

PEOPLE SERVICES RETENTION SCHEDULE

6.1. Recruitment

6.1.1. Administration and Advertisement

NB: If the successful applicant is subject to **UKVI regulations**, the retention period for records in this section are overridden by **Section 6.3.1 – Points Based Immigration System**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Authority to recruit (including emails)	P/E	Termination of employment	6 years	Destroy	In case of claims	Depts may opt to keep a copy of this paperwork until the post is filled	HR system/personal file	N/A
Unsolicited applications and replies	P/E	Date of reply	N/A	Destroy			N/A	N/A
Reports or analysis of recruitment effectiveness	P/E	End of academic year – 31 st August	5 years	Destroy			Z:drive/External Hard Drive	N/A
Advertisements and related documentation	P/E	Completion of recruitment process	6 months	Destroy	In case of claims	Examples: copies of advertisements in newspapers or journals; screen shots of websites; copies of contracts with recruitments agencies; correspondence (including email)	HR system/ Individual file	N/A
Enquiries concerning recruitment	P/E	Completion of recruitment process	6 months	Destroy	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031		HR system/email	N/A

6.1.2. Applications, Selection and Promotion

NB: If the successful applicant is subject to **UKVI regulations**, the retention periods in this section (for all shortlisted applicants for the vacancy) are overridden by **Section 6.3.1 – Points Based Immigration System**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Applications - successful candidates	E	Termination of employment	6 years	Delete	Limitation Act 1980 JISC recommendation	Examples: completed application forms; CVs; references; accompanying letters/emails	HR system/ Personal file	eRecruitment/ personal file
Applications - unsuccessful candidates	E/P	Completion of recruitment process	1 year	Delete	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031; UK Border Agency Sponsor Policy Guidance JISC recommendation	Successful candidate applications form part of the staff file	HR system /	eRecruitment System
Selection of staff and interview records	E/P	Completion of recruitment process	1 year	Delete	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031; UK Border Agency Sponsor Policy Guidance JISC recommendation	Examples: names and number of shortlisted applicants; invitations to interviews; requests for references; test results; score sheets; interview notes	HR system / Personal file	eRecruitment System
Equal opportunities monitoring forms	E/P	Completion of analysis	N/A	Delete	Equality Act 2010 (Public Sector Equality Duty)	Examples: protected characteristics	HR system /Paper file	eRecruitment System
Records relating to appointment to senior posts	P/E	Termination of appointment	6 years	Destroy	JISC recommendation	Forms part of the staff file	Held by Director of HR	N/A
Academic Promotions	E/P	Termination of appointment	6 years	Destroy	JISC recommendation	Examples: names of applicants, application forms, CV's and appeals		Google docs/HR system/staff personal file
Records documenting job evaluation information	E/P	Termination of employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	HERA scoring is held on a 3 rd party system (ECC)	ECC system/personal file	ECC system/personal file

6.1.3. Points Based Immigration System

Workers, Temporary Workers and Students: guidance for sponsors, Appendix D: keeping documents version 10/24, states:

Unless otherwise stated in this guidance, all documents relating to a worker or Student whom you sponsor must be kept throughout the period that you sponsor them and until whichever is the earlier of:

- one year has passed from the date on which you end your sponsorship of the worker or Student; or
- the date on which a compliance officer has examined and approved them, if this is less than one year after you ended your sponsorship of the worker or student

In addition to the documents set out in this Appendix, you must also keep the documents you provided as part of your application to become a licensed sponsor. You must keep this information for as long as you hold a sponsor licence. You may need to retain some documents specified in this appendix for other purposes (for example, to comply with legislation on preventing illegal working) and for longer periods of time. You must ensure that you meet any other legal requirements for record keeping, such as ones set either by us or another government department.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Pre-31/12/21 - Documents required for compliance with the University’s Tier 2, 4 & 5 sponsor duties (Skilled & temporary workers)	P/E	Termination of employment	6 years	Destroy	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 04/22) JISC recommendation	UoP retains UKVI records in line with the retention period for the individual’s staff file and therefore is compliant with the above requirement. Pre-2009 staff files may contain some UKVI records in line with previous HR practices.	Paper, on staff file	n/a
01/01/22 on - Documents required for compliance with the University’s Tier 2, 4 & 5 sponsor duties (Skilled & temporary workers)	P/E	End of sponsorship*	1 years	Destroy	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 04/22)	* For most staff this will be the termination of employment, but some staff may end their sponsorship sooner if they obtain indefinite leave to remain, or move to another category (e.g. Global Talent), .	HR system /Paper on Personal file	n/a

