UNIVERSITY OF EDINBURGH

RECORDS RETENTION SCHEDULE: HR RECORDS

For whom is this document intended?

This retention schedule is intended for freedom of information practitioners responsible for setting up records management systems in their business areas.

It is split into four parts:
- Records held by all University managers
- Records held by HR managers and central HR
- Records held by other specialist areas in the University
- Records grouped by function, for records management administrative use

What is the purpose of this retention schedule?

The schedule sets out the minimum amount of time that the University needs to keep HR records. The recommendations it contains have been agreed with the University's HR department and the University Archivist.

The retention periods set out in this document apply to both paper and electronic information.

How should I use this retention schedule?

This retention schedule can be used in 3 different ways:
- To answer *ad hoc* queries about what should be done with particular collections of HR documentation eg "What do I do with the application forms from this recruitment exercise?"
- To develop business area retention schedules and recordkeeping procedures for HR records
- To integrate recordkeeping practices into HR processes, both locally and centrally eg if appraisal documentation is to be kept for four years, when you do an appraisal in the fifth year, you can remove and destroy the documentation from five years ago.

Where different types of records are held on one file, sometimes it is not practical to weed individual files. Where this is the case, the retention period chosen for the file should be the longest retention period specified for any individual record or group of records on the file. Eg if a line manager's file contains a member of staff's application form, leave record and contract, and it is not feasible to weed the file, then the entire file should be destroyed one year after the termination of employment of the member of staff.

It is acceptable to deviate from the recommended retention period in a business area retention schedule, so long as the reason for the non-standard retention period is recorded.

The numbering in the first three parts of the retention schedule is not consecutive as it reflects the numbering in the analysis underpinning the development of the schedule. Some items appear in more than one part of the schedule, and the numbering provides a means of showing the connection between these items.

Why do we need a retention schedule for HR records?

A retention schedule promotes consistency by ensuring that we keep the same type of record for the same amount of time no matter where the record is held. It enables us to dispose confidently of records we no longer need, and ensure the retention of the minimum volume of records consistent with economy and efficiency. The retention of unnecessary records consumes staff time, space and equipment. It also incurs liabilities in terms of the need to service information requests made under Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002.

Retention schedules assist with compliance with these Acts. The Data Protection Act requires us to keep records for no longer than necessary; we can be sued for retaining unnecessary information if this causes damage to someone. The s 61 Code of Practice issued by the Scottish Executive under the Freedom of Information (Scotland) Act 2002 specifically requires organisations subject to freedom of information legislation to have retention schedules for all their records. Although compliance with this Code is not mandatory, it is seen as indicative of whether or not an organisation has complied with the legislation.

What help is available?

The University Records Management Section provides advice, guidance and training on data protection, records management and freedom of information issues. Our website contains a wide range of guidance documents on records management topics (www.recordsmanagement.ed.ac.uk). If you cannot find the advice you need on our website, we can be contacted at recordsmanagement@ed.ac.uk.

Susan Graham
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Records Grouped by Function

No	Description	Held by	Recommended disposal	Timing	Trigger	Notes
1	**Recruitment**					
1.1	Internal discussion of need for new post(s)	Relevant managers	Destroy	5 years	After creation	
1.3	Drafting of individual job descriptions: working papers	Relevant managers	Destroy	Immediately	When job description finalised	
1.4	Individual job descriptions	Line manager	Destroy	2 years	After superseded	
1.5	Individual job descriptions	HR	Destroy	5 years	After recruitment authorised	Used as a reference source for future gradings
1.6	Individual job description on personal file	HR	Destroy	6 years	After superseded	
1.7	Grading of individual jobs: outcomes	HR database	Destroy	10 years	After superseded	Used as a reference source for future gradings
1.8	Grading of individual jobs: correspondence and working papers	HR	Destroy	Immediately	After post is advertised	
1.9	Grading of individual jobs: correspondence and working papers	Line manager	Destroy	2 years	After superseded	
1.10	Authorisation of recruitment	HR	Destroy	5 years	After completion of recruitment	Kept for audit purposes to show who authorised the recruitment.
1.11	Authorisation of recruitment	Line manager/departmental administration (only 1 of these should keep a copy)	Destroy	5 years	After completion of recruitment	Kept for audit purposes to show who authorised the recruitment
1.12	Advertising details	HR and line manager	Destroy	6 months	After completion of recruitment	
1.13	Advert text	Line manager	Destroy	Immediately	After job description is superseded	
1.14	Advert text on individual's personal file	HR	Destroy	Immediately	On termination of employment in this	

