

Northumbria University – Human Resources Retention Schedule

Contents

5.1 Workforce Planning	3
5.2. Workforce Recruitment.....	3
5.2.1 Administration and Advertisement	3
5.2.2 Applications and Selection.....	5
5.2.3 Points Based Immigration System	7
5.3.5 DBS Checks	7
5.2.6 Pre-employment Health Screening	9
5.3 Staff Files and Staff Records.....	9
5.3.1 Staff Enquiries	9
5.3.2 Staff Files.....	10
5.3.3 Staff Records	12
5.3.4 Leave Records.....	14
5.3.5 Sickness Absence	14
5.3.6 General Staff Health Records	16
5.3.7 Termination of Employment.....	16
5.4 Induction, Probation and Personal Development	17
5.4.1 Personal Induction	17
5.4.2 Probation Records	17
5.4.3 Appraisals	18
5.4.4 Individual Training Needs Assessments and Records of Training Received	18
5.4.5 Training Sessions and Events	19
5.5 Grievance and Discipline.....	19
5.6 Remuneration and Reward	22
5.6.2. Payroll payments.....	22
5.6.2 Staff Awards	23
5.7 Pensions	23
5.8 Industrial Relations.....	24
5.9 Management Information	24

Northumbria University – Human Resources Retention Schedule

5.9.1 Training, Development and Induction (Management).....24
5.9.2 Departmental Management.....25
5.9.3 Equal Opportunities Information25
5.9.4 Recruitment Effectiveness Analysis26

Northumbria University – Human Resources Retention Schedule

5.1 Workforce Planning

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Assessment and analysis of workforce requirements and the identification and evaluation of options for meeting requirements	Creation	5 Years	Review	Limitations Act
Records documenting management succession or restructuring plans.	Until superseded	6 Years	Destroy	Good Practice
Records documenting the internal analysis and discussion for the creation of a new post	Creation	3 Years	Destroy	Good Practice
Job evaluation exercises: Working Papers	Completion	1 Year	Destroy	Good Practice
Job evaluation exercises: Results	Completion	10 Years	Destroy	Good Practice

5.2. Workforce Recruitment

5.2.1 Administration and Advertisement

NB: For Individual Job Descriptions and Personal Specifications, see **5.3.2 – Staff Files**

RECORD	TRIGGER	PERIOD		ACTION	RATIONALE
		HR	DEPARTMENT		

Northumbria University – Human Resources Retention Schedule

Job Descriptions and Personal Specifications.	Until superseded	N/A	6 Years	Review HR/ Destroy Department	Good Practice
Job Descriptions and Personal Specifications: HR Copy in personal file	Termination	6 Years	N/A	Review HR/ Destroy Department	Good Practice
Requests from departments for vacancies to be filled	Termination of employment	6	N/A	Destroy	Good Practice
Authorisations to recruit (including emails)	Until superseded	N/A	N/A	Destroy	Good Practice
Unsolicited applications and replies	Date of reply	N/A	N/A	Destroy	Good Practice
Reports or analysis of recruitment effectiveness – Raw Data	Completion of the analysis and feedback	N/A	N/A	Destroy	Good Practice
Reports or analysis of recruitment effectiveness – anonymised data	End of academic year	5 years	N/A	Destroy	Good Practice
Advertisements and related documentation (Working Papers)	Completion of appointment	6 mont hs	N/A	Destroy	1975 c.65, 1976 c.74, 1995 c.50
Advertisement (Text) Migrant Workers	Termination of employment	6 Years	N/A	Destroy	Good Practice

Northumbria University – Human Resources Retention Schedule

Enquiries concerning vacancies	Completion of appointment	N/A	6 months	Destroy	Equality Act 2010; Employment Equality Regulations: SI 2003/1660 SI 2003/1661 SI 2006/1031
--------------------------------	---------------------------	-----	----------	---------	--

5.2.2 Applications and Selection

NB: If the successful applicant is subject to UKVI regulations, the retention periods in this section (for all applicants for the vacancy) are overridden by Section 5.2.3 – Points Based Immigration System.

