

# Human Resources

## Retention Schedule

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# Human Resources Retention Schedule

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## Notes

- Indicated within this schedule are the statutory minimum retention periods required by law within England and Wales. Where a statutory period is not available, a recommendation based on consultation with HR staff, guidance from other local authorities, organisations associated with the HR function (such as CIPD) and records management organisations has been given.
- Where records are duplicated across WCC it is important to note that the retention periods apply only to the original of each set of records. Copy records should only be retained for the length of their business life.
- Where different types of records are held on one file 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.
- The 'Trigger' is the point at which the retention period starts.
- You will note that the most common retention period in this document is 'Overall minimum retention period applies: 6 or 10 or 25 years'. This should be applied as follows:
  - **Worked with children**, apply termination date plus 25 years as the retention period
  - **Worked with vulnerable adults**, apply termination date plus 10 years as the retention period
  - **All other staff**, apply termination date plus 6 years as the retention period
- Record examples given in the document are not intended to be exhaustive.
- Before disposing of records ensure that the following conditions are met:
  - The record is no longer of business use
  - Legislation affecting the record has not changed
  - The record is not required for historical preservation
  - The record is not currently subject to a freedom of information or other information request.
  - The record is not currently required in a litigation case

If any of the above conditions cannot be met then the record should be retained for a further period.

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HR.1	Administering Employees		As the Employee file			
HR.1.1	Absence Monitoring		Records documenting an employees absence due to sickness			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.1.1	Employee File	Absence record due to sickness: Statutory Sick Pay records, calculations, certificates, self-certificates, fit notes	End of the tax/financial year to which they relate	4 years	Destroy	The Statutory Sick Pay (General) Regulations 1982 (SI 1982/894) as amended plus 1 year for local requirements. All documents to be sent to HR Service Centre. <b>N.B.</b> Record of actual sick pay part of payroll record and not included here.
HR.1.1.2	Health File	Complete Record of Sickness	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Contains Sensitive data under Data Protection Act to be kept as part of Health record not as part of employee record. Information held to be relevant and up-to-date.
HR.1.1.3	Case File	Ill Health case work (For Asbestos/Hazardous substances/Ionising Radiations/lead/Major Injury at work please see longer retention at HR.5.3)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Contains Sensitive data under Data Protection Act. Files held by both Occupational Health and HR Advisory team not as part of employee record. Information to be relevant and up-to-date.
See also HR.1.9 Leave and HR.5 Occupational Health.						

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HR.1.2	Disciplinary and Grievances		Documentation relating to the discipline of employees (Disciplinary; Harrasment/Bullying; Disputes; Bans) and to grievances between the employer and employees			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.2.1	Case File	Bullying and Harrassment Case work: Includes proceedings where proven to be unfounded, Oral warnings, Written warnings and Final warnings	Date of Last Action	6 years	Review	Line managers to hold file. Letters to confirm outcome of hearing held by HR Advisory Team. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date.
HR.1.2.2	Case File	Dismissal and Disciplinary Case work: Includes proceedings where proven to be unfounded, Oral warnings, Written warnings and Final warnings	Termination of Employment <b>or</b> Date of last action (if no contractual/pay changes)	Overall minimum retention period applies: 6 or 10 or 25 years <b>or</b> 6 years	Destroy	Weed out warnings at designated times. Line managers to hold file. Letters to confirm outcome of hearing held by HR Advisory Team May have contractual/pay changes. <b>N.B.</b> Termination and disciplinary may result in changes to terms and conditions, salary, allowances, and performance pay. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date.
		Warnings involving children	Termination of Employment	25 years	Destroy	As above but each case to be assessed on its own - if in doubt retain as stated.
		Warnings involving vulnerable adults	Termination of Employment	10 years	Destroy	

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.2.3	Case File	Grievance Case work: Includes proceedings where proven to be unfounded, Oral warnings, Written warnings and Final warnings	Termination of Employment <b>or</b> Date of last action (if no contractual / pay changes)	Overall minimum retention period applies: 6 or 10 or 25 years <b>or</b> 6 years	Review	Limitation Act 1980 for 6 years. Weed out warnings at designated times. Line managers to hold file. Letters to confirm outcome of hearing held by HR Advisory Team. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date.
HR.1.3	Disclosure of Interest		Register of declared interests of employees in relation to anything being transacted or discussed by the authority			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.3.1	N/A	Register of Interest and Register of Gifts and Hospitality	End of year completed register	6 years	Destroy	Limitations Act 1980. Includes information held on HRMS (responsibility of HRMS team) and/or record held by Legal Services
HR.1.4	Employee Details		Personal Details			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.4.1	Employee File	May include Personal details form, Equality details form, HRMS database questionnaire, change of address details, change of name details, disability details, marriage certificate (copy only), next of kin details	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Majority of details held on HRMS are duplicated on file. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date

