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HR retention schedules

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HR, organisation and workforce development

Type of record	Description of record and examples	Storage media	Retention and disposal	Legislation or regulations
Apprenticeships/Placements	Apprenticeship levy and related documents and database.	Electronic and online - apprentice levy database.	Length of apprenticeship then 5 years for reporting. Secure disposal	Apprentice Levy
Attendance Management (Corporate)	Corporate casework: attendance management including occupational health referrals and report.	Electronic and paper.	Held in restricted access storage on file as record of employment history. Secure disposal with personnel file.	Record of Employment History
Attendance Management (School Staff)	Schools casework: attendance management including occupational health referrals and report.	Electronic and paper.	Held in restricted access storage on file as record of employment history. Secure disposal with personnel file.	Record of Employment History
Attendance	Electronic attendance record.	Electronic.	As per personal file.	Record of Employment History
Absence Reports	Quarterly absence reports.	Electronic.	3 years. Securely deleted.	Business Practice
			During employment	

Corporate and Schools Employee Occupational Health	Employee occupational health medical records: would include clinical notes, referrals, emails, specialist reports and any information received. Would also include any referrals sent to and any reports received from therapists. Would also include any information issued to management such as reports, certificates. Could be absent or non-absent related.	Electronic.	and 10 years after leaving employment (as long as not related to health surveillance). Length of storage is current medical insurance requirements. Securely disposed.	Clinical Record Requirements of GMC and NMC as Per Medical Records Legislation
Corporate and School Employee Attendance - Maternity/Adoption/Parental Leave	Documents relating to maternity/paternity/parental/adoption leave or flexible working (other than pay records).	Electronic and paper.	As for personnel files. Secure disposal.	Record of Employment History
Unpaid Leave	Unpaid leave sign up and associated letters.	Electronic.	Until superseded, up to maximum of 3 years. File deleted.	
Posts and People	Point in time post and people report describing the Council establishment.	Electronic.	6 years plus current. File deleted.	
Posts and Structure	Post and structure and associated records in relation to the post (including PORPS, DBS requirement, UPL Exemptions, HCPC, etc.).	Electronic.	Dynamic database. Ongoing retention until superseded.	
Corporate and Schools Health Specific Customer Feedback	Copies of any health specific complaint received, any investigation notes and response issued.	Electronic and paper.	10 years following last entry after the date of leaving. Secure disposal.	Insurance Requirement
Corporate and Schools Occupational Health Customer Feedback	Feedback forms, survey database or emails.	Electronic and paper.	3 years from the date of receipt. Secure disposal.	NMC Requirement for Nurses Revalidation Every 3 Years
External Customers Occupational Health Customer Feedback	Feedback forms, survey database or emails.	Electronic and paper.	3 years from the date of receipt. Secure disposal.	NMC Requirement for Nurses Revalidation Every 3 Years
Corporate and Schools Employee Deferred Ill Health Retirement Requests	Pension request, consent forms, information from specialists, GP records and report and certificate issued. Also include any subsequent appeals.	Electronic.	10 years following last entry. Secure disposal.	Clinical Record Requirements of GMC & NMC as Per Medical Records legislation; Medical

				Insurance Requirements
Delegated Authority	Approval paperwork in regards to the delegation of roles to carry out the HR activities.	Electronic and paper.	10 years after date created or agreement ceases to be effective. Secure disposal.	Council Constitution
Corporate and Schools Disciplinary -Employment Tribunal	Employment tribunal (corporate) related documentation and evidence.	Electronic and paper.	6 years plus current year. Secure disposal.	The Employment Tribunals (Constitution and Rules of Procedure) (Amendment) Regulations 2008; Limitation Act 1980 (Section 2)
Corporate and Schools Disciplinary - Casework - Dismissal	Corporate casework: disciplinary documentation where the case results in dismissal.	Electronic and paper.	6 years plus current year unless linked to staff working with children or vulnerable people - which would be kept in line with 1.2. Secure disposal.	Limitation Act 1980 (Section 2); HMG Guidance on Keeping Children Safe in Education; Records of Employment History
Corporate and Schools Disciplinary - Casework - No Case	Corporate casework: disciplinary documentation where the case results in no case to answer.	Electronic and paper.	All securely destroyed at the conclusion of the investigation.	Limitation Act 1980 (Section 2); HMG Guidance on Keeping Children Safe in Education; Records of Employment History
Corporate Disciplinary - Written Warnings from Managers	Corporate casework: copy of written warning - issued by line manager/senior manager, with a right of appeal to next level of management.	Electronic and paper.	Date of warning (12 months) then secure disposal. [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour.]	People Management Handbook Section N - N22; Records of Employment History

