



RECORDS RETENTION SCHEDULE

HUMAN RESOURCES

Version 2.0 (June 2010)

Records Series		Retention	Owner	Citation	Final action	Notes
1. Strategy Development						
1.1	Records documenting the development and establishment of the university's human resources strategy: key records.	Superseded + 5	HR Director	Business decision	D(Con)	
2. Policy Development						
2.1	Records documenting the development and establishment of the university's human resources management policies: key records.	Superseded + 5	HR Client Partners/Policy Team	Business decision	D(Con)	
3. Procedure Development						
3.1	Master copies of procedures relating to human resources management.	Superseded + 5	HR Client Partners/Policy Team	Business decision	D(Con)	
4. Evaluation of Jobs and Rewards						
4.1	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 5 years	Pay & Reward Team	Business decision	D(Con)	
4.2	Records documenting management succession plans.	Superseded + 5 years	HR Director	Business decision	D(Con)	
4.3	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	Pay & Reward Team	Business decision	D(Con)	

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Records Series		Retention	Owner	Citation	Final action	Notes
5. Recruitment						
5.1	Records documenting internal authorisation for recruitment.	Current year + 1 year	Business decision	HR Assistants	D(Con)	
5.2	Records documenting the advertising of vacancies.	Completion of recruitment process + 3 months (Appointment date = completion date of process)	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 <i>Employment Practices Code, Section 1.7.1</i> (Information Commissioner's Office, 2005)	HR Assistants	D(Con)	
5.3	Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process + 3 months (Appointment date = completion date of process)	HR Assistants	Business decision	D(Con)	

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5.4	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 3 months (Appointment date = completion date of process)	HR Assistants	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	D(Con)	See Section 1.7 of the <i>Employment Practices Code</i> (Information Commissioner's Office, 2005). Actions under discrimination legislation must generally be brought within 3 months. The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet <i>Retention of personnel and other related records</i> (2006). Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).
5.5	Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employee relationship	HR Assistants	1980 c. 58 s 5	D(Con)	See Section 1.7 of the <i>Employment Practices Code</i> (Information Commissioner's Office, 2005). For employment records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT

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5.6	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	HR Client Partner		D(Con)	
5.7	Records documenting the handling of unsolicited applications for employment.	Receipt of application + 6 months	HR Assistants		D(Con)	See Section 1.7 of the <i>Employment Practices Code</i> (Information Commissioner's Office, 2005)
5.8	Advertisements and related documentation where the candidate is from outside the EEA. e.g copies of contracts with agencies, copies of advertisements in newspapers/journals, screenshots of websites	Retain for 1 year after completion of appointment	HR Assistants	Sex Discrimination Act 1975; Race Relations Act 1976; Disability Discrimination Act 1995; Employment Equality Regulations SI 2003/1660, SI 2003/1661, SI 2006/103 Relevant standards: UK Border Agency Sponsor Policy Guidance	D(Con)	

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5.9	Application forms, CVs and references – unsuccessful candidates (as well as accompanying letters and emails) where the successful candidate is from outside the EEA	Retain for 1 year after completion of appointment.	HR Assistants	<i>Sex Discrimination Act 1975; Race Relations Act 1976; Disability Discrimination Act 1995; Employment Equality Regulations SI 2003/1660, SI 2003/1661, SI 2006/103 Relevant standards: UK Border Agency Sponsor Policy Guidance</i>		
5.10	Selection of staff – successful and unsuccessful candidates: where the successful candidate is from outside the EEA e.g. names and number of shortlisted applicants; invitations to interviews; requests for references; test results; score sheets; interview notes, including reasons why any rejected EEA nationals were not employed	Retain for 1 year after completion of appointment.	HR Assistants	<i>Relevant legislation: Sex Discrimination Act 1975; Race Relations Act 1976; Disability Discrimination Act 1995; Employment Equality</i>		