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HR.1.5	Employment Conditions		Documentation relating to <i>individuals</i> general or specific conditions of employment			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.5.1	Employee File	General and supporting documentation (not listed below) including Annual leave queries following contract changes	Termination of Employment	2 years	Destroy	
HR.1.5.2	Employee File	Contract Terms and Conditions and amendments (including inactive assignments)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years
HR.1.5.3	Employee File	Contractual Changes including TUPE, Flexible working arrangements, change of hours letter and correspondence, change to salary grade/scale letter, change to essential car user allowance letter and correspondence.	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years
HR.1.5.4	Employee File	Relocation Agreement including settling in allowance application, correspondence and eligibility	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years
HR.1.5.5	Employee File	Working Time Directive/Regulations opt out forms and records documenting the hours worked by employees	Date of record	2 years	Destroy	The Working Time Regulations 1998 (SI 1998/1833)



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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.5.6	Employee File	Car Loan/Lease Agreement including eligibility correspondence and transfer of car loan correspondence	End of current tax/financial year	6 years	Destroy	Limitations Act 1980
HR.1.5.7	Employee File	Summary records documenting employee remuneration and rewards e.g. bonuses, merit awards, long service awards)	End of current tax/financial year	6 years	Destroy	Finance Act 1970
See also HR.1.8 Job Evaluation						
<b>HR.1.6</b>	<b>External Reference Requests</b>		<b>References created for current employees for purposes external to WCC (Mortgage, Prospective employer)</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.6.1	Employee File	Request for and/or copy of reference for Mortgage/Letting and confirmation letters	Date of Creation	1 year	Destroy	
HR.1.6.2	Employee File	Request for and/or copy of reference provided for prospective employer	Date of Creation	1 year	Destroy	
<b>HR.1.7</b>	<b>Individual Training Records</b>		<b>Documentation relating to an <i>individuals</i> training record and any work experience undertaken with the authority</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.7.1	-	Individual Induction records	End of induction	1 year	Destroy	NB. Does not include Health & Safety information

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.7.2	Employee File	Training and Work experience records, e.g. Training Log, Certificates, Awards, Exam results	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	May contain personal information under the Data Protection Act - Information to be relevant and up to date.
HR.1.7.3	Employee File	Training needs analysis and personal development plan	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	May contain personal information under the Data Protection Act - Information to be relevant and up to date.
HR.1.7.4	Employee File	Training records for job specific statutory / regulatory training requirements and documentation of the training provided to meet the requirements; e.g. First Aider and Fire evacuation training	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980; This should read 'Health and Safety (First Aid) Regulations; Regulatory Reform (Fire Safety) Order. May contain personal information under the Data Protection Act - Information to be relevant and up to date.
HR.1.7.5	Employee File	Training Assessments for Continuing Professional Development (CPD) or equivalent	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	May contain personal information under the Data Protection Act - Information to be relevant and up to date.
See also HR.4.1 Performance Appraisal and HR.4.2 Probation under HR.4 Monitoring Employees; HR.5 Occupational Health; HR.8 Training						

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<b>HR.1.8</b>	<b>Job Evaluation</b>		<b>Documentation relating to major changes to <i>individual roles</i> through job evaluation</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale / Comments</b>
HR.1.8.1	Employee File	Grading Board Applications and Appeals, including competence framework, structured professional assessment application, correspondence and change in salary/grade/scale correspondence.	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
HR.1.8.2	Employee File	Pay and Conditions review documentation including outcome and appeals	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
See also HR.1.5 Employment Conditions						
<b>HR.1.9</b>	<b>Leave</b>		<b>Documentation relating to requested leave: annual, study, carers, special, compassionate, unpaid leave etc</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale / Comments</b>
HR.1.9.1	-	Annual Leave cards / Leave request	End of current leave year	2 years	Destroy	The Working Time Regulations 1998 (SI 1998/1833). Not held with employee file information