Corporate Disciplinary - Final Written Warnings from Chief Officers	Corporate casework: copy of final written warning - issued by Chief Officer, or delegated manager, with a right of appeal to Chief Executive.	Electronic and paper.	Date of warning (18 months) then secure disposal. [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour.]	People Management Handbook Section N - N22; Records of Employment History
Corporate and Schools Disciplinary - Investigation (Safeguarding Adults and Children)	Corporate: disciplinary investigation documentation, evidence or records linked to safeguarding adults and children.	Electronic and paper.	For founded and unfounded allegations involving staff working with children or vulnerable people - keep in line with 1.2. Secure disposal.	DDA & Warner Reports Working Together to Safeguard Children; HM Government Guidance on Keeping Children Safe in Education; DfE Guidance
Corporate and Schools Disciplinary - Investigation	Corporate casework: disciplinary investigation documentation, evidence or records.	Electronic and paper.	For both founded and unfounded allegations involving staff working with children or vulnerable people - keep in line with 1.2. Secure disposal	HMG Guidance on Working Together to Safeguard Children; DfE Guidance
School Disciplinary - Written Warning From Head Teacher/Governors	School Casework: copies of written warnings - issued by head teacher/governors, with a right of appeal to appeal panel.	Electronic and paper.	Date of warning (12 months) then securely destroyed. [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour.]	HM Government Guidance, Keeping Children Safe in Education; Records of Employment History
			Date of warning (18 months) then securely destroyed. [This period could be extended if	HM Government Guidance, Keeping Children

School Disciplinary - Final Written Warning From Governors	School Casework: copies of final written warning - issued by governors, with a right of appeal to appeal panel.	Electronic and paper.	required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour.]	Safe in Education; Records of Employment History
Corporate, Schools and External Customer's Employee Assistance Programme (EAP) Stats	General stats regarding utilisation of the phone line and counselling. Information includes reason for the call and demographic information.	Electronic and paper.	4 years. Secure disposal.	
Corporate, Schools and External Customer's Employee Assistance Programme (EAP) Counselling	Additional counselling request from EAP, confirmation of consent from employee and manager approval.	Electronic.	10 years following last entry after the date of leaving. Secure disposal.	Clinical Record Requirements of GMC and NMC as Per Medical Records Legislation; Length of Storage is Current Medical Insurance Requirements
Employee Amendments	Employee amendment forms and approval emails which are added to personnel file.	Electronic.	As per personal file.	Record of Employment History
Corporate Grievance - Employee Complaints Reporting	Corporate employee complaints (grievance) procedure - related documentation including initial grievance.	Electronic and paper.	Date grievance resolved plus 6 years. Secure disposal.	Limitation Act 1980 (Section 2)
School Employee Grievance Reporting	Schools grievance procedure and related documentation.	Electronic and paper.	Date grievance resolved plus 6 years. Secure disposal.	Limitation Act 1980 (Section 2)
Corporate and Schools, and External Customers Employee Health Surveillance	Health surveillance screening; would include requests for health surveillance and risk assessments, emails received. Would include clinical notes taken, any screening tests conducted and any certificates issued.	Electronic.	Reviewed when employee leaves and then will be retained for 40 years following last entry. Securely destroyed when no longer required.	Health and Safety Regulations
	Health records relating to exposure to potential hazards and therefore health Surveillance, including baseline upon appointment and any referrals relevant to health surveillance requirements; vaccination records in connection with COSHH.			
HR Data and Statistics	Point in time headline HR statistics (employee numbers, turnover, contract types, and age profile).	Electronic.	6 years plus current year. File deleted.	