					role	
1.15	Working papers relating to placing of advertisement	HR	Destroy	6 months	After completion of recruitment	
1.16	Records documenting enquiries about vacancies & requests for application forms	HR & line manager	Destroy	6 months	After completion of recruitment	
1.17	Applicant tracking form	Line manager & HR	Destroy	6 months	After completion of recruitment	
1.18	Appointment request authorisation	Line manager & HR	Destroy	6 months	After completion of recruitment	
1.19	Unsuccessful candidates: application forms, CVs, references, interview notes, correspondence and related papers, including notes from all interview panel members	Line manager	Destroy	6 months	After completion of recruitment	
1.21	Successful candidates: application form, CV, offer and acceptance letters	HR & Line manager	Destroy	6 years	After termination of employment	
1.22	Successful candidates: all other recruitment documentation (including references)	Line manager	Destroy	6 months	After vacancy filled	
1.23	Equal opportunities form	Equal Opportunities Officer	Destroy	Immediately	After information is entered onto database	
1.24	Equal opportunities database information	Equal Opportunities Officer	Destroy	10 years	After information is entered onto database	
1.25	Equal opportunities six monthly statistical reports	Equal Opportunities Officer	Destroy	10 years	After creation	
1.26	Equal opportunities ad hoc statistical reports	Equal Opportunities Officer	Destroy	2 years	After creation	
1.27	Data for analyses of recruitment effectiveness	HR Recruitment	Destroy	6 months		
1.28	Analyses of recruitment effectiveness	HR Recruitment	Destroy	3 years		
1.29	Unsolicited applications and the University's reply	HR Recruitment, line manager	Destroy	Immediately	When reply is sent	
2	**Staff development, conference attendance, training & induction**					

2.1	Staff development strategy master copy	HR – Staff Development	University Archives	Immediately	When strategy is adopted	
2.2	Staff development strategy reference copy	HR – Staff Development	Destroy	2 years	After strategy is superseded	
2.3	Records showing the development of staff development strategy	HR Staff Development	Destroy	2 years	After strategy is superseded	
2.4	Records arising from the identification of staff development needs on a departmental or University-wide basis, including the development of plans to meet those needs	HR – Staff Development, individual business areas	Destroy	5 years	After creation	
2.5	Records documenting the development, overall delivery and assessment of induction or other training programmes, including feedback analysis	HR -Staff Development Section, individual business areas	Destroy	Current year+2 years	At start of new academic year	
2.6	Records documenting the administration of induction or other training programmes, including feedback forms	HR Staff Development, individual business areas	Destroy	Current year +1 year	At start of new academic year	
2.7	Records documenting analyses of the impact of training and development programmes	HR - Staff Development Section, individual business areas	Destroy	Current year + 4 years	At start of new academic year	
3	**Remuneration and reward**					
3.1	Records documenting the development of the institution's remuneration structure and strategy	HR	University Archives	6 years	After superseded	When transferred to the University Archive, the University Archivist may destroy some or all documents
3.2	Records documenting pay reviews	HR	University Archives	6 years	After creation	When transferred to the University Archive, the University Archivist may destroy some or all documents