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				<i>Regulations SI 2003/1660, SI 2003/1661, SI 2006/103 Relevant standards: UK Border Agency Sponsor Policy Guidance</i>		
5.11	Contact details of staff - Non-EEA employees	Retain for duration of migrant's sponsorship + 1 year – details must be updated regularly and a history of past details maintained.	HR Assistants	<i>Relevant standards: UK Border Agency Sponsor Policy Guidance,</i>		
6. Induction						
6.1	Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 5 years	Corporate Learning & Development	Business decision	D(Con)	

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6.2	Records documenting the administration of induction programmes.	Current year + 5 years	Corporate Learning & Development	Business decision	D(Con)	
7. Training & Development						
7.1	Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	Current year + 5 years	Corporate Learning & Development	Business decision	D(Con)	
8. Management of Staff						
8.1	Records documenting the completion of programme and feedback	Completion of programme + 3 years	Corporate Learning & Development	Business decision	D(Con)	
8.2	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	Corporate Learning & Development	Business decision	D(Con)	
8.3	Records documenting (anonymised) workforce feedback on training and development programmes.	Completion of analysis of feedback	Corporate Learning & Development	Business decision	D(Con)	
8.4	Records documenting management analyses of the impact of training and development programmes.	Current year + 3 years	Corporate Learning & Development	Business decision	D(Con)	

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8.5	Records documenting the 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).	Date of record + 2 years	HR Assistants	SI 1998/1833 Regulations 5 and 9	D(Con)	
8.6	Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Health & Safety	SI 1998/1833 Regulations 5 and 9	D(Con)	
8.7	Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	HR Director	Business decision	D(Con)	
8.8	Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	HR Director	Business decision	D(Con)	
8.9	Records containing summary (anonymised) results of workforce surveys and consultations.	Completion of analysis + 5 years	HR Director	Business decision	D(Con)	

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8.10	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the university's response, action taken and the outcome.	Last action on case + 6 ears	HR Client Partner	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	
8.11	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	Termination of employment + 5 years (as part of employee contract records) except information which is not relevant to the ongoing employee relationship	HR Client Partner	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	See Section 1.7 of the <i>Employment Practices Code</i> (Information Commissioner's Office, 2005).
8.12	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 6 months	HR Assistants	Business decision	D(Con)	
8.13	Records documenting the employee's contract(s) of employment with the institution.	Termination of employment + 6 years	HR Assistants	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	
8.14	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	HR Assistants	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	

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8.15	Records documenting the job descriptions of positions held by the employee within the institution.	Termination of employment + 6 years	HR Assistants	Business decision	D(Con)	
8.16	Records documenting induction programmes attended by the employee.	Termination of employment + 6 years	Corporate Learning & Development	Business decision	D(Con)	
8.17	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Termination of employment + 6 years	Line Manager	Business decision	D(Con)	
8.18	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	Corporate Learning & Development	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	
8.19	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	Line Manager	Business decision	D(Con)	
8.20	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	HR Client Partner	Prescription and Limitation Act (Common HR practice - in line with policy)	D(Con)	
8.21	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the university's response, action taken and the outcome.	Closure of case + 6 years	HR Client Partner	Prescription and Limitation Act (Common HR practice - in line with policy)	D(Con)	

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8.22	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	<p><u>Minimum:</u> Current tax year + 3 years</p> <p><u>Recommended:</u> Current tax year + 6 years</p>	Payroll Supervisor	<p>1980 c. 58 s 5</p> <p><u>Minimum:</u> SI 2003/2682 Regulation 97(8) SI 1999/584 Regulation 38(7) <u>Recommended:</u> 1970 c. 9 s 34</p>	D(Con)	
8.23	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	HR Assistants	Business decision	D(Con)	
8.24	Records documenting the employee's absence due to sickness.	Termination of employment + 40 years	Occupational Health	IR CA30	D(Con)	
8.25	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	Payroll Supervisor	Business decision	D(Con)	
8.26	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	Payroll Supervisor	SI 1999/3312	D(Con)	
8.27	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	Payroll Supervisor	SI 1986/1960 Regulation 26	D(Con)	
8.28	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Termination of employment + 6 years	HR Assistants	Business decision	D(Con)	