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.1.9.2	Employee File	Adoption, parental leave records and supporting records for maternity and paternity leave (requests/declarations, confirmation of leave, dates of leave, adoption certificate, maternity leave planning chart)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	The Maternity and Parental Leave etc. and the Paternity and Adoption Leave (Amendment) Regulations 2006 (SI 2006/2014) Includes leave for Adoption, Maternity or Paternity Leave and Parental Leave. <b>N.B.</b> Does not include statutory records. Record of actual maternity/paternity pay is part of payroll record and not included here.
HR.1.9.3	-	Statutory Maternity Pay records, calculations, certificates (Mat B1s) or other medical evidence	End of the tax year in which the maternity period ends	3 years	Destroy	The Statutory Maternity Pay (General) Regulations 1986(SI 1986/1960) as amended
For Maternity/Paternity Pay see Disposal Schedule for Financial records or contact Records Management Service						
HR.1.9.4	Employee File	Compassionate Leave (request and confirmation of leave)	End of current leave year	2 years	Destroy	
HR.1.9.5	Employee File	Dependence Leave (nominated carer leave request and confirmation)	End of current leave year	2 years	Destroy	
HR.1.9.6	Employee File	Jury Service Notification (certificate of jury service and loss of earnings, dates of service)	End of current Leave year	2 years	Destroy	
HR.1.9.7	Employee File	Absence due to Industrial Action (record of pay deduction)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	The Working Time Regulations 1998 (SI 1998/1833). Check terms of industrial action

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.9.8	Employee File	Study Leave	End of current leave year	2 years	Destroy	
HR.1.9.9	Employee File	Unpaid/Special Leave, including career breaks (requests and confirmation)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	The Working Time Regulations 1998 (SI 1998/1833). Update pensions record if unpaid
HR.1.9.10	-	Time Sheets, incl. record of flex	End of current leave year	2 years	Destroy	Not held with employee file information
<b>HR.1.10</b>	<b>Termination of Employment</b>		<b>Documentation relating to the leaving process: resignation, termination other than pension</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.10.1	Employee File	Documents relating to the notification of: Resignation, Redundancy (Section 188), Dismissal, Death, Retirement. (Resignation, termination and/or retirement Correspondence/Letter, forms and checklist, working past retirement age correspondence, estimate of standard pensions payment)	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date. Relevant information to be passed to pensions.

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.1.10.2	Case File	Early Retirement Case work incl. Records relating to events notifiable under the Retirement Benefits Schemes, records concerning decisions to allow retirement due to incapacity, pension accounts and associated documents	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Line managers to hold file. Letters to confirm outcome of hearing held by HR Advisory Team. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date. Relevant information to be passed to pensions.
HR.1.10.3	Case File	Redundancy & Redeployment case work	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Line managers to hold file. Letters to confirm outcome of hearing held by HR Advisory Team. Contains Sensitive data under Data Protection Act - information to be relevant and up-to-date. Relevant information to be passed to pensions.
See also HR.7.1.1 for Retirement						

HR.2	Employee Relations Information on Employee Relations					
HR.2.1	Employee Relations Management		Documentation relating to the activities involved in managing WCC's relationship with it's employees			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.2.1.1	-	Workforce surveys and consultations, including their design	End of Business use	2 years	Destroy	

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.2.1.2	-	Identifiable individual response to workforce surveys and consultations	Completion of analysis of responses	Do not retain	Destroy	
HR.2.1.3	-	Anonymised summary results of workforce surveys and consultations	End of Business use	2 years	Offer to Record Office - Archive	
<b>HR.2.2</b>	<b>Trade Union Liaison</b>		<b>Matters relating to the relationship with recognised unions and employee representative organisation</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.2.2.1	-	Records documenting WCC's recognition / derecognition of trade unions	Date of derecognition	6 years	Offer to Record Office - Archive	Limitation Act 1980
HR.2.2.2	-	Strategy, Awards; negotiations; disputes; claims logged; consultations	Last action on issue	20 years	Offer to Record Office - Archive	
HR.2.2.3	-	Trade Union Agreements	Date Agreements cease to be effective	10 years	Offer to Record Office - Archive	
HR.2.2.4	-	Routine Liaison, Daily Industrial relation management documents, Agendas/Notes of HR/TU meetings, Joint Consultative Committee (JCC) meetings - including Health & Safety JCC	End of Business use	2 years	Destroy	