Training Data and Statistics	Training statistics comprising list of completions and summary figures.	Electronic.	6 years plus current year. Secure disposal.	
Job Descriptions	Job description library (job description, job rationale, supporting documentation).	Electronic.	Dynamic document - information retained until superseded or no longer required. Destroyed.	Equal Pay Legislation
Job Evaluation Appeal	Appeal documentation.	Electronic.	6 years. Secure disposal.	Equal Pay Legislation
Equal Pay	Equal pay documentation (COT3, claims, settlements).	Electronic.	6 years after claim or COT3 expiry. File deleted.	Equal Pay Legislation
Corporate and Schools Employee Legal Requests for Occupational Health Notes	Any requests and consent form in order to release notes.	Electronic.	10 years following last entry after the date of leaving. If no clinical records are held when the request is received then this will not be retained, the solicitor will be notified and the request deleted. Secure disposal.	Forms Part of the Clinical Record; Insurance Requirement
Corporate Performance Casework Reporting	Corporate casework: performance and capability data.	Electronic.	6 years plus current year. Secure disposal.	Limitation Act 1980 (Section 2)
Schools Performance Casework Reporting	Schools casework: performance and capability data.	Electronic.	6 years plus current year. Secure disposal.	Limitation Act 1980 (Section 2)
Employment Probation	Probation forms and associated documentation.	Electronic.	Whilst in employment. Secure disposal.	Record of Employment History
Performance Appraisals	Performance appraisal meeting records relating to a post. Record of objectives, performance against objectives, development needs. Training attended and observations. Employee's observations.	Electronic and local staff files (historical).	As personnel files.	
	Supervision notes relating to social care			

Supervision Notes	case supervision. Currently held by local managers. Specific content varies. Dates and absences included.	Electronic and paper.	As personnel files.	Limitation Act 1980 (Section 2)
Personal File (HR)	Personal file.	Electronic.	<p>Whilst employed by the Council and for up to age 75 plus 6 years after leaving to enable compliance with pension data requirements.</p> <p>Data put 'beyond use' when 6 years after termination to ensure accessibility is restricted to pension only.</p>	<p>Limitations Act 1980 (Section 2);</p> <p>HMRC Regulations (Pensions)</p>
Corporate and Schools Policies and Procedures	Employment strategy: employment policy: employment guidance for managers and staff: equality impact assessments/consultation process/approval documents.	Electronic and paper.	Date guidance superseded plus 6 years. Secure disposal.	Limitation Act 1980 (Section 2)
Induction/Probation Process	Records relating to employee induction and probation, actions completed and indication of performance. Checklist with observation on performance and employee feedback.	Electronic and historical paper based - uploaded to system.	As personnel files.	
Exit Interviews	Exit interviews - documentation and questionnaires.	Electronic and paper.	<p>Retain for quarter of the year in which they fall or once the responses have been logged on database.</p> <p>Secure disposal.</p>	For Evaluation of Reasons For Leaving
Corporate and Schools Health and Wellbeing Questionnaires	Anonymised questionnaires regarding health and wellbeing.	Electronic.	<p>4 years.</p> <p>Secure disposal.</p>	Report Writing, Comparison to Previous Years and Action Planning
Staff Questionnaires	<p>Online and paper based questionnaires: name, role, employee number, post details: collecting opinions of Council and individual leaders.</p> <p>Staff questionnaires, leadership survey, employee engagement survey (12Q), and leadership 360 survey (360).</p>	Electronic.	<p>3 years.</p> <p>Secure disposal.</p>	