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8.29	Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	HR Assistants	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	
8.30	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	Health & Safety	1980 c. 58 s 5	D(Con)	
8.31	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	Health & Safety	1980 c. 58 s 11	D(Con)	
8.32	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Termination of employment + 6 years	HR Assistants	Business decision	D(Con)	
8.33	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	HR Assistants	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	

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9. Equal Opportunities						
9.1	Equal Opportunities Forms	Destroy immediately after information entered into database	Equal Opportunities Officer	Business Decision	D(Con)	
9.2	Equal Opportunities six monthly statistical report	CAY + 10 years	Equal Opportunities Officer	Business Decision	D(Con)	
9.3	Equal Opportunities ad hoc statistical reports	CAY+ 2 years	Equal Opportunities Officer	Business Decision	D(Con)	
10. Evaluation of Jobs and Rewards						
10.1	Records documenting the development of the university's remuneration structure.	Current year + 10 years	Pay & Reward Team	Business decision	D(Con)	
10.2	Records documenting pay reviews.	Current year + 6 years	Pay & Reward Team	Business decision	D(Con)	
10.3	Records documenting special reward schemes (e.g. Merit Reviews).	Current year + 6 years	Pay & Reward Team	Business decision	D(Con)	
11. Relations with Staff and Unions						
11.1	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	HR Director	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	D(Con)	

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11.2	Records documenting agreements with trade unions.	Termination of agreement + 10 years	HR Director	Chartered Institute of Personnel and Development, <i>Retention of personnel and other related records (2006)</i>	D(Con)	
11.3	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	HR Director	Business decision	D(Con)	
11.4	Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	HR Director	Business decision	D(Con)	
12. Pension Administration						
12.1	Records documenting the university's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 40 years	Payroll Supervisor	Business decision	D(Con)	
12.2	Records documenting routine communications with the pension schemes.	Current year + 5 years	Payroll Supervisor	Business decision	D(Con)	
13. Admin - Finance Records						
13.1	Accounting – External Orders	CFY+1	Departmental Administrator		D(con)	Includes invoices and payments to other parties.

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13.2	Accounting – Departmental budget accounts	CFY+1	Head of Dept?		D(con)	Covers routine income from University teaching and research funding. Also specific reports on a specific account and may include salary forecasts.
13.3	Accounting – Internal Orders	CFY+1	Departmental Administrator		D(con)	Departmental records documenting the issue of sales invoices eg for hospitality services or printing unit products. Finance will retain their records for 6 years after year of creation.
13.4	Accounting – Purchase card records	CFY+1	Departmental Administrator		D(con)	Examples: bank statements, receipts, order information/delivery notes. Finance Office will retain the Purchasing card transaction log for CFY+6
13.5	Accounting – Purchase orders and delivery notes	CFY+1	Faculty/School Administrator		D(Con)	The main records is held on Agresso system which is then retained for CFY+6
13.6	Accounting – Research budget accounts	CFY+1	Head of School/Programme Leaders /AFM? (t.b.c)		D(Con)	Retain for life of project then weed and retain for full retention period.
13.7	Cash – Petty cash	CFY+1	Faculty/School Administrator		D(Con)	

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13.8	Expenses claim forms	CFY+1	Individual members of staff		D(Con)	Records documenting the payment and/or reimbursement. Finance will retain their records for CFY+6
14. Committees						
14.1	Remuneration Committee	A	HR Director	Business decision	Review for Archival	
14.2	JCC	A	HR Director	Business decision	Review for Archival	
14.3	ARC	CAY+ 6	HR Director	Business decision	Review for Archival	
14.4	Trade Union Meetings	CAY + 10	HR Director	Business decision	Review for Archival	
14.5	Equal Opp Committee	CAY + 10	Equal Opps Officer	Business decision	Review for Archival	

Signed _____ (Director/Head of Department) Date _____

Print name _____ Job title _____

Signed _____ (Governance and Management Services) Date _____

This signed off schedule authorises Human Resources to destroy life-expired records they hold without further instruction. It must not be amended without first consulting Governance and Management Services.

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