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
Applications - successful candidates including equal opportunities form	Termination of employment	6 years	Destroy	Limitations Act 1980	Examples: completed application forms; CVs; references; accompanying letters/emails. Nothing to be retained within departments

Northumbria University – Human Resources Retention Schedule

Applications - unsuccessful candidates including equal opportunities form	Completion of appointment	6 Months	Destroy	Equality Act 2010; Employment Equality Regulations: SI 2003/1660 SI 2003/1661 SI 2006/1031 UK Border Agency Sponsor Policy Guidance	As Above
Selection of staff and interview records	Completion of appointment	6 Months	Destroy	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661 SI 2006/1031 UK Border Agency Sponsor Policy Guidance	Examples: names and number of shortlisted applicants; invitations to interviews; requests for references; test results; score sheets;
Equal opportunities monitoring forms unsuccessful	Completion of analysis and feedback	N/A	Destroy	Good Practice Athena Swann	
Equal opportunities monitoring forms successful	Termination of employment	6 years	Destroy	Good Practice Athena Swann	

Northumbria University – Human Resources Retention Schedule

Records relating to appointment to Senior Posts	Termination of appointment	6 years	Destroy	Good Practice	Moves to the staff file
---	----------------------------	---------	---------	---------------	-------------------------

5.2.3 Points Based Immigration System

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Applications - unsuccessful candidates where person appointed is a migrant worker including equal opportunities form	Completion of appointment	12 Months	Destroy	Good Practice Athena Swann
Documents required for compliance with the University's Tier 2 sponsor duties (Skilled workers)	Termination of employment	6 years	Destroy	Tier 2, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 11/16) i.e. advertisement text
Documents required for compliance with the University's Tier 5 sponsor duties (Temporary workers)	Termination of employment	6 years	Destroy	Tier 2, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 11/16)

5.3.5 DBS Checks

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
--------	---------	--------	--------	-----------	-------

Northumbria University – Human Resources Retention Schedule

Information relating to recruitment of staff with a criminal record for applicants	Decision	6 months	Summarise * & Destroy	DBS Handling	Includes: Unique DBS reference number; date of issue of disclosure; name of subject; staff/student number; type of disclosure; course/position for which it was requested; summary of decision taken; summary of disputes over accuracy
Information provided by candidates who are not shortlisted, or who are shortlisted but not appointed	Post filled and appointee started	6 months	Destroy unopened	DBS Handling	
Summary records of staff appointed	Withdrawal or Termination of Employment	6 years	Destroy	Limitations Act 1980	Includes: Unique DBS reference number; date of issue of disclosure; name of subject; staff/student number; type of disclosure; course/position for which it was requested; summary of decision taken; summary of disputes over accuracy
DBS certificates or scan/photocopy.	Decision	6 months	Destroy	DBS Handling	DBS certificates or scan/photocopy.

Northumbria University – Human Resources Retention Schedule

5.2.6 Pre-employment Health Screening

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Pre-employment screening forms: employees exposed to hazardous substances, lead or noise during employment	Termination of employment	40 years	Destroy	Control of Asbestos at Work Regulations: SI 2006/2739; Control of Lead at Work Regulations: SI 2002/2676; Control of Noise at Work Regulations: SI 2005/1643; Control of Substances Hazardous to Health Regulations: SI 2002/267
Pre-employment screening forms: employees exposed to radiation	Termination of employment	50 years	Destroy	Ionising Radiations Regulations: SI 1999/3232
Pre-employment screening forms: other employees	Termination of employment	6 years	Destroy	Limitation Act 1980

5.3 Staff Files and Staff Records

5.3.1 Staff Enquiries

RECORD	TRIGGER	PERIOD		ACTION	RATIONALE	NOTES
		HR	DEPARTMENT			

Northumbria University – Human Resources Retention Schedule

Routine enquiries from employees via AskHR	Response to enquiry	3 months	N/A	Anonymise	Good Practice	Examples: confirmation of grade, salary, leave allowance etc Enquiries data used for statistical reporting do not require identifiable information
Routine enquiries from employees via Email	Response to enquiry	3 months	6 months	Destroy	Good Practice	Examples: confirmation of grade, salary, leave allowance etc
Enquiries that result in a contractual change or require formal record of transaction	Termination of employment	6 years	N/A	Destroy	Limitations Act	Examples: Request for changes to working patterns etc

5.3.2 Staff Files

RECORD	TRIGGER	PERIOD		ACTION	RATIONAL E	NOTES
		HR	DEPARTMEN T			
Departmental staff files	Termination of employment*	N/A	6 years	Destroy	Limitations Act 1980	*If staff member moves to another department within the University, transfer to new department (after appropriate weeding)

Northumbria University – Human Resources Retention Schedule

Contracts of employment and related documentation (Central staff file)	Termination of employment	6 years	N/A	Destroy	Limitations Act 1980	Examples: appointment and acceptance letters; terms and conditions; changes to terms and conditions; copies of qualifications; copies of documentation showing entitlement to work in UK
Current job description and person specification for individuals – non-UKVI	When superseded	6 years	N/A*	Destroy	Limitations Act 1980	* When employee leaves, keep last current job description and person specification on staff file for 6 years
Every job description and person specification for individuals – UKVI only	Termination of employment	6 years		Destroy	Tier 2, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 11/16)	
Contact details history with dates	Termination of employment	6 years		Destroy	Limitations Act 1980	Forms part of the staff record
Bank Details	When superseded	6 years		Destroy	Limitations Act 1980	Forms part of the staff record