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HR.3	Equal Opportunities		Information on Equal Opportunities			
HR.3.1	Equalities and Diversity		Equality and Diversity documents which include information on fair treatment of employees and general guidelines			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.3.1.1	-	Published Information and general guidelines issued by WCC on Equal Opportunities	Date Superseded	2 years	Destroy	
HR.3.1.2	-	Records of Investigations, Inter-agency monitoring, Equal Opportunities form where individuals are identifiable	Completion of analysis or conclusion of investigation	Do not retain	Destroy	Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date
HR.3.1.3	-	Summary management records of Investigations, Inter-agency monitoring, Equal Opportunities form	End of Business use	5 years	Destroy	

HR.4	Monitoring Employees		Information on monitoring employees			
HR.4.1	Performance Appraisal		Documentation relating to the performance of an employee, including performance related pay if applicable			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.4.1.1	-	Appraisal Forms / Performance Review and Performance Plans	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Appraisal records are held by Line Manager - if Line Manager leaves should be transferred to new Line Manager. <b>N.B.</b> To be sent to HR Service Centre when employee leaves. Can also form part of Training record.



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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.4.1.2	Supervision File	Supervision Notes	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Supervision notes are held by Line Manager - if Line Manager leaves should be transferred to new Line Manager. <b>N.B.</b> To be sent to HR Service Centre when employee leaves - <b>NOT</b> for Social Service related supervision.
For Social Service supervision records see the Disposal Schedule for <b>Social Care</b> records						
HR.4.1.3	Case File	Performance Case Work	Date of Last Action	6 years	Review	
HR.4.1.4	-	Staff Recognition Documentation e.g. Commendation / thank you letters, Special Award Certificates - non financial.	Date received	Pass to employee	N/A	Not held with employee file information. Line Manager to keep a record that awarded on Supervision file.
See also HR.1.7 Individual Training Record, HR.8 Training and HR.9.3 Workforce Performance Management						
<b>HR.4.2</b>	<b>Probation</b>	<b>Documentation relating to the probation process</b>				
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.4.2.1	Employee File	Probation correspondence and review: Completion of probation, extension of probation, 3/5 month reviews, manager's authorisation of successful probation, Feedback from manager	Date of Confirmation of employment	3 years	Destroy	

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HR.4.3	Staff Directory/Employment Register		Employee/Sectional contact details			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.4.3.1	-	Summary management systems that allow the monitoring and management of employees in summary form. Examples of records include: Employment Registers (permanent, temporary and casual); Registers of personnel files; Personal and Superannuation history cards; Salary Master record	Date administrative use concluded	25 years	Offer to Record Office - Archive	Not held with employee file information. Record may include: Name, Date of Birth, Date of appointment, Work History details, Position/ designation/ titles and dates held. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date

HR.5	Occupational Health		Occupational Health Records			
HR.5.1	Absence Reporting		Aggregated management information on absences; for instance, working days lost to various sickness categories			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.5.1.1		Aggregated management information (anonymised) on absences; for instance, working days lost to various sickness categories	End of current year in which created	6 years	Destroy	For Health and Safety Executive

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<b>HR.5.2</b>	<b>Counselling</b>		<b>Documentation relating to counselling offered to an employee</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale/Comments</b>
HR.5.2.1	-	Counselling records	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Record held by Staff Care Officer not as part of employee record. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date
<b>HR.5.3</b>	<b>Occupational Health</b>		<b>Documentation relating to occupational health and safety</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale/Comments</b>
HR.5.3.1	Health File	Medical Clearance	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980. Not held with employee file information. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date. <b>N.B.</b> Confidential information
HR.5.3.2	Health File	Medical Occupational Health Clearance: Advice report, employee referral form, referral correspondence, clearance to work correspondence	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980. Not held with employee file information. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date. <b>N.B.</b> Confidential information
HR.5.3.3	Health File	Medical Other Assessments: Results of hearing test/examination and results of eye tests/examination	Termination of Employment <b>or</b> if for Health surveillance Date of last entry	Overall minimum retention period applies: 6 or 10 or 25 years <b>or</b> if for Health Surveillance 40 years	Destroy	Limitations Act 1980. H&S Health surveillance requirement. Not held with employee file information. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date. <b>N.B.</b> Confidential information

