

HUMAN RESOURCES

POLICY AND PLANNING.....	2
RECRUITMENT AND SELECTION	4
EMPLOYEE CONTRACT MANAGEMENT	8
WORKFORCE INDUCTION, TRAINING AND PERFORMANCE	13
WORKFORCE WELFARE AND RELATIONS	16
INDUSTRIAL RELATIONS	18
PAYROLL.....	19
PENSIONS.....	20

POLICY AND PLANNING

Records	Retention Period	Citations and Notes	Action
Human Resources Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's human resources strategy and policies: key records.	Superseded + 10 years	JISC	Review
Records documenting the development and establishment of UWTSD's human resources strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to human resources management.	Superseded + 10 years	JISC	Review
Workforce Planning			
Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	JISC	Review
Records documenting management succession plans.	Superseded + 5 years	JISC	Review

Records	Retention Period	Citations and Notes	Action
Records documenting the development and evaluation of job specifications.	Superseded + 5 years	JISC	Destroy

RECRUITMENT AND SELECTION

Records	Retention Period	Citations and Notes	Action
Recruitment Authorisation and Advertising			
Records documenting internal authorisation for recruitment.	Current year + 1 year	JISC	Destroy
Records documenting job evaluation information.	End of employment + 6 years	Limitation Act 1980	Destroy
Records documenting the advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by HR showing URL and date.	<p>Completion of recruitment process + 9 months</p> <p>Tier 2 visa holder: Life of the sponsorship + 1 year (max. 7 years)</p>	<p>Immigration, Asylum and Nationality Act 2006, Limitation Act 1980, The Equality Act 2010</p> <p>Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2011)</p> <p><i>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.</i></p>	Destroy
Management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	JISC	Destroy
Vacancy Applications Management			

Records	Retention Period	Citations and Notes	Action
Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	JISC <i>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.</i>	Destroy
Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	Employment Practices Code, Section 1.7 (Information Commissioner's Office, 2011)	Destroy
Records of application forms (for all appointed applicants).	End of employment + 6 years	Limitation Act 1980	Destroy
Records documenting the handling of applications for vacancies: successful applications.	End of employment + 6 years (except information which is irrelevant to the ongoing employment relationship)	Limitation Act 1980 c.58 s.5 Employment Practices Code, Section 1.7 (Information Commissioner's Office, 2011) <i>For employment records, see HUMAN RESOURCES - EMPLOYEE CONTRACT MANAGEMENT.</i>	Destroy
Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 1 year	The Equality Act 2010. Employment Practices Code, Section 1.7 (Information Commissioner's Office, 2011)	Destroy

Records	Retention Period	Citations and Notes	Action
		<i>Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).</i>	
Records of application forms for unsuccessful applicants.	Where no Tier 2 sponsored person appointed: Notification to unsuccessful candidates + 6 months Where Tier 2 sponsored person appointed: Life of the sponsorship + 1 year (max. 7 years)	Employment Practices Code, Section 1.7.5 (Information Commissioner's Office, 2011) Limitation Act 1980	Destroy
Shortlisting and Interviewing			
Records documenting shortlisting information.	Where no Tier 2 sponsored person appointed: Acceptance of offer by successful candidate + 6 months Where Tier 2 sponsored person appointed: Life of the sponsorship + 1 year (max. 7 years)	Employment Practices Code, Section 1.7.5 (Information Commissioner's Office, 2011) Limitation Act 1980	Destroy
Records of interview notes, interview summary outcomes and any tests (appointee and unsuccessful interviewees) where no Tier 2 sponsored person was appointed.	Where no Tier 2 sponsored person appointed: Completion of the recruitment process + 6 months	Employment Practices Code, Section 1.7.5 (Information Commissioner's Office, 2011) Limitation Act 1980	Destroy

Records	Retention Period	Citations and Notes	Action
	Where Tier 2 sponsored person appointed: Life of the sponsorship + 1 year (max. 7 years)		
Copy of job description and person specification for a role where a Tier 2 sponsored person was appointed.	Life of the sponsorship + 1 year (max. 7 years)	Limitation Act 1980	Destroy
Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	JISC	Destroy
Any references obtained for unsuccessful candidates.	Acceptance of offer by successful candidate + 6 months	JISC	Destroy

EMPLOYEE CONTRACT MANAGEMENT

Records	Retention Period	Citations and Notes	Action
Employee Contract Management			
Records documenting the employee's initial application for employment with UWTSD and supporting documentation supplied by third parties (e.g. references, Disclosure and Barring Service (DBS) checks).	End of employment + 6 years (except information which is irrelevant to the ongoing employment relationship)	Limitation Act 1980 c. 58 s 5 Employment Practices Code, Section 1.7 (Information Commissioner's Office, 2011) <i>For employee contract records, see HUMAN RESOURCES - EMPLOYEE CONTRACT MANAGEMENT.</i>	Destroy
Records documenting the employee's subsequent applications for other jobs within UWTSD.	Duration of job + 1 year	JISC	Destroy
Records documenting the employee's contract(s) of employment with UWTSD.	End of employment + 6 years	Limitation Act 1980 c.58 s.5	Review
Records documenting changes to the employee's terms and conditions of employment.	End of employment + 6 years	Limitation Act 1980 c.58 s.5	Review
Job descriptions of positions held by the employee within UWTSD.	End of employment + 1 year	JISC	Review

