practicable, the University may retain a core permanent record of staff appointments, promotions, grade on leaving and relevant biographical information for archival purposes, unless the former employee objects, and will maintain the confidentiality of these records in accordance with the rights of the data subjects under the Data Protection Act, 1998. Primary records for this category held by HR. Other records held by individual schools and services.	Employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks). Employee's subsequent applications for other jobs within the institution. Employee's contract(s) of employment with the institution. Changes to the employee's terms and conditions of employment. Job descriptions of positions held by the employee within the institution. Induction programmes attended by the employee. Employee's training and development needs, and the action taken to meet these needs. Job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements. Routine assessments/reviews of the employee's performance, and any consequent action taken.	D: Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to ongoing employment relationship. D: Duration of job + 1 year D: Termination of employment + 6 years D: Termination of employment + 6 years D: Duration of job + 1 year D: Completion of induction + 1 year D: Completion of actions + 5 years D: Expiry of certification + 6 years OR Superseded + 6 years D: Superseded + 3 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 §1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
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Records Retention Schedule for Human Resources (4)

HUMANRESOURCES/EMPLOYEE CONTRACTS (Cont.)	Disciplinary proceedings against the employee, where employment continues.	D: Closure of case + 6 years	Common HR practice
	Grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Formal grievances D: Closure of case + 6 years Informal grievances D: Closure of case + 3 years	Common HR practice
	Employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	D: Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Limitation Act 1980 c.58 s5 Minimum: SI 2003/2682 Regulation 97(8) SI 1999/584 Regulation 38(7) Recommended: Equal Pay Act 1970 c.9 s34
	Administration of the employee's contractual holiday entitlement.	D: Current year + 1 year	
	Records documenting the employee's absence due to sickness.	D: Minimum: Current tax year + 3 years	HMRC Statutory Sick Pay (SSP): employer guide
	Occupational Health – referral letters and outcomes	D: Minimum: Current tax year + 3 years	Primary records held by Occupational Health
	Authorisation and administration of special leave, e.g. compassionate leave, study leave.	D: Current year + 1 year	
	Authorisation and administration of statutory leave entitlements, e.g. parental leave.	D: Completion of entitlement + 6 years	SI 1999/3312
	Entitlements to, and calculations of, Statutory Maternity Pay.	D: Current Tax Year + 3 years	SI 1986/1960 Regulation 26
	Employee's basic personal details (e.g. address, next of kin, emergency contacts).	D: Superseded	

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RECORDS RETENTION SCHEDULE FOR HUMAN RESOURCES (5)

HUMAN RESOURCES/EMPLOYEE CONTRACTS (Cont.) Primary records for this and the following 3 categories held by Occupational Health, secondary records held by HR and schools or services.	Pre-employment health screening of an employee: employees exposed to hazardous substances during employment. Pre-employment health screening of an employee: other employees. Issue of personal protective / other special equipment to an employee. Major injuries to an employee arising from accidents in the workplace. Employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal. Confidential references provided in support of employee's application(s) for employment by another organisation.	See Health Safety/Hazards - Substance Exposure Control. D: Termination of employment + 6 years D: Termination of employment + 6 years D: Termination of employment + 40 years D: Termination of employment + 6 years D: Provision of reference + 1 year	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s5 Limitation Act 1980 c.58 s11 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
HUMAN RESOURCES/INDUSTRIAL RELATIONS - managing recognition and de-recognition of trades unions - managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce. Primary records held by HR and Union representatives	Institutional recognition/derecognition of trades unions. Agreements with trade unions. Routine communications with trade union representatives, including minutes of meetings. Consultations/negotiations with trade unions on specific issues.	D: Derecognition + 6 years D: Termination of agreement + 10 years D: Current year + 20 years D: Last action on issue + 20 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Chartered Institute of Personnel and Development, Retention of personnel and other related records (2006)

DE: RM: Drafts for Publication: Human Resources

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Records Retention Schedule for Human Resources (6)

HUMANRESOURCES/PENSION SCHEMES administering the institution's involvement with external pension schemes of which its staff are members. Primary records held by Pension scheme and Finance, secondary records held by HR	The institution's relationships with pension schemes to which all or part of its workforce belongs. Routine communications with the pension schemes.	D: Termination of relationship + 5 years D: Current year + 5 years	
HUMANRESOURCES/WORKFORCE/INDUCTION - developing general and role-specific induction programmes - administering induction programmes to ensure that all new employees complete the required programme. For records documenting individual employees' induction programmes, see Employee Contracts.	Development, overall delivery and assessment of induction programmes for new employees. Administration of induction programmes.	D: Current year + 5 years D: Completion of programme + 1 year OR Termination of programme + 1 year	
HUMANRESOURCES/WORKFORCE/PERFORMANCE - designing methods of measuring performances - conducting and analysing performance assessments. Primary records held by HR, secondary records held by schools and services.	Development of workforce performance assessment systems. Summary (anonymised) results of employees' performance assessments. Management analyses of the impact of workforce performance assessment systems.	D: Life of system + 5 years D: Current year + 3 years D: Current year + 5 years	
HUMANRESOURCES/WORKFORCE/PLANNING - analysing the size, composition, structure and competencies of the institution's workforce - reporting on the composition of the institution's workforce to regulators - developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure (NOTE 1). Primary records held by HR	Assessment & analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements. Management succession plans. Development and evaluation of job specifications.	Current year + 3 years Superseded + 5 years Superseded + 5 years	More information about the process of defining, analysing and evaluating roles using Higher Education Role Analysis (HERA) can be found at http://www.hera.ac.uk