Primary School Recruitment	Recruitment process for primary head teachers by the schools employee relations team.	Electronic and paper.	Date of appointment plus 12 months. Secure disposal.	Record of Employment History
Secondary School Recruitment	Recruitment process for secondary head teachers by the schools employee relations team.	Electronic and paper.	Date of appointment plus 24 months. Secure disposal.	Record of Employment History
Head Teacher Recruitment	Recruitment process: head teacher appointment central file.	Electronic and paper.	Until no longer of effective use. Secure disposal.	CIPD Recommendation
Recruitment - Successful Applicants	Application form (successful applicants).	Electronic.	As per personal files.	Record of Employment History
Recruitment - Unsuccessful Applicants	Application form (unsuccessful applicants).	Electronic.	12 months after closure of recruitment campaign. Automatic deletion at this time.	Time Limits for Litigation
References	Pre-employment checks: references. Email and word documents (added to personal file).	Electronic.	As per personal files.	Record of Employment History
Right to Work in UK	Pre-employment checks: right to work in the UK. Scanned ID documentation (added to personal file).	Electronic.	As per personal files.	Immigration, Asylum and Nationality Act 2005
DBS Application	Pre-employment checks: DBS application.	Electronic.	System deletion of record after 6 months.	Safeguarding Vulnerable Groups Act 2006
DBS Outcome	Pre-employment checks: DBS outcome. Clearance date and disclosure number. Stored in vision and DBS panel outcomes (added to personal file).	Electronic.	As per personal files.	Safeguarding Vulnerable Groups Act 2006
Qualifications Checks	Pre-employment checks: essential qualifications certificates. Relevant documents scanned or photocopied (added to personal file).	Electronic.	As per personal files.	Record of Employment History
Medical Clearance	Pre-employment Checks: Medical Clearance via Emails/PDF (Added to personal file).	Electronic.	As per personal files.	Record of Employment History

Prohibition from Teaching	Pre-employment Checks: prohibition from teaching. Screen prints of online checks (added to personal file).	Electronic.	As per personal files.	Record of Employment History
Teachers' Pension	Pre-employment Checks: TR2 teachers' pension check. Screen print of online check (added to personal file).	Electronic.	As per personal files.	Record of Employment History
New Starters	HR setup information (from iRecruit to set up new starter in Selima). Comprises system email which is added to personal file and copy sent to Payroll.	Electronic.	As per personal files.	Record of Employment History
Statement of Particulars	Scanned statement of particulars signed by employee (added to personal file).	Electronic.	As per personal files.	Record of Employment History
Corporate and Schools Pre-Employment Occupational Health	Pre-employment information received, any clinical notes and fit to work certificates issued.	Electronic.	Notes checked and all information in medical record retained for 10 years following last entry when employee leaves employment (as long as not related to health surveillance). Secure disposal.	Clinical Record Requirements of GMC & NMC as per Medical Records Legislation; Length of Storage is Current Medical Insurance Requirements
Corporate and Schools Employee Redundancy	Redundancy consultation documents HR1/188 documents/EIA/formal proposals/consultation.	Electronic and paper.	6 years from date of redundancy. Secure disposal.	CIPD Recommendation
Corporate and Schools Restructures (Redundancy)	Documents relating to corporate restructures, selection for redundancy and redundancy (estimates).	Electronic and paper.	Date of agreement plus 6 years/12 years from date of redundancy. Secure disposal.	Limitation Act 1980 (Section 2)
Redundancy Tracker	Redundancy tracker and associated letters.	Electronic.	6 years plus current year. Files deleted.	Time Limits for Employment Litigation
Staff Benefits	Record of travel loans.	Electronic.	1 year plus current year. Files deleted.	
Equality and Diversity Returns	Equality and diversity: annual workforce equality report.	Electronic and paper	6 years plus current year then review. Secure disposal.	Equality Act

Statutory Returns	Statutory returns: e.g. schools workforce census, teachers ASR, annual HRs and earning, LG earnings, NMDS, and children's workforce data. Copy of submission or workings.	Electronic.	2 years plus current year. File deletion.	Statutory Returns
Wellbeing Group Meetings	Wellbeing group meetings. Project plan, agendas, minutes and papers relating to wellbeing group.	Electronic and paper.	1 year unless contains key decision. Secure disposal.	Action Planning
Quarterly Audit Meetings	Agendas, minutes, papers, action plans, etc. relating to OD groups.	Electronic.	1 year unless contains key decision. Secure disposal.	
Teachers Salary	Teachers' salary statements.	Electronic and paper.	Whilst employed plus 6 years. Secure disposal.	CIPD Recommendation
Corporate Employee Terms and Conditions	Human resources: employment strategy: employment policy: national and Blackpool Council terms and conditions. Each copy of the national terms - green/white and purple book.	Electronic and paper.	A copy of each version is retained as an archive copy to enable the terms and conditions in operation at any given time to be proven. Secure disposal.	Limitation Act 1980 (Section 2)
Corporate Collective Agreements	Copies of collective agreements.	Electronic and paper.	10 years after date created or agreement ceases to be effective. Secure Disposal.	CIPD Recommendation
Trade Union Meetings	Trade union consultation meetings - CJCC.	Electronic and paper.	Permanent.	CIPD Recommendation
Corporate and Schools Trade Union Representatives	Trade unions (recognition, facilities and membership), records for time off for duties/training.	Electronic and paper.	6 years plus current year then review. Secure disposal.	Limitation Act 1980 (Section 2)
Trade Union Disputes	Trade union disputes: industrial action monitoring/reports/formal notifications.	Electronic and paper.	6 years plus current year. Secure disposal.	CIPD Recommendation
Corporate Training Plan	Corporate training plan. Copies of requested training data, completed training.	Electronic.	Dynamic document which is regularly updated.	
Internal Training Records	Records of training (internal), date of attendance/cancellation, course data, success, and special requirements.	Electronic.	As personnel files.	Record of Employment History