Northumbria University – Human Resources Retention Schedule

	or Termination of employment					
Next of Kin Contact	Termination of employment	6 years		Destroy	Good Practice	Forms part of the staff record
Is References supplied for members of staff (or former members of staff)	Provision of reference	1 year		Destroy	Limitations Act 1980	Includes internal and external references. (Includes bank references etc provided by Payroll) May be retained longer if line managers consider the need to refer to them when providing further reference in the future, but extended retention must be annually reviewed
Signed undertakings for removal expenses	End of contract	N/A		Destroy	Good Practice	

5.3.3 Staff Records

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
--------	---------	--------	--------	-----------	-------

Northumbria University – Human Resources Retention Schedule

Individual staff records	Termination of employment	6 years	Extract employment history and any data requiring longer retention*, then destroy the rest of the entry	Limitations Act 1980	* Records pertaining to asbestos, lead, ionising radiation, noise or hazardous substances may require longer retention, s
Occupational Health Records - medical records relating to risk assessments or incidents occurring at work.	Termination of employment	40 Years	Destroy	Management of Health and Safety at Work Regulation 1999 Noise at Work regulations	
Occupational Health Records - medical records relating to risk assessments or incidents occurring at work.	Termination of employment	6 years	Destroy	Limitations Act 1980	

Northumbria University – Human Resources Retention Schedule

Individuals Core Employment History	Date of birth	75 years	Destroy	For Verification of employment and Pension Administration	Examples: full name; date of birth; national insurance number; staff/payroll number; position(s) held; dates of employment; reasons for leaving; and pension data (including any opt in/opt out forms for pensions)
-------------------------------------	---------------	----------	---------	---	---

5.3.4 Leave Records

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Records relating to administration of individual employees' contractual holiday entitlement	Termination of employment	6 years	Destroy	Good Practice
Records relating to the authorisation of special leave of individual employees	Termination of employment	6 years	Destroy	Good Practice
Records relating to the authorisation and administration of statutory leave entitlements of individual employees	Termination of employment	6 years	Destroy	Maternity and Parental Leave Regulations 1999

5.3.5 Sickness Absence

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
Absence due to sickness related to	Termination of	50 years	Destroy	Ionising	Includes dates and

Northumbria University – Human Resources Retention Schedule

radiation	employment			Radiations Regulations: SI 1999/3232	causes
Absence due to sickness related to asbestos, hazardous substances, lead or major injuries	Termination of employment	40 years	Destroy	Control of Asbestos at Work Regulations: SI 2006/2739; Control of Lead at Work Regulations: SI 2002/2676; Control of Noise at Work Regulations: SI 2005/1643; Control of Substances Hazardous to Health Regulations: SI 2002/267	Includes dates and causes
All other absence due to sickness	Termination of employment	6 years	Destroy	Limitations Act 1980	Includes dates, causes and self-certification notes
Records required for the purposes of Statutory Sick Pay (General) Regulations 1982	Termination of employment	6 years	Destroy	Statutory Sick Pay (General) Regulations 1982	Forms part of the staff record

Northumbria University – Human Resources Retention Schedule

5.3.6 General Staff Health Records

RECORD	TRIGGER	PERIOD		ACTION	RATIONALE
		HR	DEPARTMENT		
Records of hours worked by employees who have agreed to work more than 48 hours a week	Termination of employment	6 years		Destroy	Working Time Regulations 1998
Records relating to the issue of personal protective equipment or other special equipment to individual staff	Termination of employment	N/A	6 years	Destroy	Limitations Act 1980
Records documenting major injuries to an employee arising from accidents in the workplace	Termination of employment	40 years		Destroy	Good Practice
Staff health records	Termination of employment	6 years		Destroy	Limitations Act 1980
Return to work interview records	Termination of employment	N/A	6 years	Destroy	Limitations Act 1980

5.3.7 Termination of Employment

See also **Section 5.3.3 – Individuals Core Employment History**, for details of records (including pension data) that need to be retained long term for all staff.