3.3	Records documenting reward and progression schemes eg discretionary increments (but not individual awards under such schemes)	HR	University Archives	2 years	After superseded	When transferred to the University Archive, the University Archivist may destroy some or all documents
3.4	Records documenting an employee's remuneration and rewards (eg discretionary increments, promotion boards).	HR, line manager	Destroy	6 years	After creation	Limitations Act 1980
4	**Grievances**					
4.1	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.	HR & relevant managers	Destroy	6 years	After last action on file	Limitations Act 1980
5	**Employee contract management**					
5.1	Contract	HR personal file	Destroy	6 years	After termination of employment	
5.2	Records documenting changes to an employee's terms and conditions of employment.	HR personal file	Destroy	6 years	After termination of employment	
5.3	Records arising from the appraisal process or otherwise recording an employee's training and development needs, and the action taken to meet these needs.	Line manager	Destroy	4 years	After creation	
5.4	Records documenting job-specific statutory/regulatory training requirements for an employee (eg health and safety training or fire safety training for fire wardens), and the training provided to meet these requirements.	Line manager	Destroy	6 years	After superseded	
5.5	Records documenting routine assessments of an employee's performance, and any consequent action	Line manager	Destroy	4 years	After creation	

	taken.					
5.6	Records documenting disciplinary proceedings against an employee.	HR, line manager	Destroy	6 years	After closure of case	
5.7	Records documenting grievances raised by an employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	HR, line manager	Destroy	6 years	After closure of case	
5.8	Records relating to the administration of an employee's contractual holiday entitlement.	Line manager	Destroy	Current year + 1 year	At start of calendar year	
5.9	Records documenting an employee's absence due to sickness.	Line manager, HR	Destroy	Current tax year + 3 years	From creation	SI 1999/584
5.10	Records documenting the authorisation and administration of special leave.	Line manager	Destroy	Current year + 1 year	At start of calendar year	
5.11	Records documenting the authorisation and administration of statutory leave entitlements, eg parental leave.	Line manager	Destroy	6 years	From completion of entitlement	
5.12	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	HR, Finance, line manager	Destroy	Current tax year + 3 years	From creation	SI 198/1960 NB Finance currently keep their copy for CY+6 but are looking into whether they can reduce it.
5.13	Records containing an employee's current basic personal details (e.g. address, next of kin, emergency contacts).	HR, line manager	Destroy	Immediately	When superseded	
5.14	Records containing an employee's non-current basic personal details (e.g. address, next of kin, emergency contacts).	HR, line manager	Destroy	Immediately		
5.15	Records documenting pre-employment health screening of an employee	Line manager	Destroy	40 years	After termination of employment	

	exposed to hazardous substances during employment					
5.16	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Line manager	Destroy	6 years	After termination of employment	
5.17	Records documenting accident, incidents, diseases and dangerous occurrences to employees arising from accidents etc in the workplace	Health and Safety Office (Occupational Health Unit)	Destroy	Date of last entry plus 40 years for diseases	Date of first reported incident	Health and Safety at Work Act 1974; RIDDOR Regulations (7) 1994
5.18	Health surveillance regarding staff exposed to Asbestos, lead, radiation or hazardous substances including biological agents	Occupational Health Unit	Destroy	Date of last entry plus 40 years	Date of last entry	Health and Safety at Work Act 1974; RIDDOR Regs (7)
5.19	General health surveillance records for staff	Occupational Health Unit	Destroy	Date of last surveillance plus 40 years	Date of last surveillance	Health and Safety at Work Act 1974; RIDDOR Regs (7)
5.20	Referrals to OHU by self or manager	Occupational Health Unit	Destroy	10 years after last treatment, patient's death or permanent removal from the country	after last treatment, patient's death or permanent removal from the country	Advice given to GPs
5.21	Radiation Dosimeter Summary Records for staff	Radiation Protection Unit	Destroy	2 years from end of calendar year	from end of calendar year	Radiation Regulations 1999
5.22	Records documenting an employee's termination of employment	Line manager, HR	Destroy	6 years	After termination of employment	
5.23	References provided in support of an employee's application(s) for employment by another organisation.	Line manager	Destroy	6 years	After provision of reference	
5.24	Time sheets	Line manager	Destroy	1 year		