6.1.4. Disclosure and Barring Records

Formerly Criminal Records Bureau records. Under Disclosure and Barring the University no longer receives disclosure forms. Criminal Conviction records must be managed in accordance with the DBS Code of Practice.

6.1.5. Pre-employment Screening

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Pre-employment screening forms: employees exposed to hazardous substances, lead or noise during employment	E/P	Termination of employment	40 years	Delete	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		Staff file/OH system	Staff file/OH system
Pre-employment screening forms: employees exposed to radiation	E	Termination of employment	50 years	Delete	Ionising Radiations Regulations: SI 1999/3232		Staff file/OH system	Staff file/OH system
Pre-employment screening forms: other employees	E	Termination of employment	6 years	Delete	Limitation Act 1980 JISC recommendation		Staff file/OH system	Staff file/OH system

6.2. Staff Records and Staff Files

6.2.1. Staff Enquiries

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Enquiries that result in a contractual change	P/E	Termination of employment	6 years	Destroy		Forms part of staff file	HR system	N/A

6.2.2. Staff Files

NB: For records relating to the termination of employment see new [Section 6.2.6 – Termination of Employment](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Staff files	P/E	Termination of employment*	6 years	Destroy	Limitation Act 1980		N/A Personal file	N/A
Contracts of employment and related documentation (Central staff file)	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	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	HR system / Personal file	N/A
Most recent job description and person specification for individuals for each role	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980 JISC recommendation		HR system / Personal file	N/A
Current contact details	E	Termination of employment	6 years	Delete	Limitation Act 1980	Forms part of the staff record	HR system	N/A

Individual staff records	P/E	Termination of employment	6 years	Extract employment history and any data requiring longer retention*, then delete the rest of the entry	Limitation Act 1980	* Records pertaining to asbestos, lead, ionising radiation, noise or hazardous substances may require longer retention, see Retention Schedule – 08 Risk Management > Health & Safety	HR system / Personal file	N/A
Employment history - summary data of individual employees	P/E	Date of birth	30 years	Destroy	To verify employment details of former staff	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 & individual pension enquiries) NB: This should be on the new HR leavers report, but where this report is not run, additional documentation from 6.2.2 above may need to be kept to ensure that the employee summary data is evidenced.	HR system	HR System

6.2.3. Leave Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Records relating to administration of individual employees’ contractual holiday entitlement	P/E	Termination of employment	6 years	Destroy		* Family friendly leave (PPL/HLD leave/ term time workers)	HR System	N/A
Records relating to special leave of individual employees	P/E	Termination of employment	6 years	Destroy		Includes compassionate leave and *sabbaticals	HR system	N/A
Records relating to the authorisation and administration of statutory leave entitlements of individual employees	P/E	Termination of employment	6 years	Destroy	Maternity and Parental Leave Regulations 1999	Maternity and parental leave, including adoption leave, shared parental leave 2014	HR system /Personal file	Paper, on staff file

6.2.4. Sickness Absence

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Absence due to sickness related to radiation	E	Termination of employment	50 years	Delete	Ionising Radiations Regulations: SI 1999/3232	Includes dates and causes	HR System	Paper, on staff file
Absence due to sickness related to asbestos, hazardous substances, lead or major injuries	E	Termination of employment	40 years	Delete	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	HR System	Paper, on staff file
All other absence due to sickness	E	Termination of employment	6 years	Delete	Limitation Act 1980	Includes dates, causes and self- certification notes	HR System	Paper, on staff file
Records required for the purposes of Statutory Sick Pay (General) Regulations 1982	E	Termination of employment	6 years	Delete	Statutory Sick Pay (General) Regulations 1982 JISC recommendation	Forms part of the staff record	HR System	Paper, on staff file