Records	Retention Period	Citations and Notes	Action
Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	JISC	Destroy
Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	JISC	Destroy
Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	End of employment + 6 years	Limitation Act 1980 c.58 s.5	Review
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	JISC	Destroy
Records documenting right to work and immigration information.	End of employment + 2 years	Immigration, Asylum and Nationality Act 2006 Limitation Act 1980	Destroy
Employee Induction, Training and Development			
Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	JISC	Destroy
Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Employee Performance Management			
Routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	JISC	Destroy
Employee Relations Management			
Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Common HR practice	Review
Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, UWTSD's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice	Destroy
Employee Remuneration and Reward			

Records	Retention Period	Citations and Notes	Action
Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Current tax year + 6 years	Limitation Act 1980 c.58 s.5 Taxes Management Act 1970 c. 9 s 34 <i>For payroll records, see HUMAN RESOURCES - PAYROLL.</i>	Destroy
Employee Welfare Management			
Records documenting the employee's absence due to sickness.	End of employment + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55) Limitation Act, 1980	Destroy
Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	JISC	Destroy
Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	The Maternity and Parental Leave etc. Regulations 1999 (SI 1999/3312)	Destroy
Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960 Regulation 26)	Destroy

Records	Retention Period	Citations and Notes	Action
Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	End of employment + 40 years	JISC <i>See ESTATES AND FACILITIES – HAZARD IDENTIFICATION AND EXPOSURE CONTROL.</i>	Destroy
Records documenting pre-employment health screening of an employee: other employees.	End of employment + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Records documenting the issue of personal protective equipment/other special equipment to an employee.	End of employment + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Records documenting major injuries to an employee arising from accidents in the workplace.	End of employment + 40 years	Health and Safety Regulations	Destroy

WORKFORCE INDUCTION, TRAINING AND PERFORMANCE

Records	Retention Period	Citations and Notes	Action
Workforce Induction			
Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 6 years	JISC <i>For records documenting individual employees' induction programmes, see HUMAN RESOURCES - EMPLOYEE CONTRACT MANAGEMENT.</i>	Destroy
Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	JISC	Destroy
Workforce Training and Development			
Summary information on workforce training and development needs.	Current year + 6 years	JISC <i>For records documenting individual employees' training and development needs, see HUMAN RESOURCES - EMPLOYEE CONTRACT MANAGEMENT.</i>	Destroy
Records documenting the development of training and	Completion of programme + 5 years	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
development programmes to meet defined needs.			
Individual feedback on training and development programmes.	Completion of analysis of feedback	JISC	Destroy
(Anonymised) workforce feedback on training and development programmes.	Current year + 5 years	JISC	Destroy
Management analyses of the impact of training and development programmes.	Current year + 5 years	JISC	Destroy
Workforce Performance Management			
Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	JISC	Review
Summary (anonymised) results of employees' performance assessments.	Current year + 5 years	JISC	Review
Management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	JISC	Review
Workforce Remuneration and Reward			

Records	Retention Period	Citations and Notes	Action
Records documenting the development of UWTSD's remuneration structure.	Current year + 10 years	JISC	Review
Pay reviews.	Current year + 6 years	JISC	Review
Records documenting special reward schemes (e.g. Merit Reviews).	End of scheme + 6 years	JISC	Review

WORKFORCE WELFARE AND RELATIONS

Records	Retention Period	Citations and Notes	Action
Workforce Welfare Management			
Records documenting 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	Working Time Regulations (SI 1998/1833) Regulations 5 and 9	Destroy
Health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Working Time Regulations (SI 1998/1833) Regulations 5 and 9	Destroy
Workforce Relations Management			
Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	JISC	Review
(Identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	JISC	Destroy
Summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	JISC	Review

Records	Retention Period	Citations and Notes	Action
Grievances raised by staff (which do not relate directly to their own contracts of employment), UWTSD's response, action taken and the outcome.	Last action on case + 6 years	Limitation Act 1980 c.58 s.5	Destroy

INDUSTRIAL RELATIONS

Records	Retention Period	Citations and Notes	Action
Industrial Relations Management			
Records documenting UWTSD's recognition/derecognition of trades unions.	Derecognition + 6 years	Limitation Act 1980 c.58 s.5	Review
Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	JISC	Review
Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	JISC	Review

PAYROLL

Records	Retention Period	Citations and Notes	Action
Payroll Administration			
Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Records documenting calculation and payment of employees' salaries and other payments.	Current tax year + 6 years	Taxes Management Act 1970 c.9 s.34	Destroy
Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	Current tax year + 6 years	The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8)	Destroy
Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Current tax year + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).	Destroy
Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Current tax year + 6 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960) Regulation 26	Destroy
Record of P45s.	End of employment + 6 years	Limitation Act 1980	Destroy

PENSIONS

Records	Retention Period	Citations and Notes	Action
Industrial Pension Schemes Administration			
Records documenting UWTSD's relationships with pension schemes to which all or part of its workforce belongs.	End of relationship + 5 years	JISC	Destroy
Records documenting routine communications with the pension schemes.	Current year + 5 years	JISC	Destroy
Pension Contributions Administration			
Records documenting payments of UWTSD's employers' contributions to pensions schemes for its employees.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)	Destroy
Records documenting payments of UWTSD's employees' contributions to pension schemes.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)	Destroy