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
--------	---------	--------	--------	-----------

Northumbria University – Human Resources Retention Schedule

Records documenting the termination of an employee's employment	Termination of employment	6 years	Destroy	Limitations Act 1980
Records relating to ill-health retirements	Last action on case	6 years	Destroy	Limitations Act 1980
Records relating to death in service	Last action on case	6 years	Destroy	1982 c. 58 s 2
Compromise agreements and agreed forms of reference	Termination of employment	40 years	Destroy	Good Practice
Records relating to organisational change leading to redeployment and/or redundancy	Last action on case	6 years	Destroy	1983 c. 58 s 2

5.4 Induction, Probation and Personal Development

5.4.1 Personal Induction

RECORD	TRIGGER	PERIOD HR	PERIOD (DEPARTMENTS)	ACTION	RATIONALE
Attendance at Welcome Event	Termination of employment	6 years		Destroy	Good Practice
Departmental induction records	Completion of induction	N/A	1 year		Good Practice
Personal induction plans: templates and guidance notes	When superseded	N/A	1 year	Destroy	Good Practice

5.4.2 Probation Records

RECORD	TRIGGER	PERIOD HR	ACTION	RATIONALE
--------	---------	-----------	--------	-----------

Northumbria University – Human Resources Retention Schedule

Individual probation records	Termination of employment	6 years	Destroy	Good Practice
Reports from line managers where appointment is confirmed	Termination of employment	6 years	Destroy	Good Practice
Reports from line managers where probation is extended	Termination of employment	6 years	Destroy	Limitations Act 1980

5.4.3 Appraisals

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
Individual appraisal records	End of academic year	3 years*	Destroy	Good Practice	* When employee leaves, the last three appraisals should be appended to the staff file and retained for 6 years
Records relating to the development of the appraisal scheme	When superseded	5 years	Destroy	Good Practice	
Appraisal forms (templates)	When superseded	5 years	Destroy	Good Practice	
Appraisal guidance notes	When superseded	5 years	Destroy	Good Practice	

5.4.4 Individual Training Needs Assessments and Records of Training Received

CATEGORY	TRIGGER	PERIOD	DISPOSAL ACTION	RATIONALE
General records of training needed/received	Termination of employment	6 years	Destroy	Limitations Act 1980

Northumbria University – Human Resources Retention Schedule

Records of IT training needs assessments for individuals	Termination of employment	6 years	Destroy	Limitations Act 1980
Training needed/received relating to first aid	Termination of employment	6 years	Destroy	Limitations Act 1980
Training needed/received relating to ionising radiation	Termination of employment	50 years	Destroy	Limitations Act 1980
Training needed/received relating to asbestos, hazardous substances, lead or noise	Termination of employment	40 years	Destroy	Limitations Act 1980

5.4.5 Training Sessions and Events

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Programmes and schedules	Completion of event	1 years	Destroy	Good Practice
Documents concerning administration of training events	Completion of event	1 year	Destroy	To provide reference material for developing next event
Presentations and training materials	When superseded	10 year	Destroy	In case of queries concerning previous versions
Acceptance/option forms	Completion of event	N/A	Destroy	Good Practice
Records of attendance*	Completion of event	1 year	Destroy	Good Practice

5.5 Grievance and Discipline

Northumbria University – Human Resources Retention Schedule

5.5.1 Case Files

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE	NOTES
Written warnings	Expiry of warning	n/a	Destroy	HR Policies	
Grievance case files (including Equality and Diversity)	Last action on case	6 years	Destroy	Limitations Act 1980	
Disciplinary case files	Termination of employment or last action on case*	6 years	Destroy	Limitations Act 1980	<p>* Whichever is the later</p> <p>NB: where case involves more than one employee, “termination of employment” relates to the last person involved.</p> <p>Written warnings will be not be retained beyond the expiry of the warning, see above</p>
Management of underperformance case files	Termination of employment or last action on case*	6 years	Destroy	Limitations Act 1980	<p>* whichever is the later</p> <p>NB: where case involves more than one employee, “termination of employment” relates to the last person involved.</p> <p>Written warnings will be not be retained beyond the expiry of the warning, see above</p>

Northumbria University – Human Resources Retention Schedule

Sickness absence case files	Termination of employment or last action on case*	6 years	Destroy	Limitations Act 1980	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved. Written warnings will be not be retained beyond the expiry of the warning, see above
Files relating to concerns about a member of staff’s suitability for working with children	Last action on case	10 years or until normal retirement age*	Destroy	Recommended by NSPCC guidance on child protection records DfES – Safeguarding Children and Safer Recruitment in Education	* whichever is the later

5.5.2 Appeals

CATEGORY	TRIGGER	PERIOD HR	ACTION	RATIONALE/RATIONALE
Appeal hearing minutes	Termination of employment	6 years	Archive	
Appeal files: upheld	Closure of case or period of sanction	In line with sanction if applicable	Destroy	
Appeal files: not upheld	Closure of case or period of sanction	6 years or in line with sanction if applicable	Destroy	Limitations Act 1980

