

Manager's Guide

Employee Records

All employees of Warwickshire County Council have an employee personal file, where all relevant employment related information is kept and maintained. This file is held electronically and can be accessed by Human Resources and by the employee's line manager through HRMS self-service, access is not currently available to HRMS delegated users.

The electronic employee record is designed to hold employment related information. The employee record is jointly maintained by Human Resources and managers, both of whom have the responsibility for uploading documents.

The following documents will be loaded by the HR Service Centre:-

- Application forms*
- Terms and conditions of employment*
- Pre-employment checks*
- Pay award notices

**(excluding locally managed recruitment where managers must upload documents directly to HR ER)*

Managers are responsible for uploading any further documentation relating to their employees.

What information should managers upload to the electronic personal file?

The following documents are the responsibility of the manager to upload to the personal file:

- Appraisals
- Final Outcome Letters from Disciplinary, Grievance Procedures or DBS investigation outcomes.
- Fit notes and self-certification forms and return to work meeting notes
- Certificates of external qualifications post starting with WCC.
- Professional body registration certificates
- Any written requests from employees affecting employment i.e. letters of resignation.
- Flexible working agreements

Once the documents have been successfully uploaded the original document can be disposed of as it is not necessary to retain a copy.

For current employees any of the above documents held in paper format by managers will need to be scanned and uploaded to the electronic personal file regardless of the age of the document. Managers can if they wish load non current documents onto HRER (e.g. previous year appraisal).

Documents loaded to the personal file must not contain any sensitive or confidential information relating to other individuals and as such any references to service users, other employees or members of the public must be removed.

How to upload to the electronic personal file?

Guidance and training documents on how to navigate the electronic personal file and upload documents is available on WILMA and on the intranet accessible via the links below:

[HR-ER Guidance Documents](#)

[WILMa Learning Pool](#)

What information should managers hold locally?

The following documents should be held locally by managers:

- One to One/ notes – however if preferred these may be stored in the performance folder.

Supervision Notes for Childrens Social Care must be stored on the Safeguarding folder on the electronic personal file.

For Childrens Social Care – staff must follow the **Procedure for recording and storage of supervision notes (including electronic storage) for Children’s Social Care & Safeguarding staff – issued December 2015**

Managers must ensure that all employee information, paper or electronic, is kept securely and confidentially.

How long should employee records be held for?

The retention and disposal of employee records is managed in line with the appropriate legislation. Once an employee leaves Warwickshire County Council their personal file will be archived for a number of years depending on the type of work they have undertaken during their employment with Warwickshire County Council, for example:

- 6 years for standard work from leaving date
- 10 years for those who have worked with vulnerable adults
- 25 years for those who have worked with children
- 40 years for those who have worked with asbestos
- 50 years for those who have worked with radiation

The following retention periods apply to the employee records held locally by managers:

- One to One/Supervision notes – Life of personal file as detailed above. If there is a change of line manager, the files should be passed to new manager **NB: Social Care supervision notes relating to a service user should be placed on service user record.**

Important note in relation to the Goddard Inquiry

The [Independent Inquiry into child sexual abuse](#) led by Lord Justice Goddard officially opened on Thursday 9 July 2015. As part of the Inquiry letters have been sent to many organisations including Chief Executives of all local authorities, warning us not to dispose of any documents or records that are:

- connected with child protection
- connected with child sexual abuse
- related to individuals working with children.

This has important implications for records management arrangements and the Council may be asked to provide information as the Inquiry progresses.

The duration of the Inquiry is estimated to be 5 - 7 years, although it could last longer. The suspension of the disposal of relevant records will be for the life of the Inquiry. The Inquiry will look back as far as it needs to - there is no cut off date.

Essentially, it means that information which may be relevant to the Inquiry **must not be destroyed** until further notice. The Inquiries Act 2005 makes it a criminal offence for anyone to knowingly destroy, alter or conceal records and information which is or may be relevant to the Inquiry. Employees may also face disciplinary action.

What should a manager do with locally held employee records when an employee leaves?

These should be retained by the manager for the retention periods above and then destroyed after this time unless the information is connected with child protection, connected with child sexual abuse and/or related to individuals working with children in which case the records must not be destroyed until further notice.

NB Social Care supervision notes relating to a service user should be placed on the service user record. More information can be found on the [Social Care Records Retention Schedule](#). Managers will be able to access the electronic file for up to one month to load files, for employees who have left WCC.

Can an employee access a personal file?

Yes, but not through HRMS self-service. Requests from employees to access their file should be made to the HR Service Centre (via hrandpayroll@warwickshire.gov.uk), statutory entitlement allows up to 40 days' notice, however normally access will be given much more quickly. In exceptional circumstances employees should be allowed access either immediately or within a few days. Normally an employee can see all of the documents on their file; however the Data Protection Act provides an exemption to the right of access confidential records such as confidentially marked references. Employees must not remove items from their personal file, however can point out any errors or inaccuracies to HR who can then consider the appropriate action.

The entitlement to access your own personal files is a statutory right and further information about this can be found on the [Access to Personal Information and Data Protection Act](#) page on the intranet.

Can we release employee information?

Not without signed consent from the employee, however there are a few exceptions to this e.g.

- The Inland Revenue
- The Child Support Agency
- The Department of Work and Pensions
- The Financial Services Authority
- The Police

More information in relation to releasing information to a third party can be found on the internet on the [Leaving WCC](#) page.

Where can I find out more information?

- General records management information can be found on the [Corporate Records Management](#) intranet pages.
- Data protection information can be found on the [Information Management](#) intranet page.