6.2.5. General Staff Health Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Records of hours worked by employees who have agreed to work more than 48 hours a week	P/E	Termination of employment	6 years	Destroy	Working Time Regulations 1998 Limitation Act 1980	Including written agreements	Staff personal file	N/A
Health assessments of night workers and related documentation	P/E	Termination of employment	6 years	Destroy	Working Time Regulations 1998 Limitation Act 1980	Examples: names of night workers; dates when assessments were offered; outcomes of assessments	Staff personal file/HR system/OH system	N/A
Records documenting major injuries to an employee arising from accidents in the workplace	P/E	Termination of employment	40 years	Destroy	JISC recommendation		HR system	N/A
Staff health records	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980	Examples: reports, management referral forms, investigations into work-related stress absence	HR system/staff personal file	N/A
Return to work interview records	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980		Staff personal file/HR system	N/A

6.2.6. Termination of Employment

See also **Section 6.2.3 – Employment History**, for details of records (including pension data) that need to be retained long term for all staff.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Records documenting the termination of an employee’s employment	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	Includes voluntary resignation, redundancy, retirement and dismissal	HR system / Personal file	Staff file, HR System & HR casework
Records relating to ill-health retirements	P/E	Last action on case	6 years	Destroy	Limitation Act 1980		HR system / Personal file	Staff file
Records relating to death in service	P/E	Last action on case	6 years	Destroy	Limitation Act 1980	Not to be confused with pension data	HR system / Personal file Email (for correspondence with N.o.K. or beneficiary)	Staff file, Payroll file
Records relating to organisational change leading to redeployment and/or redundancy	P/E	Last action on case	6 years	Destroy	Limitation Act 1980	Treat as casework	HR system/Personal file/ Z drive	N/A

6.3. Induction, Probation and Personal Development

6.3.1. Personal Induction

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Induction records for individual employees where probation is successful	P/E	Completion of probation	6 years	Destroy	JISC recommendation		HR system / Z drive	Personal file
Induction records for individual employees where probation is unsuccessful	P/E	Dismissal	6 years	Destroy	In case of claims	See also 6.2.7 – Termination of Employment	HR system /Personal file	Personal file

6.3.2. Probation Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Individual probation records	P/E	Completion or failure of probation		Destroy	In case of claims	See also 6.2.76 – Termination of Employment	HR system / DLX	Personal file
Reports from line managers where appointment is confirmed	P/E	Termination of employment	6 years	Destroy		Forms part of staff file	HR system /Staff Personal file	Paper, on staff file
Reports from line managers where probation is extended and then successful	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980	Includes any supporting documentation submitted with the report	HR system /Staff Personal file	Paper, on staff file
Reports from line managers where probation is extended and then unsuccessful	P/E	Dismissal	6 years	Destroy	In case of claims		HR system /Staff Personal file	Paper, on staff file

6.3.3. Appraisals

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Individual appraisal records (online PDR)	E	Upon termination of employment	6 years	Delete			Online PDR system	N/A
Records relating to the development of the appraisal scheme	P/E	When superseded	5 years	Destroy	JISC recommendation		Z Drive	N/A
Appraisal forms (templates)	P/E	When superseded	5 years	Destroy	JISC recommendation		Online PDR system Google Drive	Z:drive/External hard drive
Appraisal guidance notes	P/E	When superseded	5 years	Destroy	JISC recommendation		Z:drive	N/A

6.3.4. Individual Training Needs Assessments and Records of Training Received

Please note: For training materials and events see **Retention Schedule 12 – Training**.

