

## Classification and Retention of University Records

Reference	Description	Retention Period	Citation	Notes
<b>F29.01</b>	<b>Workforce Planning</b>			
F29.01.01	Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements	Current year + 3 years	Institutional Business Requirement	Hold in recruitment if HRRA not approved If post appointed to, hold HRRA on successful candidates file for 2 years then shred
F29.01.02	Management succession plans	Superseded + 5 years	Limitation Act 1980 c58	
F29.01.03	The development and evaluation of job specifications	Superseded + 5 years	2006 c13; Limitation Act 1980 c58; Equality Act 2010 c15; Employment Practices Code/ Section 1.7.1 (Information Commissioners Office/ 2011)	A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.
<b>F29.02</b>	<b>Workforce Recruitment</b>			
F29.02.01	The internal authorisation for recruitment	Current year + 1 year (2 years from HRRA coming in to HR)	Institutional Business Requirement	A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.
F29.02.02	Job evaluation information	While employment continues and up to 7 years after employment ceases	Limitation Act 1980 c58	
F29.02.03	The advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by hr showing URL and date	Completion of recruitment process + 9 months unless post holder recruited is a Tier 2 visa holder, in which case the life of the sponsorship + 1 year (7 years maximum)	Equality Act 2010 c15; Employment Practices Code/ Section 1.7 (Information Commissioners Office/ 2011)	Actions under discrimination legislation must generally be brought within 6 months. The Chartered Institute of Personnel and Development recommends '1 year'. See the fact sheet 'Retention of personnel and other related record (2006). Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).
F29.02.04	Enquiries about vacancies and requests for application forms	Completion of recruitment process	Limitation Act 1980 c58 s 5; Employment Practices Code/ Section 1.7 (Information Commissioners Office/ 2011);	Recommended: retain for lifetime of employees file, For employment records see Human Resources Management - Employee Contract Management.
F29.02.05	Records of application forms (for all appointed applicants)	While employment continues and up to 7 years after employment ceases	Institutional Business Requirement	
F29.02.06	The handling of applications for vacancies: unsuccessful applications	Completion of recruitment process + 1 year	Information Commissioner: Employment Practice Code/ Part 1: Recruitment and Selection (1.7.5)	
F29.02.07	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 employment relationship.	Limitation Act 1980 c58	

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<b>F29.02</b>	<b>Workforce Recruitment continued...</b>			
F29.02.08	Copies of unsuccessful candidate right to work documents and qualifications taken at interview stage	Completion of the interview process	Information Commissioner: Employment Practice Code/ Part 1: Recruitment and Selection (1.7.5)	
F29.02.09	Application forms for unsuccessful applicants where no tier 2 sponsored person was appointed	6 months after notifying unsuccessful candidates	Limitation Act 1980 c58	
F29.02.10	Application forms for unsuccessful applicants in the medium received where a tier 2 sponsored person was appointed	For the life of the sponsorship + 1 year (up to 7 years maximum)	Information Commissioner: Employment Practice Code/ Part 1: Recruitment and Selection (1.7.5)	
F29.02.11	Shortlisting information where no tier 2 sponsored person was appointed	6 months after the offer has been accepted by the successful candidate	Limitation Act 1980 c58	
F29.02.12	Shortlisting information where a tier 2 sponsored person was appointed	For the life of the sponsorship + 1 year (up to 7 years maximum)	Limitation Act 1980 c58	
F29.02.13	Interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where no tier 2 sponsored person was appointed	6 months	Institutional Business Requirement	
F29.02.14	Interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where a tier 2 sponsored person was appointed	For the life of the sponsorship + 1 year (up to 7 years maximum)	Institutional Business Requirement	
F29.02.15	Copy of job description and person specification for a role where a tier 2 sponsored person was appointed	For the life of the sponsorship + 1 year (up to 7 years maximum)	Employment Practices Code/ Section 1.7 (Information Commissioners Office/ 2011)	See Section 1.7 of the Employment Practices Code (Information Commissioners Office, 2011)
F29.02.16	Any references obtained for unsuccessful candidates	6 months after the offer has been accepted by the successful candidate	Institutional Business Requirement	For individual employees induction programmes see F299
F29.02.17	References provided in confidence in support of the employees application(s) for employment by another organisation	Provision of reference + 1 year	Institutional Business Requirement	
F29.02.18	The handling of unsolicited applications for employment	Receipt of application + 1 year	Institutional Business Requirement	For individual employees training and development needs see F299