Northumbria University – Human Resources Retention Schedule

Appeal files: not pursued	Notification received by Clerk that appeal will not be pursued or last action on case	6 years	Destroy	
---------------------------	---	---------	---------	--

5.6 Remuneration and Reward

5.6.1 Pay and Grading

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Documents concerning development of the University's remuneration structure	Superseded	6 years	Destroy	Good Practice
HERA role analysis: interview records and desktop analysis	Superseded	6 years	Destroy	
Grading reviews	Creation	6 years	Destroy	Limitations Act 1980
Current salary calculations – non-UKVI	When superseded	n/a	Destroy	Usually only current for one year, due to negotiated pay rises and annual spine point increments
Every salary calculation – UKVI only	Termination of Employment	6 years	Destroy	Tier 2, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 11/16)

5.6.2. Payroll payments

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting individual wage/salary records	End of tax year	6 years	Destroy	Limitations Act 1980
Bank transfer reports	Date of creation	6 years	Destroy	Limitations Act 1980

Northumbria University – Human Resources Retention Schedule

Statutory maternity pay records of individual employees	End of Tac Year	6 years	Destroy	Maternity and Parental Leave Regulations 1999
Statutory deduction authorisations	End of tax year	6 years	Destroy	
Voluntary deduction authorisations	Termination of employment	6 years	Destroy	
Tax code notes	No longer active	6 years	Destroy	In case of HMRC audit
Notification Of employment related tax liabilities	Termination of employment	6 years	Destroy	

5.6.2 Staff Awards

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Details of awards given to staff (Recognition, Long service etc)	Termination of Employment	6 years	Destroy	Limitation Act 1980

5.7 Pensions

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE/RATIONALE
Documents concerning the University's relationship with pension schemes to which all or part of the workforce belongs	Termination of relationship	6 years	Destroy	Limitation Act 1980
Routine communications with pension schemes	End of academic year	6 years	Destroy	Limitation Act 1980
Records documenting payments of the institution's employers' and employees' contributions to pensions schemes for its employees.	Termination of employment	75 years	Destroy	Good Practice
Records documenting payments of the institution's employers' and employees' contributions to TPS	Termination of employment	90	Destroy	Scheme Requirement

Northumbria University – Human Resources Retention Schedule

pensions scheme.				
------------------	--	--	--	--

5.8 Industrial Relations

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Documents concerning institutional recognition/de-recognition of trade union	De-recognition of the union	6 years	Destroy	Limitation Act 1980
Agreements with trade unions	Agreement superseded	10 years	Destroy	Limitation Act 1980
Minutes of meetings with trade unions	End of academic year	20 years	Consider archiving	Good Practice
Routine communications with unions	End of academic year	20 years	Destroy	Good Practice
Documents relating to consultation / negotiation with trade unions on specific issues	Last action	20 years	Destroy	Good Practice

5.9 Management Information

5.9.1 Training, Development and Induction (Management)

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Identification of staff development needs and the development of plans to meet those needs	Creation	5 years	Review	Good Practice
Records documenting the development, overall delivery and assessment of induction or other training programmes	End of academic year	2 years	Destroy	Good Practice

Northumbria University – Human Resources Retention Schedule

Feedback analysis of induction or other training programmes.	End of academic year	2 years	Consider archiving	Good Practice
Records documenting the administration of induction or other training sessions, including feedback forms	End of academic year	1 years	Destroy	Good Practice

5.9.2 Departmental Management

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Senior HR Team minutes and papers master set	Creation	Permanent	Retain	Good Practice
Staff Committee minutes and papers: master set	Creation	Permanent	Retain	Good Practice
HESA statistics on staff turnover	Creation	5 years	Review	Good Practice
Benchmarking results for short-term contracts	Creation	10 years	Destroy	Good Practice

5.9.3 Equal Opportunities Information

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Equal opportunities database information	Creation	10 years	Destroy	Good Practice
Equal opportunities six monthly statistical reports	Creation	10 years	Destroy	Good Practice
Equal opportunities ad hoc statistical reports	Creation	5 years	Destroy	Good Practice

Northumbria University – Human Resources Retention Schedule

5.9.4 Recruitment Effectiveness Analysis

RECORD	TRIGGER	PERIOD	ACTION	RATIONALE
Data for analyses of recruitment effectiveness	Creation	6 Months	Destroy	Good Practice
Analyses of recruitment effectiveness	Creation	3 Years	Destroy	Good Practice