External Training Records	Records of training (external). Organisation data, non-employee, name, contact details. Date of attendance/cancellation, course data, success, special requirements.	Electronic and paper.	Paper - 1 year. Secure disposal Electronic - as personnel file.	
Proof of Completed Training	Training (proof of completion such as certificates, awards, and exam results). - ILM assignments and applications. - Food hygiene tests and results. - MAPA registration.	Electronic and paper.	CHEI materials securely disposed after effective use. ILM - TBC.	
Course Information	Course information - flyers, attendance lists, joining instructions, emails, application forms/booking forms. General application data, name, job, courses.	Electronic and paper.	1 year. Secure disposal.	
Training Commissioning	Information relating to commissioning for training courses commissioned by workforce development including procurement, letters, emails and finance.	Electronic and paper.	6 years. Secure disposal.	Value Added Tax Act 1997 Sche 11 Para 6; Limitation Act 1980 (Section 2)
Training Materials	Training material: all records relating to the development of and records management e-learning modules. Name, email, organisation, employee number, course activity and completions.	Electronic.	iPool kept for 48 months after non-activity. 6 months after employment ceases. Secure disposal.	
First Aid Training	Records relating to first aid training including details of training completed to track expiry date. First Aid and MAPA.	Electronic.	Date of training plus 3 years for first aid. MAPA - 2 years. Secure disposal for both at end of retention period.	HSE Requirements
Social Care Training	Social care information and learning services records (SCILS) including name, email, organisation and resources accessed.	Electronic.	TBC - check with SCILS. Although use Council credentials, the individual signs themselves up.	
Coaching	Coaching records including name, and topic issue, scale (evaluation score).	Electronic and paper.	2 years. Secure disposal.	
PEQ Scheme	Post entry qualification scheme - application for assistance with qualification.	Electronic and paper.	2 years from date qualification completed. Secure disposal.	

Mediation	Records of mediation undertaken. Name, department and agreement.	Electronic and paper.	2 years. Secure disposal.	
TUPE - Staff Transferred into Blackpool	Documents relating to corporate TUPE transfers, including due diligence documentation and associated correspondence.	Electronic.	As per personal file.	Record of Employment History
TUPE - Corporate and School Staff Transferred to Other Organisations	Documents relating to school TUPE transfers, including due diligence documentation and associated correspondence.	Electronic and paper.	Restricted access storage. 6 years plus current year. Secure disposal.	TUPE Regulations
Corporate and School Vaccination Records	Any requests for vaccination received including risk assessments and emails. Any clinical history taken and the vaccination records.	Electronic.	Non COSHH will be retained for 10 years as part of medical record to comply with current insurance requirements. In the case of vaccination for COSHH retained for 40 years following last entry after leaving employment. Secure Disposal.	Clinical Record Requirements of GMC & NMC as per Medical Records Legislation; COSHH Legislation
Awards	Records of staff awards, nominations, judging and winner's information, procedure and guidance information.	Electronic.	1 year. Secure disposal.	
Social Care Training	Information for social care information and learning services (SCILS).	Electronic (online).	Employee to contact SCILS to remove personal data or de-register from system.	Social Care Accreditation

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Blackpool Council

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