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.5.3.4	Health File	Papers relating to any injury out of or in connection with the work activity (not major). See also HR.5.6	Termination of Employment <b>or</b> if for Health surveillance Date of last entry	Overall minimum retention period applies: 6 or 10 or 25 years <b>or</b> if for Health Surveillance 40 years	Destroy	Limitations Act 1980. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995. Not held with employee file information. Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date. <b>N.B.</b> Confidential information
See also HR.5.5 Personal Risk Assessments						
HR.5.3.5	Health File	Medical records and details of biological tests under the Control of Lead at Work Regulations	Date of the last entry	40 years	Destroy	The Control of Lead at Work Regulations 1998 (SI 1998/543) as amended by the Control of Lead at Work Regulations 2002 (SI 2002/2676)
HR.5.3.6	Health File	Medical records as specified by the Control of Substances Hazardous to Health Regulations (COSHH)	Date of the last entry	40 years	Destroy	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)
HR.5.3.7	Health File	Medical records under the Control of Asbestos at Work Regulations - medical records containing details of employees exposed to asbestos	- Date of the last entry	- 40 years	Destroy	The Control of Asbestos at Work Regulations 2002 (SI 2002/2675). Also see the Control of Asbestos Regulations 2006 (SI 2006/. 2739)
		- medical examination certificates	- Date of issue	- 4 years		

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.5.3.8	Health File	Medical records under the Ionising Radiations Regulations 1999	Date of Birth or Date of last entry	75 years old or 50 years whichever is the longest	Destroy	The Ionising Radiations Regulations 1999 (SI 1999/3232)
HR.5.3.9	Health File	Records of tests and examinations of control systems and protective equipment under the Control of Substances Hazardous to Health Regulations (COSHH)	Date of test	5 years	Destroy	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)
<b>HR.5.4</b>	<b>Occupational Health Training</b>		<b>Training documentation relating specifically to Occupational Health</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.5.4.1	-	Training on Occupational Health and Safety training records e.g. Training register	Date Training completed	50 years	Destroy	Contains sensitive or personal data under Data Protection Act - Information to be relevant and up to date. <b>N.B.</b> Training to be renewed every 3 years at which point individual course assessment records to be destroyed.
See also HR.1.7 Individual Training Records and HR.8 Training						
<b>HR.5.5</b>	<b>Personal Risk Assessments</b>		<b>Including restrictions i.e. cannot lift or desk work only</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.5.5.1	Employee File	New and Expectant mothers at work assessment	End of current year	6 years	Destroy	Limitations Act 1980 ; Management of health and safety at work regulations; workplace health, safety and welfare regulations

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.5.5.2	Employee File	Health and Safety workplace assessment: Report, request and DSE assessment form; PEEPs	End of current year	6 years	Destroy	Limitations Act 1980; Health and Safety (Display Screen Equipment) Regulations; Regulatory Reform (Fire Safety) Order
HR.5.5.3	Health File	Health assessments for night workers and the results	Date of assessment	2 years	Destroy	Working Time Regulations 5 and 9 1998 (SI 1998/1833)
HR.5.5.4	Health File	Records documenting the issue of personal protective equipment / other special equipment to an employee	Termination of employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 c.58 s.5. Management of Health and Safety at Work Regulations
<b>HR.5.6</b>	<b>Major Injuries</b>		<b>Documentation relating to major injuries</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.5.6.1	Health File	Accidental / Dangerous occurrence report form, correspondence and other documentation relating to major injury of employee that occurs in relation to work activity	Termination of Employment	40 years	Destroy	Health & Safety at Work Act 1974; Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995; Limitations Act 1980. <b>N.B.</b> Major injury as defined by RIDDOR 1995. Refer to WCC Accident, Incident, Near Miss, Reporting, Recording, and investigation Policy.
See also HR.5.3 Occupational Health; HR.6.2 Clearances and DS12 Disposal Schedule for Health and Safety records or contact Records Management Service						

# Human Resources Retention Schedule

HR.6	Recruitment		Recruitment of Staff			
HR.6.1	Authorisation		Authorisation to recruit for a position			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.1.1	-	Strategic director / Head of Service agreement to proceed with recruitment	Date recruitment finalised	1 year	Destroy	
HR.6.2	Clearances		Documentation relating to clearing employees for work			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.2.1	-	Car insurance	Date document checked	Do not retain	N/A	Not held with employee file information. Keep record that check undertaken (see HR.6.2.1) and whether satisfactory or not.
HR.6.2.2	Employee File	Clearances Checklist	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
HR.6.2.3	-	CRB Disclosure	Date of Creation	6 months	Destroy	Information Commissioner's Office, Employment Practices Code, 2005. Not held with employee file information. To be held in separate secure storage. Proof that check took place to be maintained separately. No details to be kept longer than 6 months, only that check was undertaken (see HR.6.2.1) and whether satisfactory or not unless exceptional circumstance. Contains sensitive or personal data under Data Protection Act.