Records Retention Schedule for Human Resources (7)

HUMAN RESOURCES/WORKFORCE/RECRUITMENT • authorising recruitment • advertising vacancies • handling enquiries about vacancies • processing employment applications • reviewing and responding to unsolicited applications for employment. Anonymised data may be held for a longer period (e.g. for equality monitoring purposes). Primary records held by HR, secondary records may be held by schools and services.	Internal authorisation for recruitment. Advertising of vacancies. <i>There should be a separate file for each vacancy, and should include Job Overview forms, further particulars, selection criteria and matrices. Staff involved in recruitment and selection in Schools and Services should return all notes and correspondence after an appointment has been made.</i> Enquiries about vacancies and requests for application forms. Handling of unsuccessful applications for vacancies. Generally: Handling of applications for vacancies: successful applications. For employment records, see HR/Employee Contracts).	D: Current year + 1 year D: Completion of process + 3 months A recruitment process is completed once offer of employment has been made and has been accepted, and all unsuccessful applicants have been notified. D: Completion of recruitment process D: Completion of process + 6 months Actions under this legislation must generally be brought within 3 months. For UK posts filled by holders of Tier 2 and Tier 5 visas, HM Visa and Immigration now requires records of unsuccessful candidates shortlisted and reasons for non-appointment to be retained until UKVI makes an unannounced visit to audit them. D: Termination of employment + 6 years (as part of employee contract records) except information not relevant to the ongoing employment relationship. §1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).	Sex Discrimination Act 1975 c.65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50 SI 2006/1031 Regs 7, 36, 42 SI 2003/1660 Regs 6, 28, 34 SI 2003/1661 Regs 6, 28, 34 Employment Practices Code, §1.7.1 (Information Commissioner's Office, 2005) *SDA 1975 c.65 RRA 1976 c.74 DDA 1995 c.50 SI 2006/1031 Regs 7, 36, 42 SI 2003/1660 Regs 6, 28, 34 SI 2003/1661 Regs 6, 28, 34 §1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). Immigration Act 1971: incorporating subsequent amendments and rules Limitation Act 1980 c.58 s5
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Records Retention Schedule for Human Resources (8)

HUMANRESOURCES/WORKFORCE/RECRUITMENT (Cont.)	Management analyses of recruitment effectiveness e.g. use of advertising media. Handling of unsolicited applications for employment.	D: Current year + 1 year D: Receipt of application + 1 year §1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).	
HUMANRESOURCES/WORKFORCE/RELATIONS - developing and implementing mechanisms for communicating with, and consulting, the workforce - conducting workforce surveys and reviewing and responding to the results.	Design of workforce surveys and consultations. Identifiable individual responses to workforce surveys and consultations. Summary (anonymised) results of workforce surveys and consultations. Grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	D: Completion of survey/consultation + 5 years D: Completion of analysis of responses A: Completion of survey + 5 years D: Last action on case + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
HUMANRESOURCES/WORKFORCE/REMUNERATION developing and implementing workforce pay structures and reward schemes.	Development of the institution's remuneration structure. Pay reviews. Special reward schemes (e.g. Merit Reviews).	D: Current year + 10 years D: Current year + 5 years D: Termination of scheme + 5 years	
HUMANRESOURCES/WORKFORCE/TRAINING - identifying and analysing training and development needs - identifying and evaluating ways of meeting these needs - developing/selecting training and development programmes	Summary information on workforce training and development needs. Development of training and development programmes to meet defined needs.	D: Current year + 5 years D: Completion of programme + 5 years	

Records Retention Schedule for Human Resources (9)

HUMANRESOURCES/WORKFORCE/TRAINING (Continued) • monitoring take-up of training and development programmes • collecting and analysing feedback on training and development programmes • measuring the impact of training and development programmes. This activity is intended to cover general personal and professional training and development for employees, and job-specific training for defined categories of employees. It is not intended to cover 'user training' (e.g. for specific internal systems or services) or other training which is an integral part of a function and activity covered elsewhere in this Business Classification Scheme (e.g. training on health and safety procedures). For records documenting individual employees' training and development needs, see Employee Contracts.	Individual feedback on training and development programmes. Anonymised workforce feedback on training and development programmes. Management analyses of the impact of training and development programmes.	D: Completion of analysis of feedback D: Current year + 5 years D: Current year + 5 years	
HUMANRESOURCES/WORKFORCE/WELFARE • monitoring employee welfare and ensuring compliance with legislation. Primary records held by Occupational Health, secondary records held by HR	Hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833). Health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	D: Date of record + 2 years D: Date of record + 2 years	SI 1998/1833 Regulations 5, 9 SI 1998/1833 Regulations 5, 9