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Reference	Description	Retention Period	Citation	Notes
<b>F29.03</b>	<b>Workforce Induction</b>			
F29.03.01	The development, overall delivery and assessment of induction programmes for new employees for individual employees induction programmes, see employee contract management	Current year + 6 years	Institutional Business Requirement	
F29.03.02	The administration of induction programmes	Completion of programme + 1 year or Termination of programme + 1 year	Institutional Business Requirement	
<b>F29.04</b>	<b>Workforce Training and Development</b>			
F29.04.01	Summary information on workforce training and development needs for individual employees training and development needs, see employee contract management	Current year + 6 years	Institutional Business Requirement	
F29.04.02	Individual feedback on training and development programmes	Completion of analysis of feedback	Institutional Business Requirement	
F29.04.03	(anonymised) workforce feedback on training and development programmes	Current year + 5 years	Institutional Business Requirement	For example some of the Pay Framework documentation Review for archival value
F29.04.04	Management analyses of the impact of training and development programmes	Current year + 5 years	Institutional Business Requirement	
F29.04.05	The development of training and development programmes to meet defined needs	Completion of programme + 5 years	Institutional Business Requirement	
<b>F29.05</b>	<b>Workforce Performance Management</b>			
F29.05.01	The development of workforce performance assessment systems	Life of system + 5 years	Institutional Business Requirement	For example some of the Pay Framework documentation Review for archival value
F29.05.02	Summary (anonymised) results of employees performance assessments	Current year + 5 years	Institutional Business Requirement	
F29.05.03	Management analyses of the impact of workforce performance assessment systems	Current year + 5 years	Institutional Business Requirement	Review for archival value

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Reference	Description	Retention Period	Citation	Notes
<b>F29.06</b>	<b>Workforce Remuneration and Reward Management</b>			
F29.06.01	The development of the institutions remuneration structure	Current year + 10 years	Institutional Business Requirement	
F29.06.02	Pay reviews carried out by the institution	Current year + 5 years	Institutional Business Requirement	Review for archival value
F29.06.03	Special reward schemes e.g. merit reviews	Termination of scheme + 5 years	SI1998/1833	
F29.06.04	Equal pay claims	Closure of case + 7 years	SI 1998/1833 Regulations 5 and 9	
<b>F29.07</b>	<b>Workforce Welfare Management</b>			
F29.07.01	The development of workforce welfare schemes and services e.g. counselling services	Current year + 5 years	Institutional Business Requirement	Review for archival value
F29.07.02	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	Institutional Business Requirement	
F29.07.03	Health assessments for night workers, and the results of assessments, as required by the working time regulations 1998	Date of record + 2 years	Institutional Business Requirement	Review for archival value
<b>F29.08</b>	<b>Workforce Relations Management</b>			
F29.08.01	The design of workforce surveys and consultations	Completion of survey/consultation + 5 years	Limitation Act 1980 c58	
F29.08.02	Records containing (identifiable) individual responses to workforce surveys and consultations	Completion of analysis of responses	Limitation Act 1980 c58 s 5; Employment Practices Code Section 1.7 (Information Commissioners Office/ 2011)	
F29.08.03	Summary (anonymised) results of workforce surveys and consultations	Completion of survey + 5 years	Institutional Business Requirement	Monitoring to ensure fair treatment in the recruitment to posts of existing staff
F29.08.04	Grievances raised by staff (which do not relate directly to their own contracts of employment), the institutions response, action taken and the outcome	Last action on case + 6 years	Limitation Act 1980 c58 s 5	

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Reference	Description	Retention Period	Citation	Notes
<b>F29.09</b>	<b>Employee Contract Management</b>			
F29.09.01	An employees initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, disclosure and barring service (dbs) checks)	Termination of employment + 6 years	Limitation Act 1980 c58 s 5	
F29.09.02	Employees subsequent successful applications for other jobs within the institution: including professorial panels	Permanent	Institutional Business Requirement	If possible weed out previous job descriptions after member of staff has held a new post for 1 year
F29.09.03	An employees contract(s) of employment with the institution	Permanent	Institutional Business Requirement	
F29.09.04	Changes to an employees terms and conditions of employment	Termination of employment + 6 years	Institutional Business Requirement	
F29.09.05	Job descriptions of positions held by an employee within the institution	Permanent	Limitation Act 1980 c58 s 5	
F29.09.06	Induction programmes attended by an employee	Completion of induction + 1 year	Institutional Business Requirement	
F29.09.07	An employees identified training and development needs, and the actions taken to meet these needs	Completion of actions + 5 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment cease. See Retention of personnel and other related records (Chartered Institute of Personnel and Development, 2018)
F29.09.08	Job specific statutory or regulatory training requirements for an employee, and the training provided to meet those requirements	Expiry of certification + 6 years or Superseded + 6 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment cease. See Retention of personnel and other related records (Chartered Institute of Personnel and Development, 2018)
F29.09.09	Routine assessments/reviews of an employees performance, and any consequent action taken	Superseded + 3 years	Limitation Act 1980 c58 s 5; Minimum: SI 2003/2682 Regulation 97(8); SI 2015/621 Part 7; Recommended: 1970 c9 s 34	For payroll records see Finance Management - Payroll Administration. If possible weed expired records from the files of long serving staff
F29.09.10	Disciplinary proceedings against an employee where employment continues	Closure of case + 6 years	Institutional Business Requirement	If possible weed expired records out from the files of long serving staff