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.2.4	-	CRB Correspondence: List 99, Disclosure memo, emails, check letter, self-declaration of criminal convictions, application for CRB check	Date CRB disclosure received	Do not retain	Destroy	Information Commissioner's Office, Employment Practices Code, 2005. Not held with employee file information. To be held in separate secure storage. Proof that check took place to be maintained separately. No details to be kept longer than 6 months, only that check was undertaken (see HR.6.2.1) and whether satisfactory or not unless exceptional circumstance. Contains sensitive or personal data under Data Protection Act.
HR.6.2.5	Employee File	Confidentiality agreements	Date Superseded	6 years	Destroy	Only latest version is required.
HR.6.2.6	Employee File	Confirmation of continuous service from previous employer and service dates	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	This information should be passed to relevant pension administrator, if applicable, at termination of employment
HR.6.2.7	Employee File	Eligibility to work: Identity Checks, e.g. copy of Passport / Driving License / Birth Certificate, verification originals seen and correspondence. Work Permit Information: copy of Leave to Remain, Residence Permit, Proof of work permit correspondence and verification originals seen	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Asylum and Immigration Act 1996 and Immigration, Asylum and Nationality 2006 - records required to prove eligibility checks took place.



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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.2.8	Employee File	Medical-Self Assessment Form.	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980
HR.6.2.9		Medical-Self Assessments correspondence about completing form	Medical-Self Assessment form received	Do not retain	N/A	Not held with employee file information.
See also HR.5.3 Occupational Health and HR.5.5 Personal Risk Assessments.						
HR.6.2.10	Employee File	NI number: Copy of NI card or payslip/P45 detailing NI number	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Verified copy
HR.6.2.11	Employee File	Professional registration e.g. Certificate of Registration	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Most recent proof only. Not just for Social care employees.
HR.6.2.12	-	Professional registration (social care): application for inclusion on register, request for refund of registration fee	End of current tax year	6 years	Destroy	Not held with employee file information.
HR.6.2.13	Employee File	Qualifications: Copies of relevant degree/diploma/A-level/GCSE/other examinations/courses certificates	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Only needed if a requirement of job role. To be updated if more qualifications obtained as part of agreement of employment. May contain personal information under the Data Protection Act - Information to be relevant and up to date.

# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.2.14	Employee File	References: Reference proforma, Letter, Notes on oral reference, request letter	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	May contain personal information under the Data Protection Act - Information to be relevant and up to date.
HR.6.2.15	-	Uniform documentation: Receipt of received items of clothing/equipment	Date items returned	6 years	Destroy	
HR.6.2.16	Employee File	V5 vehicle registration form	Document checked	Do not retain	N/A	Not an essential HR Document
For other clearances see also HR.5.3 Occupational Health, HR.5.5 Personal Risk Assessments						
<b>HR.6.3</b>	<b>Job Descriptions</b>		<b>The job description and person specification for current posts</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.3.1	-	Job Description / Person Specification: to include job title, main duties and responsibilities.	Termination of Contract	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years, Sex Discriminations Acts 1975 & 1986, Race Relations Act 1976, Disability Discrimination Act 1995 N.B. Only latest version is required.
<b>HR.6.4</b>	<b>New Starter Administration</b>		<b>Documentation relating to the administration of New Starters</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.4.1	-	Interview Expenses Claim form, receipt and correspondence	End of current tax year	6 years	Destroy	Taxes Management Act 1970
HR.6.4.2	-	New Starter Checklist	End of business use	Do not retain	Destroy	

# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.4.3	-	HRMS New Starter/Variation Forms	Termination of Contract	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
HR.6.4.4	-	Relocation Expenses: Claim form, receipt and correspondence	End of current tax year	6 years		Taxes Management Act 1970. <b>N.B.</b> Different from Relocation Agreement
HR.6.4.5	-	Bank details: Bank credit authorisation forms, bank details form, change in details correspondence	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Only up-to-date version is required. Destroy old details when superseded.
<b>HR.6.5</b>	<b>Recruitment process</b>		<b>Process relating to the recruitment of an employee to the authority</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.6.5.1	Employee File	Process relating to the recruitment of an employee to the authority: Application Form and Supporting information	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Limitations Act 1980 for 6 years, Sex Discriminations Acts 1975 & 1986, Race Relations Act 1976, Disability Discrimination Act 1995. <b>N.B.</b> Not to include vetting information only a note that this took place and the result - see 14.6.5.5 (Information Commissioner's Office, Employment Practices Code, 2005). From application form retain only information that has a bearing on the ongoing employment relationship.

# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.6.5.2	Employee File	Notification of Successful Candidate provided by manager	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
HR.6.5.3	Employee File	Offer letter and Correspondence about Offer: Start date, clearances, starting salary, hours worked, allocation of manager.	Termination of Employment	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	
HR.6.5.4	Position	Unsucessful candidates: personal details, application form, referee reports, shortlisting/interview notes/references and offers of appointment rejected.	Date recruitment finalised	6 months	Destroy	Equalities Act 2010 Section 17  <b>N.B.</b> Unsucessful applicants can call a tribunal up to 6 months later. If retain applicant information on file for future vacancies inform them this is the case and remove from file at their request (Information Commissioner's Office, Employment Practices Code, 2005)
HR.6.5.5	Position	Selection for a position - Job advertisements, Interview/shortlisting notes and reports	Date recruitment finalised	6 months	Destroy	Equalities Act 2010 Section 17  <b>N.B.</b> Unsucessful applicants can call a tribunal up to 6 months later. If retain applicant information on file for future vacancies inform them this is the case and remove from file at their request (Information Commissioner's Office, Employment Practices Code, 2005)

# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale/Comments
HR.6.5.6	Recruitment	Documentation relating to the overall recruitment process, e.g. recruitment procedures and policies	Date superseded	1 year	Destroy	

HR.7	Terms and Conditions of Employment		Terms and Conditions for Employees			
HR.7.1	Terms and Conditions		The general terms and conditions of employment with the council			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.7.1.1	-	Retirement and Pensions (Non LGPS and LGPS) Terms and Conditions.	Date Superseded	2 years	Offer to Record Office - Archive	If general Terms and conditions offer to Archivist for appraisal.
HR.7.1.2	-	Records documenting WCC's relationships with pension schemes to which all or part of its workforce belongs	Termination of relationship	5 years	Destroy	
HR.7.1.3	-	Routine communication with the pension schemes	End of current year	5 years	Destroy	
See also HR.1.5 Employment Conditions						

# Human Resources Retention Schedule

<b>HR.8</b>	<b>Training</b>		<b>Training Information. Training courses are typically identified by name and date</b>			
<b>HR.8.1</b>	<b>Driver Training</b>		<b>Driver Training Documentation</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale / Comments</b>
HR.8.1.1		As 14.8.4				
<b>HR.8.2</b>	<b>Reporting</b>		<b>Performance management relating to training and development, including feedback statistics</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale / Comments</b>
HR.8.2.1		Records containing summary information on workforce training and development needs and management analyses of the impact of training and development programmes	End of current year	6 years	Destroy	
HR.8.2.2		Identifiable individual response/feedback on workforce training and development programmes	End of current year	Overall minimum retention period applies: 6 or 10 or 25 years	Destroy	Feedback form to placed on individuals HR record. May contain personal information under the Data Protection Act - Information to be relevant and up to date.
HR.8.2.3		Records (anonymised) documenting workforce feedback on training and development programmes.	End of current year	5 years	Destroy	
<b>HR.8.3</b>	<b>Training Agreement</b>		<b>Agreement between the trainer and trainee</b>			
<b>Ref.</b>	<b>Series</b>	<b>Doc type Examples</b>	<b>Trigger</b>	<b>Retention</b>	<b>Action</b>	<b>Rationale / Comments</b>
HR.8.3.1		Training Agreement	Date course completed	6 years	Destroy	
HR.8.3.2		Training Agreement Invoices	End of current Tax year	6 years	Destroy	Limitations 1980, Taxes Management Act 1970