Most training needs are recorded and retained on CIPHR (see **6.3.3 – Appraisals**)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION SCHEDULE	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Records of training received (recorded on HR system)	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	Includes first aid training	HR System	Paper, on staff file
Records of training received (not recorded on the HR system)	P/E	When superseded or expiry of certificate		Destroy	Limitation Act 1980 JISC recommendation		Dept records	N/A
Training undertaken on 3 rd party systems†, outside control of HR (E-learning modules)	E	Completion of training	6 years	Delete	Limitation Act 1980 JISC recommendation	E Learning modules	HR system	
Records of IT training needs assessments for individuals	E	Termination of employment		Delete	Limitation Act 1980 JISC recommendation	IT training needs identified via Performance Review process	Z drive	N/A
Training needed/received relating to ionising radiation	P/E	Termination of employment	50 years	Destroy	Limitation Act 1980		HR System	Paper, on staff file
Training needed/received relating to asbestos, hazardous substances, lead or noise	P/E	Termination of employment	40 years	Destroy	Limitation Act 1980		HR System	Paper, on staff file

6.3.5. Development Support Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Mentoring records	E	Termination of mentor relationship	6 years	Delete		Matching of mentors and mentees – Aurora Programme	Z drive	N/A

6.4. Grievance and Discipline

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Written warnings/sanctions	P/E	Termination of employment or last action on case*	12 months	Destroy	HR policy	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved.	HR system / Staff Personal file	Staff file
Grievance case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980 JISC recommendation	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved.	Z Drive	N/A
Disciplinary case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980 JISC recommendation	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved.	Z Drive	N/A
Management of under- performance case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved.	Z Drive	N/A
Sickness absence case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980	* whichever is the later NB: where case involves more than one employee, “termination of employment” relates to the last person involved.	HR system Personal file	N/A

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Settlement agreements	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980		HR system Personal file	N/A
References regulated by settlement agreements	P/E	Termination of employment	6 years	Destroy	Limitation Act 1980		HR system Personal file	N/A

6.5. Remuneration and Reward

6.5.1. Pay and Grading

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
HERA role analysis: interview records and desktop analysis	P/E	When superseded	7 years	Destroy	Limitation Act 1980 JISC recommendation		ECC system/Z Drive/Personal file	N/A
Job descriptions and person specifications for roles	P/E	When superseded	6 years	Destroy	Limitation Act 1980	For individuals, see Staff Files above	Personal file/Z Drive	Z drive
Grading reviews	P/E	Termination of Employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	Examples: requests for reviews; minutes of meetings; reports of scoring panels; evidence	HR system Personal file/ECC system	Paper, on staff file
Current salary calculations – non-UKVI	P/E	When superseded	N/A	Destroy	Usually only current for one year, due to negotiated pay rises and annual spine point increments	Examples: Salary calculations for the recruitment of term time only posts	K:drive	N/A

6.5.2. Awards

Please note: for records of rewards and remunerations granted to individuals forms part of the staff file.

6.5.2.1. Recognition Awards

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Successful applicants	P/E	Termination of Employment	6 years	Destroy	Limitation Act 1980	Includes completed application forms and letters issued to staff	HR system/Personal file	Paper, on staff file

6.5.3. Furlough Scheme

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Records relating to the set up and administration of the furlough scheme	E	End of tax year	6 years	Delete	HMRC Requirement	Includes: <ul style="list-style-type: none">the furlough designation letterusual hours worked and the number of hours they are furloughed (i.e. not working), including any calculations that were required, for employees they flexibly furloughedactual hours worked for employees they flexibly furloughed	Z Drive	N/A

6.6. Industrial Relations

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Recognition agreements, de- recognition agreements and collective agreements	P/E	N/A	Permanent	Archive		These form part of the papers for the Board of Governors	eRecords	Archive
Documents relating to consultation / negotiation with trade unions on specific issues	P/E	Last action	20 years	Consider archiving	JISC recommendation	Examples: pay and conditions	Z:drive & Email	N/A

6.7. Affiliates

6.7.1. Emeritus, Honorary, Sponsored

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Affiliate files	E/P	Completion of employment	6 years	Delete			HR system/ personal file	N/A

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO
Secondee agreements and CVs	E/P	Completion of employment/ secondment	6 years	Delete	JISC recommendation		HR System/ personal file	N/A