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<b>F29.09</b>	<b>Employee Contract Management continued...</b>			
F29.09.11	Grievances raised by an employee which relate directly to his or her contract of employment, the institutions response, action taken, and the outcome	Closure of case + 6 years	SI 2014/55; Limitation Act 1980 c58 s 5	SI 2014/55 abolished the former obligation on employers to keep these records. Although there is no longer a specific statutory retention period, employers still have to keep sickness records to best suit their business needs. It is advisable to keep the records for at least 3 months after the end of a period of sick leave in case of a disability discrimination claim. However, if there were to be a contractual claim for breach of an employment contract it may be safer to keep records for 6 years after the employment ceases.
F29.09.12	An employees remuneration and rewards including change of grade; increments; bonuses; merit awards; long service awards; honorariums,	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Institutional Business Requirement	If possible weed expired records out from the files of long serving staff
F29.09.13	Records relating to the administration of an employees contractual holiday entitlement	Current year + 1 year	SI 1999/3312	
F29.09.14	An employees absence due to sickness	End of employment + 6 years	SI 1986/1960 Regulation 26	If possible weed expired records out from the files of long serving staff
F29.09.15	The authorisation and administration of special leave e.g. compassionate leave, study leave	Current year + 1 year	Institutional Business Requirement	Retention of these records must comply with the provisions of the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016, 2016/679 If possible weed out records superseded by data verification
F29.09.16	The authorisation and administration of statutory leave entitlements, e.g. parental leave	Completion of entitlement + 6 years	Limitation Act 1980 c58 s 5	
F29.09.17	Entitlements to, and calculations of, statutory maternity and paternity pay	Current tax year + 3 years	Institutional Business Requirement	Recommended: detailed references should only be provided for maximum of 3 years
F29.09.18	Records containing an employees basic personal details (e.g. address, next of kin, emergency contacts)	Superseded	SI 2006/13; Limitation Act 1980 c58	
F29.09.19	An employees termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal	Termination of employment + 6 years	Institutional Business Requirement	Review for archival value

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<b>F29.09</b>	<b>Employee Contract Management continued...</b>			
F29.09.20	References provided in confidence in support of an employees application for employment by another organisation	Provision of reference + 2 years	Limitation Act 1980 c58	CIPD (Chartered Institute of Personnel and Development) Retention of personnel and other related records (2018) - review for archival value
F29.09.21	Right to work and immigration information	2 years after the termination of employment	Institutional Business Requirement	Review for archival value
<b>F29.10</b>	<b>Industrial Relations Management</b>			
F29.10.01	Institutional recognition or de-recognition of trades unions	Permanent	Institutional Business Requirement	
F29.10.02	Agreements with trade unions	Termination of agreement + 10 years	Institutional Business Requirement	See also Finance Management - Pension Contributions Administration
F29.10.03	Routine communications with trade union representatives, including minutes of meetings(e.g. policy development meetings)	Current year + 20 years	Institutional Business Requirement	See also Finance Management - Pension Contributions Administration For administration of individual employees relationships with the pension schemes use Human Resource (Personnel) Management - Employee Contract Management
F29.10.04	Consultations and negotiations with trade unions on specific issues	Last action on issue + 20 years	Institutional Business Requirement	
<b>F29.11</b>	<b>Pension Schemes Administration</b>			
F29.11.01	The institutions relationships with pension schemes to which all or part of its workforce belongs	Termination of relationship + 5 years	Institutional Business Requirement	
F29.11.02	Routine communications with the pension schemes	Current year + 5 years	Institutional Business Requirement	