6	**Committees**					
6.1	Senior HR Team minutes and papers master set	HR Policy	University Archives	Immediately	On approval	
6.2	Senior HR Team minutes and papers reference set	HR Policy	Destroy	10 years	From meeting date	
6.3	Senior HR Team minutes and papers: all other copies	Anyone else	Destroy	Immediately	When no longer required for departmental/perso nal reference	
6.4	Staff Committee minutes and papers: master set	HR Policy	University Archives	Immediately	On approval	
6.5	Staff Committee minutes and papers reference set	HR Policy	Destroy	10 years	From meeting date	
6.6	Staff Committee minutes and papers: all other copies	All other copies	Destroy	Immediately	When no longer required for departmental/person al reference	
6.7	Joint Consultative and Negotiating Committees minutes and papers master set	HR Policy	University Archives	Immediately	On approval	
6.8	Joint Consultative and Negotiating Committees minutes and papers reference set	HR Policy	Destroy	10 years	From meeting date	
6.9	Joint Consultative and Negotiating Committees minutes and papers	All other copies	Destroy	Immediately	When no longer required for departmental/perso nal reference	
7	**HR strategy**					
7.1	HR strategy master copy	HR Policy	University Archives	Immediately	When policy is adopted	
7.2	HR strategy reference copy	HR Policy	Destroy	5 years	After policy is superseded	
7.3	HR strategy	All other copies	Destroy	Immediately	When no longer required for departmental/person al reference	

7.4	HR strategy working papers	HR Policy	University Archives	2 years	After policy is adopted	
8	**HR policies**					
8.1	HR policies: master copy	HR Policy	University Archives	5 years	After policy is superseded	When transferred to the University Archive, the University Archivist may destroy some policy documents
8.2	HR policies	All other copies	Destroy	Immediately	When no longer required for departmental/personal reference	

8.3	Working papers leading to development of policies	HR Policy	Destroy	5 years	After policy is superseded	
8.4	Interpretation of policies at local or central level	HR intranet or relevant members of staff	Destroy	2 years	After interpretation is superseded	
9	**HR procedures**					
9.1	HR procedures and guidance	HR Policy	University Archives	2 years	After guidance is superseded	When transferred to the University Archive, the University Archivist may destroy some procedure documents
9.2	Working papers leading to development of procedures and guidance	HR Policy	Destroy	2 years	After guidance is superseded	
9.3	Interpretation of procedures or guidance at local or central level	HR intranet or relevant members of staff	Destroy	2 years	After guidance is superseded	
10	**Job evaluation**					
10.1	Working papers from large-scale job evaluation exercises	HR	Destroy	1 year	After completion of exercise	
10.2	Results of large-scale job evaluation exercises	HR	Destroy	10 years	After completion of exercise	
11	**Management Information**					
11.1	Benchmarking results for short-term contracts	HR Internal Audit reports	Destroy	10 years	After creation	
11.2	HESA statistics on staff turnover	HR	Destroy	5 years	After creation	
12	**Welfare**					
12.1	Records documenting the development of workforce welfare schemes and services eg counselling services.	HR	Destroy	5 years	After creation	This is the retention period used by Student Counselling Services.
12.2	Staff Counselling Service case files	HR	Destroy			
13	**Industrial relations**					
13.1	Records documenting institutional recognition/derecognition of trades unions	HR Policy	University Archives	10 years	After creation	

13.2	Records documenting agreements with trade unions; the negotiations and the agreement itself	HR Policy	Destroy	10 years	After termination of agreement	CIPD recommendation
13.3	Routine communications with trade union representatives, including minutes of meetings	HR Policy	Destroy	10 years	After creation	
14	**Pension schemes administration**					
14.1	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs	Finance	Destroy	5 years	After relationship with pension scheme ceases	
14.2	Routine communications with the pension schemes	Finance	Destroy	5 years	After creation	
14.3	Records of individual employees' pension contributions and entitlement	Finance, HR	Destroy	40 years after creation or on death of member's beneficiary - whichever is the greater		