What should be included in the personal record?

There are a number of key documents that should be included on all employees' personal files, and it is helpful to use a consistent naming convention so that as documents are added on a regular basis you are able to find them with ease.

Below is a guide to what would make a "HR Golden Record", including some advice on naming conventions. NB Documents with an * should be loaded by the manager

The list of documents below is not necessarily exhaustive of the documents that will be on an employee's file, but include all mandatory documents. Other documents that you may find on file might be a manager instruction for a change of hours, or an instruction to set up a payment for Fire Warden or First Aider.

Attendance

- *Return to work forms
- *Phased return to work agreements
- *Fit Notes
- *Self-Certification Form
- *Individual Employee Resilience Assessment

Case Work

- *Formal outcome letter from any disciplinary or grievance procedure
- *Outcome of any sickness absence formal stage meetings
- *Outcome of any performance management stage meetings
- *Formal dismissal letter (e.g redundancy, ill-health, conduct)
- *Outcome of any DBS investigation

Clearances

Proof of Identification and address

Eligibility to work

In order to determine if a recruitment candidate or current employee is eligible to work in the UK, appropriate documentation must be checked. This is important, even where the person claims to have been resident in the UK since birth. The documents that must be checked are specific, and are outlined by the Border Agency. These include a sample of documents from two categories or lists, and when checked, these documents must be original.

The combinations of documents required to determine a candidate's eligibility to work include;

- One original document alone, or two of the original documents in the specified combinations given in List A
- OR
- One original document alone, or two of the original documents in the specified combinations given in List B

Proof of Address

Standard documentary evidence includes; recent utility bill, bank/building society statement or benefit statement (should be less than 3 months old and this does not include a mobile telephone statement) Or a Council Tax statement, P45/P60 statement, Mortgage statement or a Financial statement e.g pension, endowment, ISA which is less than 12 months old

Registrations

Original Registration certificate verified either by the recruiting manager or HR.

Where there is the option to check and validate memberships electronically i.e. using registration websites, then this should be used as the evidence base. For example, this can be done for HCPC registration.

***HCPC Registration**

NB Managers will be responsible for checking and uploading evidence as part of the renewal process.

DBS evidence

Copy of the certificate (for where there is a positive disclosure on the certificate, and with the consent of the employee via the Risk Assessment which should be loaded onto the case file area)

Copy of cleared notification from on-line DBS System

Reference 1

One of these references must be the current or most recent employer, but the other can be a character reference. A character referee cannot be a family member or friend and must be someone who has knowledge of you and hold a position of responsibility e.g. Vicar. Where candidates come straight from education, then the most recent tutor will be the preferred referee.

Reference 2

One of these references must be the current or most recent employer, but the other can be a character reference. A character referee cannot be a family member or friend and must be someone who has knowledge of you and hold a position of responsibility e.g. Vicar. Where candidates come straight from education, then the most recent tutor will be the preferred referee.

Reference approval

Evidence the hiring manager has approved references.

Proof of Identification and address**Medical clearance**

Copy of any relevant occupational health report

Copy of any "waiver" instructions from Manager – e.g. can commence with only 1

Reference or pending DBS clearance

Performance

Appraisals

*Appraisal

*Mid Year Review

Training and Development Plans

Action Plans

One to One Notes – NB this must not be used for Supervision notes for Adults and Childrens Social Care

Probation - Probation clearance

Personal Details

Successful candidate or/New Starter Form

Qualification

Mandatory qualifications required for the role (e.g Social Worker – evidence of Degree of Diploma. *(NB if employee is engaged as a Social Care Worker – pending registration the manager must ensure that the certificate is loaded to HRER)

Recruitment

Recruitment form

Successful Candidate form or a new starter form

New Starter form

Application form

Job Description

Copy of any “waiver” instructions from Manager – e.g. can commence with only 1

Reference or pending DBS clearance

Terms and Conditions

Confirmation of Appointment - Copy of letter

Conditional Offer Letter

Contract

Terms and Conditions/Contract -

*Outcome letters for any changes to terms and conditions following consultation

*Copy of flexible working agreement

Termination

*Resignation - Copy of resignation letter

* Non confirmation of Probationary Period information

Copy of leaver form

Social Care Supervision Folder

Copy of employee supervision notes in accordance with the **Procedure for recording and storage of supervision notes (including electronic storage) for Children’s Social Care & Safeguarding staff – issued December 2015**

Guidance on Naming Conventions for documents to be loaded by Managers

File Area	Document	Naming Convention – all documents should be dated with the effective date of the document in the following format Name of Document Year Month Day
Attendance	Return to Work form	Return to Work 2016 02 01
	Fit Note	Fit Note 2016 02 01
	Phased Return	Phased Return 2016 02 01
	Self-Certification	Self-Cert 2016 02 01
Casework	Formal outcome letters	
	Informal Notes	
	Outcome of DBS investigation	
Clearances	HPCPC Renewals	HPCPC Renewal expires Nov 2016
Performance	Appraisal	Appraisal 2016 02 01
	Six Month Review	Six Month Review 2016 02 01
	Action Plans	Action Plan 2016 02 01
	One to One Notes – but not Adults or Childrens Social Care Supervision Notes – these must be filed in the Supervision folder	
Qualifications	Mandatory qualifications for the role e.g. Social Care Worker pending registration	SW Degree & date of Degree
Termination	Copy of Resignation Letter	Resignation Letter 2016 02 01
Terms and Conditions	Flexible Working Agreement	Flexible Working agreement 2016 02 01