# Human Resources Retention Schedule

HR.8.4	Training Courses		Training documentation relating to specific courses and sessions (non occupational health training)			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.8.4.1	Training Course Files	Records documenting the development of training and development programmes to meet defined needs.	Completion of training programme	5 years	Destroy	
HR.8.4.2	Training Course Files	Course Administration and Documentation relating to routine training courses and initiatives, including attendance request and notification, request for funding and progress report.	Date action completed	2 years	Destroy	
HR.8.4.3	Training Course Files	Records documenting the development of training and development programmes concerning <b>Children</b> to meet defined needs.	Date course completed <b>or</b> last entry	25 years	Destroy	
HR.8.4.4	Training Course Files	Course Administration and Documentation relating to training courses concerning <b>Children</b> and initiatives, including attendance request and notification, request for funding and progress report.	Date course completed <b>or</b> last entry	25 years	Destroy	

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.8.4.5	Training Course Files	Training Packs / Materials such as course synopsis, lesson plans, handouts, presentations and booklets	Date course superseded or revised	5 years	Destroy	
See also HR.1.7 Individual Training Records and HR.5.3 Occupational Health						
<b>HR.8.5</b>	<b>Training Plan</b>		<b>Listing of corporate training activities and forward plans. Includes health and safety training</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.8.5.1	-	Corporate Training Plan	Date superseded	2 years	Destroy	

<b>HR.9</b>	<b>Workforce Planning</b>		<b>Information on workforce planning</b>			
<b>HR.9.1</b>	<b>Human Resources Strategy and Policy Development</b>		<b>Documentation relating to the activities involved in developing and establishing HR strategy, policy and subsequent procedures.</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.1.1	-	Records documenting the development and establishment of HR strategy and policy: Key Records	Date Superseded	10 years	Destroy	
HR.9.1.2	-	Records documenting the development and establishment of HR strategy and policy: Working papers	Date Strategy issued	1 year	Destroy	
HR.9.1.3	-	HR Policy(s)	Date Superseded	2 years	Offer to Record Office - Archive	



# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.1.4	-	Records documenting the development of procedures relating to HR management	Date procedure issued	1 year	Destroy	
HR.9.1.5	-	Master copies of procedures relating to HR management	Date superseded	10 years	Destroy	
<b>HR.9.2</b>	<b>Workforce Development Planning</b>		<b>Documentation relating to workforce management</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.2.1	-	Records documenting the assessment and analysis of workforce requirements (to meet WCC business plans), and the identification and evaluation of options for meeting the requirements	End of current year	3 years	Destroy	
HR.9.2.2	-	Records documenting management succession plans	Date Superseded	5 years	Destroy	
HR.9.2.3	-	Records documenting the development and evaluation of job descriptions/ person specifications	Date Superseded	5 years	Destroy	
HR.9.2.4	-	Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Date Superseded	5 years	Destroy	

# Human Resources Retention Schedule

Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.2.5	-	Records documenting the administration of induction programmes.	Programme Completion <b>Or</b> Programme Termination	1 year	Destroy	
See also for induction HR.1.7 Individual Training records						
<b>HR.9.3</b>	<b>Workforce Performance Management</b>		<b>Documentation relating to the activities and the development of processes for monitoring employee performance</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.3.1	-	Records documenting the development of workforce performance assessment systems.	Life of system	5 years	Destroy	
HR.9.3.2	-	Records documenting management analyses of the impact of workforce performance assessment systems.	End of current year	5 years	Destroy	
See also HR.4 Monitoring Employees						
<b>HR.9.4</b>	<b>Workforce Remuneration and Reward Management</b>		<b>Documentation relating to the activities involved in developing and implementing workforce pay structures and reward schemes</b>			
Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.4.1	-	Records documenting the development of WCC's pay structure	Date Superseded	10 years	Destroy	
HR.9.4.2	-	Records documenting pay reviews	Date Superseded	5 years	Destroy	

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Ref.	Series	Doc type Examples	Trigger	Retention	Action	Rationale / Comments
HR.9.4.3	-	Records documenting special reward schemes	Date Superseded	5 years	Destroy	
HR.9.4.4	-	Financial Rewards	Date action completed	7 years	Destroy	Actual payment of reward is dealt with under Disposal schedule for financial records
See also HR.1.8 Job Evaluation and Disposal Schedule for Financial records or contact Records Management Service						